



# ALABAMA DEPARTMENT OF HUMAN RESOURCES REQUEST FOR PROPOSALS

PROCUREMENT INFORMATION	
<b>RFP Number: GB2025-100-07</b>	<b>RFP Title: Community Based Intervention and Therapy Program (CBIT)</b>
<b>Proposal Due Date and Time:</b> April 18, 2025 12:00 p.m., Central Time	<b>Number of Pages: 40</b>
<b>Procurement Officer:</b> Tina Limbaugh, Program Manager Phone: (334) 242-1650 Email: <a href="mailto:sdhr.procurement@dhr.alabama.gov">sdhr.procurement@dhr.alabama.gov</a> Website: <a href="http://www.dhr.alabama.gov">http://www.dhr.alabama.gov</a>	<b>Issue Date: February 21, 2025</b>
	<b>Issuing Division:</b> Family Service Division
INSTRUCTIONS TO VENDORS	
<b>Submit Proposal Electronically to:</b>  Tina Limbaugh, Program Manager Resource Management Division/SDHR Procurement Alabama Department of Human Resources Email: <a href="mailto:sdhr.procurement@dhr.alabama.gov">sdhr.procurement@dhr.alabama.gov</a>	<b>Label Submission:</b>  RFP Title/Number: GB2025-100-07 Community Based Intervention and Therapy Program Proposal Due Date: April 18, 2025
	<b>Special Instructions:</b>
VENDOR INFORMATION	
(Fill in the information fields below and return this form with RFP electronic response)	
<b>Vendor Name/Address: (no P.O. Boxes)</b>	<b>Authorized Vendor Signatory:</b>  (Please print name and sign in ink)
<b>Vendor Phone Number: (    )</b>	<b>Vendor FAX Number: (    )</b>
<b>Vendor Federal I.D. Number:</b>	<b>Vendor E-mail Address:</b>
<b>Total number of proposal pages: _____</b>	
<b>Trade Secret Declarations: (<u>reference section/page(s) of trade secret declarations</u>)</b>	

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## VENDOR'S RFP CHECKLIST

1. \_\_\_\_\_ **Read the *entire* document.** Note critical items such as: mandatory requirements; supplies/services required; submittal dates; licensing requirements; contractual requirements (i.e., contract performance security, insurance requirements, performance and/or reporting requirements, etc.).
2. \_\_\_\_\_ **Note the procurement officer's name, address, phone numbers and e-mail address.** This is the only person you are allowed to communicate with regarding the RFP.
3. \_\_\_\_\_ **Attend the pre-proposal conference** if one is offered. These conferences provide an opportunity to ask clarifying questions, obtain a better understanding of the project, or to notify the Department of any ambiguities, inconsistencies, or errors in the RFP.
4. \_\_\_\_\_ **Take advantage of the “question and answer” period.** Submit your questions to the procurement officer by the due date listed in the Schedule of Events and view the answers given in the formal “addenda” issued for the RFP. All addenda issued for an RFP are posted on the Department’s website at [www.dhr.alabama.gov](http://www.dhr.alabama.gov) and will include all questions asked and responses concerning the RFP.
5. \_\_\_\_\_ **Follow the format required in the RFP** when preparing your response. Provide point-by-point responses to all sections in a clear and concise manner.
6. \_\_\_\_\_ **Provide complete answers/descriptions.** Read and answer **all** questions and requirements. Don’t assume the Department or evaluation committee will know what your company’s capabilities are or what items/services you can provide, even if you have previously contracted with the Department. The proposals are evaluated based solely on the information and materials provided in your response.
7. \_\_\_\_\_ **Use the forms provided**, i.e., cover page, budget forms, certification forms, etc.
8. \_\_\_\_\_ **Check the Department’s website for RFP addenda.** It is the vendor’s responsibility to check the Department’s website at [www.dhr.alabama.gov](http://www.dhr.alabama.gov) for any addenda issued for this RFP, no further notification will be provided.
9. \_\_\_\_\_ **Review and read the RFP document again** to make sure that you have addressed all requirements. Your original response must be complete.
10. \_\_\_\_\_ **Submit your response on time.** Note all the dates and times listed in the Schedule of Events and within the document and submit all required items on time. Late proposal responses are *never* accepted.

**This checklist is provided for assistance only and should not be submitted with Vendor’s response.**

**VENDOR'S DOCUMENT CHECKLIST**

1. \_\_\_\_\_ **RFP COVER SHEET with signature of person legally authorized to bind vendor to proposal**
2. \_\_\_\_\_ **Detailed Proposal Explaining all Items in RFP with Plan Addressing How the requirements of the RFP will be met**
3. \_\_\_\_\_ **Licenses/Certificates/Credentials**
4. \_\_\_\_\_ **Disclosure Statement (Appendix A)**
5. \_\_\_\_\_ **W-9 and Legal Status Letter or Taxpayer ID # (Appendix B)**
6. \_\_\_\_\_ **Trade Secret Affidavit (Appendix C)**
7. \_\_\_\_\_ **Certificate of Compliance (Appendix D)**
8. \_\_\_\_\_ **Immigration Status Form (Appendix E)**
9. \_\_\_\_\_ **E-Verify (MOU)**
10. \_\_\_\_\_ **Audits or New Vendors provide Financial Statements**
11. \_\_\_\_\_ **Resumes/Job Descriptions for All Employee Levels assigned to this RFP**
12. \_\_\_\_\_ **Start-up Plan must have a Detailed Schedule Submitted**
13. \_\_\_\_\_ **In Section 4, Vendor must attest to all areas required in writing within proposal as stated in the RFP to the conditions stated in the RFP.**

**This checklist is provided for assistance only and should not be submitted with Vendor's response.**

**SCHEDULE OF EVENTS**

*The following RFP Schedule of Events represents the Department's best estimate of the schedule that will be followed. Unless otherwise specified, the time of day for the following events shall be between 9:00 a.m. and 12:00 p.m., Central Time. The Department reserves the right, at its sole discretion, to adjust this schedule, as it deems necessary. Notification of any adjustment to the Schedule of Events shall be posted on the Department's website at [www.dhr.alabama.gov](http://www.dhr.alabama.gov) as detailed in Section 1.5.3 of this RFP. Vendors should refer to the website periodically for changes to the RFP.*

<b>EVENT</b>	<b>DATE</b>
<b>RFP Issue Date.....</b>	<b>February 21, 2025</b>
<b>Deadline for Receipt of Written Questions.....</b>	<b>March 17, 2025</b>
<b>Deadline for Posting of Written Responses to Questions .....</b>	<b>March 31, 2025</b>
<b>Electronic Proposal Submission.....</b>	<b>April 18, 2025</b>

## **SECTION 1: PROJECT OVERVIEW AND INSTRUCTIONS**

### **1.0 PROJECT OVERVIEW**

The Alabama Department of Human Resources (hereinafter referred to as “DHR”) is soliciting Proposals for **Community Based Intervention and Therapy Program (CBIT)** services to children and youth who have emotional and/or behavioral problems or have experienced abuse and/or neglect.

The purpose of this RFP is to encourage vendors to develop and implement a Community Based Intervention and Therapy Program (CBIT) that will safely prevent children from entering out-of-home care or to reunify them with family as quickly as possible if a period of out-of-home care is necessary. These services would be provided in Baldwin, Mobile, Lee, and surrounding counties (Russell, Chambers, Macon, and Tallapoosa).

### **1.1 ELIGIBLE ENTITIES**

Eligible entities may include governmental agencies, faith-based organizations, non-governmental public or private organizations and individuals who: 1) are legally authorized to conduct business within the State of Alabama; 2) possess a high degree of professional skill in the area of service described in this document; 3) possess the skills needed to perform the services described in this RFP; and, 4) meet the terms and conditions of the RFP. In addition, applicants must demonstrate the ability to manage Department funds in accordance with Federal and State regulations and guidelines.

### **1.2 REQUIRED LICENSURE/CERTIFICATION/CREDENTIAL**

Vendor must have staff with the required licensure through the State of Alabama to provide services listed in this RFP according to Alabama Medicaid Requirements.

### **1.3 CONTRACT TERM**

The initial contract period for this procurement is for one year beginning *June 01, 2025 and ending May 31, 2026*. Renewals of the contract, as agreed upon by both parties, may be made at one-year interval, or any interval that is advantageous to the Department, not to exceed a total of *two (2)* years, at the option of the Department. *Selected vendors must be fully operational on June 1, 2025.*

### **1.4 POINT OF CONTACT**

From the date this Request for Proposal (RFP) is issued until the vendor selection is announced, all communication must be directed to the procurement officer in charge of this solicitation. **Vendors must not communicate with any Department staff or officials regarding this procurement except for the procurement officer.** Any unauthorized contact will disqualify the vendor from further consideration. Contact information for the point of contact is as follows:

**Tina Limbaugh, Program Manager**  
**SDHR Procurement, Resource Management Division**  
**Telephone Number: (334) 242-1650**  
**E-mail Address: [sdhr.procurement@dhr.alabama.gov](mailto:sdhr.procurement@dhr.alabama.gov)**

### **1.5 REQUIRED REVIEW**

#### **1.5.1 REVIEW RFP**

Vendors should carefully review the instructions, mandatory and general requirements, project specifications, and the standard terms and conditions in this RFP. After a thorough review of the RFP, if the vendor identifies any

ambiguity, inconsistency, unduly restrictive specifications, or error, promptly notify the procurement officer identified above in writing, via e-mail or courier by the deadline for receipt of questions as stated in the Schedule of Events.

### **1.5.2 VENDOR'S QUESTIONS**

Vendors with questions or requiring clarification regarding any section of this RFP must reference the RFP by title and number and submit written questions via e-mail to the procurement officer referenced above by 12:00 p.m. (CST) March 17, 2025. Each question must reference the section, page, and item in question. Vendors must submit all questions posed in a single email message to the procurement officer. Questions received after the deadline will not be considered.

