

ADDENDUM 1, QUESTIONS and ANSWERS

Date: January 27, 2023

To: All Bidders

From: Dana Crawford-Smith, Procurement Contracts Officer
DHHS

RE: Addendum for Request for Proposal Number 114352 O3
to be opened February 10, 2023, at 2:00 p.m. Central Time

Questions and Answers

Following are the questions submitted and answers provided for the above mentioned Request for Proposal. The questions and answers are to be considered as part of the Request for Proposal. It is the Bidder's responsibility to check the State Purchasing Bureau website for all addenda or amendments.

<u>Question Number</u>	<u>RFP Section Reference</u>	<u>RFP Page Number</u>	<u>Question</u>	<u>State Response</u>
1.	Section V	28	The Scope of Work states: "This position will assist APS with cases to identify potential financial exploitation and fraud of vulnerable adults." Can the State clarify what is meant by "position"? Does the State anticipate an individual or a team of people to complete the work described in the RFP?	Position: accountant <u>or</u> accounting agency who will conduct the case reviews for possible financial exploitation and/or fraud.
2.	Section V	28	Can the State confirm the scope of work is limited to evaluation of potential financial exploitation and fraud of vulnerable adults and does not include physical abuse or neglect?	Correct, the scope of work only requires that cases be evaluated for financial exploitation and/or fraud. This does not include an evaluation of abuse or neglect.
3.	Section V	29	Does the State expect the contractor to serve as an expert witness, or will the contractor prepare the facts of each case to support an expert witness in testimony?	Yes, the contractor would serve as an expert witness
4.	Cost Proposal	1	Would it be acceptable to provide a range of estimated fees per each Adult Protective Service case analysis (with the exception of court appearances) given the anticipated varying level of complexity for each case?	No
5.	Cost Sheet	28	We understand that you are requesting an hourly/by case rate – but can you provide your estimated maximum budget for each year to include the Administration of Community Living (ACL) and the COVID/ARPA funding provided for this contract?	No, a budget has not yet been assigned to this project.

6.	Section V	30	Are monthly cases limited to 3-5 per month or can additional cases be completed as needed?	Additional cases can be completed as needed.
7.	Section V	29	Are there any specific forensic software tools that are required?	No
8.	Section D	29	The RFP states "the Contractor shall coordinate with DHHS to secure access to required records within 30 days of case notification and within 30 days, all required formats for reporting and transmittal of reports shall be developed." Are the 30 days business days or calendar days?	Calendar days
9.	Section D	29	Prior to this paragraph there was a statement about securing required records within 30 days of case notification. This paragraph discusses the case should be completed within 30 business days. Are these 30 business days in addition to the 30 days to access required records?	Yes
10.	Cost Sheet	29-30	The Cost Sheet attachment indicates a request for a case-by-case cost estimate as well as an hourly rate for testimony. There is an additional requirement for monthly and quarterly status reports. Will these contract administration requirements be funded separately?	No
11.	Section V	31	<p>The Proposal Instructions state that "Content requirements for the Technical and Cost Proposal are presented separately in the following subdivisions; format and order" and then list Corporate Overview and Technical Approach.</p> <p>The Proposal Requirements state to include:</p> <ol style="list-style-type: none"> 1. Original Request for Proposal for Contractual Services form signed manually in ink or by DocuSign; 2. Clarity and responsiveness of the proposal; 3. Completed Corporate Overview; 4. Completed Sections II through VI; 5. Completed Technical Approach; and 6. Completed State Cost Proposal Template. <p>Since #1, 4, and 6 are not included in the Proposal Instructions, does the State have a preference for the order/format of these sections?</p>	No
12.	I.N.	6	<p>The Proposal Requirements state to include:</p> <ul style="list-style-type: none"> • Original Request for Proposal for Contractual Services form signed manually in or by DocuSign <p>If we plan to submit electronically, is a certified/timestamped digital signature acceptable in lieu of using the DocuSign program?</p>	Yes

