

MAXIMUS®

Proposal to Provide

Needs Assessments for Adults with Intellectual/Developmental Disabilities

Prepared For
**Vermont Department of Disabilities, Aging, and
Independent Living**
Commissioner's Office

Redacted
RFP No. DDSD 306
October 29, 2020



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October 28, 2020

Clare McFadden, Deputy Director of Payment Reform
Vermont Department of Disabilities, Aging, and Independent Living
Commissioner's Office
280 State Drive/HC 2 South
Waterbury, VT 05671-2020

RE: Request for Proposal # DDSD 306, Needs Assessments for Adults with Intellectual/Developmental Disabilities

Dear Ms. McFadden,

Ascend Management Innovations LLC, a wholly owned subsidiary of Maximus US Services, Inc. (hereafter referred to as Maximus), is pleased to present the Vermont Department of Disabilities, Aging, and Independent Living (DAIL) with our response to your request for proposal for Needs Assessments for Adults with Intellectual/Developmental Disabilities (IDD). Maximus is not an organization that advocates on behalf of individuals with IDD in the State and has no direct relationship with any Vermont DDS HCBS direct service providers and is free of conflict of interest in performing DDS HCBS assessments.

As the State seeks first-time outsourcing of its IDD Waiver assessment process using the newly adopted Supports Intensity Scale-Adult Version™ (SIS-A) assessment tool, choosing a conflict-free vendor with a proven ability to establish and maintain consistently accurate, reliable, and timely assessments is vital to the success of Vermont's Needs Assessments project.

Maximus was the first vendor to implement American Association on Intellectual and Developmental Disabilities (AAIDD) SIS-A assessments in Pennsylvania, Tennessee, and Virginia. We understand the challenges faced by states simultaneously implementing a new assessment tool, a new, centralized and independent approach to IDD needs assessments, and a new use of standardized assessment to inform individualized budgets, rates, or service levels. In response, we offer Vermonters the ideal combination of unmatched SIS expertise, our proven approach that generates the most reliable SIS assessments in the country, and tested strategies that instill confidence in stakeholders regarding our assessments and the use of assessment data to drive resource determinations. We translate our national expertise into a local focus, hiring Vermonters who know and serve the communities they live in and investing in alignment, outreach, and collaborations with stakeholders across the state.

Our solution provides the right tools, technology, and teams to establish a solid operational foundation. Our approach—tested and refined over time and across diverse geographic and economic landscapes—promotes:

- Effective management of stakeholder groups through outreach and education to achieve alignment with goals and expectations and promote buy-in to new processes
- Centralized statewide oversight for consistent reliability, validity, and fidelity
- Individualized assessments that reflect the individual's support needs, preferences, and goals for individuals and their planning teams

- Equitable, fiscally responsible distribution of services and resources

Our customers will confirm that our thoughtful and thorough approach to implementing complex assessment programs has resulted in seamless and positive stakeholder support and assessment experiences and leads to high stakeholder satisfaction with our projects.

As a long-term, trusted partner of Vermont for the Green Mountain Care and Vermont Health Connect Customer Support Center, we deeply value this opportunity to expand our current offerings to include SIS services. By choosing Maximus as your Needs Assessments partner, DAIL can confidently rely on our depth and breadth of assessment expertise to deliver high quality, superior SIS assessment services that effectively meet the needs of DAIL and its stakeholders.

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Redaction is based on the current policies in place with Maximus and the State.

Enclosed please find one original and one redacted copy of our proposal. The following information is considered proprietary or confidential under the State’s Public Records Act, 1 V.S.A § 315 et seq.:

Reason for Redaction	Explanation
A. Personnel	<p>Maximus performs in an intensely competitive environment. Our employees and our company's ability to organize and manage projects constitute some of our most valuable corporate assets. Our project organizational structure has been developed through numerous projects over many years. As for the specific employees' names, roles, and responsibilities, Maximus cannot afford to have our competitors poach our best employees. Such a result could also have a negative impact on projects. As such, the personnel information constitutes a trade secret, which would provide economic value to our competitors and substantial competitive harm to Maximus if disclosed. The trade secret information in this section is not readily known or readily ascertainable by proper means and is subject to commercially reasonable efforts and protective measures to maintain its secrecy.</p>
Proposal Section or Exhibit	
<ul style="list-style-type: none"> ■ 2 Background and Experience, multiple paragraphs ■ Exhibit 2-1: Benefits of Maximus' Experience ■ 2.1 Organization Overview, multiple paragraphs ■ Exhibit 2.1-1: Ownership Information ■ Exhibit 2.1-2: Maximus Corporate Organization ■ Exhibit 2.1-3: Project Organization Chart ■ Exhibit 2.1-4: Maximus Vermont Needs Assessment Project Staff ■ 2.2 Experience Relevant to Proposed Project, multiple paragraphs ■ Exhibit 2.2-1: Maximus IDD Waiver Assessments Expertise ■ Exhibit 2.2-2: Aspects of SIS Assessment Projects 	



- Exhibit 2.2-3: Advantages of Working with Maximus
- Exhibit 2.2-4: At-a-Glance Maximus IDD Waiver Assessment Experience
- Exhibit 2.2-5: Case Study: Implementing a New, Conflict-Free SIS Project
- 2.3 Other Relevant Current or Past State Projects, multiple paragraphs
- Exhibit 2.3-1: Relevant State Project Experience
- Exhibit 2.3-2 Maximus, Inc. Experience Serving State Governments
- 2.4 Resumes of Core Contract Staff, multiple paragraphs, Job Description, all Contract Staff Resumes
- 2.4.1 Resumes
- 3.1.3 Perform Application Administrator Responsibilities
- 3.2.5 Assessor Completion of AAIDD SIS-A Orientation and Training
- 3.2.6 Managing, Supervising, and Monitoring Assessor Performance
- 3.3.1 Scheduling Assessments, multiple paragraphs
- 3.6 Implementation and Management Plan, multiple paragraphs
- 4 References

Reason for Redaction	Explanation
B. Innovation	<p>These innovations are not available to the general public; rather they are used internally by Maximus in the management and operations of our government projects. Some of these innovations involve the products of third-party vendors, and the innovations embody our intimate knowledge of the structure and operation of large government projects. The materials are protected by the trademark and copyright laws, and Maximus is careful to maintain the confidential and proprietary nature of the product. Because these innovations have been developed and modified over the years to reflect the evolving nature of such government programs, permitting a competitor to understand their functionality would also reveal the Maximus approach to managing government projects of this type. As such, the information regarding innovations constitutes a trade secret, which would provide economic value to our competitors and substantial competitive harm to Maximus if disclosed. The trade secret information in this section is not readily known or readily ascertainable by proper means and is subject to commercially reasonable efforts and protective measures to maintain its secrecy..</p>

- Proposal Section or Exhibit**
- Background and Experience, multiple paragraphs
 - Exhibit 2-1: Benefits of Maximus' Experience
 - 2.2 Experience Relevant to Proposed Project, multiple paragraphs
 - Exhibit 2.2-2: Aspects of SIS Assessment Projects
 - Exhibit 2.2-3: Advantages of Working with Maximus
 - Exhibit 2.2-4: At-a-Glance Maximus IDD Waiver Assessment Experience
 - 3. Technical Response to Section 2, multiple paragraphs
 - Exhibit 3-1: Solution Summary Highlights
 - 3.1 AAIDD SIS-A Assessment Instrument and Platform, multiple paragraphs
 - 3.1.4 Load Completed Assessments and Narrative into the AAIDD SIS-A Platform, multiple paragraphs
 - 3.2.5 Assessor Completion of AAIDD SIS-A Orientation and Training
 - 3.3.1 Scheduling Assessments, multiple paragraphs
 - 3.3.1.2 Managing Scheduling and Completion of Assessments
 - 3.3.1.3 Schedule and Location Preferences
 - Exhibit 3.3.2-1: Conducting Assessments Workflow
 - 3.4.1 Assessment Tracking and Documentation
 - 3.4.2 Appointment Metrics
 - 3.4.3 Scheduling Metrics



- 3.4.4 Completed Assessments and Entry into SIS-A Platform Metrics
- Exhibit 3.4.4-1: Examples of Maximus SIS Contract Performance
- 3.4.5 Monthly Reports
- Exhibit 3.4.5-1: SISPro Reporting

Reason for Redaction	Explanation
C. Technology Approach	<p>This is not simply information that relates exclusively to a particular circumstance, but it represents the methods and approaches employed by Maximus in conducting business. One of the key elements that differentiate Maximus from our competitors is our ability to begin operations rapidly and to ensure a smooth start-up or transition of operations from the state or from a previous contractor. The technology approach reflects our thorough understanding of such government programs and has been developed at substantial expense over many years of government service. Additionally, Maximus describes methodology to externally host and meet security & audit requirements. Sharing how and where Maximus hosts could indirectly disclose Maximus financial investment and cost. The tools and methodologies included in this section are solutions for which Maximus has expended considerable time, effort, and expense. This information is a trade secret because it presents a "formula, pattern, compilation, program, device, method, technique or process" created by Maximus and used in its business. The information presented as part of this section is not necessarily unique to this proposal. However, it reflects many of the technical processes that Maximus undertakes for similar projects, a process that Maximus has and will continue to employ in similar procurements across the country. Therefore, the information is not related to a single event but is part of "a process or device" developed by Maximus at its sole expense, and used continuously in its business. As such, the technology constitutes a trade secret, which would provide economic value to our competitors and substantial competitive harm to Maximus if disclosed. The trade secret information in this section is not readily known or readily ascertainable by proper means and is subject to commercially reasonable efforts and protective measures to maintain its secrecy.</p>

Proposal Section or Exhibit

- Exhibit 2.2-1: Maximus IDD Waiver Assessments Expertise
- 3. Technical Response to Section 2, multiple paragraphs
- Exhibit 3-1: Solution Summary Highlights
- Exhibit 3-2: Vermont's Expectations
- 3.1 AAIDD SIS-A Assessment Instrument and Platform, multiple paragraphs
- 3.1.1 Assessment Instrument and Supplemental Questions
- 3.1.2 Negotiate Contract with AAIDD, multiple paragraphs
- 3.1.3 Perform Application Administrator Responsibilities
- 3.1.4 Load Completed Assessments and Narrative into the AAIDD SIS-A Platform, multiple paragraphs
- 3.1.5 Secure Data Access Agreement
- 3.1.6 Business Associate Agreements
- 3.1.7 Contractually Require that AAIDD Maintain a Plan of Action and Milestones (POAM) Document
- 3.1.8 Contractually Require that AAIDD Transmit Assessment Data to DAIL
- 3.1.9 Assessment Platform Overview, multiple paragraphs
- Exhibit 3.1.9-1: Maximus Vermont SIS Systems Solution
- Exhibit 3.3.1-1: SIS Scheduling Workflow
- Exhibit 3.3.1-2: Available Queues Screenshot
- Exhibit 3.3.1-3: Scheduling Detail Screenshot
- Exhibit 3.3.1-4: SIS Scheduling Steps
- Exhibit 3.3.1-5: SISPro Screenshot
- Exhibit 3.3.1-6: SISPro Respondent Screenshot



- Exhibit 3.3.1-7: SISPro Interview Detail Screenshot
- 3.3.1.2 Managing Scheduling and Completion of Assessments
- 3.3.1.3 Schedule and Location Preferences
- Exhibit 3.3.2-1: Conducting Assessments Workflow
- 3.4.1 Assessment Tracking and Documentation
- 3.4.2 Appointment Metrics
- 3.4.3 Scheduling Metrics
- 3.4.4 Completed Assessments and Entry into SIS-A Platform Metrics
- Exhibit 3.4.4-1: Examples of Maximus SIS Contract Performance
- 3.4.5 Monthly Reports
- Exhibit 3.4.5-1: SISPro Reporting

Reason for Redaction	Explanation
D. Corporate Management, Business Practices, or Policies, including staffing levels	<p>The policies and procedures set forth in the proposal constitute a step-by-step description of the detailed procedures employed by the company in implementing and operating a government project. These business rules embody how Maximus conducts our business and set Maximus apart from all other competitors in this market. This compilation of information describes and represents unique approaches to the provision of such services that sets Maximus apart from its competitors and provides the state with a distinct and superior system to meet the needs of our client population. The disclosure of Maximus project organization and detailed staffing plans, considered by Maximus to be a trade secret and confidential commercial information, could result in irreparable competitive harm because it would allow competitors to compare their organizational and staffing procedures to those developed by and unique to Maximus, and to use the resulting information as the basis for changing/improving their own plans to be more competitive in future similar procurements. Disclosure of Maximus' methods and techniques for estimating, assigning and controlling resources would also allow competitors to significantly and unfairly further such companies' competitive position in future procurements.</p>

Proposal Section or Exhibit
<ul style="list-style-type: none"> ■ 3. Technical Response to Section 2, multiple paragraphs ■ 3.1 AAIDD SIS-A Assessment Instrument and Platform, multiple paragraphs ■ 3.1.2 Negotiate Contract with AAIDD, multiple paragraphs ■ Exhibit 3.1.4-1: Quality Review Cycle ■ 3.1.6 Business Associate Agreements ■ 3.2 Assessors, multiple paragraphs ■ 3.2.1 Availability of Assessors, multiple paragraphs ■ 3.2.2 Assuring an Adequate Number of Fully Trained Assessors, multiple paragraphs ■ 3.2.3 Assessor Background Checks, multiple paragraphs ■ Exhibit 3.2.3-1: Multi-Faceted Background Checks Result in Thorough Assessor Vetting ■ 3.2.4 Assessor Education and Experience, multiple paragraphs ■ 3.2.4 Assessor Education and Experience, Exhibit 3.2.4-1: Essential Skills and Traits for Assessors ■ 3.2.4 Assessor Education and Experience, Exhibit 3.2.4-2: Assessor Recruitment and Training Timeline ■ 3.2.6 Managing, Supervising, and Monitoring Assessor Performance ■ 3.2.5 Assessor Completion of AAIDD SIS-A Orientation and Training ■ 3.3.1 Scheduling Assessments, multiple paragraphs ■ Exhibit 3.3.1-1: SIS Scheduling Workflow ■ Exhibit 3.3.1-2: Available Queues Screenshot ■ Exhibit 3.3.1-3: Scheduling Detail Screenshot



- Exhibit 3.3.1-4: SIS Scheduling Steps
- Exhibit 3.3.1-5: SISPro Screenshot
- Exhibit 3.3.1-6: SISPro Respondent Screenshot
- Exhibit 3.3.1-7: SISPro Interview Detail Screenshot
- Exhibit 3.3.2-1: Conducting Assessments Workflow
- Exhibit 3.3.2-2: Signature Form
- Exhibit 3.3.2-3: Key Steps in the SIS Process
- Exhibit 3.3.2-4: SIS Online Data Flow
- 3.3.3 Rescheduling Assessments, multiple paragraphs
- 3.3.1.1 Referral of Individuals for Assessment
- 3.3.1.2 Managing Scheduling and Completion of Assessments
- 3.3.1.3 Schedule and Location Preferences
- 3.3.2 Conducting Assessments, multiple paragraphs
- Exhibit 3.3.3-1: Reducing Cancellations
- 3.3.4 Completed Assessments, multiple paragraphs
- 3.3.5 Person-centered Service and Complaint Resolution, multiple paragraphs
- Exhibit 3.3.5-1: Overview of our Complaint Resolution Process.
- 3.3.5.2 Complaint Process
- 3.4 Contract Deliverables and Performance Expectations, multiple paragraphs
- Exhibit 3.4-1: Contract Timeliness Measures
- Exhibit 3.4-2: Deliverable Development Process
- 3.4.1 Assessment Tracking and Documentation
- 3.4.2 Appointment Metrics
- 3.4.3 Scheduling Metrics
- 3.4.4 Completed Assessments and Entry into SIS-A Platform Metrics
- Exhibit 3.4.4-1: Examples of Maximus SIS Contract Performance
- 3.4.5 Monthly Reports
- Exhibit 3.4.5-1: SISPro Reporting
- 3.4.6 Performance Incentives
- 3.4.7 Semi-Annual Report
- 3.6 Implementation and Management Plan, multiple paragraphs
- Exhibit 3.6-1: Implementation Resources
- Exhibit 3.6-2: Implementation Risk Mitigation
- Exhibit 3.6-3: Maximus Corporate Shared Services Support
- 3.6.1 Creating and Maintaining In-State Assessment Capacity, multiple paragraphs
- 3.6.2 Training Assessors, multiple paragraphs
- Exhibit 3.6.2-1: Maximus Training Modules
- Exhibit 3.6.2-2: SIS Assessor Training
- Exhibit 3.6.2-3: Proposed Training Curricula
- 3.6.2.1 Maximus New Hire Assessor Training
- Exhibit 3.6.2-4: Maximus SIS Training Outcomes
- 3.6.2.2 Continuous Assessor Training
- 3.6.3 Managing Access to AAIDD SIS-A
- 3.6.4 Scheduling Assessments
- 3.6.5 Supervision and Management of Assessors

- 3.6.6 Quality Assurance and Performance Management
- Exhibit 3.6.6-1: Maximus Quality Model
- Exhibit 3.6.6-2: Maximus QA Phased Approach
- Exhibit 3.6.6-3: IRQR Monitoring Areas
- Exhibit 3.6.6-4: Quality Focus Areas
- Exhibit 3.6.6-5: Stratified Quality Review Process
- 3.6.6.1 Methods to Ensure Appropriate Level of Training of Assessors is Maintained
- Exhibit 3.6.6-6: Maximus' IRQR Methodology
- 3.6.6.2 Methods to Manage and Subcontracts
- 3.6.6.3 Methods to Meet the Timelines for Completion of Assessments
- 3.6.7 Proposed Staffing Plan, multiple paragraphs
- 3.6.7.1 Number and Locations of Assessors
- 3.6.7.3 Plan for Completing Assessments Remotely
- Exhibit 3.6.7-1: Maximus Proposed Vermont SIS Project Organizational Structure
- 5 Reporting Requirements
- Exhibit 3.6.7-2 Maximus Pandemic Response Guidelines
- 3.6.8 Implementation Timeline, multiple paragraphs
- Exhibit 3.6.8-1 Vermont SIS Implementation Timeline
- 5. Reporting Requirements
- VT SIS 2019-2020 Semi-Annual Activity Report – Example FINAL
- VT SIS Monthly Activity Report October 2020 - Final