### **1.5.3 DEPARTMENT'S RESPONSES**

The Department will provide an official written answer by March 31, 2025, to all questions received by the deadline on March 17, 2025. The Department's response will either provide clarification of the applicable issue or be in the form of a correction to this RFP. Vendor questions and the Department's responses, as well as any formal written addendum will be posted on the Department's website at [www.dhr.alabama.gov](http://www.dhr.alabama.gov) by the close of business on the date listed.

### **1.6 MANDATORY REQUIREMENTS**

Vendors are expected to respond to all the requirements described in this document. The Department will determine whether a vendor's proposal meets the terms of the requirements. Proposals that do not meet all requirements listed in this RFP may be subject to point reductions during the evaluation process or may be deemed non-responsive. Proposals that do not meet the requirements 1.6.1 through 1.6.8 will be deemed non-responsive and no other consideration will be given. **DO NOT ALTER ANY OF THE FORMS LISTED BELOW OR OTHERWISE INCLUDED/REQUIRED IN THIS DOCUMENT.**

#### **1.6.1 W-9 LEGAL STATUS LETTER OR TAXPAYER IDENTIFICATION NUMBER FORM**

Vendors must include a legible copy of their legal status letter from the Internal Revenue Service. If the legal status letter is not available, a completed and signed copy of the **"Request for Taxpayer Identification Number"** form (*Appendix B*) must be included.

#### **1.6.2 DISCLOSURE STATEMENT**

Act 2001-955 requires the disclosure statement to be completed and filed with all proposals, bids, contracts, or grant proposals to the State of Alabama in excess of \$5,000. Disclosure Statements are available for completion on the Attorney General's web site at [www.ago.alabama.gov](http://www.ago.alabama.gov) under *Publications and Forms*. Vendors may also click on the following links for a copy of the Disclosure Statement: (online fill-in) <http://www.ago.alabama.gov/File-AL-Vendor-Disclosure-Statement> when connected to the internet. Vendors must include a completed copy of the Disclosure Statement in their proposals.

#### **1.6.3 CERTIFICATE OF COMPLIANCE**

Vendors must submit a completed, signed copy of the certificate of compliance (*Appendix D*) with their proposals.

#### **1.6.4 E-VERIFY DOCUMENTATION**

Vendors must submit E-Verify memorandum of understanding/registration documentation with their proposals.

#### **1.6.5 IMMIGRATION STATUS FORM**

Vendors must submit immigration status form documentation with their proposals.

#### **1.6.6 AUTHORIZED VENDOR SIGNATORY**

Vendors must provide an original proposal using the format described, with an original signature of person(s) legally authorized to bind the applicant to the proposal.

## **1.7 GENERAL REQUIREMENTS**

### **1.7.1 ACCEPTANCE OF STANDARD TERMS AND CONDITIONS**

By submitting a response to this RFP, vendors agree to acceptance of the standard terms and conditions of this RFP. Requests for additions or exceptions to the standard terms and conditions including any necessary licenses, or any added provisions must be submitted to the procurement officer by the due date for receipt of written questions and must be accompanied by an explanation of why the exception is being sought and what specific effect it will have on the vendor's ability to respond to the RFP or perform the contract.

*Note: The Department reserves the right to not enter into a new contract with a current vendor who is under a corrective action plan until all corrective requirements have been met.*

### **1.7.2 UNDERSTANDING OF SPECIFICATIONS AND REQUIREMENTS**

By submitting a response to this RFP, vendors agree to an understanding of and compliance with the specifications and requirements described in this RFP.

### **1.7.3 PRIMARY VENDOR/SUBCONTRACTORS**

The primary vendor if a contract is awarded shall be responsible, in total, for all work of any subcontractors. All subcontractors, if any, must be listed in the proposal. The vendor shall not assign, transfer, or subcontract any portion of the contract without the written consent of the Department. The vendor shall be responsible to the Department for the acts and omissions of all subcontractors or agents and of persons directly or indirectly employed by such subcontractors, and for the acts and omissions of persons employed directly by the vendor. Any awards made as a result of this document will create a contractual relationship between the vendor and the Department, not the subcontractor.

### **1.7.4 VENDOR'S SIGNATURE**

An individual authorized to legally bind the organization submitting the proposal must sign the original proposal. The vendor's signature on a proposal in response to this RFP guarantees that the offer has been established without collusion that would preclude the Department from obtaining the best possible service for the best possible price.

## **1.8 ELECTRONIC SUBMISSION OF PROPOSAL**

### **1.8.1 REQUIRED ELECTRONIC COPY AND DEADLINE FOR RECEIPT OF PROPOSALS**

Vendors must submit **one (1)** electronic proposal, with the RFP cover sheet completed with Vendor's name, the RFP title, RFP number, and authorizing signatures to:

**Tina Limbaugh, Program Manager**  
**Resource Management Division/Office of Procurement**  
**Alabama Department of Human Resources**  
[sdhr.procurement@dhr.alabama.gov](mailto:sdhr.procurement@dhr.alabama.gov)

*Proposals must be received electronically to the Office of Procurement by 12:00 p.m., CST.*

### **1.8.2 FAILURE TO COMPLY WITH INSTRUCTIONS**

Vendors failing to comply with these instructions may be deemed non-responsive or subject to point deductions. The Department may also choose to not evaluate and disqualify from further consideration any proposals that do not follow the format described in Section 4: *Proposal Format and Instructions*, are difficult to understand or read, or are missing any requested information.

### **1.8.3 BUDGET RATE**

Vendors **must** respond to this RFP by utilizing the Forms in Section 5.

#### **1.8.4 TIMELY SUBMITTED PROPOSALS**

All timely submitted proposals and materials received in response to this RFP become the property of the Department and will be incorporated into any formal documentation and/or contract resulting from this RFP between the Department and the Vendor.

#### **1.8.5 LATE PROPOSALS**

*Regardless of the cause, late proposals will not be accepted and will automatically be disqualified from further consideration.* It shall be the Vendor's sole risk to assure delivery at the receptionist's desk at the designated office by the designated time.

## **SECTION 2: STANDARD INFORMATION**

### **2.0 AUTHORITY**

This RFP is issued under the authority of Section 41-4-123 of the Alabama Code (Act 2001-956, 2001 3<sup>rd</sup> Sp. Sess., p 817, §1.). Any awards resulting from this RFP will be made based on stated evaluation criteria. The weight assigned to each criterion denotes the relative importance of that criterion. No criteria, other than that identified in this RFP, will be used.

### **2.1 VENDOR COMPETITION**

In accordance with 45 CFR 74.43, the Department encourages free and open competition among Vendors. Whenever possible, the Department will design specifications, proposal requests, and conditions to accomplish this objective, consistent with the necessity to satisfy the Department's need to procure technically sound, cost-effective services and supplies.

### **2.2 NONDISCRIMINATION**

In accordance with 45 CFR 74.44, no person shall be excluded from participation in, be denied benefits of, be discriminated against in the admission or access to, or be discriminated against in treatment or employment in the Department's contracted programs or activities on the grounds of handicap and/or disability, age, race, color, religion, sex, national origin, political beliefs or any other classification protected by Federal or Alabama State Constitutional or statutory law; nor shall they be excluded from participation in, be denied benefits of, or be otherwise subjected to discrimination in the performance of contracts with the Department or in the employment practices of the Department's contractors. Accordingly, all Vendors entering into contracts with the Department shall, upon request, be required to show proof of such nondiscrimination and to post in conspicuous places, available to all employees and applicants, notices of nondiscrimination.

### **2.3 CERTIFICATE OF COMPLIANCE AND E-VERIFY**

Only U.S. citizens or foreign citizens who have the necessary authorization to legally work in the United States may be employed to work under any contract with the Department. Vendors must agree to not knowingly employ, hire for employment, or continue to employ an unauthorized alien, and must provide to the Department a certificate of compliance with the Beason-Hammon Alabama Taxpayer and Citizen Protection Act (*Appendix D*).

The United States Citizenship and Immigration Services ([www.uscis.gov](http://www.uscis.gov)) provides E-Verify, an internet-based system that allows companies to determine their employees' eligibility to work in the United States. Vendors must participate in the E-Verify program and verify every employee that is required to be verified according to the applicable federal rules and regulations. Vendors must provide documentation to the Department establishing that they are enrolled in the E-Verify program.

Vendors must agree to not knowingly employ, hire for employment, or continue to employ a subcontractor to perform work under a contract that knowingly employs, hires for employment, or continues to employ an unauthorized alien. Any subcontractor hired to perform work under a contract must attest to such by sworn affidavit signed before a notary. Subcontractors must also enroll in the E-Verify program prior to performing any work on a project and must attach to the sworn affidavit documentation establishing that the subcontractor is enrolled in the E-Verify program.

## **2.4 NO BOYCOTT CLAUSE**

In compliance with Act 2016-312, vendors must attest that it is not currently engaged in, and will not engage in, the boycott of a person or an entity based in or doing business with a jurisdiction with which this state can enjoy open trade.

Vendor hereby verifies that it, without violating controlling law or regulation, does not and will not, during the term of the contract, engage in economic boycotts as the term “economic boycott” is defined in Section 1 of Act 2023-409.

## **2.5 TERMINATION/ALTERNATIVE RESOLUTION**

For any and all disputes arising under the terms of any contract resulting from this procurement, vendors hereto agree, in compliance with the recommendations of the Governor and Attorney General, when considering settlement of such disputes, to utilize appropriate forms of non-binding alternative dispute resolution including but not limited to, mediation by and through the Attorney General’s Office of Administrative hearings or where appropriate, private mediators.

## **2.6 MERIT SYSTEM EXCLUSION**

The vendor is not to be considered a merit system employee and is not entitled to any benefits of the State Merit System.