13.	VI	32-33	<p>Section VI.A.1.i: Summary of Bidder's Proposed Personnel/Management and Requirements Matrix: Req-2 Staff Credentials and Licensure ask for similar information.</p> <p>Is it acceptable to refer to our response in Section VI.A.1.i when responding to Requirement 2? Or would you prefer the information be repeated?</p>	We would prefer the information be repeated.
14.	VI	33	<p>The request for Technical Approach (B. Understanding, C. Approach, and D. Technical Considerations) and Requirements Matrix: Req-1 (#1 Understanding, #2 Strategy, and #3 Management Approach) ask for similar information.</p>	Yes
15.	VI	36-37	<p>If we are allowed to crosswalk between sections, does the State have a preference in which section these requirements are addressed? Or should our responses be repeated for each section?</p>	Responses should be repeated for each section.
16.	Requirements Matrix	36-37	<p>Requirements Matrix: Req-5 refers to "D.5 Scope of Work, Payment."</p> <p>Scope of Work Section D.5 on Page 30 of the RFP however, refers to "DHHS Responsibilities" not "Payment."</p> <p>Can the State clarify what the correct reference/requirement is for Requirement #5?</p>	This should not have referred to a part of the Scope of Work. Please respond to the Requirements Matrix without reference to the Scope.
17.	Requirements Matrix	36-37	<p>Requirements Matrix: Req-5 Payment asks for "Cost of Project as outline in Cost Sheet." Can the State confirm that no cost information is to be included in the Requirements Matrix response, but rather all cost details should be included in the Cost Proposal document (using the Cost Sheet)?</p>	Correct, no cost is to be included in the Requirements Matrix response, but should be limited to the Cost Sheet only.
18.	V	28-30	<p>Has the Department previously used consultants or contractors to assist with the scope of work requested in the RFP, and if so, are there currently any incumbents currently performing this or a similar scope of work for the Department?</p>	No
19.	V	28	<p>The "Project Environment" section states that "The Nebraska Department of Health and Human Services (DHHS) has been awarded federal funding from the Administration of Community Living (ACL), in response to COVID-19 and the need to enhance and improve Adult Protective Services (APS). The purpose of these grants is to provide a funding opportunity in accordance with Section 2042(b) of Subtitle B of Title XX of the Social Security Act, otherwise known as the Elder Justice Act (EJA) as authorized and funded through the CRRSA and ARP of 2021 awards."</p> <p>Is it the Department's intent that the contract from this RFP will be solely funded from the amounts received</p>	The Department's intent is to solely use funds from the federal grants through the Administration of Community Living.

			through these grants or will other State and/or federal funds also serve as a source of funds for the resulting contract?	
20.	V	28	This RFP mentions that in 2021, there were 557 cases which contained allegations of financial fraud and exploitation. Can the department provide an estimate of the average number of hours spent investigating these aspects of the 557 claims?	Individual APS Specialists do not track the time spent on specific cases. There is no estimate of hours per case available.
21.	V	29, 1 a	The business requirements state that the contractor will "Review APS cases for suspected fraud and financial exploitation." Will the contractor or the Department be responsible for identifying which cases contain allegations of financial fraud and exploitation? Using 2021 as example, would the contractor e expected to review all 4,158 cases to identify the 557 which contained such allegations or will that be performed by the Department?	The Department will be responsible for identifying cases with possible financial exploitation and/or fraud. The Contractor would not be expected to review all 4,158. The Department will establish requirements and processes to determine which cases warrant the evaluation by the Contractor.
22.	V	29, 1 h	This requirement states that the contractor "will have access to all DHHS personnel through email or telephone whose assistance is requested, to complete the financial and fraud investigation." Can the Department provide an estimate of the number of personnel with time dedicated to this activity and/or the expected hours or Department personnel time available to assist the contractor in the performance of the requested scope of work?	The Department employs just under 40 APS case workers and 6 APS Supervisors. It is unknown at this time how many of those staff will dedicate time to this activity, as it is dependent on who is assigned the case and the complexity of the case. Typically, one APS Specialist (case worker) and one Supervisor are assigned to a particular case.
23.	V	29, 1 h iii	This requirement states that the contractor "will gather and review evidence; prepare fact-finding reports; provide expert witness in civil and criminal proceedings." Can the Department provide details on regarding how many of 557 cases in 2021 which contained allegations of financial fraud and exploitation resulted in the need for (1) a fact-finding report and (2) expert witness reports or testimony in civil and criminal proceedings?	No fact-finding reports were produced for any of the cases investigated in 2021 as there were no forensic accountants engaged to assist with APS financial exploitation cases. Likewise, no expert witness reports or testimony was produced in any civil or criminal trials.
24.	V	29, 1 h viii	The requirement states that the contract "shall complete each assigned case within 30 business days, based on the complexity of the referral. Contractor shall provide a written request to extend completion of the case, including rationale and shall obtain written approval from DHHS." Can the Department provide details on average number of days between assignment and completion for the 557 cases in 2021 which contained allegations of financial fraud and exploitation?	Investigations for intakes which include allegations of Financial Exploitation are due within 90 days from the date the report was accepted for investigation. A 15-calendar day extension may be granted by the supervisor, as needed. Extension may be requested for: delays in receiving financial records, requests from law enforcement, and other reasons. The APS Specialist will complete investigation documentation at day 80; this allows the supervisor 10 calendar days to review the case, request any needed revisions, and update the status to "final" by the due date.
25.	V	29, 1 h ix	This requirement states that the contract "shall collect, digitize, and summarize investigations documents into a data collection format. This	Since this is a new process to DHHS-APS, a system or tool has not been formalized. APS will be responsible for tracking and monitoring progress by