Reason for Redaction	Explanation
E. Contractors	Maximus contends that the identity of its contractors is a trade secret and confidential commercial information that is not disclosed to third parties. Maximus has expended substantial time and effort in selecting certain partners that contribute their services to its proposed solution. Therefore, the inclusion of the contractors along with the descriptions of the Maximus solution provides insight into our methodology in compiling those components into our overall proposed solution and gives Maximus a significant competitive advantage in this procurement and future procurements. As such, the contractor information constitutes a trade secret, which would provide economic value to our competitors and substantial competitive harm to Maximus if disclosed. The trade secret information in this section is not readily known or readily ascertainable by proper means and is subject to commercially reasonable efforts and protective measures to maintain its secrecy

Proposal Section or Exhibit

- 2.5 Subcontractors

Reason for Redaction	Explanation
F. Cost Proposal and Narrative	The proposal includes a detailed narrative regarding how Maximus calculates fees and pricing assumptions. The Maximus solution includes distinctive pricing methods, specifications, and capabilities that have enabled Maximus to compete successfully with its competitors. Maximus devotes substantial time, efforts, resources and ingenuity to differentiate itself by offering unique and innovative services, capabilities, and delivery methods, and distinctive pricing methods and options. Even slight distinctions between Maximus and its competitors in these areas can be decisive in a government agency's selecting one company over its competitor. Competitors could also use the proprietary and confidential information, including the assumptions underlying the Maximus pricing structure, to attempt to undercut Maximus pricing and to unfairly make comparisons to prospective customers about Maximus pricing model. Even those portions of the proposal that alone and in the abstract would not necessarily constitute proprietary information, when strategically combined in the proposal, constitute a valuable, unique, and proprietary compilation. Maximus would be economically



	disadvantaged within the government outsourcing marketplace if the confidential financial information listed in this section is disclosed, particularly if used by our competitors who may obtain economic value from its disclosure and/or use. The confidential financial information in this section is not readily known or readily ascertainable by proper means and is subject to reasonable efforts and protective measures to maintain its secrecy.
Proposal Section or Exhibit	
<ul style="list-style-type: none"> ■ 2.6 Financial Capability, multiple paragraphs ■ Exhibit 2.6-1: Maximus, Inc. Annual Revenue – 2011-2019 ■ Exhibit 2.6-2: Key Indicators Demonstrate Financial Strength to Support Vermont’s Needs ■ 3.5 Proposed Payment ■ 4 References ■ 6 Pricing 	

Should you have any questions, the principal contact for this proposal is:

Nancy Shanley, VP of Policy and Consulting
840 Crescent Centre Drive, Suite 400
Franklin, TN 37067
Phone: 1.615.473.4554
Fax: 1.877.431.9568
Email: maximushealthproposals@maximus.com

We are confident that a partnership with Maximus offers DAIL the best value and highest standard of assessment services available. Thank you for your consideration of our proposal.

Sincerely,



T. Isadora Huntley
Vice President, Contracts and Assistant General Counsel



2. Background and Experience

[Redacted]

RFP Section 4.3

Ascend Management Innovations LLC (hereafter referred to as Maximus)¹, a wholly owned subsidiary of Maximus US Services, Inc., is uniquely qualified to partner with Vermont for the Needs Assessment for Adults with Intellectual/Developmental Disabilities (Needs Assessment project).

[Redacted]



[Redacted]

¹ Ascend Management Innovations LLC, the Bidder/Contractor for this opportunity, is a wholly owned subsidiary of Maximus US Services, Inc., which was previously named Maximus Health Services, Inc. All prior contracts cited have been held by Maximus, Inc. and its wholly owned subsidiaries, including Maximus US Services, Inc. and Ascend Management Innovations LLC. References to Maximus, as it relates to PASRR, SIS, QRTP, and LTSS assessment services, includes previous contracts under Maximus, Inc., Maximus US Services, Inc. f/k/a Maximus Health Services, Inc., and Ascend Management Innovations LLC.

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AT A GLANCE

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Exhibit 2-1: Benefits of Maximus' Experience. *Maximus's extensive experience enables us to identify actionable enhancements to achieve a compliant, effective Needs Assessment project that promotes the health and well-being of individuals served.*

2.1 Organization Overview

RFP Section 4.3

Business information for each of our relevant corporate entities is provided in *Exhibit 2.1-1: Ownership Information*. (Details regarding Maximus financials can be found in *Section 2.6*.)


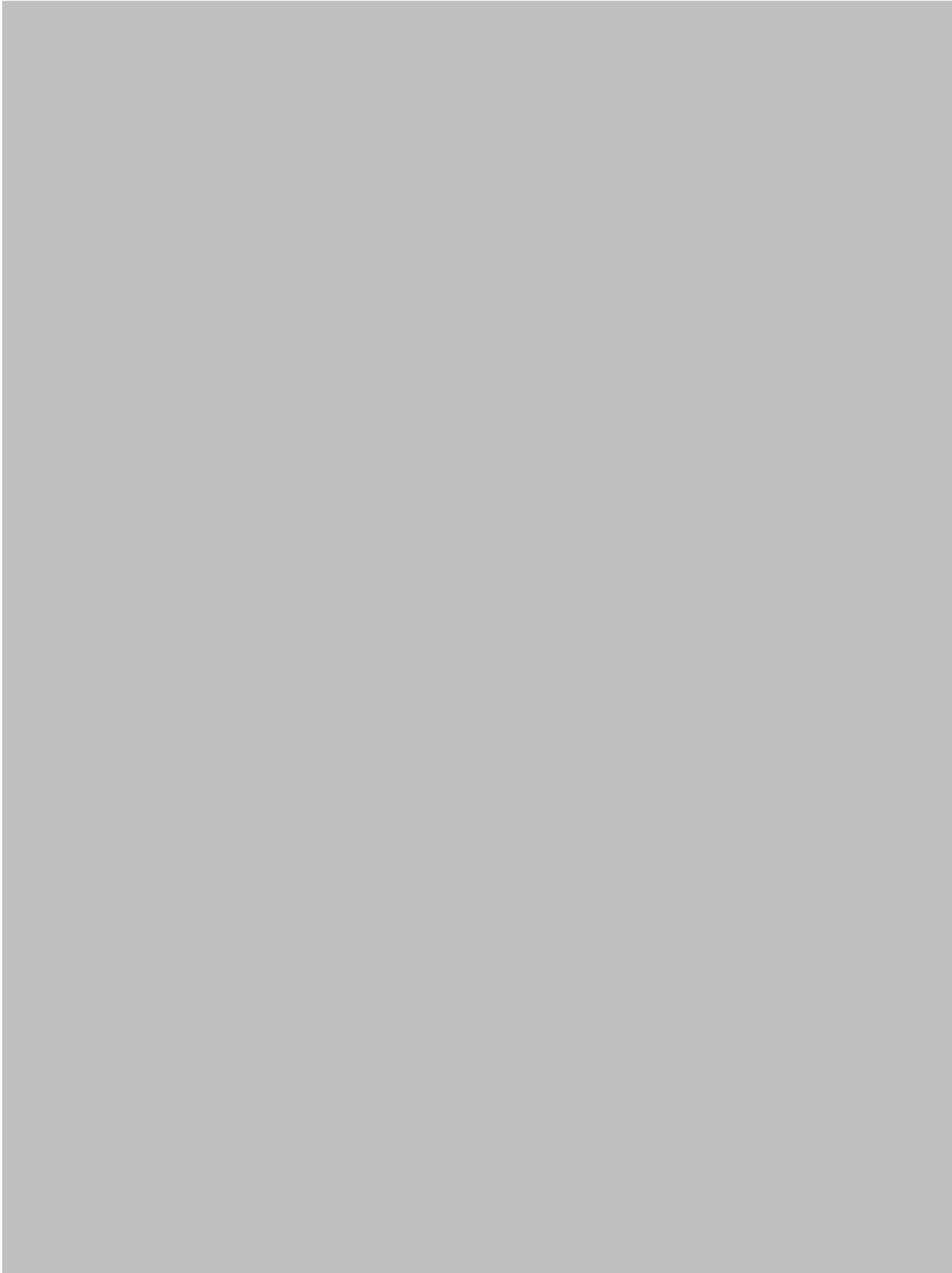
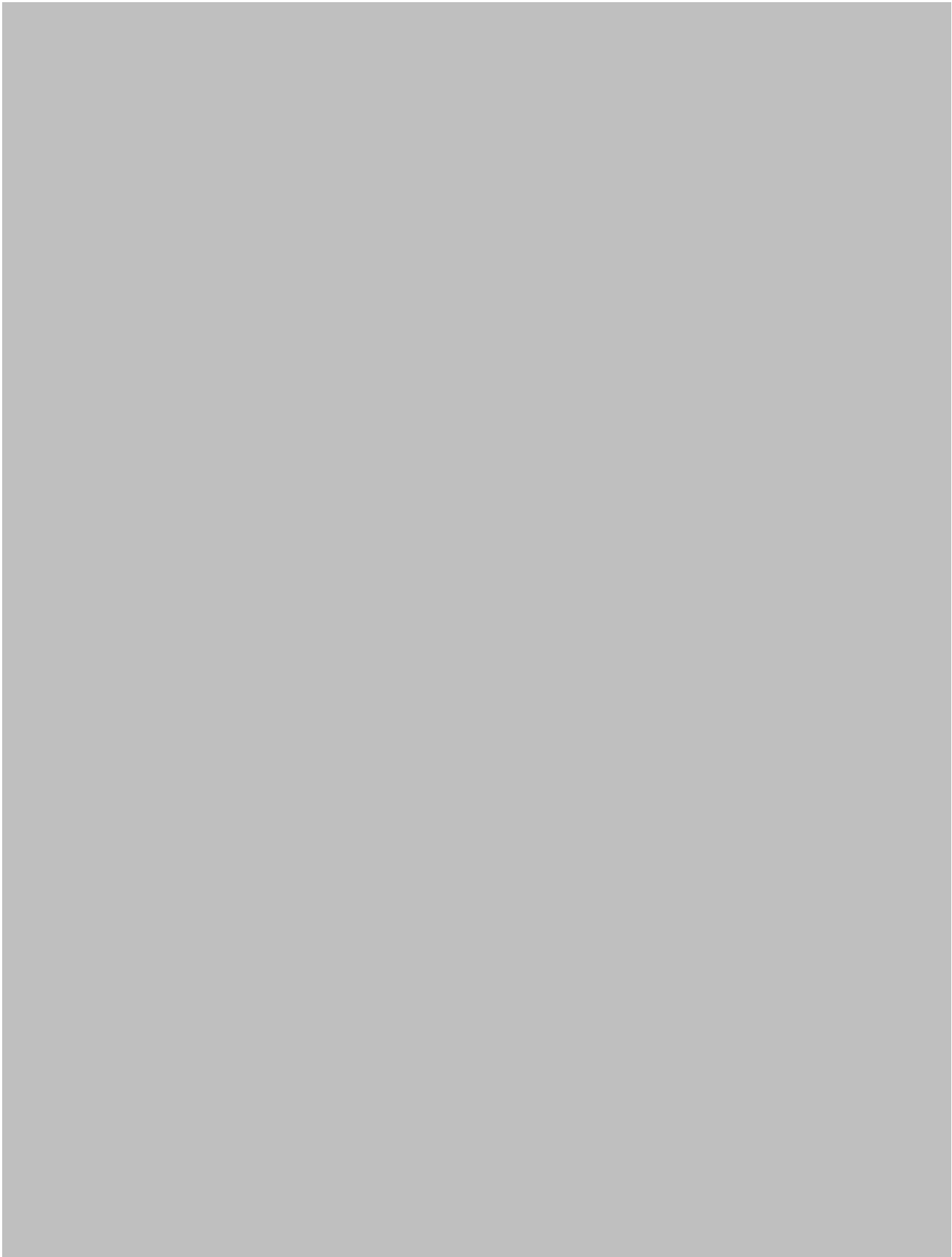


Exhibit 2.1-1: Ownership Information. *There are clear lines of authority, shared resources, and open communications across Maximus, Inc., and its subsidiaries, providing full transparency to our clients.*