## **2.7 IMMIGRATION CLAUSE**

By responding to this procurement, the vendor affirms, for the duration of any contract resulting from this procurement, that they will not violate federal immigration law or knowingly employ, hire for employment, or continue to employ an unauthorized alien within the State of Alabama and any other location. Furthermore, a contracting party found to be in violation of this provision shall be deemed in breach of the contract and shall be responsible for all damages resulting therefrom. (Appendix E)

## **2.8 PROPOSAL EFFECTIVE PERIOD**

All proposals submitted in response to this RFP shall be effective for a 180-day period following the deadline for receipt of proposals as specified in the Schedule of Events and may not be modified, withdrawn, or canceled by the Vendor during this period.

## **2.9 TRADE SECRETS**

As part of the initial evaluation, the procurement officer in charge of this solicitation will review proposals received in response to this RFP, for any information deemed a “trade secret” by the vendor and separate identified parts of proposal from public viewing providing the following conditions have been met: (1) confidential information is clearly marked and separated from the rest of the proposal; (2) the proposal does not contain confidential material in the cost or price section; and (3) an affidavit from a Vendor’s legal counsel attesting to and explaining the validity of the trade secret claim is attached to each proposal containing trade secrets. If applicable, the Vendor’s Legal Counsel must use the Department of Human Resources “Affidavit for Trade Secret Confidentiality” form when requesting the trade secret claim. The affidavit form (*Appendix C*) is included in this document.

Information separated out under this process will be available for review only by the procurement officer, the evaluation committee members, and limited other designees. Vendors must be prepared to pay all legal costs and fees associated with defending a claim for confidentiality in the event of a “right to know” (open records) request from another party.

## **2.10 PRE-SCREENING AND EVALUATION OF PROPOSALS**

### **2.10.1 PRE-SCREENING**

During the pre-screening, proposals will be reviewed to ensure compliance with all general and mandatory requirements. Upon completion of this initial review, they will be classified “responsive” or “non-responsive”.

However, proposals may be found non-responsive at any time during the evaluation process if the proposal does not meet the formatting requirements specified in the RFP; if any of the required information is not provided; or the submitted price is found to be excessive or inadequate as measured by criteria stated in the RFP. Proposals declared non-responsive, will not receive further consideration.

## **2.10.2 EVALUATION OF PROPOSALS**

All responsive proposals will be evaluated against the stated criteria. However, this does not preclude the Department from any discussions/negotiations or requests for a best and final offer that it may deem necessary to assist in determining the Vendor. In scoring against stated criteria, the Department may consider such factors as accepted industry standards and a comparative evaluation of all other qualified RFP responses in terms of differing price, quality, and contractual factors to determine the most advantageous offering to the Department.

## **2.11 DISCUSSION/NEGOTIATION AND/OR ORAL PRESENTATION/PRODUCT DEMONSTRATION**

After receipt of all proposals and prior to the determination of the award, the Department may initiate discussions with one or more Vendors should clarification or negotiation be necessary. Vendors may also be required to make an oral presentation and/or product demonstration to clarify their RFP response or to further define their offer. In either case, Vendors should be prepared to send qualified personnel to **Montgomery, Alabama**, to discuss technical and contractual aspects of the proposal. Oral presentations and product demonstrations, if requested, shall be at the Vendor's expense.

## **2.12 BEST AND FINAL OFFER**

The Department reserves the right to request a "best and final offer" for this RFP based on price/cost alone, from one or more Vendors if additional information is required to make a final decision. Vendors may be contacted asking that they submit their "best and final offer," which must include any and all discussed and/or negotiated changes.

## **2.13 PUBLIC REQUESTS FOR INFORMATION**

All information received in response to this RFP, including copyrighted material, is deemed public information and will be made available to the public upon requests shortly after the signing of a contract(s) with the exception of: (1) trade secrets meeting the requirements of the Alabama Trade Secrets Act, that have been properly marked, separated, and documented; and (2) any financial information requested by the Department, unless prior written consent has been given by the Vendor.

## **2.14 COST OF PREPARING A PROPOSAL**

The Department is not liable for any expense incurred by the Vendor in the preparation and presentation of their proposal, or any other costs incurred by the Vendor prior to execution of a contract. All costs are the responsibility of the Vendor.

## **2.15 DEPARTMENT'S RIGHTS RESERVED**

While the Department has every intention to award a contract as a result of this RFP, issuance of the RFP in no way constitutes a commitment by the Department to award and execute a contract. Upon determination such actions would be in its best interest, the Department, in its sole discretion, reserves the right to the following:

### **2.15.1 PRE-SELECTION DISCRETION**

The Department reserves the right at its sole discretion, at any time and for any reason, to reject any or all of the proposals submitted in response to this RFP, or to cancel this RFP, if it is deemed by the Department to be in its best interest to do so.

### **2.15.2 POST-SELECTION DISCRETION**

Upon selection of a proposal, the Department reserves the right, at its sole discretion, at any time and for any reason, to change its decision with respect to the selection and to select another proposal, or to cancel the RFP, if it is deemed by the Department to be in its best interest to do so.

### **2.15.3 WAIVERS**

Notwithstanding the amendment provisions otherwise set forth herein, the Department reserves the right at its sole discretion, to waive any minor irregularity in an otherwise valid proposal which would not jeopardize the overall program and to award a contract on the basis of such a waiver in the event the Department determines that such award is in the best interest of the Department. Minor irregularities are those which will not have a significant adverse effect on the overall program cost or performance.

### **2.15.4 NEGOTIATIONS**

The Department reserves the right to negotiate with any vendor whose proposal is within the competitive range, as specified in the RFP with respect to technical plan and cost, as well as to select a vendor other than the vendor offering the lowest price.

### **2.15.5 ADOPTION OF IDEAS**

The Department reserves the right to adopt to its use all or any part, of a vendor's proposal and to use any idea or all ideas presented in a proposal.

### **2.15.6 ORAL PRESENTATIONS**

The Department reserves the right to require some or all of the vendors to provide oral presentations of their proposals.

### **2.15.7 AMENDMENTS**

The Department reserves the right to amend the RFP. Except as provided above with respect to "WAIVERS" made by the Department, all amendments to the RFP will be made by written addendum issued by the Department and posted to the web at [www.dhr.alabama.gov](http://www.dhr.alabama.gov) under this RFP link.

### **2.15.8 NO GUARANTEE OF CONTRACT**

Selection of a proposal shall not be binding upon the Department and may or may not, at the Department's sole discretion, result in the Department entering a contract with the vendor if it is in the best interest of Department not to proceed with contract execution.

### **2.15.9 RIGHT TO INVESTIGATE AND REJECT**

The Department may make investigations as deemed necessary to determine the ability of the Vendor to perform the services specified. The Department reserves the right to reject any proposal if the evidence submitted by, or investigation of, the Vendor fails to satisfy the Department that the Vendor is properly qualified to carry out the obligations of the contract. This includes the Department's ability to reject the proposal based on negative references.

### **2.15.10 DISCLAIMER**

Issuance of this RFP does not constitute a commitment by the Department to select any proposal submitted in response to the RFP, or to award a contract to any vendor who responds to this RFP.

## **SECTION 3: SCOPE OF PROJECT**

### **3.0 SCOPE OF PROJECT**

The Alabama Department of Human Resources (hereinafter referred to as “DHR”) is soliciting Proposals for **Community Based Intervention and Therapy Program (CBIT)** services to children and youth who have emotional and/or behavioral problems or have experienced abuse and/or neglect. These services would be provided in Baldwin, Mobile, Lee, and surrounding counties (Russell, Chambers, Macon, and Tallapoosa).

The purpose of this RFP is to encourage vendors to develop and implement a Community Based Intervention and Therapy Program (CBIT) that will safely prevent children from entering out-of-home care or to reunify them with family as quickly as possible if a period of out-of-home care is necessary.

The principal goal and objectives of the resulting Contract(s) will be to reduce the number of children entering foster care, increase permanency for children in care, and provide therapeutic intervention to families in crisis. The **Community Based Intervention Team (CBIT)** must work with both the child and the caregivers to address issues impacting the stability of the family, meeting an average of at least three times weekly in the home or community, depending on family need, and providing 24-hour on-call crisis support.

### **3.1 POPULATION SERVED**

Program is appropriate for children ranging in age from birth to 18 with services lasting four to nine months depending on referral type. The program should provide services to:

- A child whose family receives prevention services that reduce the likelihood of out- of-home placements or re-entry into Foster Care.
- A child who has exited Foster Care through reunification, guardianship, or adoption who may be at risk of re-entry into Foster Care.
- A child whose family has a substance abuse issue affecting the care and safety of the child or a child born exposed to substances.
- A child whose parent/caretaker has verbalized an inability or unwillingness to continue parenting the child or needs additional support to address the child’s serious psychological and/or behavioral needs. (Not including those living with either parent or in Foster Care).
- Siblings of children in Foster Care who reside at home and have assessed safety concerns.
- Pregnant or parenting youth in Foster Care or those who have recently exited Foster Care.
- A child who would benefit from an expedited exit from State custody and increasing placement stability

## 3.2 PROGRAM RESPONSIBILITIES

**VENDORS MUST ATTEST AND GIVE A DETAILED EXPLANATION IN PROPOSAL OF HOW EACH OF THE RESPONSIBILITIES BELOW WILL BE MET IN ORDER TO BE CONSIDERED FOR A CONTRACT:**

**APPROACH AND METHODOLOGY:** Vendors should provide a detailed description of the work plan and methods to be used that will demonstrate what the Vendor intends to do, the timeframes necessary to accomplish the work, and how the work will be accomplished. The Vendor should outline how the program will achieve expected outcomes for youth and families in the program. Describe in detail how the program will meet the youth and family's needs in the following categories:

- a. Provide Vendor's understanding of the nature of the project and how its proposal will best meet the needs of DHR.
- b. Describe the approach to Project Management Quality Assurance.
- c. Provide proposed Project Work Plan that reflects the approach and methodology, tasks, and services to be performed, deliverables, timetables, timeliness of service response, and staffing.
- d. Describe Vendor's ability to hire and retain qualified staff.
- e. Describe Vendor's ability to ensure all required clearances and background checks as well as ensure proper certifications and licensures are documented and up to date and without concern for all staff, contracted staff, and subcontracted staff at all times.
- f. Describe Vendor's ability to provide support to staff and have coverage plan when staff are absent.