			information should be sortable and can be queried to extract data as needed. This should include demographic information, and any other data relevant to assigned forensic investigations collected by Contractor.” Does the Department currently have a system or tool for tracking and monitoring the progress of the cases evaluated? If so, can the Department provide an overview of the system/tool and its current functionality?	utilizing Excel and/or other tools at its disposal, to determine if there is a need to implement a formalized system/tool. Monitoring will also occur by the DHHS Contract Manager, who will be responsible for reviewing the Contractor’s monthly progress reports and quarterly fiscal reports.
26.	V	29, 2 a-d	Does this requirement include all personnel of the contractor who will perform services on the engagement or just the individual/individuals who have ultimate responsibility for the work product, reports or testimony provided? For example, for a CPA firm, if the engagement partner who will be responsible for team oversight, reports and testimony meets all of the required qualifications can the engagement team include additional staff who do not meet these qualifications?	If there are other personnel of the contractor that will be assisting with areas within the scope of work, but are not a licensed CPA, this information will need to be made known in a response proposal and specified what tasks will be completed by the CPA and by the non CPA personnel. Any and all oversight, reviews, determinations and testimony will need to be conducted by the CPA.
27.	V	30, 4 c	This section states that the contractor will perform 3-5 audits per month. The prior information states that the Department had 557 cases in 2021. Is it the Department’s intent that the contractor will only perform services on a portion of the relevant cases, and if so, who will be responsible for identifying and determining which cases will be assigned to the contractor?	It is the intent at this time, that the Contractor will only perform the services on a portion of relevant cases, identified by DHHS.
28.	V	30, 4 c	This section states that the contractor will perform 3-5 audits per month. The prior information states that the Department had 557 cases in 2021. Does the Department have existing personnel or contractors who will perform this scope of services for the other cases? If so, are there any expectations for assistance from the contractor on the cases handled by these other resources?	DHHS does not have existing staff who conduct audits on these types of cases. Other cases that may involve financial exploitation but are not referred for the specialized review and audit, will be managed by an APS case manager.
29.			Will firms without a local office in Nebraska be considered?	Yes
30.			Is this a new service being solicited by Nebraska DHHS? If services have been provided in the past by a contractor, can you provide the average number of hours needed to investigate similar cases in the past?	This is a new service offered by DHHS.
31.			The number of hours needed to complete an investigation varies significantly depending on the time period involved, number of individuals involved in the alleged fraud, number of bank accounts and other assets to be investigated, as well as other factors. Would DHHS be open to a fee schedule based on rate per hour per staff level rather than by each case analysis?	No

This addendum will become part of the proposal and should be acknowledged with the Request for Proposal.