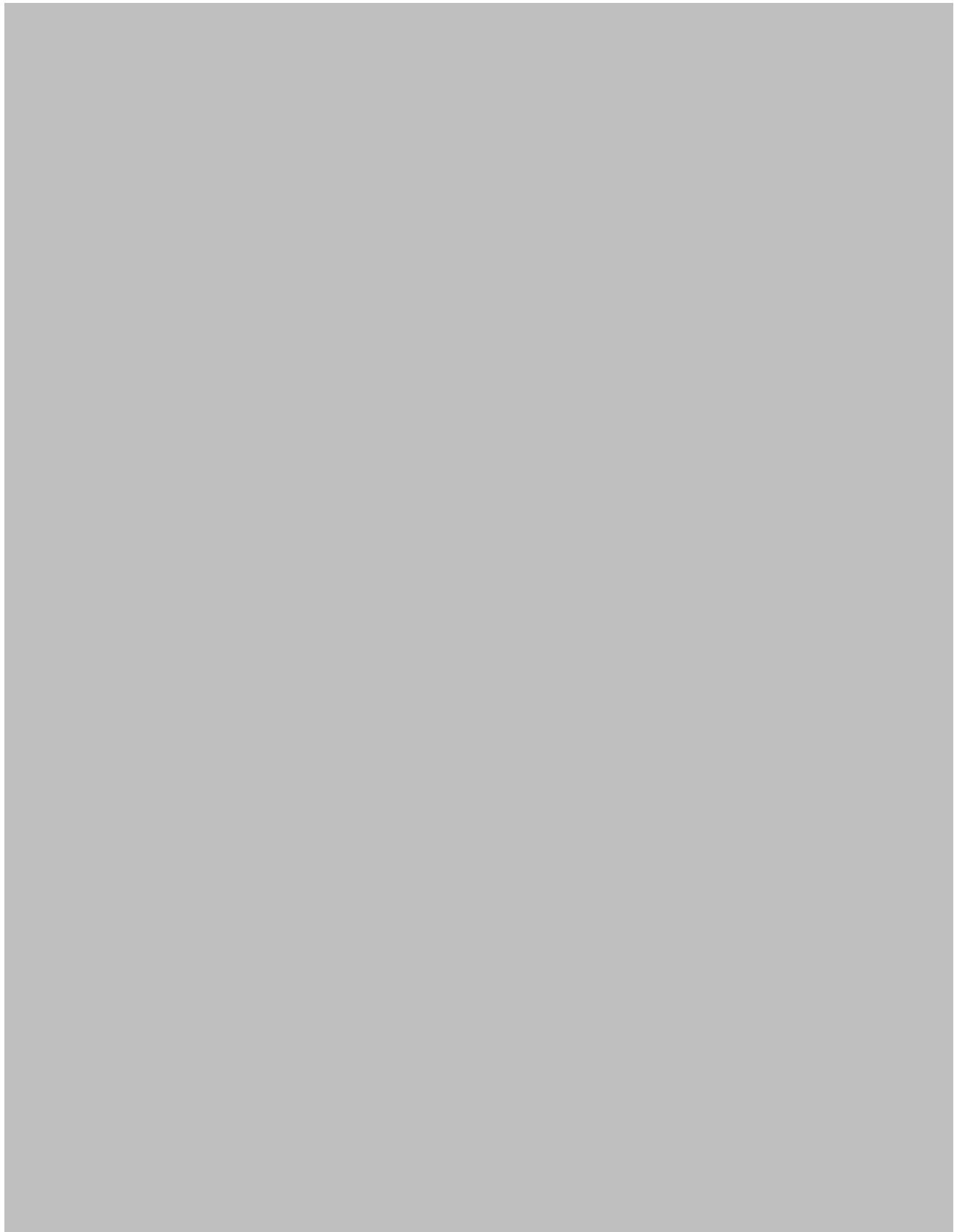


2.2 Experience Relevant to Proposed Project

RFP Section 4.3









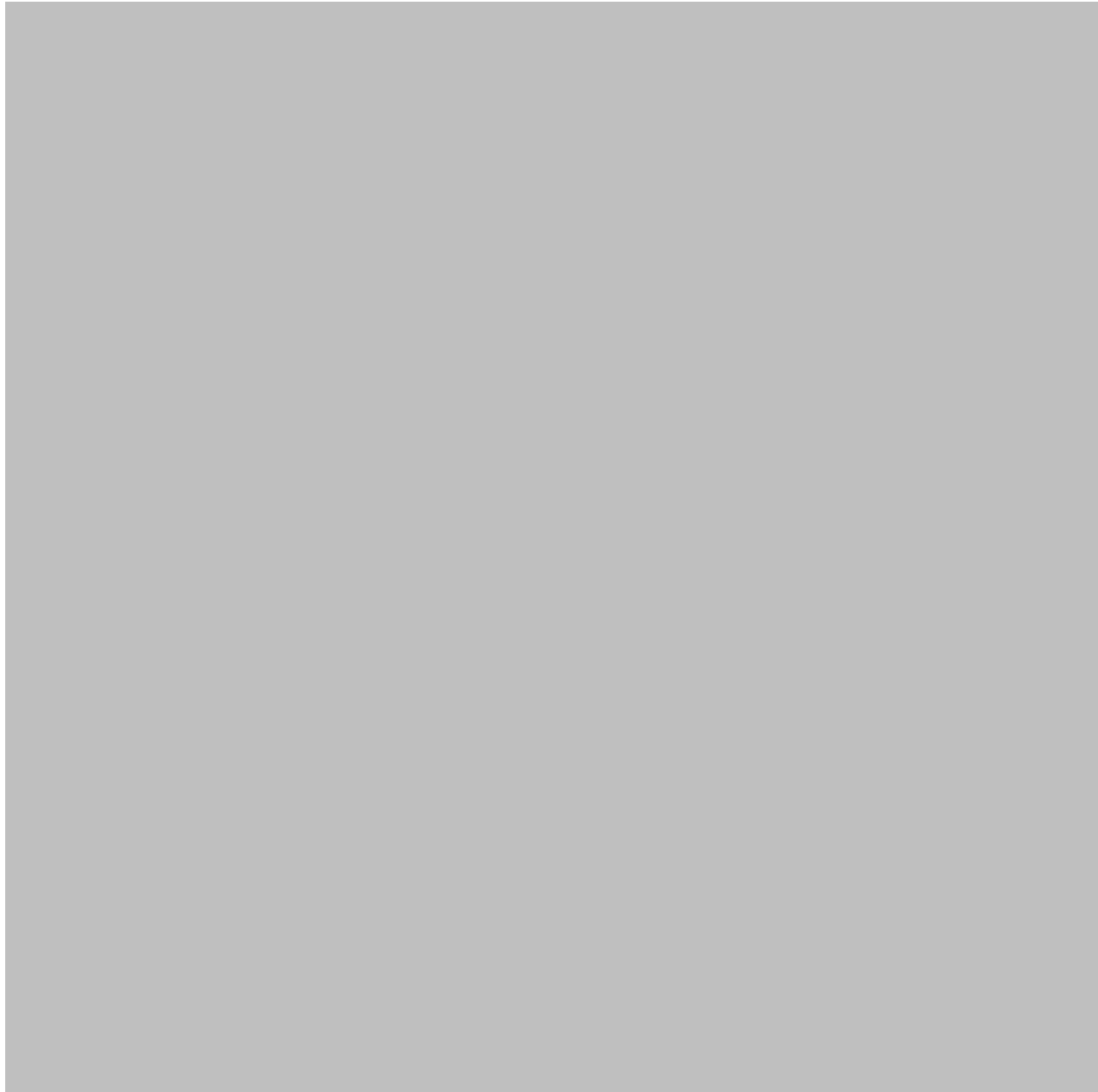
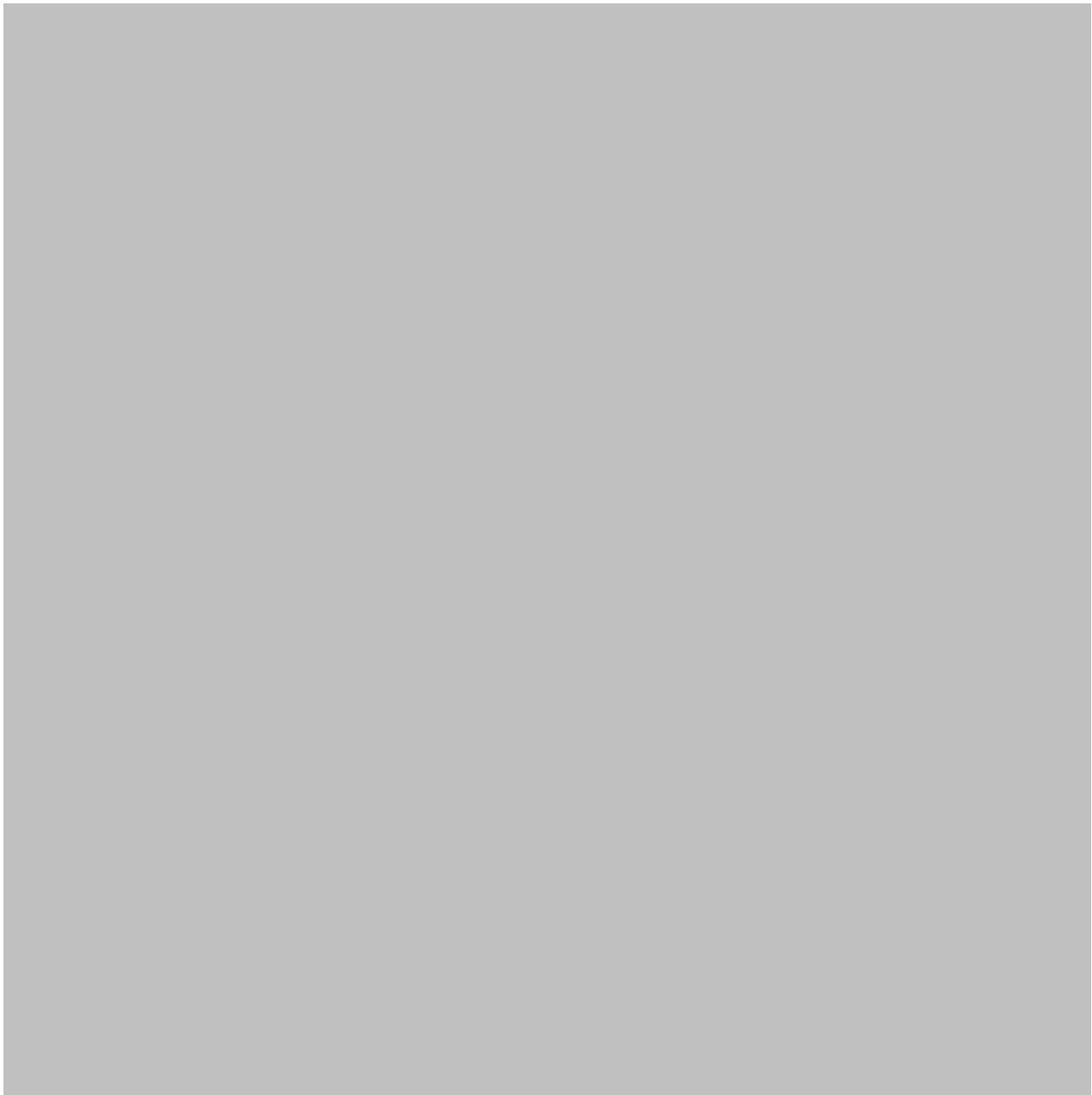




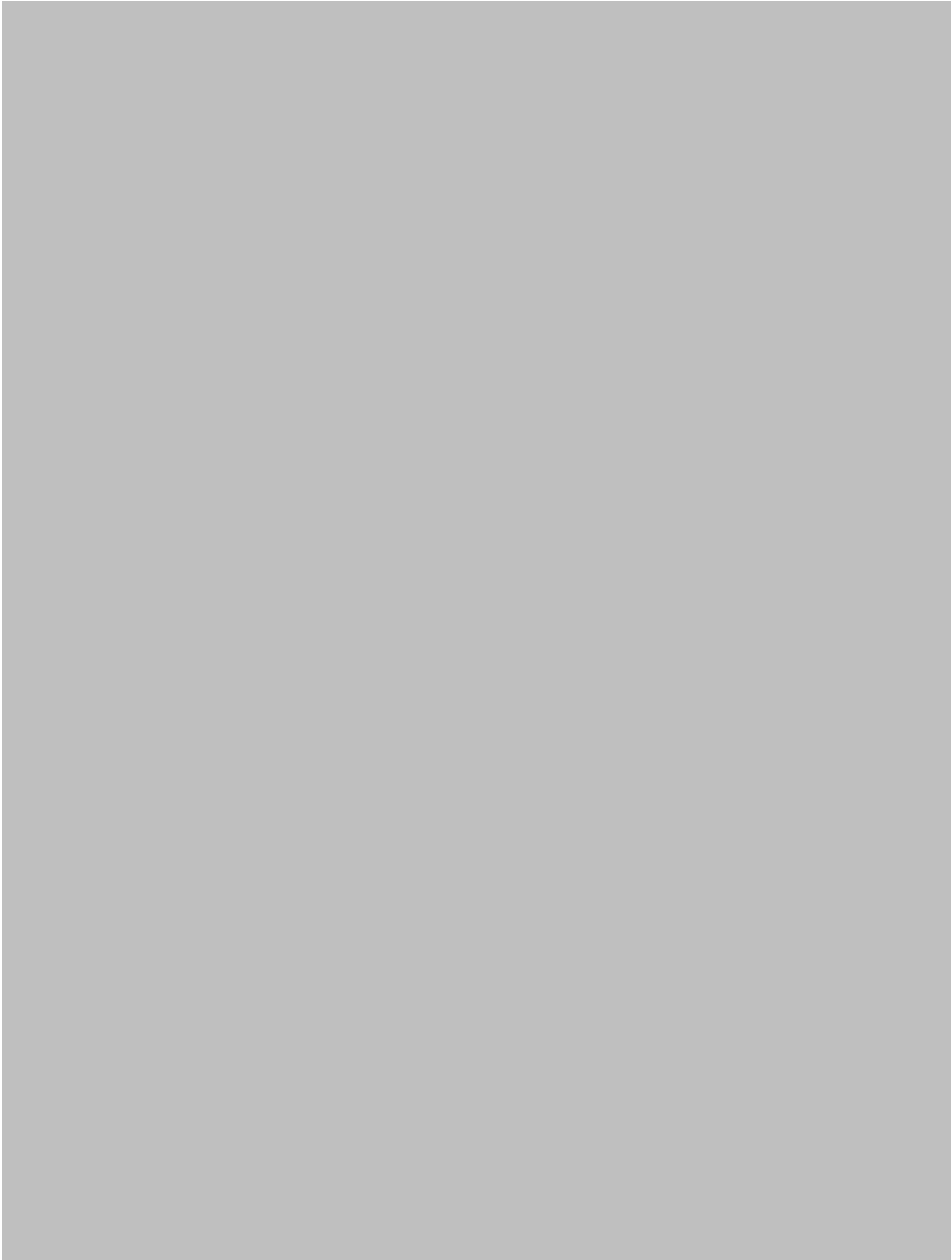
Exhibit 2.2-2: Aspects of SIS Assessment Projects. *Maximus offers a comprehensive understanding of all the components needed to implement and operate a successful SIS project.*













2.3 Relevant Current or Past State Projects

RFP Section 4.3; 3.5.2.2







2.4 Resumes of Core Contract Staff

DAIL requires an experienced team with general assessment understanding and specific SIS expertise.

RFP Section 4.3

Maximus provides experienced staff with proven expertise in delivering SIS services. Our personnel are highly qualified to deliver efficient management of the Needs Assessment project while maintaining exceptional quality standards throughout all activities we perform.

This section begins with a job description for the Vermont SIS Assessor position and is followed by resumes for our Needs Assessment project team.

JOB DESCRIPTION



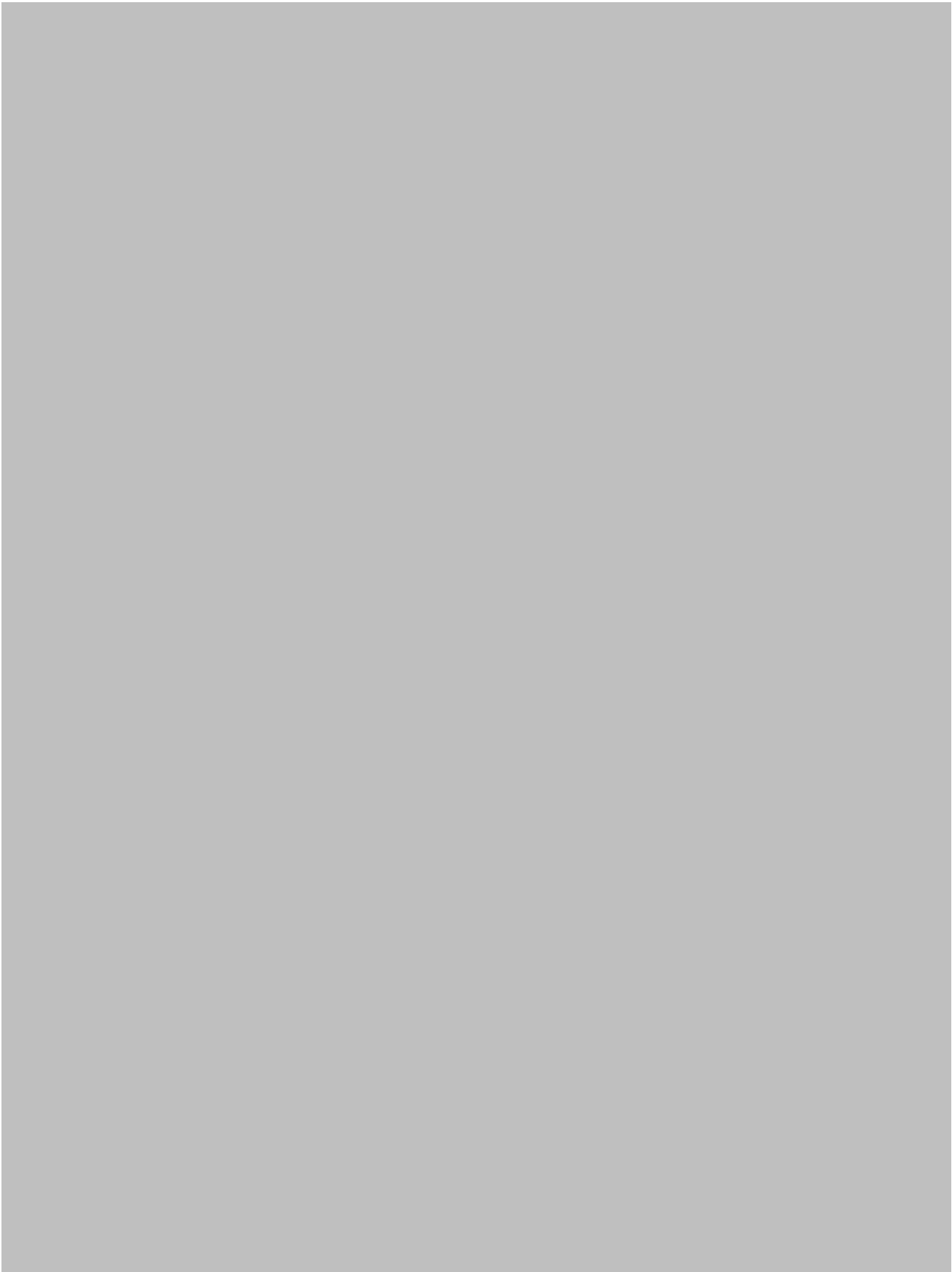


Signature

Date

2.4.1 Resumes

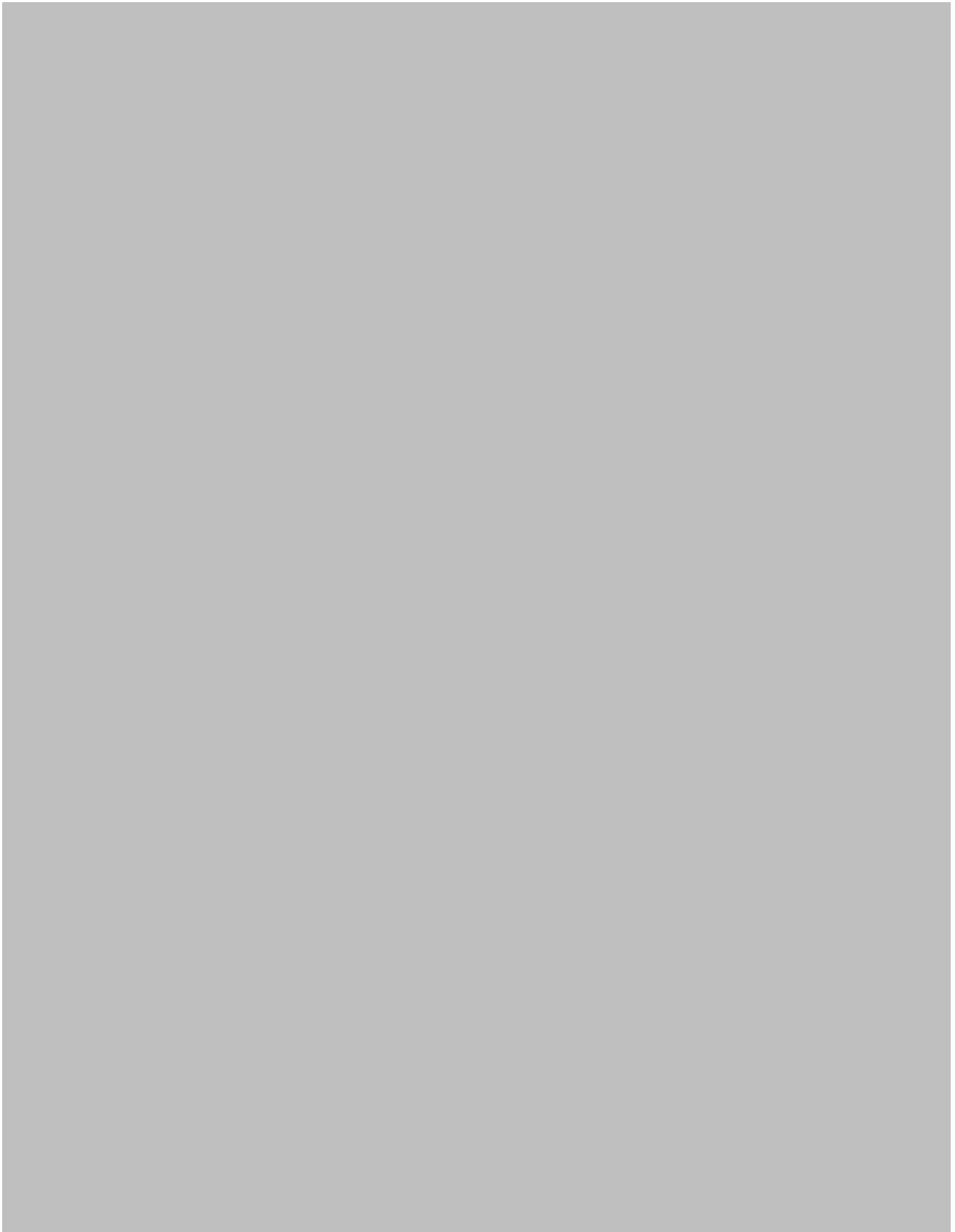
Resumes for our project staff can be found below.