Vendors should provide a detailed description of their organization's abilities to successfully implement a CBIT program, regarding high standards for quality:

- a. Implementing evidence-based practices and/or trauma-informed care models
- b. Willingness to implement best practices and evidence-based interventions according to the science in the field.
- c. Outcomes oriented, as evidenced by tracking status at admission and discharge
- d. Capacity and organizational resources to engage in program implementation
- e. No revocations of accreditation, licensure, or certification indicating organizational issues

Vendors should provide literature support and need documentation. This section must provide a clear description of the nature of the problems of the youth being served. Current research literature must describe the client and client systems, trauma-informed care, and staff education, including the problems confronting the delivery of services to this population. Literature support shall provide the basis for how the Vendor's program will be the most effective model for this population. Information in this section can be pulled from the Vendor's own experience with the population to be served, including successes and difficulties. However, descriptive information, including program design, without the support of research and practice literature, will be deemed insufficient.

Establishing program goals, determining priorities, and developing measurable objectives is a critical aspect of effective program design. Generally, a broad program goal shall be crafted, followed by sub-goals which address the results anticipated for each program component. Each sub-goal will then have a set of objectives which will reflect, with specificity, the measurable attainments anticipated by the specific program component. The goals and objectives shall be based on the needs documentation as described above and be conceptually linked to the evidence-based research and CBIT model provided within the literature review.

**STAFF REQUIREMENTS AND QUALIFICATIONS:** CBIT teams must include at least one (1) full time Supervisor, four (4) full time CBIT Specialists, a full time Therapist, and a CBIT Family Search and Engagement Specialist. Provider must ensure that all cases are provided with oversight from a Licensed Program Expert.

Each position is described below:

1. **CBIT Specialist** is responsible for providing services to four to six different families in the home and community setting. The CBIT Specialist is personally responsible for managing a small caseload including meeting with each family at least three times a week, completing all required documentation, and collaboration with the family, school staff, and community members. CBIT Specialists are responsible for providing after hours support to families using a rotating on-call schedule. The CBIT Specialist participates in three required meetings (group supervision, consultation, and individual development) for program model adherence, case conceptualization, and professional development on a weekly basis.
  - a. **Job Qualifications:** Master's degree in field of Social Work, Psychology, or related field preferred. Bachelor's degree in the field of social work, psychology, human and child development, counseling, sociology, or related field, from a college or university accredited by one of the six regional accrediting associations of the United States and a minimum of one (1) year of associated experiences.
2. **CBIT Team Supervisor** is responsible for managing the CBIT Team and supervising the CBIT Specialists in their day-to-day implementation of the program. The CBIT Team Supervisor conducts weekly group supervision and individual development, staffs red flag cases with the Licensed Program Expert, and takes part in consultation. The Team Supervisor reviews case documentation, conducts customer surveys, and provides additional support to CBIT Specialists in the field to develop skills and ensure model adherence. The Team Supervisor provides coverage when staff have scheduled or unscheduled time off.
  - a. **Job Qualifications:** Master's degree in Social Work, Psychology, or other directly related human services fields. Bachelor's degree with a minimum of two years of experience in Social Services required.
3. **CBIT Therapists** must possess a LCSW, LGSW, ALC, and/or LPC from a college or university accredited by one of the six regional accrediting associations of the United States with two (2) years of proven post-master's experience, or a master's degree in the field of social work, psychology, or counseling with five (5) years of proven post-master's experience in family and children's services.
4. **Licensed Program Expert** must possess a licensed professional (LCSW, LPC, LMFT, LMHC [or other similar state equivalents]; within 6 months of licensure at time of hire). Clinical oversight should be delivered through weekly consultation with the team delivering services, which will be used to guide the treatment planning process and ensure that the right intervention is delivered at the right time, as well as additional weekly consultations on any high-risk cases.
5. **CBIT Family Search and Engagement Specialist** is responsible for finding and engaging relatives of children living in foster care or those at risk in coming into foster care. Once connections are found, the specialist contacts them to determine interest in connecting with the child and serving as a possible placement. The specialist then works to reestablish relationships when appropriate.

- a. **Job Qualifications:** Master's degree in field of Social Work, Psychology, or related field preferred. Bachelor's degree in social services with one-year related experience working with children and/or families is required.
6. **Program Lead/Director** is responsible for managing **CBIT** program operations by focusing on effective planning and marketing, quality of services, effectiveness of Intercept staff, customer relations, interviewing and hiring, implementation of training, implementation of quality management, and employee recognition and motivation. This position may assist in activities related to program growth and securing ongoing funding to sustain the program.
  - a. **Job Qualifications:** Master's degree in Social Work, Psychology, or other directly related human services fields. Bachelor's degree with a minimum of five years of experience in Social Services required.

**STAFF AND CASELOAD RESTRICTIONS :** Staff and caseload limits for CBIT teams are as follows: Supervisors, a maximum of 4 family support workers, 1 therapist, and 1 family search and engagement specialist; Therapists, a maximum of 12 families per therapist; and Family Support Workers, a maximum of 6 families; and Family and Engagement Specialist will perform family search and engagement services with all referred families from the team as well as take referrals regarding the possibility of expedited exit from custody and increase in placement stability. The proposal must also delineate how supervision will be accomplished, both in case-specific and general work performance areas. *Supervisors will not carry a caseload.*

Positioning of staff should consider the counties that will require service delivery.

**AVAILABILITY OF SERVICES:** CBIT teams will be accessible to act upon referrals, respond to crisis, and be accessible twenty-four (24) hours a day/seven (7) days a week via telephone, cell phone, pager system, and/or email. Vendor must detail how they will be available for afterhours and weekend referrals and occurrences of crisis within case referrals.

Vendors must work with both the child and the caregivers to address issues impacting the stability of the family, meeting an average of three times weekly in the home or community, depending on family needs, and providing 24-hour on-call crisis support. Trauma-informed care is also provided. Services last four to nine months depending on referral type.

**PROGRAM REFERRAL PROGRESS:** Describe how program referrals will originate and what documentation is expected at the point of referral. Additionally, explain how program criteria and appropriateness of the referral will be determined.

Note: DHR expects youth files to include at a minimum a referral form, current Individualized Service Plan, Comprehensive Family Assessments, Quarterly Assessments, Documentation of Case Debriefs with DHR county staff, IEP, Psychological, current risk assessment, treatment plan, monthly progress notes, and termination plan.

**ASSESSMENT AND TREATMENT PLAN DEVELOPMENT:** Discuss what assessment instruments will be utilized at intake and how this information, along with the reason for the referral, will contribute to the development of treatment plan. Vendors shall also describe how youth and their families will be included in the treatment planning process. Other factors that will be taken into consideration should also be delineated. Vendor must formulate an individualized treatment plan, and update it as needed, through ongoing assessment and review.

**SPECIALIZED SERVICES AND SUPPORTS:** In addition to traditional mental health services and intensive parent interventions, vendors must include highly specialized clinical services. The Contractor will be responsible for providing specialized services including, but not limited to:

- 24-hour Crisis Intervention** – Crisis intervention services are a major component of this program since families often need extra support when learning to address family problems and/or behaviors. Youth and families will have access to an **CBIT Specialist** or Supervisor 24 hours a day, seven days a week by phone via an on-call system and/or in person.

- Intensity** – **CBIT Specialists** strive to hold an average of three sessions per week per family. Sometimes sessions occur more often when families are in crisis, and sometimes less often if there are engagement challenges or if they are nearing the completion of services. However, any decrease in intensity will be stepped out within the treatment plan specifically developed for transition towards **safe case closure**. All sessions should be held face-to-face whenever possible, with telehealth and phone sessions as a back-up, if face-to-face is not possible or when families require more frequent contact.

- Emphasis on Safety & Supervision Planning** – Includes providing safety equipment, as clinically indicated (i.e. fire/smoke detectors, fire extinguishers, lock boxes, trigger locks, door and window alarms, and car steering wheel locks); **CBIT Specialists** will support families with safety assessments and sweeps, as necessary, and will develop, update and review individualized safety plans.

- Family/Youth Engagement** –The family and child are involved in the initial detailed assessment of the referral issues as well as strengths and needs. They are also involved with the creation of goals, which are designed to develop skills in both parents and children to problem-solve in difficult situations (including, but not limited to: school communication, negative peers and getting along with teachers)

- Services for youth with severe mental health needs** – Services will include parent training that focuses on learning how to better manage the child’s mental health issues. The **CBIT Specialist** will connect youth and family with psychiatry and other mental health services, as clinically indicated. In addition to providing 24/7 on-call services for crises, the **CBIT Specialist** completes crisis plans with the parent/caregiver to teach skills that can help prevent crisis situations.

- Managing Problem Behaviors** – Families will be educated on developing strict monitoring and supervision plans for their children. **CBIT Specialists** will provide support to families and will focus on teaching families how to manage more effectively their own and their children’s behavior.

- Community mentors/volunteers** – Families are primarily responsible for modeling positive behavior for their children, but the **CBIT Specialist** identifies support people within the family’s natural environment to create additional positive influences in a child’s life. School teachers, specialists, and community leaders such as church ministers are examples of positive role models who can mentor a child.

- Educational services** – As needed, **CBIT Specialists** will help families access tutoring programs, and parents will learn to advocate for their children’s educational needs in the school system. Services will also focus on family attitudes toward school attendance and completion to reduce truancy and dropout rates.

**Family Engagement** – Each **CBIT Team** shall include an additional staff person that will perform family searches and family engagement to assist DHR with the **expedited exit** of youth from state custody and increasing placement stability.

**Family Search** - Vendor will need to detail what systems will be utilized to perform the level of robust family searches that are needed to assist in creating connections, reestablishing relationships when appropriate, and finding relative resources for children who are living in foster care or at risk of coming into foster care.

**SERVICE DELIVERY:** The Vendors shall describe the process for service delivery in multiple counties.

Consideration shall be given to staff location and availability, case load capacity, impact of scheduled and unscheduled leave, geographical location of youth and their families, convenience of service delivery to youth and their families (emphasis on the home setting), engagement plan for resistant or reluctant families, methods used to address issues that may arise after service delivery (i.e., familial disengagement and problematic youth behavior during treatment). Vendors shall also discuss plans to assist youth and their families with needs and crises that may hinder or impede participation in CBIT services (i.e., food, clothing, shelter, etc.). Vendors will meet with families for sessions in the home or in a community setting.

**COMMUNICATION AND CASE UPDATES:** Vendors shall describe the method, frequency, and content of updates provided to county DHR. At a minimum, updates shall occur monthly and annual summaries shall be submitted.

**ENGAGEMENT AND COLLABORATION WITH OTHER SERVICE PROVIDERS:** Proposals shall describe the plan for collaboration with other service providers working with youth and their families. This collaboration shall be determined based on individual case needs, protective benefits, continuity of care, and cohesiveness with CBIT services. The process for obtaining release of information documents shall also be described.

**CASE CLOSURE AND RECOMMENDATIONS:** Vendors shall discuss how case closure is determined, and what criteria is reviewed to determine successful or unsuccessful completion of the program. Proposals shall also describe how post-release recommendations will be determined and communicated to the family and DHR

### 3.3 PROGRAM COMPONENTS

**VENDORS MUST ATTEST AND GIVE A DETAILED EXPLANATION IN PROPOSAL OF HOW EACH OF THE RESPONSIBILITIES BELOW WILL BE MET IN ORDER TO BE CONSIDERED FOR A CONTRACT:**

When preparing the program description, extreme care shall be taken to accurately describe the program, services, treatment patterns, etc. Vendors who are awarded contracts will be held responsible for the continued provision of services as described in the Proposal for the entire contract period. If awarded a contract, and the selected vendor chooses to contract with other service providers to meet any of the requirements outlined in the RFP, then a detailed description of those services is required. It is the Vendor's responsibility to ensure the descriptions meet the guidelines noted within this RFP. For example, if a community mental health center will be used to meet the mental health needs of youth, a detailed description of those services and their scope of work is required.

#### **PROGRAM AND CASE AUDITING**

- The Proposal shall describe the program methods for internal auditing, including how often the internal auditing will occur.
- Identify staff person or committee responsible for conducting internal audits.
- Describe the method of program evaluation to be used to determine the effectiveness of the program.
- Explain how the audit findings will be used to correct any identified program deficiencies.
- Identify staff person responsible for overseeing the implementation of any corrective action measures.

**Note:** It is understood and agreed that DHR is authorized to conduct service delivery audits of all Vendors as deemed necessary. This includes any designated DHR personnel and/or parties contracted to provide technical assistance to the agency. The Vendor must make provisions to ensure that DHR and any duly authorized representative of DHR shall have open access to all records (including electronic files and documentation) regarding all features of program administration, program treatment, staff training/development, and expenditures related to program operation.

**MONITORING VISITS:** Site visits will be conducted by SDHR-Resource Management. Vendor(s) will be expected to work in collaboration with any duly authorized representative of DHR and provide unimpeded access to all records (including electronic files and documentation), and books of Vendors for audit and compliance purposes pertinent to the contract.

**AFTERCARE:** Aftercare is the time (3 months as established by DHR) during which the Vendor is tracking to ensure that a permanent placement is viable so that the child will not enter or re-enter care. If a child must re-enter care during this time, continued services must be provided to the family at no additional cost to the Department. The vendor is expected to continue to work with the child/family's ISP team closely and throughout this period.

Proposals must indicate how aftercare will be accomplished to achieve more effective youth and family outcomes.

Proposals are encouraged to be especially specific in identifying how the program will utilize increased frequency and intensity of additional supportive services.

**PROGRAM SANCTIONS AND TERMINATION:**

While it is a goal of DHR for Vendor(s) to administer a CBIT program that consistently achieves expected outcomes for youth and families in the program, it is necessary to have a system of monitoring to assure program performance at the highest possible level.

Sanctions may be imposed on any provider who fails to adhere to any provision of the RFP and/or contract, either intentionally or through gross negligence. These sanctions will/can be issued by DHR. Sanctions are intended to create a positive change of compliance with the RFP and/or contract and are not intended to cause any negative or detrimental effect on the services available to youth. Continued/repeated sanctions may jeopardize the future of the provider's contract with DHR. Sanctions may include, but are not limited to:

- Develop a corrective plan of action.
- Placement on probationary status
- Monetary/financial sanctions as specified by DHR within the contract document.
- Wholly or partially suspend or terminate the current award for the Vendor's program.
- Take other remedies that are legally available.

As indicated above, repeated sanctions may impact a Vendor's contract with DHR. A contract resulting from this RFP may be terminated by DHR for:

- Failure to comply with provisions of the contract.
- Un-availability of funds.
- Repeated failure to comply with a corrective plan of action.

**3.4 REJECT/DISCHARGES**

**VENDORS MUST GIVE A DETAILED EXPLANATION IN PROPOSAL OF HOW EACH OF THE REQUIREMENTS BELOW WILL BE MET IN ORDER TO BE CONSIDERED FOR A CONTRACT:**

- Rejections: A Vendor must accept all appropriate referrals that meet the contract requirements. Vendors should maintain a rejection rate of less than 10% throughout the Contract period.
- Rejections that are rejected due to no available contracted slots will not be counted against the vendor's rejection rate.
- Discharges: A Vendor should not exceed 5% unsuccessful closure rate.
- Closures: A Vendor will be allowed to request case closure if the child moves to a placement category that is not serviced by the CBIT provider (intensive residential care, and programs for

sexual predators, active substance addicts and the Intellectually Disabled population) Any immediate closures by the program must either be an ISP team decision or approved by SDHR.

### **3.5 OUTCOMES AND TRACKING**

**VENDORS MUST GIVE A DETAILED EXPLANATION IN PROPOSAL OF HOW EACH OF THE OUTCOMES AND TRACKING REQUIREMENTS BELOW WILL BE MET IN ORDER TO BE CONSIDERED FOR A CONTRACT:**

To assist in determining the efficacy of CBIT programming, Vendors will be required to collect and track specific outcome measures at case closure and six months follow-up. Those outcome measures must include:

- current living situation
- current educational involvement
- current employment status
- any current court involvement
- status of DHR involvement

DHR may require additional outcome measures to assist in the determination of goal attainment

Vendors may choose to track additional measures as deemed appropriate and should specify what additional measures will be tracked in their proposal. Additionally, proposals shall describe plans to address any impediments in collecting any outcome and tracking information and plans to be able to correct these barriers within no more than 30 days.

Each proposal must detail their program's capacity to capture relevant data and demonstrate how the vendor will track the children or youth and families who have received services through their program. Critical data to capture includes but is not limited to:

- number of referrals; number of cases accepted
- number of cases rejected (reason for rejection)
- number of children/families served
- number of children/families (cases) closed (reason for closure)
- average length of stay (in days/aggregate)
- successful closures

DHR may require additional outcome measures to assist in the determination of goal attainment. Vendors may choose to track additional measures as deemed appropriate and should specify what additional measures will be tracked in their proposal.

Vendors must provide weekly census reports to SDHR -RM.

Vendors must provide monthly written progress notes and weekly updates by phone, video conference, or email to the DHR County Office.

Vendors will share the findings of the program model reviews with SDHR-RM along with any program improvement plan that might have been developed.

Vendors are required to provide all reports to county and State DHR that are required in case management and tracking for service utilization monthly in the format prescribed by SDHR-RM.

Vendors are required to submit a monthly invoice as prescribed by the Department that includes a family log that lists participating family members and the service hours provided to the family.

Vendors are required to submit monthly progress notes for each child to the County DHR and to [centralizedintake@dhr.alabama.gov](mailto:centralizedintake@dhr.alabama.gov).

Contracts with DHR will require that Vendors enter youth data in the tracking mechanism as prescribed (i.e. surveys, special studies, specialized tracking, etc.) by DHR. Programs must establish a system to ensure the necessary information is gathered for entry into the specified tracking mechanism. The required updates should occur at minimum as youth enter and exit the program or quarterly, whichever occurs most frequently.

### **3.6 QUALITY ASSURANCE**

#### **VENDORS MUST GIVE A DETAILED EXPLANATION IN PROPOSAL OF WHAT QUALITY IMPROVEMENT PLAN WILL BE IN ORDER TO BE CONSIDERED FOR A CONTRACT:**

Proposals must clearly identify the quality assurance process that will be utilized in the delivery of program services. The process must include staff that will be used in quality assurance assessment, as well as what model will be used. Vendors must submit a copy of their quality assurance plan with their proposal.

Annual reports detailing program performance, including numbers served and outcome measures, will be due **by October 31<sup>st</sup> for the prior fiscal year.**

## **SECTION 4: PROPOSAL FORMAT AND INSTRUCTIONS**

### **4.0 PROPOSAL REQUIREMENTS**

Proposals must meet all requirements as specified in this RFP. Proposals must incorporate the specified structure and format; must be clear, detailed, and complete as to fully demonstrate that the prospective Vendor has a thorough understanding of the requirements for providing the services for this procurement. Statements that the Vendor understands, acknowledges, or can comply with the requirements/specifications and statements paraphrasing the specifications are considered inadequate as are phrases such as “industry standards will be adhered to” and/or “standard procedures will be implemented”, or “research-based models will be used”. Proposals must clearly and adequately describe the concepts and methodologies to be implemented by the Vendor. Information must be clear, succinct, and easily understandable.

### **4.1 COMPLETENESS OF PROPOSALS**

Selection(s) and award(s) will be based on the Vendor’s proposal and other items described in this RFP. Proposals should not include references to information located elsewhere, such as Internet websites. Information or materials presented by Vendors outside the formal response or subsequent discussion/negotiation or “best and final offer,” if requested, will not be considered, will have no bearing on any award, and may result in the vendor being disqualified from further consideration.