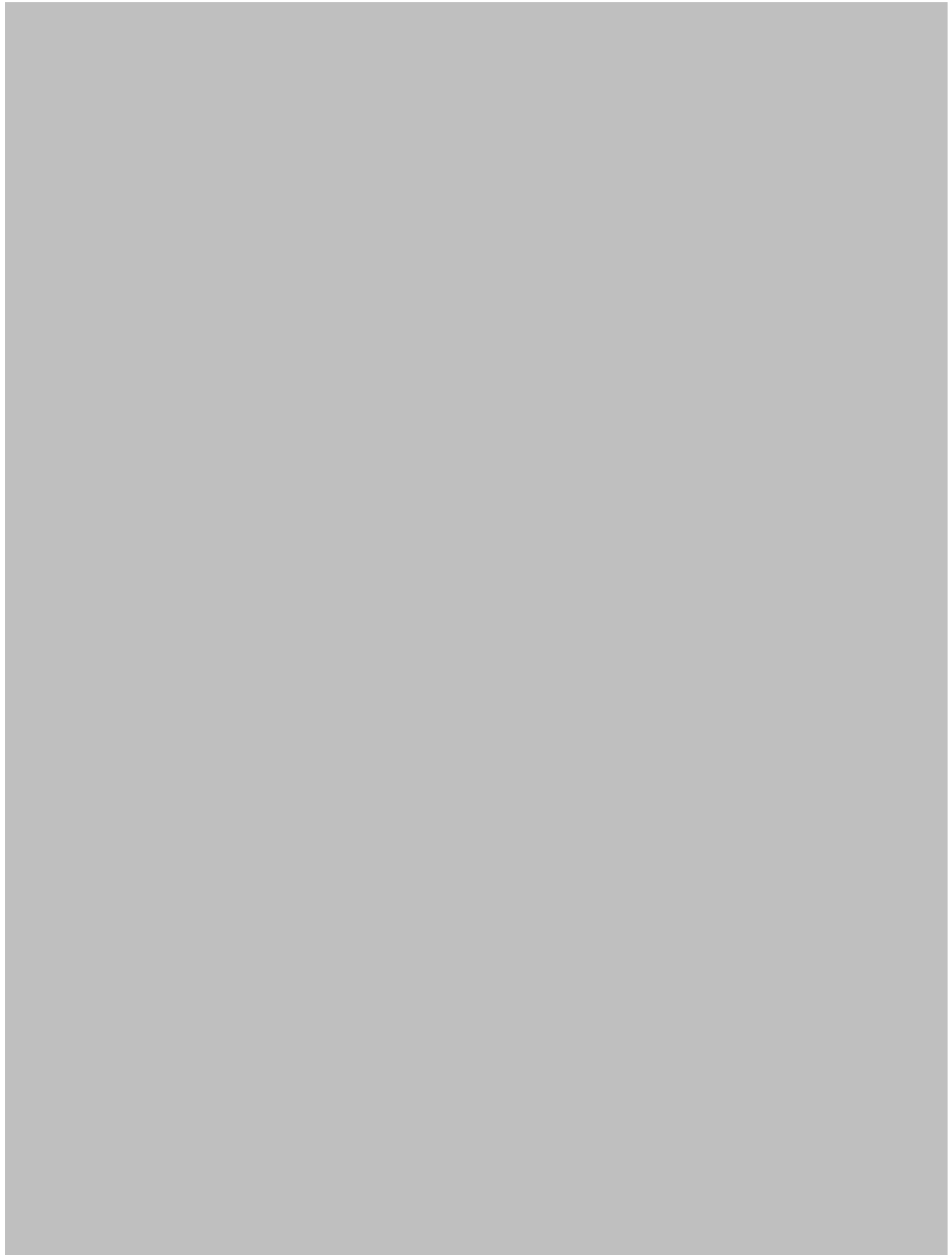




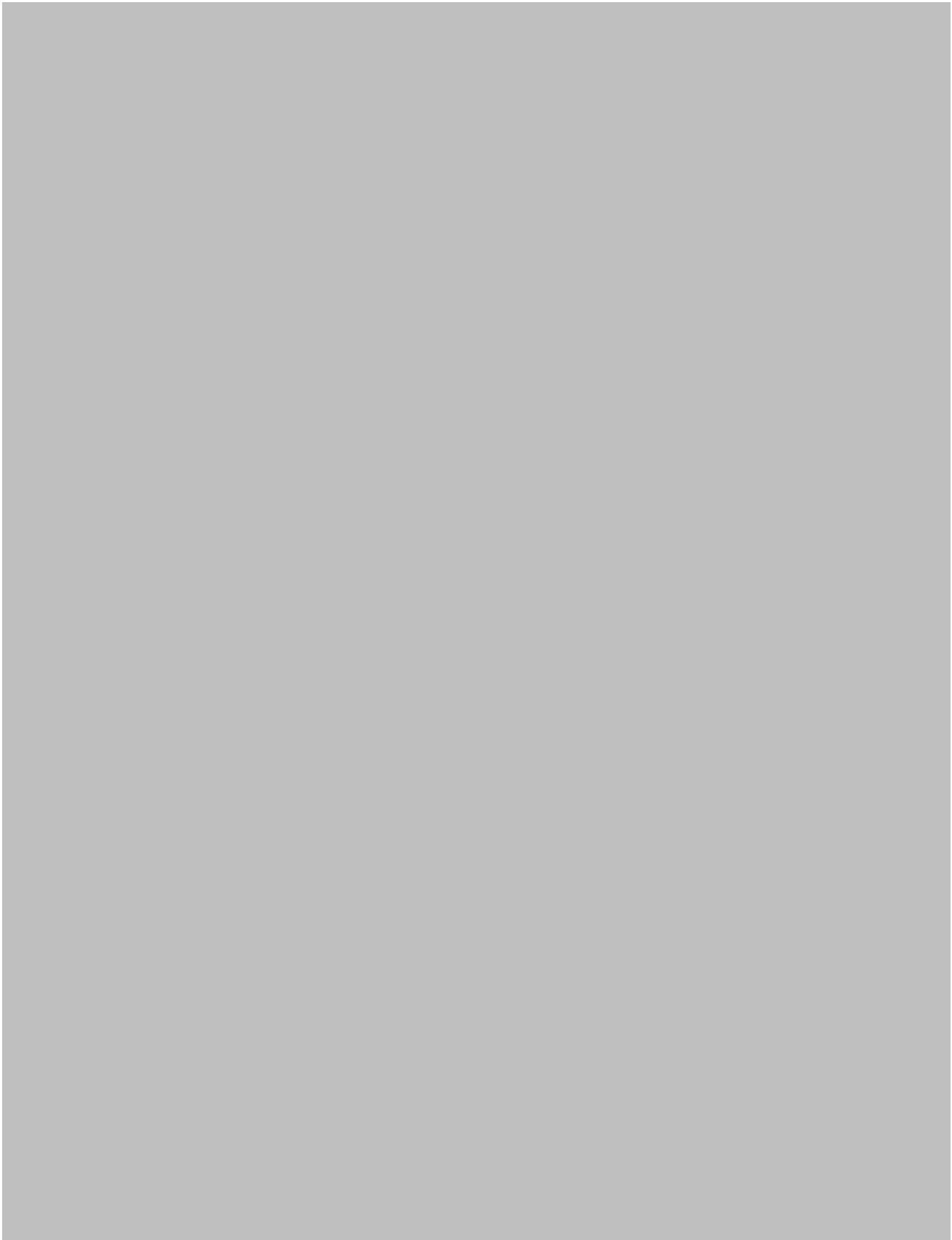








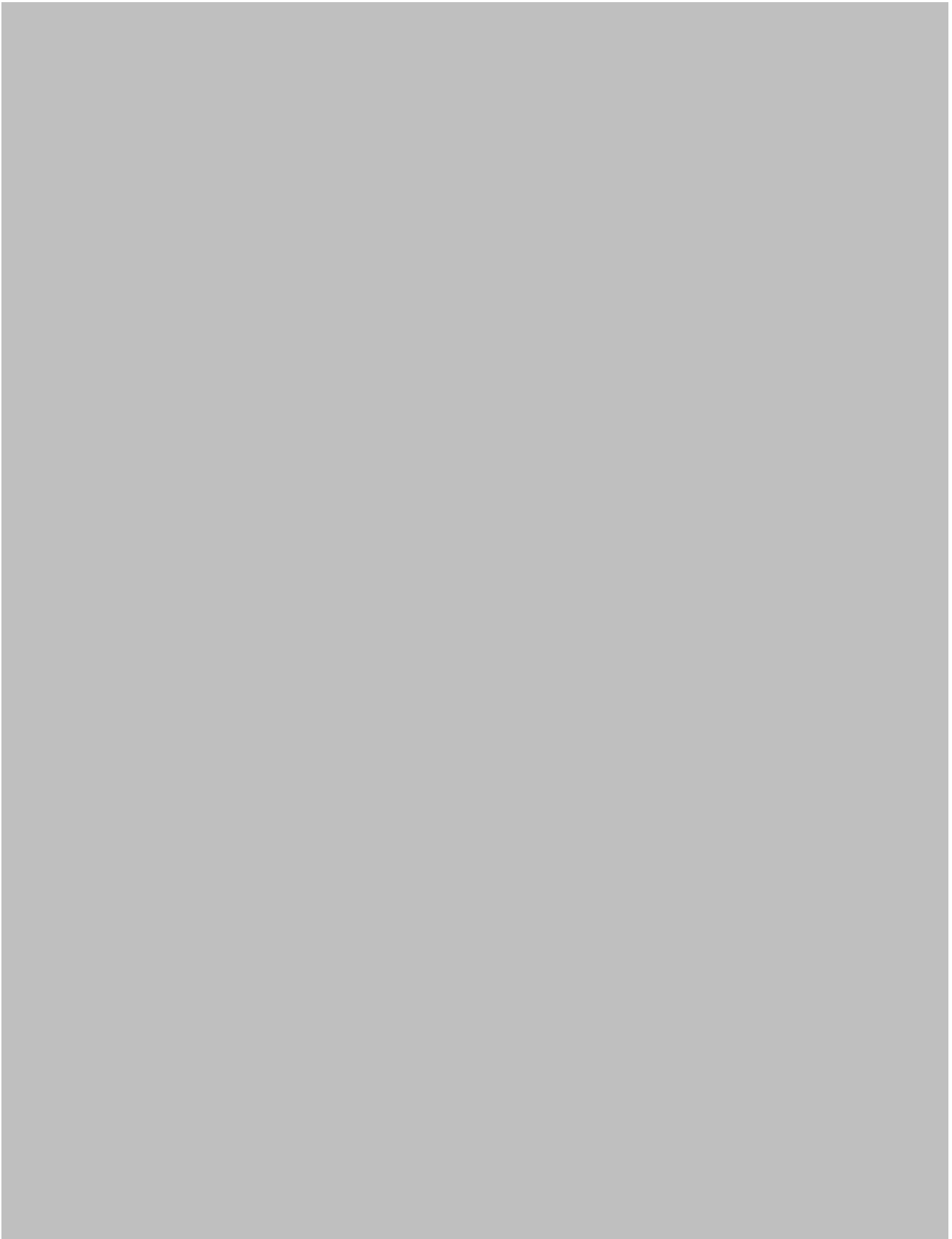




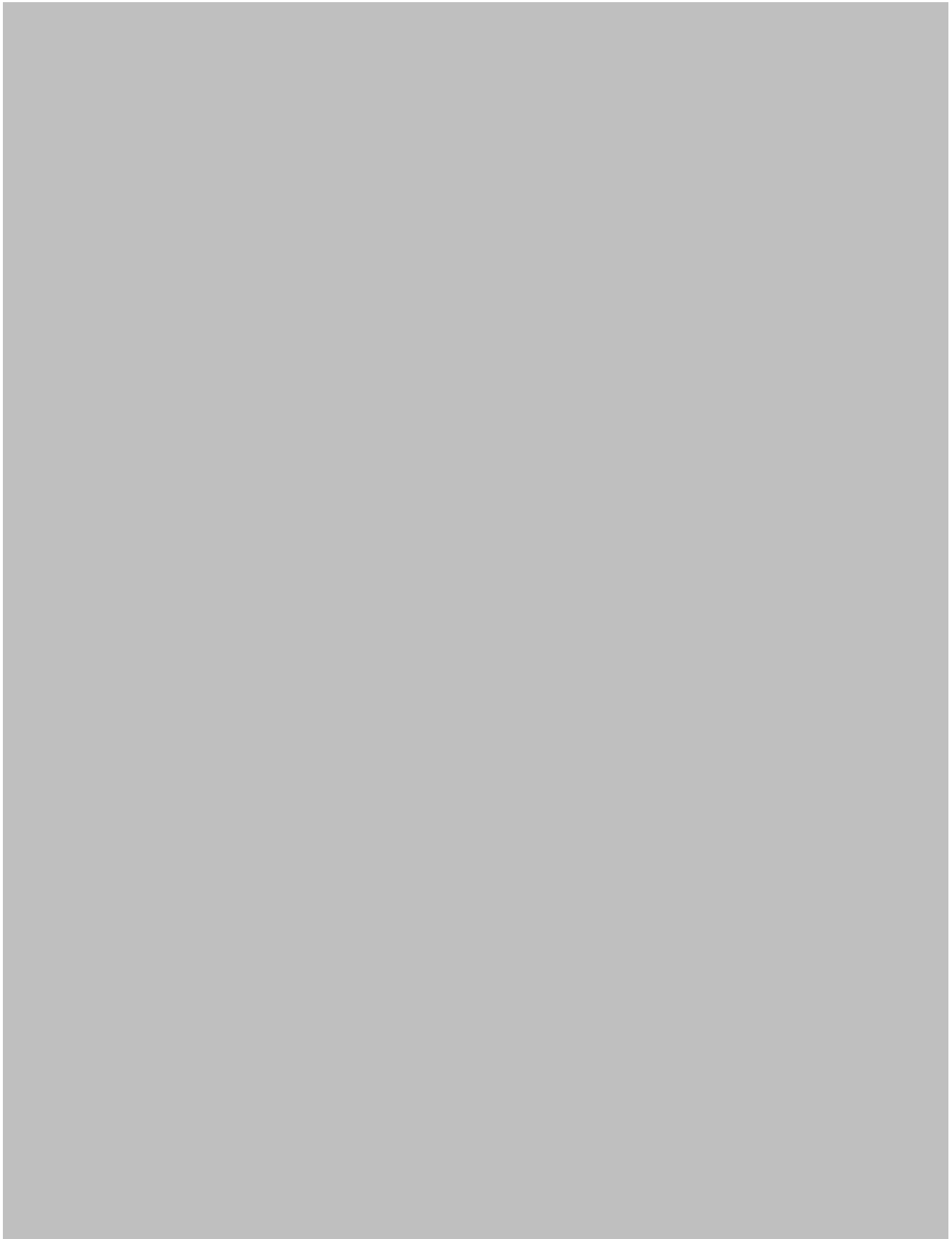


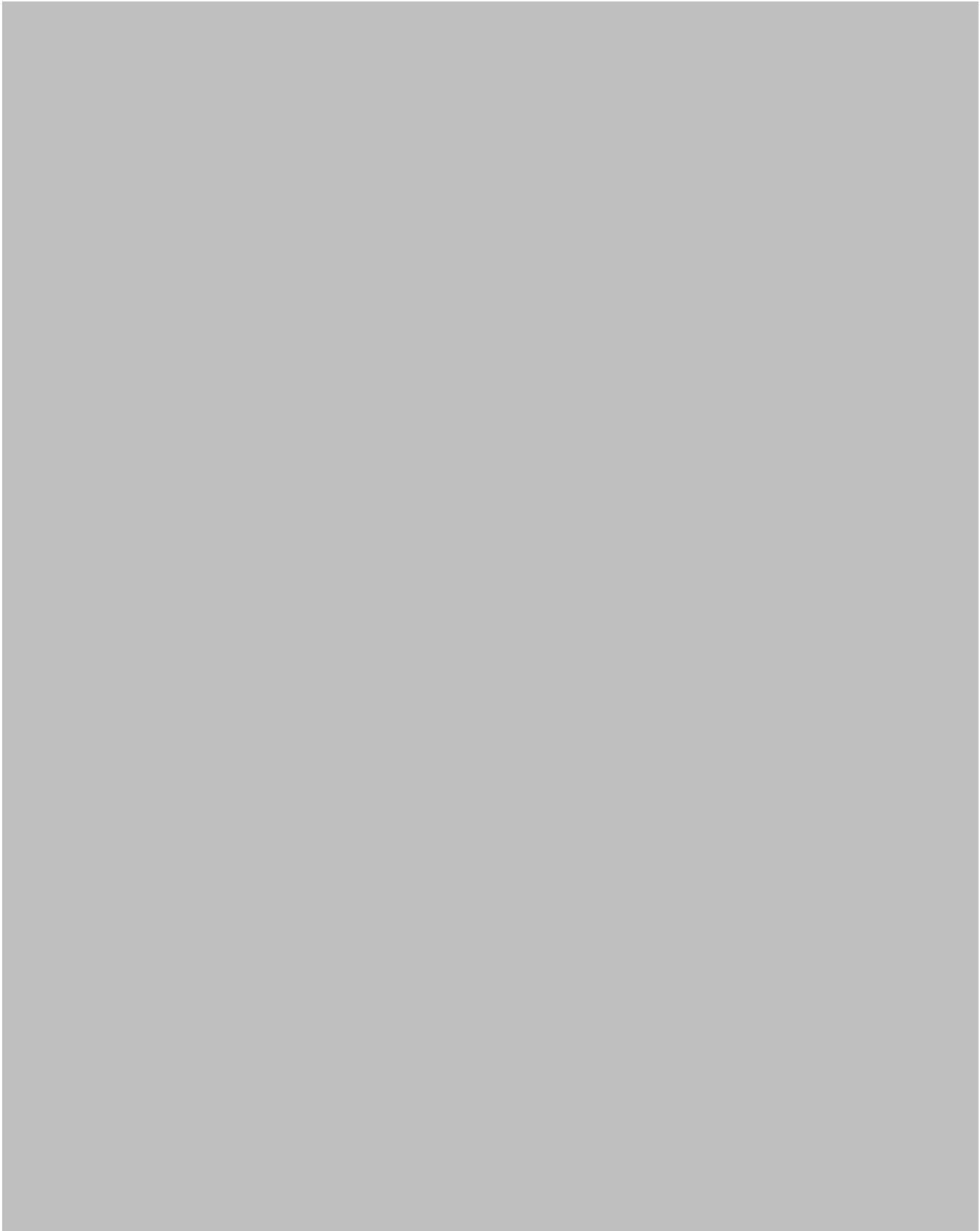












2.5 Subcontractors

RFP Section 4.3

2.5.1 AAIDD Background and SIS Experience



Since 1876, AAIDD has provided worldwide leadership in the field of intellectual and developmental disabilities (IDD). It is the oldest and largest interdisciplinary organization of professionals and others dedicated to promoting progressive policies, sound research, effective practices, and universal human rights for people with IDD. AAIDD is the leader in advocating quality of life and rights for people with IDD. They provide professional training, publications, and support research created by and for professionals who support people with IDD.¹

AAIDD offers several SIS products, specifically:

- **The Supports Intensity Scale-Adult Version™ (SIS-A)** is a standardized assessment tool designed to measure the pattern and intensity of supports that a person aged 16 years and older with IDD requires to be successful in community settings.²

¹ <https://www.aaidd.org/about-aaidd>;

² <https://www.aaidd.org/sis/sis-a>

- **The Supports Intensity Scale-Children’s Version™ (SIS-C)** is a standardized assessment and valid means to measure the relative intensity of support needs of children with intellectual and developmental disabilities, between ages five to 16.³
- **SISOnline** is the AAIDD web-based platform designed to support administering, scoring, and retrieving data and generating reports for the suite of SIS products. The platform has the capacity to support a large number of users and maintain a very large number of records. On this platform, unique data entry, storage, and retrieval portals are available for each of the SIS suite of tools, including the SIS-A and the SIS-C assessment tools.⁴
- **SIS Venture** is an offline desktop application that allows the assessor to score SIS interviews without an internet connection and upload to SISOnline at a later time.⁵

SIS Venture

- Allows assessors to complete assessments offline and upload to SISOnline later
 - Highly useful in geographic areas with limited internet connectivity
 - Eliminates the need for paper assessments, saving paper as well as the cost of booklets
-

2.5.2 Maximus AAIDD Work Portions

Maximus intends to engage AAIDD as the subcontractor for use of the SIS-A platforms SISOnline and SIS Venture. For specific information on how Maximus plans to organize its subcontract with AAIDD for the SIS-A platforms, please see *Sections 3.1*.

Maximus also intends to engage AAIDD as a subcontractor for purposes of training initial assessors on SIS-A. All initial assessors will successfully complete AAIDD SIS-A orientation and initial training. Field-based training will be conducted collaboratively by Maximus and AAIDD. Maximus will provide ongoing training, conducted by our in-state AAIDD certified trainers who will be certified for Vermont. AAIDD will do an annual IRQR with each assessor, whether trained by Maximus or AAIDD. For detailed information on Maximus plans to engage AAIDD for training purposes, please see *Sections 3.2.5 and 3.6.2*.

For subcontracted costs for AAIDD, please see *Section 3.5*.

2.6 Financial Capability

RFP Section 3.5.2.2

Maximus US Services, Inc. (Maximus), a wholly owned subsidiary of Maximus, Inc., is a financially secure company. Maximus, Inc. is a public company founded in 1975 and traded on the New York Stock Exchange (NYSE: MMS). Headquartered in Reston, Virginia, Maximus, Inc. is subject to the rules and regulations of the U.S. Securities and Exchange Commission (SEC),

³ <https://www.aaidd.org/sis/sis-c>

⁴ <https://www.aaidd.org/sis/sisonline>

⁵ <https://www.aaidd.org/sis/product-information>

including the Sarbanes-Oxley Act as well as the rules of the New York NYSE governing corporate integrity and financial reporting.

Our financial strength provides the Department of Disabilities, Aging & Independent Living (DAIL) with the confidence that we will fulfill contractual responsibilities and deliver high-quality, uninterrupted services to our clients. Our financial stability is reflected in our revenue growth, top national industry rankings, comprehensive Annual Report, and high credit ratings. Maximus, Inc. has experienced steady growth and workforce expansion, as shown in *Exhibit 2.6-1: Maximus, Inc. Annual Revenue – 2011-2019*.

Currently, Maximus (D-U-N-S® Number 08-234-7477) commands the highest financial rating (5A1) from Dun & Bradstreet, placing us in the top one percent of all companies in the world in terms of financial strength. In Fiscal Year 2019, Maximus, Inc. had revenues of approximately \$2,886,815,000 (as of September 30, 2019), representing approximately 3,000 contracts.

Since the onset of the COVID-19 pandemic, Maximus Inc. has experienced some disruptions but continues to remain strong financially. Our most recent Annual Report – Form 10-K and our current 8-K for the fiscal quarter ending on June 30, 2020 are available at

<https://investor.maximus.com/financials/secfilings/default.aspx>, which contains audited financial information for Maximus, Inc. and its subsidiaries for the past three years. An audited financial statement (Annual Report – Form 10-K) for Maximus US Services, Inc. (formerly Maximus Health Services, Inc) for the fiscal year ending September 30, 2019 provides evidence of our overall financial stability.

Highlights of Maximus Financials

- Generated an annual revenue of more than \$2.8B in fiscal year 2019, and has experienced steady growth over a 40-year history
- Holds cash and cash equivalents totaling more than \$149M
- Holds the highest financial rating (5A1) from Dun & Bradstreet, demonstrating our creditworthiness

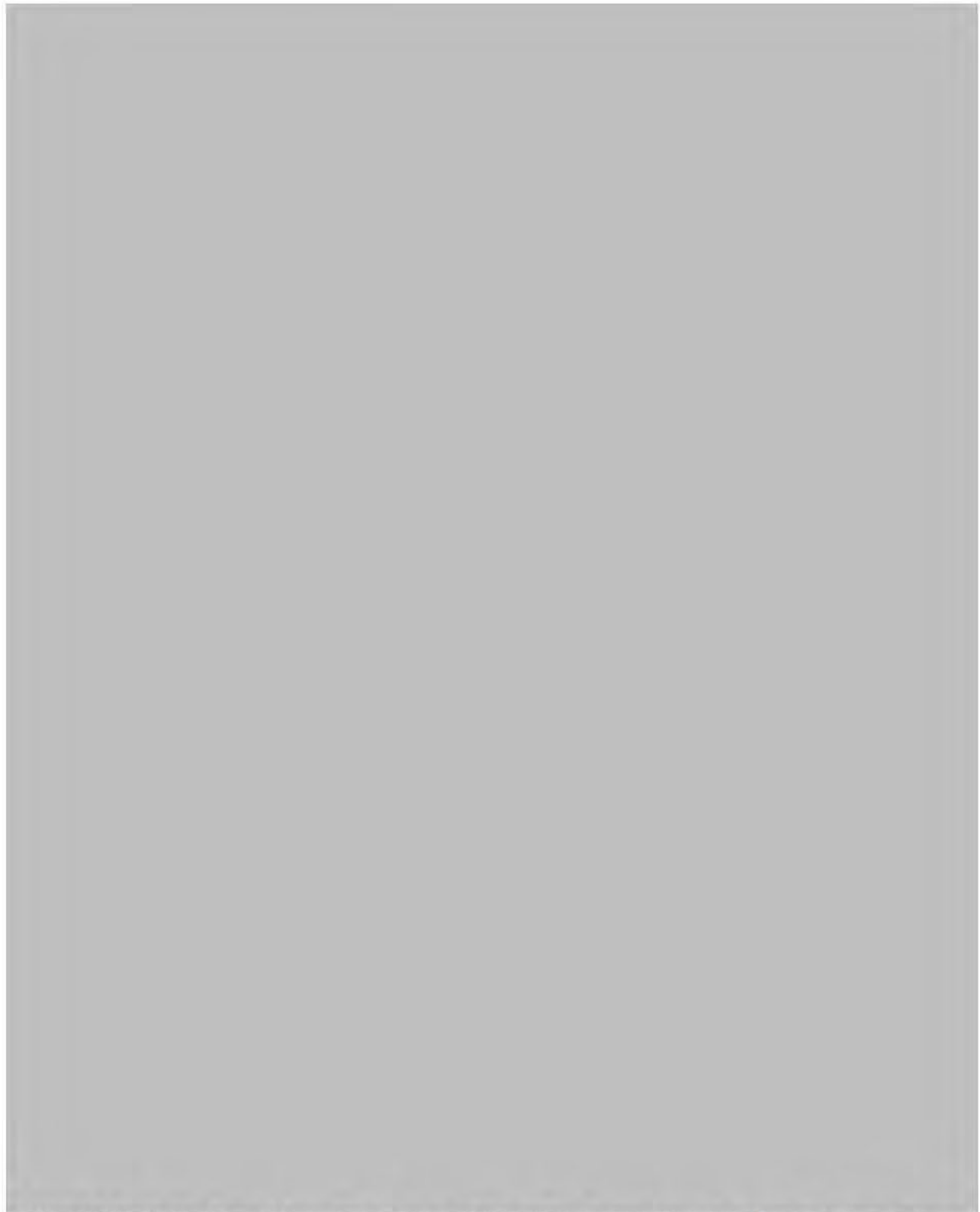
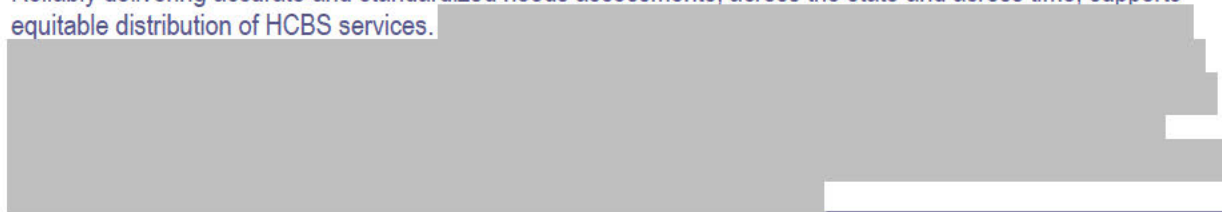


Exhibit 2.6-2: Key Indicators Demonstrate Financial Strength to Support Vermont's Needs. *Maximus has significant financial strength and strategic liquidity to operate successfully in today's economic conditions; this translates to stability and capacity to support the Needs Assessment project.*

[Redacted content]


3. Technical Response to Section 2

Accurate assessment of individuals' needs provides a necessary foundation for the delivery of the right person-centered services, at the right intensities, in the right settings for each individual served through HCBS waivers. Reliably delivering accurate and standardized needs assessments, across the state and across time, supports equitable distribution of HCBS services.

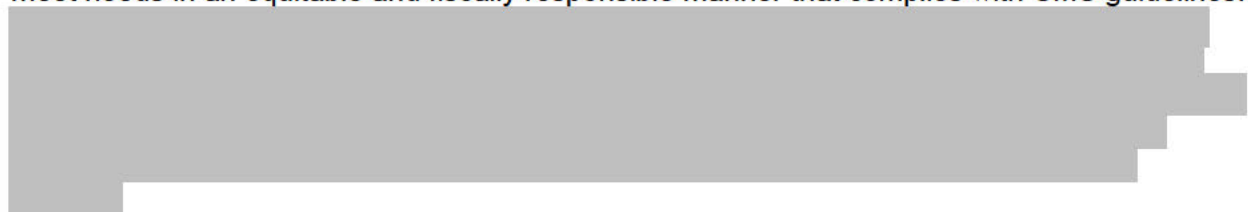


RFP Section 4.1.2.; 3.5.2.2; 2.7.2

The Centers for Medicare & Medicaid Services (CMS) require states receiving Home and Community-based (HCBS) waiver funding to conduct a standardized assessment to assure that the needs of individuals with intellectual and developmental disabilities (IDD) are measured uniformly. Additionally, recent CMS regulations have addressed the conflict of interest inherent to using a single vendor to provide both assessments and service delivery. To address these and other concerns, Vermont has decided to transition from its existing assessment tools and model to the standardized process offered by the American Association of Intellectual and Developmental Disabilities (AAIDD) through its Supports Intensity Scale[®] (SIS) assessment program.



As Vermont transitions to the SIS, it seeks consistent reliability and quality in its assessments to meet needs in an equitable and fiscally responsible manner that complies with CMS guidelines.



Understanding Vermont's Needs

In the past, Vermont used a state-developed assessment vehicle not subject to the same rigorous validity testing and normalization process as the SIS assessment. State Officials voiced concern that the current assessment process performed by service providers is subject to conflicts of interest, while driving significant costs and being inconsistent across designated agencies. Consequently, the State focused on assuring the highest quality and accuracy in assessment outcomes as well as equity in service plans across their population, avoiding the significant variation found in past assessments. As Vermont transitions to the SIS, stakeholders share concerns about the impacts on both planning teams and the individuals receiving these services. Concerned advocates seek assurances about the transition of needs assessments to a third-party vendor that understands Vermont's system of care and is familiar with the unique Vermont healthcare landscape. Individuals facing both initial and ongoing reassessments are

concerned with how the change in approach will affect the distribution of available resources and the services they will receive. Overlaying all of these concerns are the safety risks posed by performing face-to-face assessments in the midst of a pandemic.

[Redacted text block]

AT A GLANCE

- [Redacted]
- [Redacted]
- [Redacted]
- [Redacted]
- [Redacted]
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- [Redacted]

Maximus Best Supports Vermont's SIS Transition

Maximus is prepared to mitigate potential risks inherent in changing the assessment process for individuals with IDD.

[Redacted text block]

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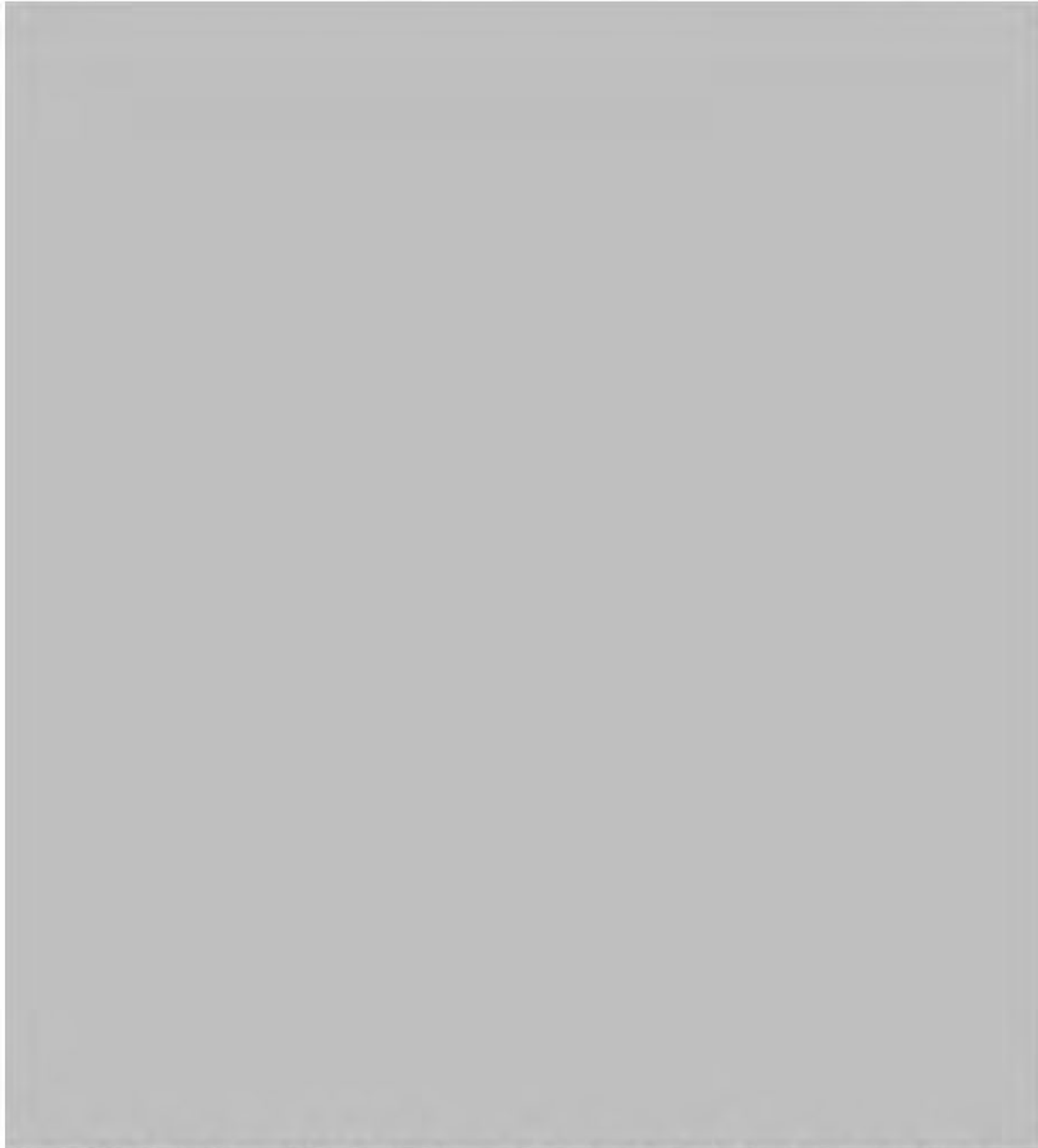


Exhibit 3-2: Solution Summary Highlights. *Maximus offers our updated staffing model and custom technology backed by our wealth of SIS operations expertise to provide DAIL and its stakeholders with accurate, reliable, and timely SIS assessments.*

Basic components of our solution—deployed and fully operational in several states—include:



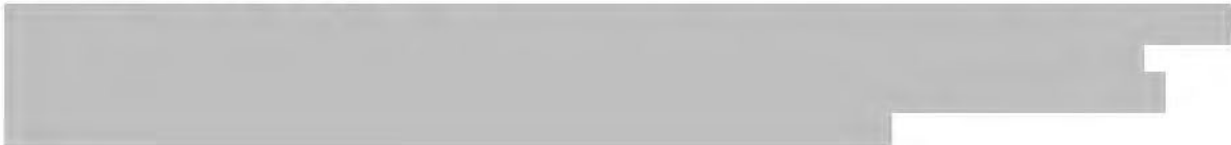








Exhibit 3-3: Vermont's Expectations. *Vermont needs a vendor that can bring the techniques, skills, and abilities central to a successful SIS program.*



•

3.1 AAIDD SIS-A Assessment Instrument and Platform

RFP Section 2.1

CMS requires states receiving waiver funding to conduct a standardized assessment to ensure that the needs of individuals with IDD are measured uniformly. The SIS, first published in 2004, was developed by the AAIDD over a five-year period and is used internationally for personalized supports planning. The AAIDD has been the foremost leader in establishing philosophical and service models for persons with IDD since 1976.