### **4.2 PROPOSAL FORMAT**

**Proposals must be single-spaced, incorporating 1-inch margins, typed using Times New Roman (font), size 12, and black print. Paragraphs must be double-spaced. All proposals must correspond with the bolded sections and subsections (titles and numbers) to which the information pertains as specified in Section 4 of this document. Proposals that do not adhere to the specified format may be deemed non-responsive.**

#### **4.2.1 COVER SHEET**

The first page of each proposal must be the completed **Cover Sheet** (RFP cover sheet) with the signature of the person(s) legally authorized to bind the vendor to the proposal. **Proposals without signatures of persons legally authorized to bind the vendor to the proposal will be rejected.** The cover sheet must also include the name of the contact person and contact information of the person authorized to act on behalf of the vendor (do not number this page). Vendors must also provide their federal employer identification number.

#### **4.2.2 TABLE OF CONTENTS**

The Cover Sheet should be followed by the “**Table of Contents**”, which should list all sections, subsections, and page numbers. Numbering of the proposal pages should begin with page 1 of the Table of Contents. Page numbers should be placed in the right corner of the bottom margin.

#### **4.2.3 W-9 AND THE LEGAL STATUS LETTER/CP575 OR TAXPAYER IDENTIFICATION NUMBER**

The Table of Contents must be followed by a copy of W-9 and the **Legal Status Letter** or a **CP575**. *These forms are issued by the IRS and denote an organization’s legal status (i.e., non-profit, for-profit, corporation, etc.) and include the Federal Employee Identification Number (FEIN).* If neither the Legal Status Form nor the CP575 are available, a completed and signed copy of the “**Request for Taxpayer Identification Number**” form (*Appendix B*) must be included. All items on this form must be completed.

#### **4.2.4 LICENSES/CERTIFICATES/CREDENTIALS**

The W-9 and Legal Status Form or Request for Taxpayer Identification Number Form should be followed by a copy of all required **Licenses, Certificates, and Credentials** or a copy of a completed license application form submitted by the deadline specified in this RFP.

## **4.2.5 TECHNICAL PROPOSAL**

Copy of Licenses/Certificates/Credentials, if applicable should be followed by the **Technical Proposal**.

### **4.2.5.1 VENDOR QUALIFYING INFORMATION**

#### **4.2.5.1.1 Vendor Profile and Experience**

Vendor must specify how long it has been in the business of providing services like those requested in this RFP and under what company name. Also list all names it has used when conducting business. Vendors must explain their expertise or history in the provision of such services or identify a nationally recognized model that has proven to be successful that will be used in the provision of services under this RFP. Vendors must provide an organizational profile including number of employees, and form of business (e.g. individual, sole proprietor, corporation, non-profit corporation, limited liability company.).

#### **4.2.5.1.2 Past and Present Contractual Relationships with the Department**

Vendors must describe any past or present contractual relationship it may have or have had with the Department or any other state agency including colleges/universities during the past three years. If the vendor, its predecessor, or any party named in their responses to this section has contracted with any department within State Government during the past three years, identify the contract number and other information available to identify such contract(s). If no such contracts exist, so declare. If any party named in the vendor's response to this RFP was an employee of the State in the past two years, identify the individual(s) by name, agency by which employed, job title of position held, and separation date during the two-year period. If no such relationship exists, so declare.

#### **4.2.5.1.3 Contract Performance**

If the vendor, or any proposed Subcontractor, has had a contract terminated for default during the past five years, all such instances must be described as discussed below. Termination for default is defined as notice to stop performance delivery due to the vendor's nonperformance or poor performance and the issue was either (a) not litigated due to inaction on the part of the vendor; or (b) litigated and such litigation determined the vendor to be in default. Submit full details of all terminations for default experienced by the vendor during the past five years, including the other party's name, address, and telephone number. Present the vendor's position on the matter. The Department will evaluate the facts and may, at its sole discretion, reject the vendor's Proposal if the facts discovered indicate that completion of a contract resulting from this RFP may be jeopardized by selection of the vendor. If the vendor has experienced no such terminations for default in the past five years, so declare. If at any time during the past five years, the vendor has had a contract terminated for convenience, non-allocation of funds, or any other reason, which termination occurred before completion of all obligations under the initial contract provisions, describe fully all such terminations including the name and address of the other contracting party and the circumstances surrounding the termination. If no such early terminations have occurred, so declare.

Failure to report on the foregoing or if the information furnished is determined to be inaccurate, whether by omission or commission, shall result in rejection of the vendor's Proposal.

*Note: The Department reserves the right to not enter into a new contract with a current vendor who is under a corrective action plan until all corrective requirements have been met.*

#### **4.2.5.1.4 Project Staff/Resumes/Job Descriptions**

Vendors must submit a resume or job description detailing the level of education, experience, training, skills, etc. which emphasizes previous experience in the service area as described in this RFP for all key personnel who will be involved with the proposed project. Vendors must indicate that they have sufficient staff to perform the services required in this RFP. If sufficient staff is not currently available, describe how staff will be obtained to provide the services and the timeline for obtaining the needed staff. Indicate the number of anticipated staff for each position title. List all professional licenses held by the key staff.

#### **4.2.5.1.5 *Staff Performance Evaluations and Training***

Vendors must describe their staff development program regarding orientation, on-going staff evaluation and training that will be implemented throughout the contract period to ensure delivery of effective services that adhere to the Department's required performance standards.

#### **4.2.5.1.6 *Background Checks***

Describe in detail the steps the vendor will take to ensure that no employee, regardless of their position, has been the subject of any incident or investigation which would call into question the propriety of that employee's working with the population indicated in this document and for this project. Describe your organization's general procedure for addressing occurrences when an incident or allegation is reported, founded or unfounded.

#### **4.2.5.2 *VENDOR FINANCIAL STABILITY***

Vendors must submit a financial audit for last two years and letters from the auditor(s) who performed the two years audits. Vendors of newly formed organizations, who have been in business less than one year must submit copies of any official quarterly financial statements (from a financial institution) that have been prepared since the end of the period reported by your most recent annual report.

#### **4.2.5.3 *METHOD OF PROVIDING SERVICES***

##### **4.2.5.3.1 *Service Delivery Approach***

Vendors must provide a detailed description of the work plan and the methods to be used that will convincingly demonstrate to the Department what the vendor intends to do, the timeframes necessary to accomplish the work, and how the work will be accomplished. Vendors must identify the counties/regions to be served by the proposed project. *All services as specified in Section 3: Scope of Project must be addressed in the Service Delivery Approach.*

##### **4.2.5.3.2 *Start-up Plan***

Vendors must include a detailed project schedule that is comprised of the detailed work plan for the entire project. This section should also include any proposed additions to the tasks outlined in the *Section 3: Scope of Work*. *The selected vendor must be fully operational on June 01, 2025.*

##### **4.2.5.3.3 *Assessment of Benefits and Impact***

Describe the process that will be used to assess the proposed services to determine if the expected benefits and their impact have occurred. Include on-going plans to continuously assess and modify services to better meet the needs of the target population. The assessment methodology should provide the Department with meaningful indicators that funded projects are making satisfactory progress toward desired goals.

##### **4.2.5.3.4 *Office Location***

Vendors must provide the physical address where records will be maintained, and services will be performed under a contract with the Department in the event the vendor is selected.

#### **4.2.5.4 *VENDOR CERTIFICATIONS***

Vendors must submit a statement attesting that they warrant and represent to the Department that the vendor accepts and agrees with all certifications and terms and conditions of this RFP. Further, by submitting a response to this RFP, the vendor certifies to the Department that they are legally authorized to conduct business within the State of Alabama and to carry out the services described in this document.

##### **4.2.5.4.1 *Debarment***

Vendors must attest that neither the vendor nor any of the vendor's trustees, officers, directors, agents, servants or employees (whether paid or voluntary) is debarred or suspended or otherwise excluded from or ineligible for participation in federal assistance programs under Executive Order 12549, "Debarment and Suspension."

#### **4.2.5.4.2 Standard Contract**

The vendor must agree to the use of the Department's standard contract document. The vendor will further comply with all the terms and conditions of that document, including, but not limited to, compliance with the Title VI of the Civil Rights Act of 1964, the Rehabilitation Act of 1973, as amended, the Americans with Disabilities Act, Alabama Act No. 2000-775 (governing individuals in direct service positions who have unsupervised access to children), the Health Insurance Portability and Accountability Act of 1996 (HIPAA) as applicable, and all other federal and state laws, rules and regulations applicable to receiving funds from the Department to carry out the services described in this RFP. Further, any contract executed pursuant to the RFP must be subject to review by the Department's legal counsel as to its legality of form and compliance with State contract laws, terms, and conditions, and may further be subject to review by the Examiners of Public Accounts, the State Finance Director, and the Office of the Governor.

#### **4.2.5.4.3 Charitable Choice (applies to faith-based organizations only)**

The vendor must attest that funds received as a result of this procurement will not be used for sectarian instruction, worship, proselytizing or for any other purely religious activities that are not directed toward the secular social goals related to the services described in this RFP. The vendor must agree to serve all eligible members of the public without regard to their religious beliefs and, further, must not require clients' active participation in any religious practice. (In carrying out the said services, the vendor will remain independent from federal, state and local governments; will retain control over the expression of its religious beliefs and is NOT required to remove its religious writings or symbols or to alter its internal governance as a condition of doing business with the Department.)

#### **4.2.5.4.4 Financial Accounting**

Vendors must agree that the vendor's accounting system will be consistent with General Accepted Governmental Accounting Principles (GAAP). The vendor must maintain sufficient financial accounting records documenting all funding sources and applicable expenditure of all funds from all sources.

#### **4.2.5.4.5 Vendor Work Product**

The vendor must attest that the proposal submitted in response to this document is the work product of said vendor. If the proposal is determined not to be the work product of the vendor, the proposal may, at the Department's sole discretion, be rejected.