Our results, as verified by a Human



Human Services
Research Institute

introduction of a new assessment methodology, overcoming stakeholder fear of inaccurate assessments leading to inappropriate service levels or supports.

3.1.1 Assessment Instrument and Supplemental Questions

Maximus commits to entering all completed assessments and narrative into the AAIDD SIS-A platform. Below we discuss the SIS-A assessment instrument and supplemental questions.

AAIDD SIS-A Instrument

To support its transition to the SIS-A, DAIL

[Redacted content]

SIS Supplemental Questions

[Redacted content]

[Redacted content]

3.1.2 Negotiate Contract with AAIDD

[Redacted content]

[Redacted]

3.1.3 Perform Application Administrator Responsibilities

[Redacted]

3.1.4 Load Completed Assessments and Narrative into the AAIDD SIS-A Platform



[Redacted]

[Redacted]

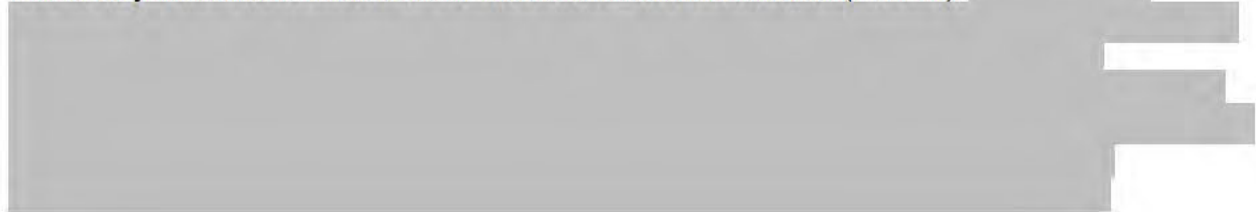


Exhibit 3.1.4-1: Quality Review Cycle. *The integration between SISPro and SISOnline automates the quality review cycle, expediting the process and documenting the findings.*



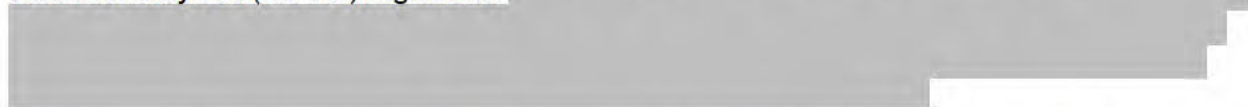
3.1.5 Secure Data Access Agreement

Maximus understands the importance of maintaining security and privacy protections for all Personally Identifiable Information/Protected Health Information (PII/PHI).



3.1.6 Business Associate Agreements

Maximus routinely works with PHI covered by the Health Insurance Portability and Accountability Act (HIPAA) regulation.



3.1.7 Contractually Require that AAIDD Maintain a Plan of Action and Milestones (POAM) Document



[Redacted]

3.1.8 Contractually Require that AAIDD Transmit Assessment Data to DAIL

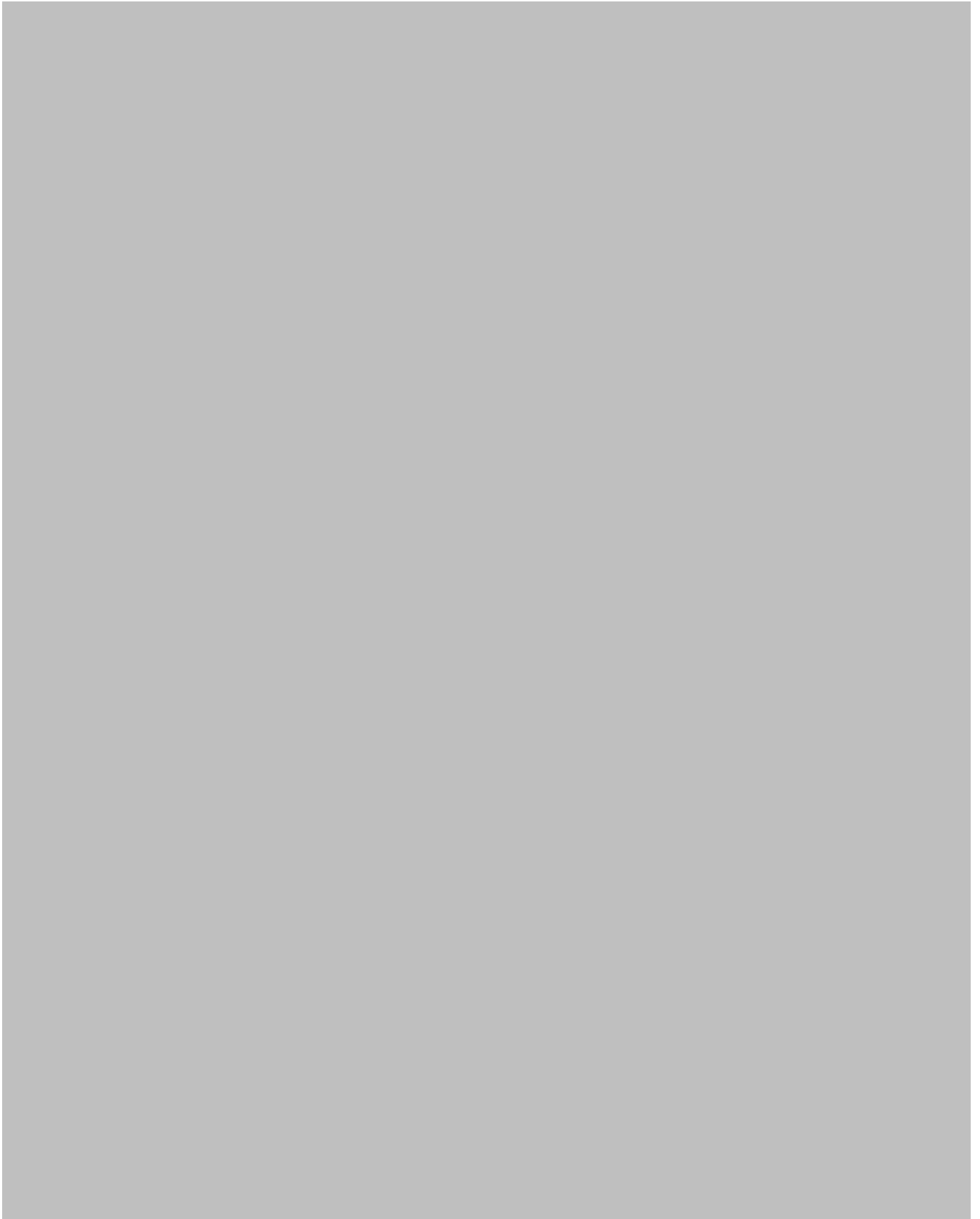
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3.1.9 Assessment Platform Overview

[Redacted]

Exhibit 3.1.9-1: Maximus Vermont

[Redacted]





3.2 Assessors

RFP Section 2.2

[REDACTED]

Assessor quality plays a critical role in successful execution of the Vermont Needs Assessment project.

3.2.1 Availability of Assessors

[REDACTED]

We focus on making our assessors conveniently accessible for individuals. We will position our field-based assessors throughout the state, reducing the time they have to travel to reach individuals for assessment. To assure that both individuals and their respondents can participate most easily, our assessors will be available at convenient assessment times, including during business hours, evenings, and weekends.

Maximus has successfully recruited and credentialed statewide networks of clinical assessment professionals—including Qualified Intellectual Developmental Professionals (QIDPs), Qualified Mental Health Professionals (QMHPs), counselors, social workers and other similarly credentialed assessors—across 17 states. For each of our SIS projects, we seek IDD professionals consistent with AAIDD’s recommended assessor credentials. When recruiting SIS assessors, we target IDD professionals who:

- Have completed at least a baccalaureate degree in a health and human services related field
- Have at least one year of experience working directly with individuals IDD (for example psychologist, special education teacher, case manager, social worker, speech and language therapist, direct supports provider)
- Exhibit the soft skills necessary to successfully administer the SIS assessment, such as effective and compassionate and listening and communication

3.2.2 Assuring an Adequate Number of Fully Trained Assessors

[Redacted]

3.2.3 Assessor Background Checks

To deliver safe and secure services to the individuals we serve, we follow strict protocols to hire high-caliber, clinically excellent personnel to perform SIS-A assessments.

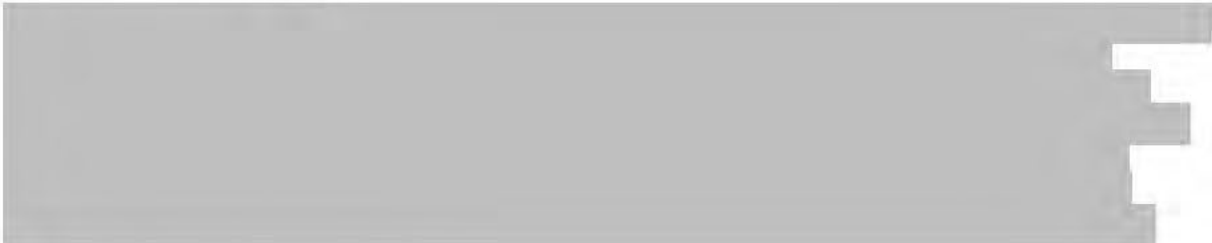
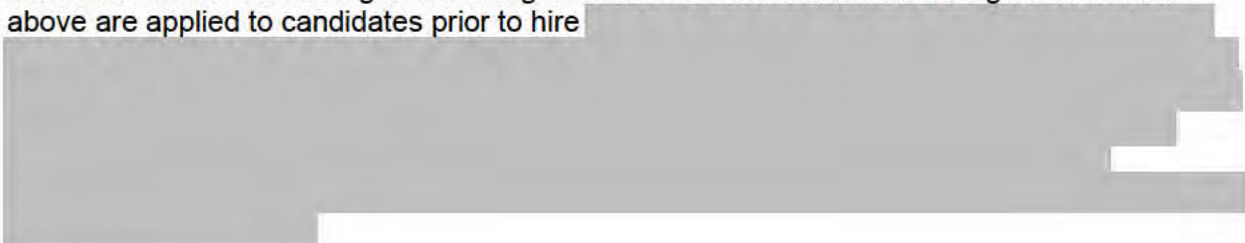
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Exhibit 3.2.3-1: Multi-Faceted Background Checks Result in Thorough Assessor Vetting. *Maximus credentialing standards ensure that all required background checks for assessors are conducted prior to onboarding.*

Maximus' strict credentialing and training standards ensure that all the background checks above are applied to candidates prior to hire





3.2.4 Assessor Education and Experience



To meet Vermont's requirements, Maximus attests that all individuals hired to perform SIS-A assessments for the state of Vermont will satisfy or exceed the guidelines for Qualified Intellectual Disability Professionals (QIDP) as documented in 42 CFR 483.430 (a).

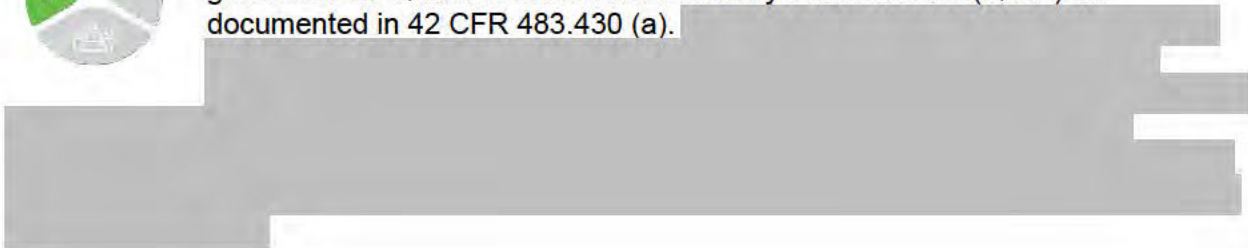


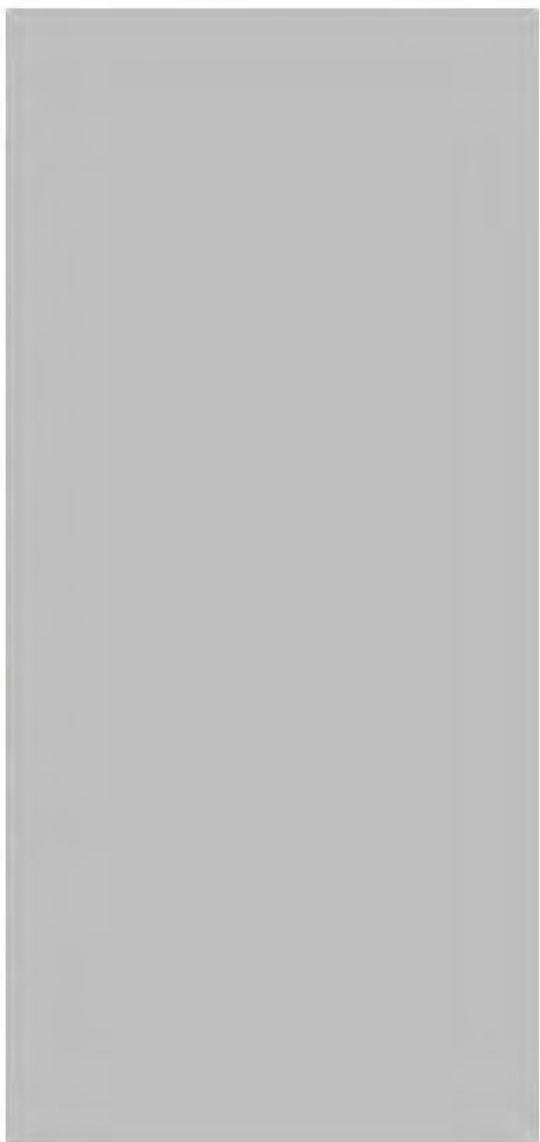


Exhibit 3.2.4-1: Essential Skills and Traits for Assessors. *Maximus will select SIS assessors who embody the qualities prescribed by Maximus and AAIDD.*





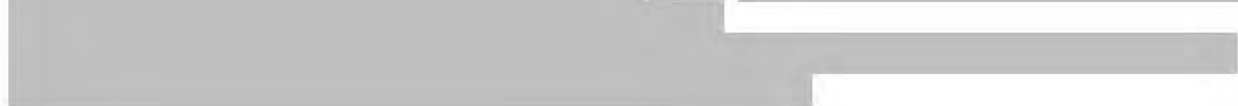
Exhibit 3.2.4-2: Assessor Recruitment and Training Timeline. *Maximus has a comprehensive recruiting process that will result in a team of qualified assessors ready to provide services.*

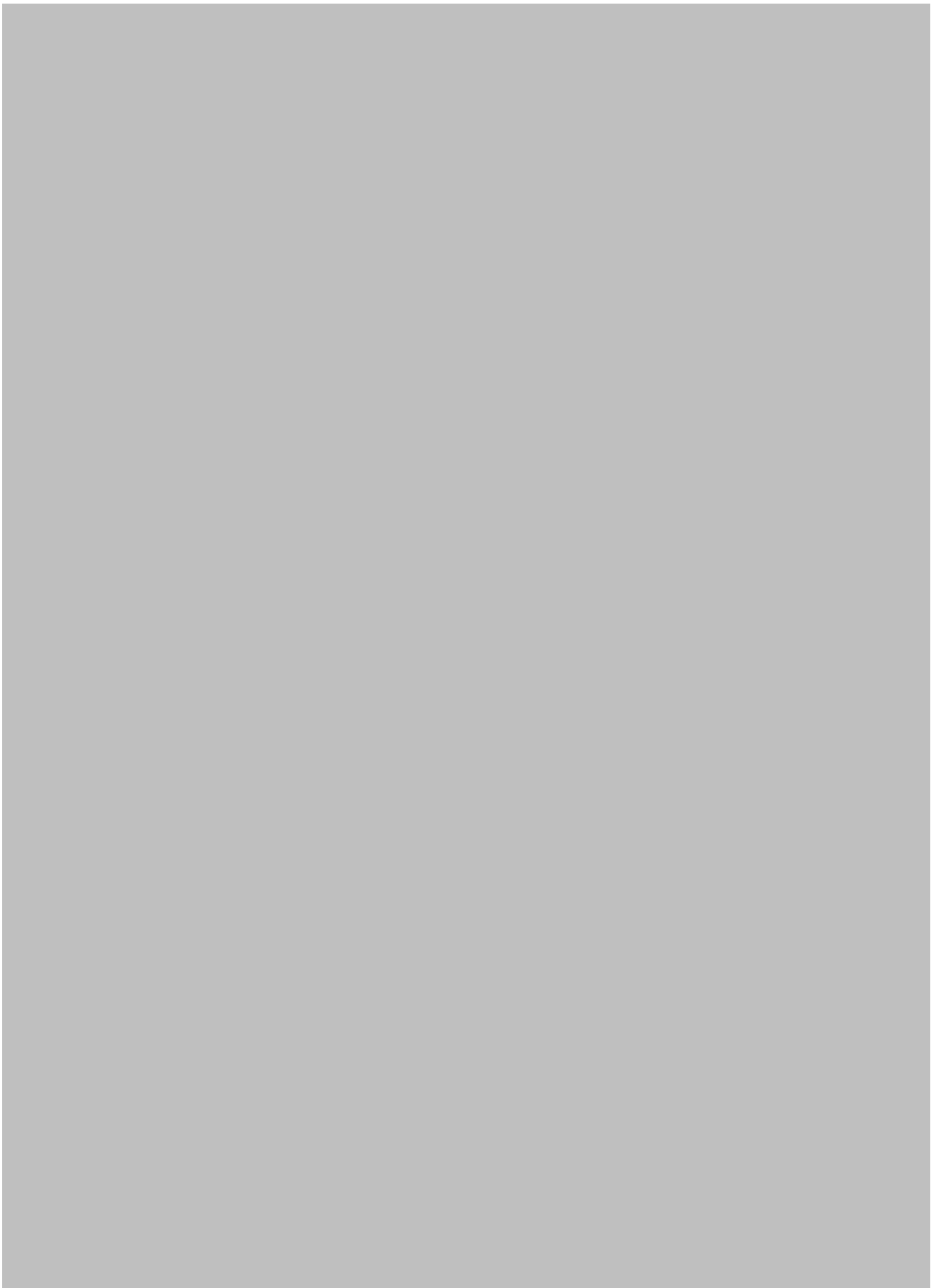


3.2.5 Assessor Completion of AAIDD SIS-A Orientation and Training



As a leading provider of SIS services, we have well-established AAIDD compliance and training procedures in place.







3.2.6 Managing, Supervising, and Monitoring Assessor Performance



For a more detailed discussion of how Maximus will implement our management, supervision, and performance monitoring practices, refer to *Section 3.6.5: Supervision and Management of Assessors*.

3.3 Assessment Process

For some individuals seeking services through DAIL's HCBS Waiver, delays in assessment completion can ultimately result in delays in delivery of necessary services. DAIL requires an experienced vendor familiar with common barriers to timely scheduling and completion of SIS assessments and strategies to mitigate issues to prevent delays.

Maximus provides the right blend of technology, scheduling and assessment methodologies, and training honed over 13 years of SIS experience to consistently meet performance expectations in service to DAIL and its stakeholders throughout Vermont.

RFP Section 2.3

Maximus has developed and refined our assessment workflow over the course of hundreds of thousands of SIS assessments. Our operational model encompasses all aspects of SIS administration—from referral (or creation of a rotation) to conducting SIS assessments—that are complete, quality reviewed, and finalized in SISOnline. Combined with our intensive emphasis on fidelity to assessment protocols, training, quality improvement, our assessment process generates consistently accurate, valid, and reliable SIS outcomes across assessors, regions, and time.

As the nation's leading assessment provider, we understand the need to listen to our state customers, individuals and families, providers, and every impacted stakeholder to understand

and address their concerns. This approach leads to lasting solutions that improve the program for all stakeholders.

3.3.1 Scheduling Assessments

RFP Section 2.3.1; 2.3.2; 2.3.3

Scheduling the assessment and coordinating the contact of all required respondents is one of the more complex activities.

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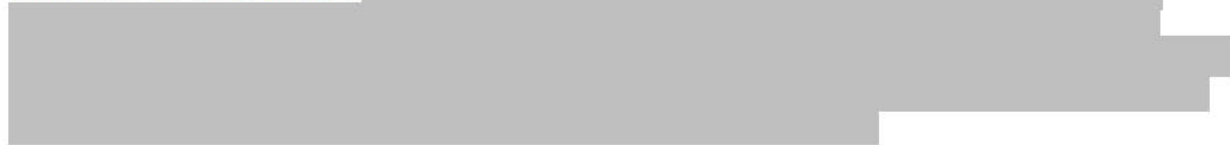


Exhibit 3.3.1-1: SIS Scheduling Workflow. *Our process results in consistent and effective SIS assessment scheduling, minimizing cancelled or delayed assessments.*



3.3.1.1 Referral of Individuals for Assessment

Maximus understands that all people referred for assessment or reassessment will have been found eligible for SIS-A assessments by an approved party before a referral is made to the contractor for assessment.

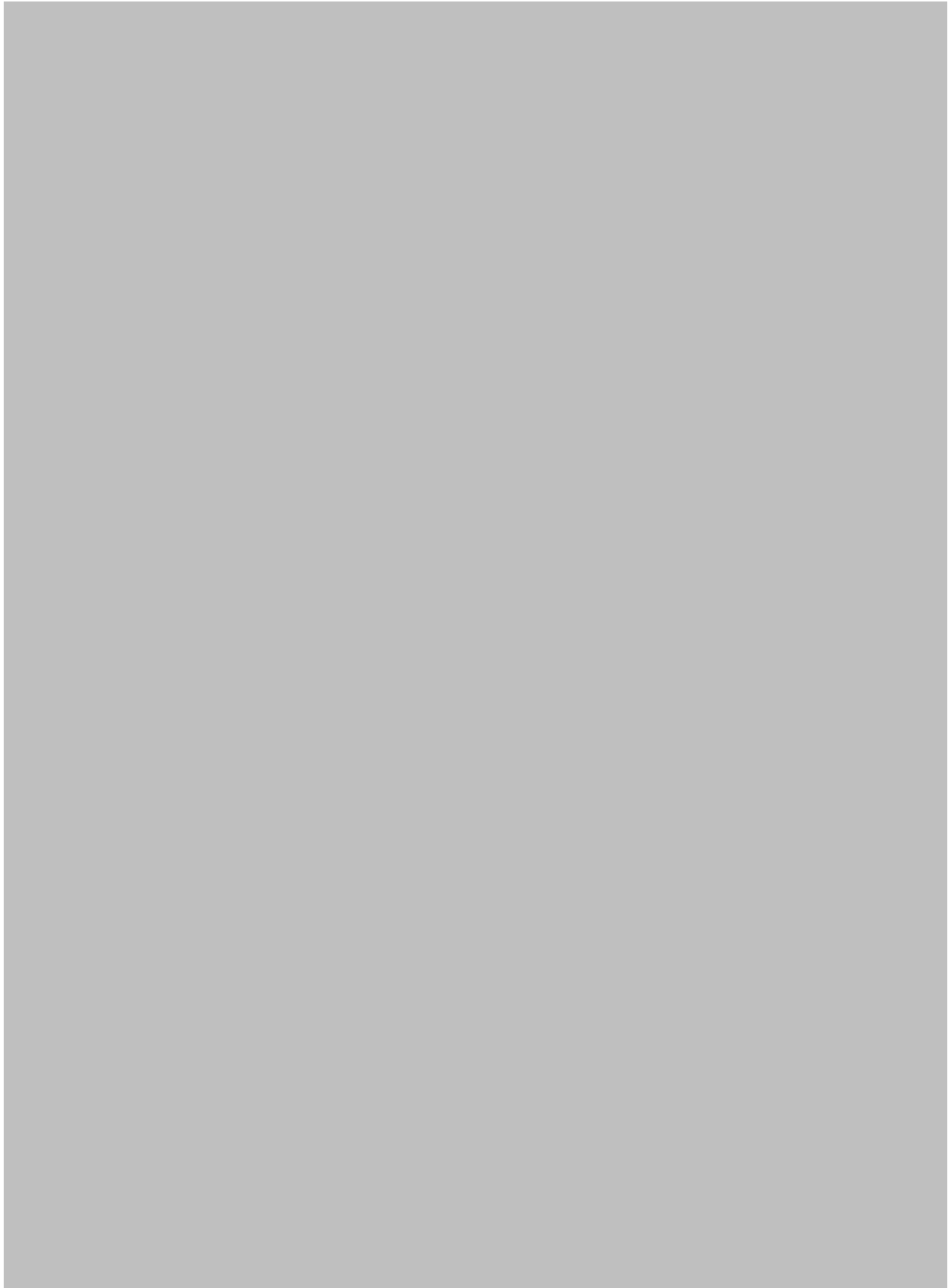


3.3.1.2 Managing Scheduling and Completion of Assessments

Maximus offers our proven methodology for scheduling and completing assessments, enhanced by our proprietary SISPro assessment workflow platform, which results in efficient scheduling and improved outcomes. Our approach is described in detail in the subsections below.







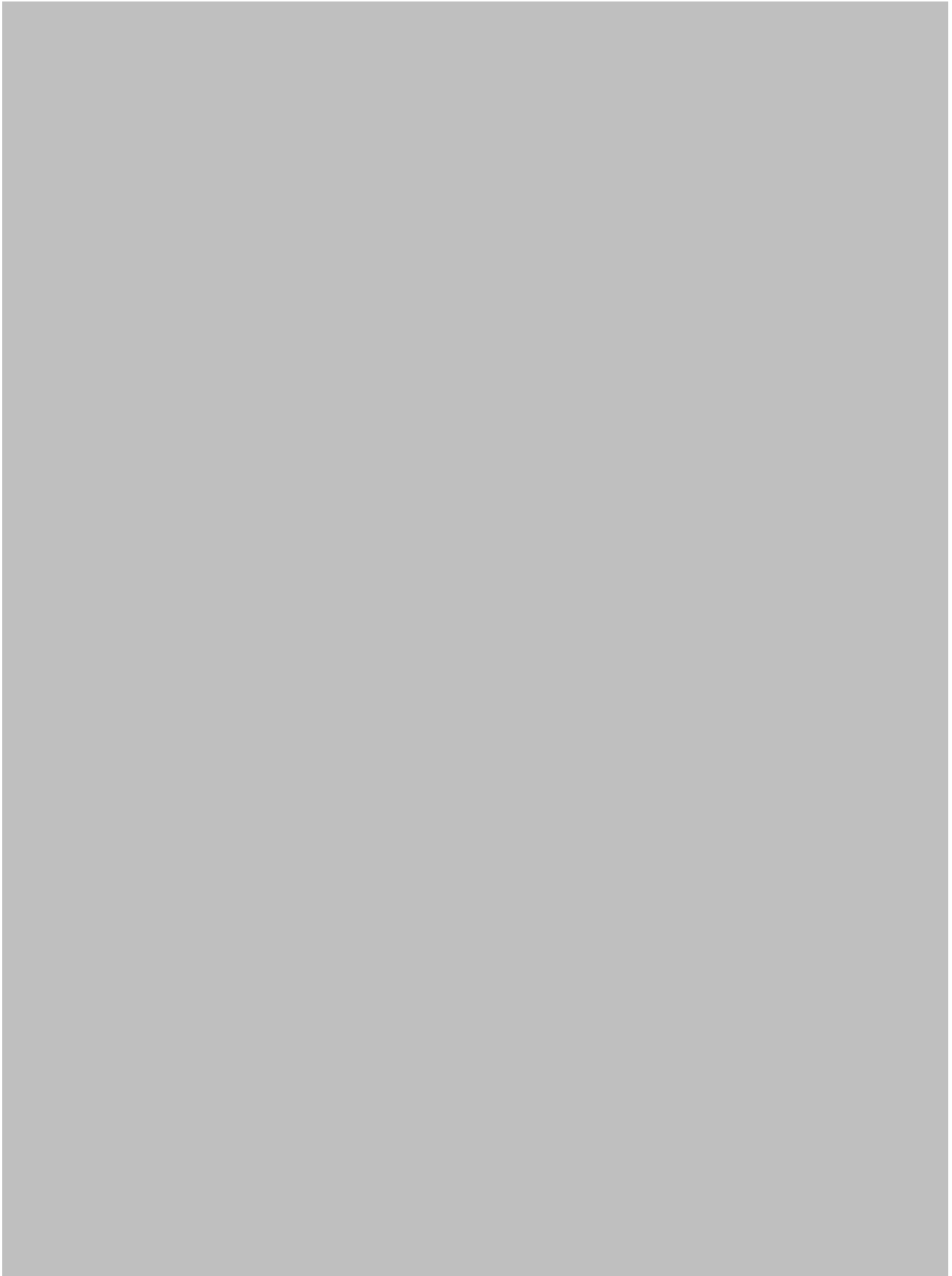
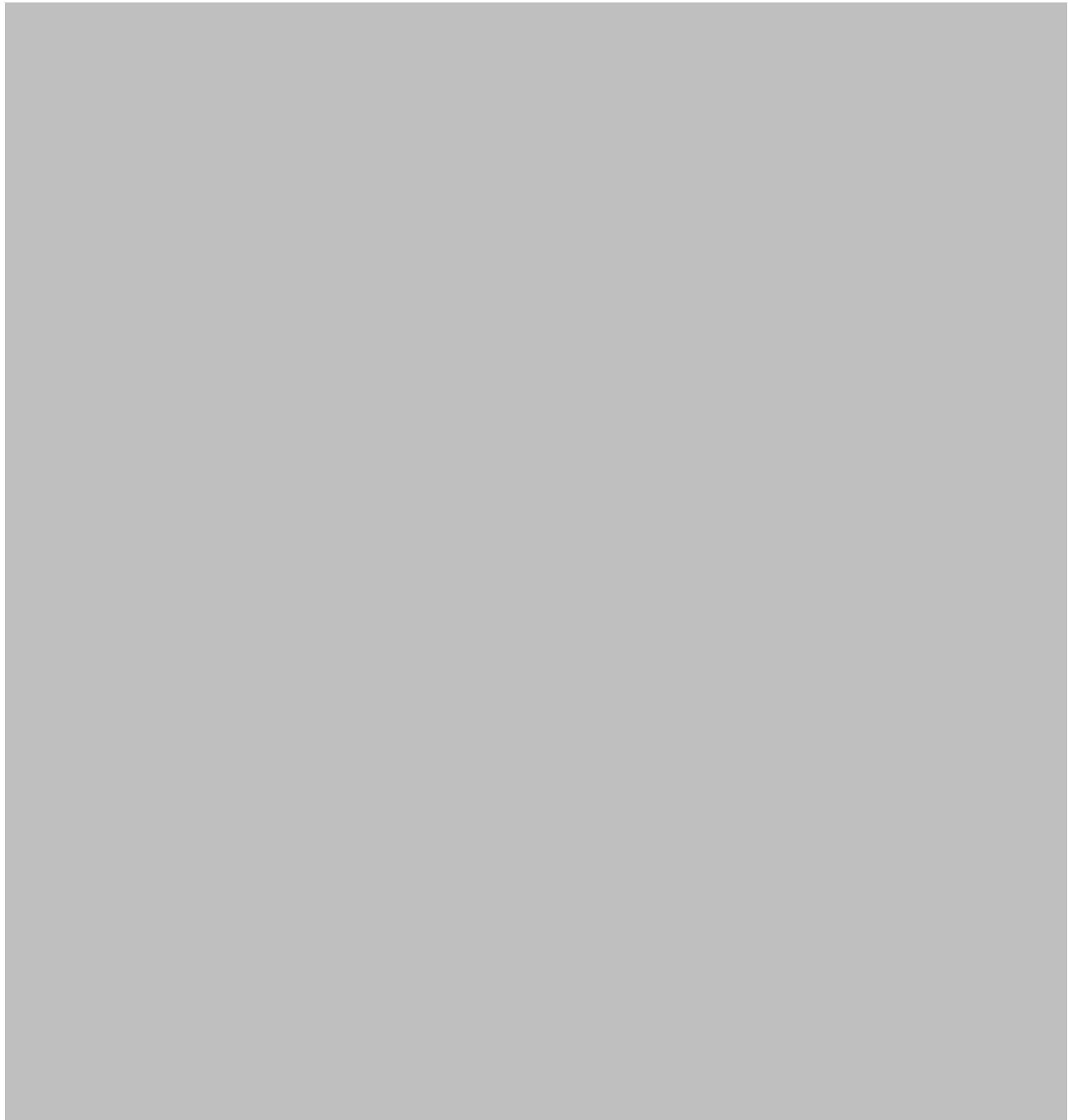




Exhibit 3.3.1-4: SIS Scheduling Steps. *Our process meets Vermont's requirements, using technology to expedite the scheduling and confirm the participation of necessary stakeholders in the assessment.*











3.3.1.3







3.3.2 Conducting Assessments

RFP Section 2.3.4

Additionally, when scheduling the SIS, our Scheduler will inquire about any accessibility and accommodation needs. We take many factors into consideration, such as communication, mobility, or transportation support needs, and will schedule the assessment for a location accessible for all respondents.

. Our translation vendors provide statewide coverage and offer comprehensive multi-language translation and consulting solutions. As noted in *Section 3.3.1 Scheduling Assessments*, we will assure necessary accommodations are in place to facilitate maximum participation of all participants.