#### **4.2.5.5 ATTACHMENTS**

Vendors must include all applicable forms identified below as attachments (i.e., Attachment A, B, C, etc.), applicable forms must follow the Technical Proposal. **DO NOT ALTER ANY OF THE FORMS LISTED BELOW OR OTHERWISE INCLUDED/REQUIRED IN THIS DOCUMENT.**

##### **4.2.5.5.1 Disclosure Statement**

The Technical Proposal must be followed by a completed copy of the **Disclosure Statement**.

##### **4.2.5.5.2 Trade Secret Affidavit**

The Disclosure Statement must be followed by a completed copy of the **Trade Secret Affidavit** (*Appendix C*), if applicable.

##### **4.2.5.5.3 Certificate of Compliance**

The Trade Secret Affidavit must be followed by a completed copy of the **Certificate of Compliance** (*Appendix D*). **All proposals must include the Certificate of Compliance.**

##### **4.2.5.5.4 E-Verify Memorandum of Understanding (MOU)**

The Certificate of Compliance must be followed by a copy of the **E-Verify MOU**. **All proposals must include the E-Verify MOU.**

**4.2.5.5.5      *Immigration Status Form***

The E-Verify MOU must be followed by a copy of the **Immigration Status Form**. *All proposals must include the Immigration Status Form. (Appendix E)*

**SECTION 5: COST PROPOSAL**

**5.0 COST PROPOSAL**

Vendors must certify that they are meeting all Medicaid criteria for billing. All services must be provided in accordance with Medicaid policy, DHR ISP, the provider treatment plan, and services. Services provided to a child/family that are not in accordance with the DHR ISP is not billable and if paid may be recouped. Vendors must provide an itemized list of services with the H0037 code of service, date of service, and applicable number of units to SDHR- Resource Management monthly. When using H0037 code of service (Multi-Person Intensive Family Intervention), it is necessary to use the same name.

**H0037:**      1 per day      180 max per year      \$140

**SLOT PROPOSAL:**

YEAR 1:      Number of slots \_\_\_\_\_

**\*Section 5: Cost Proposal must be completed and submitted with proposal**

**SECTION 6: EVALUATION CRITERIA**

**6.0 EVALUATION CRITERIA**

The evaluation committee will review and evaluate the proposals according to the following criteria based on a **maximum possible value of 100 points**. Proposals failing to meet the requirements of this RFP may be deemed non-responsive or subject to point deductions. The point value assigned to each component of the **Technical Proposal and Cost Proposal** will be based on the following scoring scale.

Category	RFP Section	Point Value
<b>Vendor Qualifying Information</b>		<b>60% of points for a possible 60 points</b>
A. Vendor Profile and Experience	4.2.5.1.1	25
B. Past and Present Contractual Relationships with the Department	4.2.5.1.2	10
C. Contract Performance	4.2.5.1.3	10
D. Staff Performance Evaluations and Training	4.2.5.1.5	15
<b>Method of Providing Services</b>		<b>40% of points for a possible 40 points</b>
A. Service Delivery Approach	4.2.5.3.1	15
B. Start-up Plan	4.2.5.3.2	5
C. Referral/Admission Policy	3.0	10
D. Children/Youth to be Served and Number of Slots Proposed	3.1, 5.0	5
E. Reject/Discharge Policy	3.4	5

## SECTION 7: DEFINITIONS

### STANDARD TERMS AND CONDITIONS

**By submitting a response to request for proposal or acceptance of a contract, the vendor agrees to acceptance of the following Standard Terms and Conditions and any other provisions that are specific to this solicitation or contract.**

**ACCEPTANCE/REJECTION OF PROPOSALS:** The Department reserves the right to accept or reject any or all proposals, wholly or in part, and to make awards in any manner deemed in the best interest of the Department. Proposals will be firm for 180 days, unless stated otherwise in the text of the request for proposal.

**ACCESS AND RETENTION OF RECORDS:** The contractor agrees to provide the Department, Legislative Auditor, or authorized agents, access to any records necessary to determine contract compliance. The contractor agrees to create and retain records supporting the services rendered or supplies delivered for a period of three years after either the completion date of the contract or the conclusion of any claim, litigation, or exception relating to the contract taken by the Department or third party.

**ALTERATION OF SOLICITATION DOCUMENT:** In the event of inconsistencies or contradictions between language contained in the Department's solicitation document and a vendor's response, the language contained in the Department's original solicitation document will prevail. Intentional manipulation and/or alteration of solicitation document language will result in the vendor's disqualification and possible debarment.

**ASSIGNMENT, TRANSFER AND SUBCONTRACTING:** The contractor shall not assign, transfer or subcontract any portion of the contract without the express written consent of the Department.

**AUTHORITY:** The following request for proposal, limited solicitation, or contract is issued under authority of Section 41-16-72 of the Alabama Code (Act 2001-956, 2001 3<sup>rd</sup> Sp. Sess., p 817, §1.)

**CHARGE BACKS:** The Alabama Department of Human Resources and Medicaid will deduct federal charge backs from future payments.

**COMPLIANCE WITH LAWS:** The contractor must, in performance of work under the contract, fully comply with all applicable federal, department, or local laws, rules and regulations, including the Civil Rights Act of 1964, the Age Discrimination Act of 1975, the Americans with Disabilities Act of 1990, and Section 504 of the Rehabilitation Act of 1973. Any subletting or subcontracting by the contractor subjects' subcontractors to the same provision. The contractor agrees that the hiring of persons to perform the contract will be made based on merit and qualifications and there will be no discrimination based upon race, color, religion, creed, political ideas, sex, age, marital status, physical or mental disability, or national origin by the persons performing the contract.

**DEBARMENT:** The contractor certifies, by submitting this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction (contract) by any governmental department or agency. If the contractor cannot certify this statement, attach a written explanation for review by the Department.

**DISABILITY ACCOMMODATIONS:** The Department does not discriminate based on disability in admission to, access to, or operations of its programs, services, or activities. Individuals, who need aids, alternative document formats, or services for effective communications or other disability-related accommodations in the programs and services offered, are invited to make their needs and preferences known to this office. Interested parties should provide as much advance notice as possible.

**FACSIMILE RESPONSES:** Facsimile responses will not be accepted for requested for proposals or limited solicitations.

**FAILURE TO HONOR PROPOSAL:** If a vendor to whom a contract is awarded refuses to accept the award (contract) or, fails to deliver in accordance with the contract terms and conditions, the Department may, in its discretion, suspend the vendor for a period of time from entering into any contracts with the Department.

**FORCE MAJEURE:** Neither party shall be responsible for failure to fulfill its obligations due to causes beyond its reasonable control, including without limitation, acts or omissions of government or military authority, acts of God, materials shortages, transportation delays, fires, floods, labor disturbances, riots, wars, terrorist acts, or any other causes, directly or indirectly beyond the reasonable control of the non-performing party, so long as such party is using its best efforts to remedy such failure or delays.

**FOREIGN CORPORATIONS (OUT-OF-STATE FIRMS):** Alabama law provides that a foreign corporation (out-of-state company/firm) may not transact business in the state until it obtains a certificate of authority from the Secretary of State, Section 10-2B-15.01, Code of Alabama 1975. To obtain form for a certificate of authority, contact the Secretary of State, Corporation Division, (334) 242-5324. Not having this certificate does not keep the vendor from registering.

**HOLD HARMLESS/INDEMNIFICATION:** The contractor agrees to hold the Department, its elected and appointed officials, agents, and employees, while acting within the scope of their duties as such, harmless from and against all claims, demands, causes of action of any kind or character, including the cost of defense thereof, arising in favor of the contractor's employees or third parties on account of bodily or personal injuries, death, or damage to property arising out of services performed or omissions of services or in any way resulting from the acts or omissions of the contractor and/or its agents, employees, representatives, assigns, subcontractors, except for acts of omission resulting from the sole negligence of the Department, under this agreement.

**IMMIGRATION CLAUSE:** By signing this contract, the contracting parties affirm, for the duration of the agreement, that they will not violate federal immigration law or knowingly employ, hire for employment, or continue to employ an unauthorized alien within the State of Alabama and any location. Furthermore, a contracting party found to be in violation of this provision shall be deemed in breach of the agreement and shall be responsible for all damages resulting therefrom.

**LATE PROPOSALS:** Regardless of cause, late proposals will not be accepted and will automatically be disqualified from further consideration. It shall be solely the vendor's risk to assure delivery at the designated office by the designated time. Late proposals will not be opened and may be returned to the vendor at the expense of the vendor or destroyed if requested.

**MERIT SYSTEM EXCLUSION:** The vendor must not to be considered a merit system employee and is not entitled to any benefits of the State Merit System.

**REGISTRATION WITH THE PURCHASING DIVISION:** Any business intending to transact business in Alabama must register with the Alabama Purchasing Division by completing the Vendor Disclosure Statement. A copy of the Vendor Disclosure Statement can be downloaded from the Purchasing website at [www.purchasing.alabama.gov](http://www.purchasing.alabama.gov).

**SEVERABILITY CLAUSE:** A declaration by any court, or any other binding legal source, that any provision of the contract is illegal, and void shall not affect the legality and enforceability of any other provision of the contract, unless the provisions are mutually dependent.

**SOLICITATION DOCUMENT EXAMINATION:** Vendors must promptly notify the Department of any ambiguity, inconsistency, or error, which they may discover upon examination of a solicitation document.

**TERMINATION OF CONTRACT:** Unless otherwise stated, the Department may, by written notice to the contractor, terminate the contract in whole or in part at any time the contractor fails to perform the contract.

**TERMINATION/ALTERNATIVE DISPUTE RESOLUTION**

For any and all disputes arising under the terms of any contract resulting from this procurement, vendors hereto agree, in compliance with the recommendations of the Governor and Attorney General, when considering settlement of such disputes, to utilize appropriate forms of non-binding alternative dispute resolution including but not limited to, mediation by and through the Attorney General's Office of Administrative hearings or where appropriate, private mediators.

**UNAVAILABILITY OF FUNDING:** The Department, at its sole discretion, may terminate or reduce the scope of the contract if available funding is reduced for any reason.

**U.S. FUNDS:** All prices and payments must be in U.S. dollars.

**APPENDIX A: DISCLOSURE STATEMENT**



State of Alabama  
**DISCLOSURE STATEMENT**  
(Required by Act 2001-955)

ENTITY COMPLETING FORM Agreement Number

ADDRESS

CITY, STATE, ZIP TELEPHONE NUMBER  
( )

STATE AGENCY/DEPARTMENT THAT WILL RECEIVE GOODS, SERVICES, OR IS RESPONSIBLE FOR GRANT AWARD

ADDRESS

CITY, STATE, ZIP TELEPHONE NUMBER  
( )

This form is provided with:

Contract  Proposal  Request for Proposal  Invitation to Bid  Grant Proposal

Have you or any of your partners, divisions, or any related business units previously performed work or provided goods to any State Agency/Department in the current or last fiscal year?

Yes  No

If yes, identify below the State Agency/Department that received the goods or services, the type(s) of good or services previously provided, and the amount received for the provision of such goods or services.

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

*Have you or any of your partners, divisions, or any related business units previously applied and received any grants from any State Agency/Department in the current or last fiscal year?*

Yes  No

If yes, identify the State Agency/Department that awarded the grant, the date such grant was awarded, and the amount of the grant.

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

1. List below the name(s) and address(es) of all public officials/public employees with whom you, members of your immediate family, or any of your employees have a family relationship and who may directly personally benefit financially from the proposed transaction. Identify the State Department/Agency for which the public officials/public employees work. (Attach additional sheets if necessary.)

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

2. List below the name(s) and address(es) of all family members of public officials/public employees with whom you, members of your immediate family, or any of your employees have a family relationship and who may directly personally benefit financially from the proposed transaction. Identify the public officials/public employees and State Department/Agency for which the public officials/public employees work. (Attach additional sheets if necessary.)

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*If you identified individuals in items one and/or two above, describe in detail below the direct financial benefit to be gained by the public officials, public employees, and/or their family members as the result of the contract, proposal, request for proposal, invitation to bid, or grant proposal. (Attach additional sheets if necessary.)*

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*Describe in detail below any indirect financial benefits to be gained by any public official, public employee, and/or family members of the public official or public employee as the result of the contract, proposal, request for proposal, invitation to bid, or grant proposal. (Attach additional sheets if necessary.)*

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List below the name(s) and address(es) of all paid consultants and/or lobbyists utilized to obtain the contract, proposal, request for proposal, invitation to bid, or grant proposal:

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By signing below, I certify under oath and penalty of perjury that all statements on or attached to this form are true and correct to the best of my knowledge. I further understand that a civil penalty of ten percent (10%) of the amount of the transaction, not to exceed \$10,000.00, is applied for knowingly providing incorrect or misleading information.

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Signature \_\_\_\_\_ Date \_\_\_\_\_

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Notary's Signature \_\_\_\_\_ Date \_\_\_\_\_ Date Notary Expires \_\_\_\_\_



**APPENDIX C: TRADE SECRET AFFIDAVIT**

**Alabama Department of Human Resources**

**AFFIDAVIT FOR TRADE SECRET CONFIDENTIALITY**

DEPARTMENT OF \_\_\_\_\_ )  
County of \_\_\_\_\_ ) ss.

\_\_\_\_\_ (Affiant), being first duly sworn under oath, and representing \_\_\_\_\_ (hereafter "Vendor"), hereby deposes and says that:

1. I am an attorney licensed to practice in the State of \_\_\_\_\_, representing the Vendor referenced in this matter, and have full authority from the Vendor to submit this affidavit and accept the responsibilities stated herein.

2. I am aware that the Vendor is submitting a proposal to the Alabama Department of Human Resources for RFP # \_\_\_\_\_. Public agencies in Alabama are required by Alabama law to permit the public to examine documents that are kept or maintained by the public agencies, other than those legitimately meeting the provisions of the Alabama Trade Secrets Act, Alabama Code Section 8-27-1, and that the Department is required to review claims of trade secret confidentiality.

3. I have read and am familiar with the provisions of the Alabama Trade Secrets Act, am familiar with the case law interpreting it, and understand that all information received in response to this RFP will be available for public examination except for:

- (a) trade secrets meeting the requirements of the Act; and
- (b) information requested by the Department to establish vendor responsibility unless prior written consent has been given by the vendor.

4. I am aware that in order for the Vendor to claim confidential material, this affidavit must be fully completed and submitted to the Department, and the following conditions must be met by the Vendor:

- (a) information to be withheld under a claim of confidentiality must be clearly marked and separated from the rest of the proposal.
- (b) the proposal may not contain trade secret matter in the cost or price; and
- (c) the Vendor's explanation of the validity of this trade secret claim is attached to this affidavit.

5. I and the Vendor accept that, should the Department determine that the explanation is incomplete, inadequate, or invalid, the submitted materials will be treated as any other document in the department's possession, insofar as its examination as a public record is concerned. I and the Vendor are solely responsible for the adequacy and sufficiency of the explanation. Once a proposal is opened, its contents cannot be returned to the Vendor if the Vendor disagrees with the Department's determination of the issue of trade secret confidentiality.

6. I, on behalf of the Vendor, warrant that the Vendor will be solely responsible for all legal costs and fees associated with any defense by the Department of the Vendor's claim for trade secret protection in the event of an open records request from another party which the Vendor chooses to oppose. The Vendor will either totally assume all responsibility for the opposition of the request, and all liability and costs of any such defense, thereby defending, protecting, indemnifying, and saving harmless the Department, or the Vendor will immediately withdraw its opposition to the open records request and permit the Department to release the documents for examination. The Department will inform the Vendor in writing of any open records request that is made, and the Vendor will have five working days from receipt of the notice to notify the Department in writing whether the Vendor opposes the request or not. Failure to provide that notice in writing will waive the claim of trade secret confidentiality and allow the Department to treat the documents as a public record.

Documents that, in the opinion of the Department, do not meet all the requirements of the above will be available for public inspection, including any copyrighted materials.

\_\_\_\_\_  
Affiant's Signature

Signed and sworn to before me on \_\_\_\_\_ (date) by \_\_\_\_\_  
\_\_\_\_\_ (Affiant's name).

Name of Notary Public: \_\_\_\_\_ for the

Department of: \_\_\_\_\_

My Commission Expires: \_\_\_\_\_



**APPENDIX D: CERTIFICATE OF COMPLIANCE**

State of \_\_\_\_\_ )

County of \_\_\_\_\_ )

**CERTIFICATE OF COMPLIANCE WITH THE BEASON-HAMMON ALABAMA TAXPAYER AND CITIZEN PROTECTION ACT (ACT 2011-535, as amended by Act 2012-491)**

**DATE:** \_\_\_\_\_

**RE Contract/Grant/Incentive (describe by number or subject):**

\_\_\_\_\_ by \_\_\_\_\_ and \_\_\_\_\_ between and  
\_\_\_\_\_  
(Contractor/Grantee)  
\_\_\_\_\_  
(State Agency, Department or Public Entity)

The undersigned hereby certifies to the State of Alabama as follows:

1. The undersigned holds the position of \_\_\_\_\_ with the Contractor/Grantee named above, and is authorized to provide representations set out in this Certificate as the official and binding act of that entity, and has knowledge of the provisions of THE BEASON-HAMMON ALABAMA TAXPAYER AND CITIZEN PROTECTION ACT (ACT 2011-535 of the Alabama Legislature, as amended by Act 2012-491) which is described herein as "the Act".

2. Using the following definitions from Section 3 of the Act, select and initial either (a) or (b), below, to describe the Contractor/Grantee's business structure.

**BUSINESS ENTITY.** Any person or group of persons employing one or more persons performing or engaging in any activity, enterprise, profession, or occupation for gain, benefit, advantage, or livelihood, whether for profit or not for profit. "Business entity" shall include, but not be limited to the following:

a. Self-employed individuals, business entities filing articles of incorporation, partnerships, limited partnerships, limited liability companies, foreign corporations, foreign limited partnerships, foreign limited liability companies authorized to transact business in this state, business trusts, and any business entity that registers with the Secretary of State.

b. Any business entity that possesses a business license, permit, certificate, approval, registration, charter, or similar form of authorization issued by the state, any business entity that is exempt by law from obtaining such a business license, and any business entity that is operating unlawfully without a business license.

**EMPLOYER.** Any person, firm, corporation, partnership, joint stock association, agent, manager, representative, foreman, or other person having control or custody of any employment, place of employment, or of any employee, including any person or entity employing any person for hire within the State of Alabama, including a public employer. This term shall not include the occupant of a household contracting with another person to perform casual domestic labor within the household.

\_\_\_\_\_(a)The Contractor/Grantee is a business entity or employer as those terms are defined in Section 3 of the Act.

\_\_\_\_\_(b)The Contractor/Grantee is not a business entity or employer as those terms are defined in Section 3 of the Act.

3. As of the date of this Certificate, Contractor/Grantee does not knowingly employ an unauthorized alien within the State of Alabama and hereafter it will not knowingly employ, hire for employment, or continue to employ an unauthorized alien within the State of Alabama.

4. Contractor/Grantee is enrolled in E-Verify unless it is not eligible to enroll because of the rules of that program or other factors beyond its control.

Certified this \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_\_.

\_\_\_\_\_  
Name of Contractor/Grantee/Recipient

By: \_\_\_\_\_

Its \_\_\_\_\_

The above Certification was signed in my presence by the person whose name appears above, on

this \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_\_.

WITNESS: \_\_\_\_\_

\_\_\_\_\_  
Printed Name of Witness

**APPENDIX E: IMMIGRATION STATUS FORM**

**IMMIGRATION STATUS**

I hereby attest that all workers on this project are either citizens of the United States or are in a proper and legal immigration status that authorizes them to be employed for pay within the United States.

\_\_\_\_\_  
Signature of Contractor

\_\_\_\_\_  
Witness