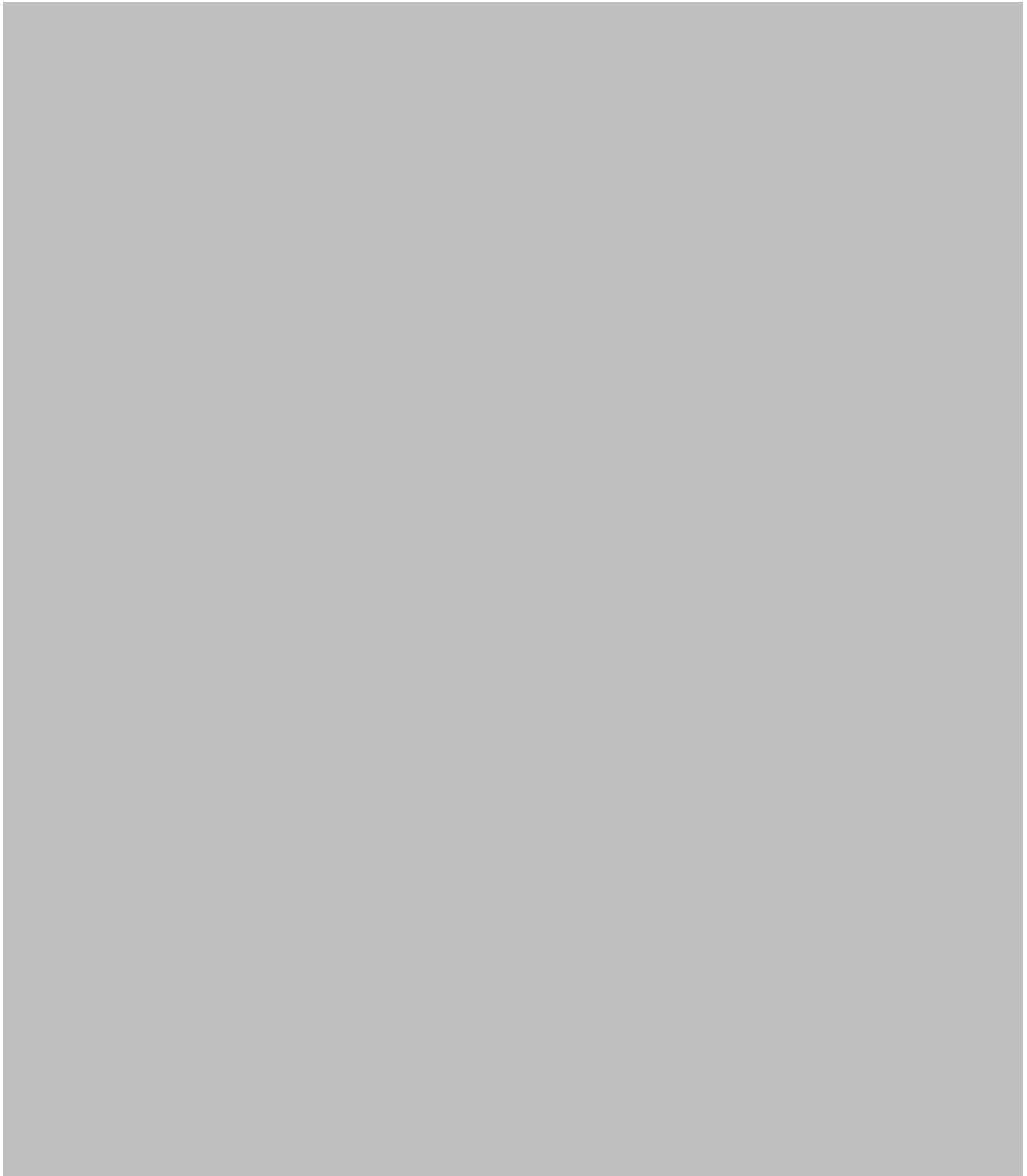
Exhibit 3.3.2-1: Conducting Assessments Workflow. *Our process for conducting and verifying the quality of our assessments has been tested in three states, offering Vermont confidence in our ability to deliver assessments of the highest reliability.*





Exhibit 3.3.2-2: Signature Form. *We use the Signature Form to document all persons attending the assessment, as well as to confirm the extent and nature of their relationship with the individual.*





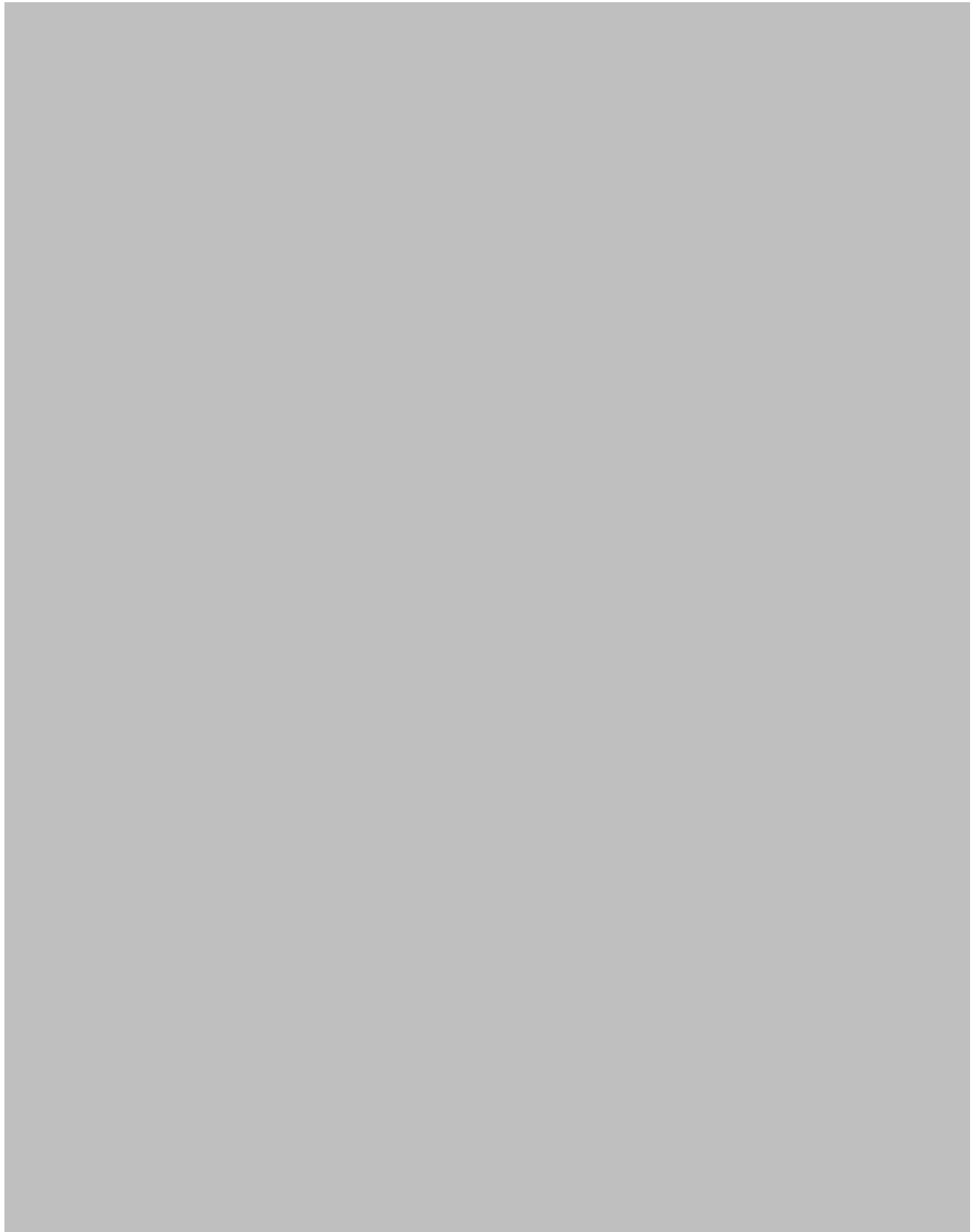


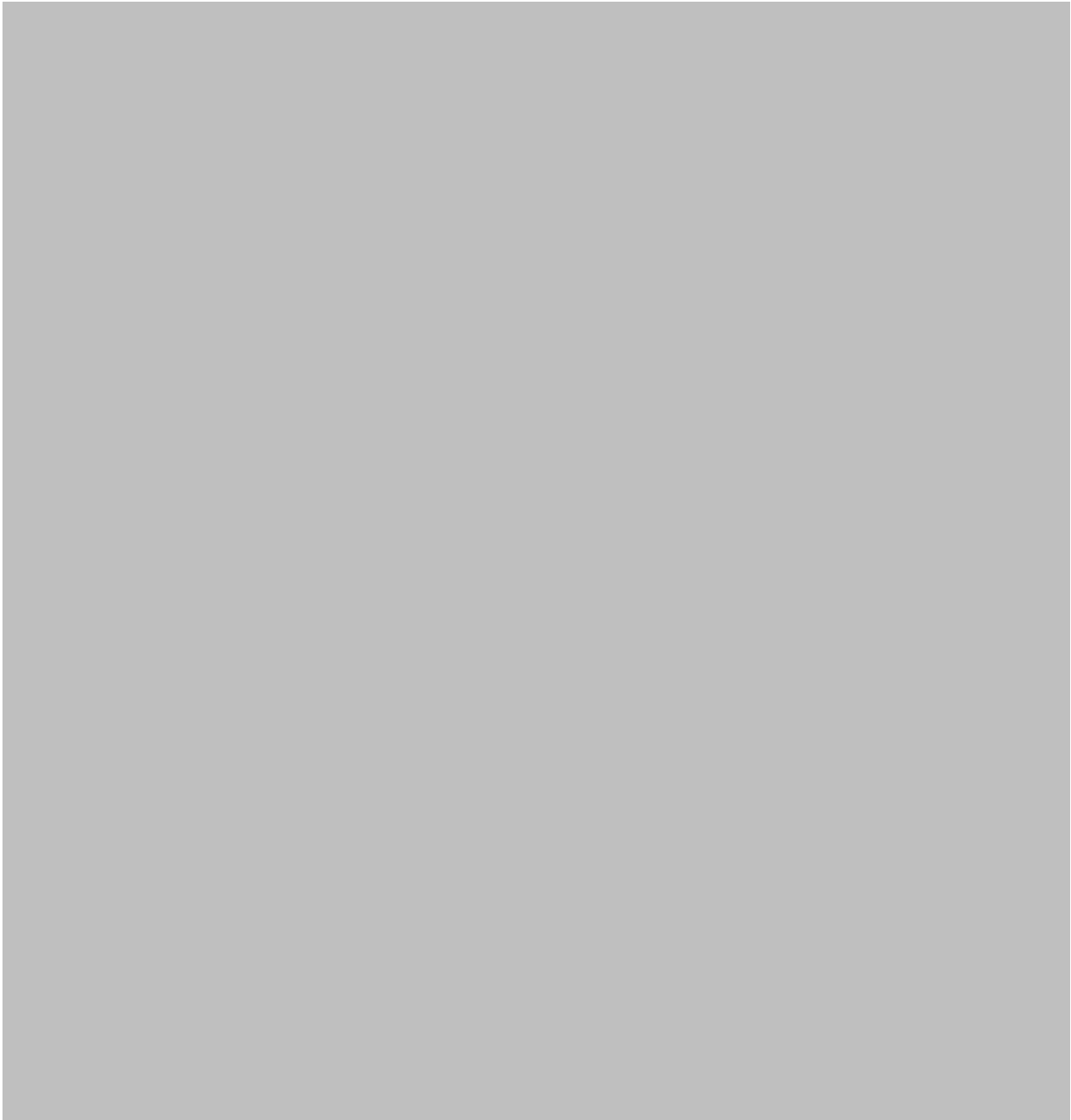
Exhibit 3.3.2-3: Key Steps in the SIS Process. *Maximus' person-centered approach streamlines assessment operations while maximizing quality engagement to drive positive outcomes for individuals and project stakeholders.*

Exhibit 3.3.2-4: SISOnline Data Flow illustrates how data flows between our internal systems and SISOnline.



Exhibit 3.3.2-4: SISOnline Data Flow. *Maximus has protocols and technology in place for assessments to be uploaded into SISOnline.*





3.3.3 Rescheduling Assessments

RFP Section 2.3.5



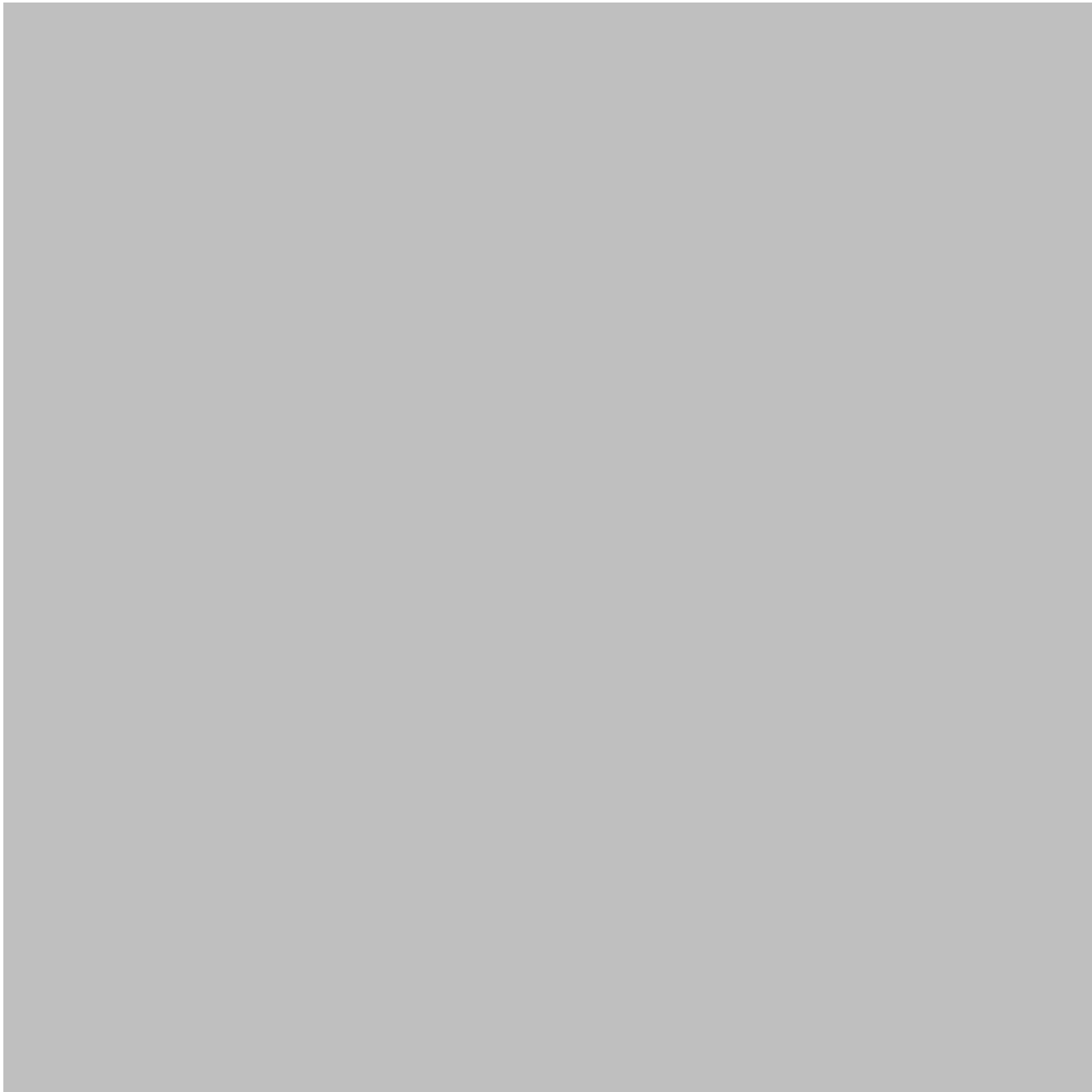


Exhibit 3.3.3-1: Reducing Cancellations. *Our techniques for minimizing cancellations have been implemented and field tested across our SIS customer states.*

3.3.4 Completed Assessments

RFP Section 2.3.6




case managers to access information directly online can be more efficient, but this is dependent upon CMs having access to SISOnline directly. Should this be of interest to DAIL, we will work with the State during contract negotiations to determine the best way to disseminate the assessment report to CMs effectively.

3.3.5 Person-centered Service and Complaint Resolution

RFP Section 2.3.7

In the sections that follow, we present our approach to providing person-centered services that result in positive, respectful working relationships with all assessment parties, including people being assessed, family members, providers, and the State. Additionally, Maximus offers a proven process for resolving complaints in a timely manner.

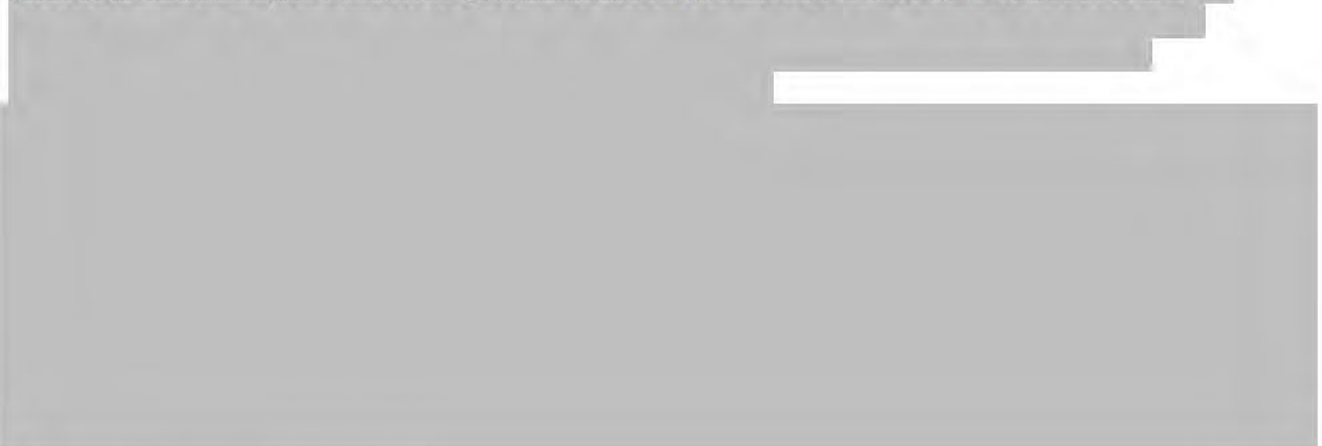
3.3.5.1





3.3.5.2 Complaint Process

Maximus' industry-leading SIS and IDD assessment expertise has helped us create contingency plans for addressing potential problems with any type of stakeholder at any stage in the process, as well as problem investigation and resolution with our own staff and assessors.

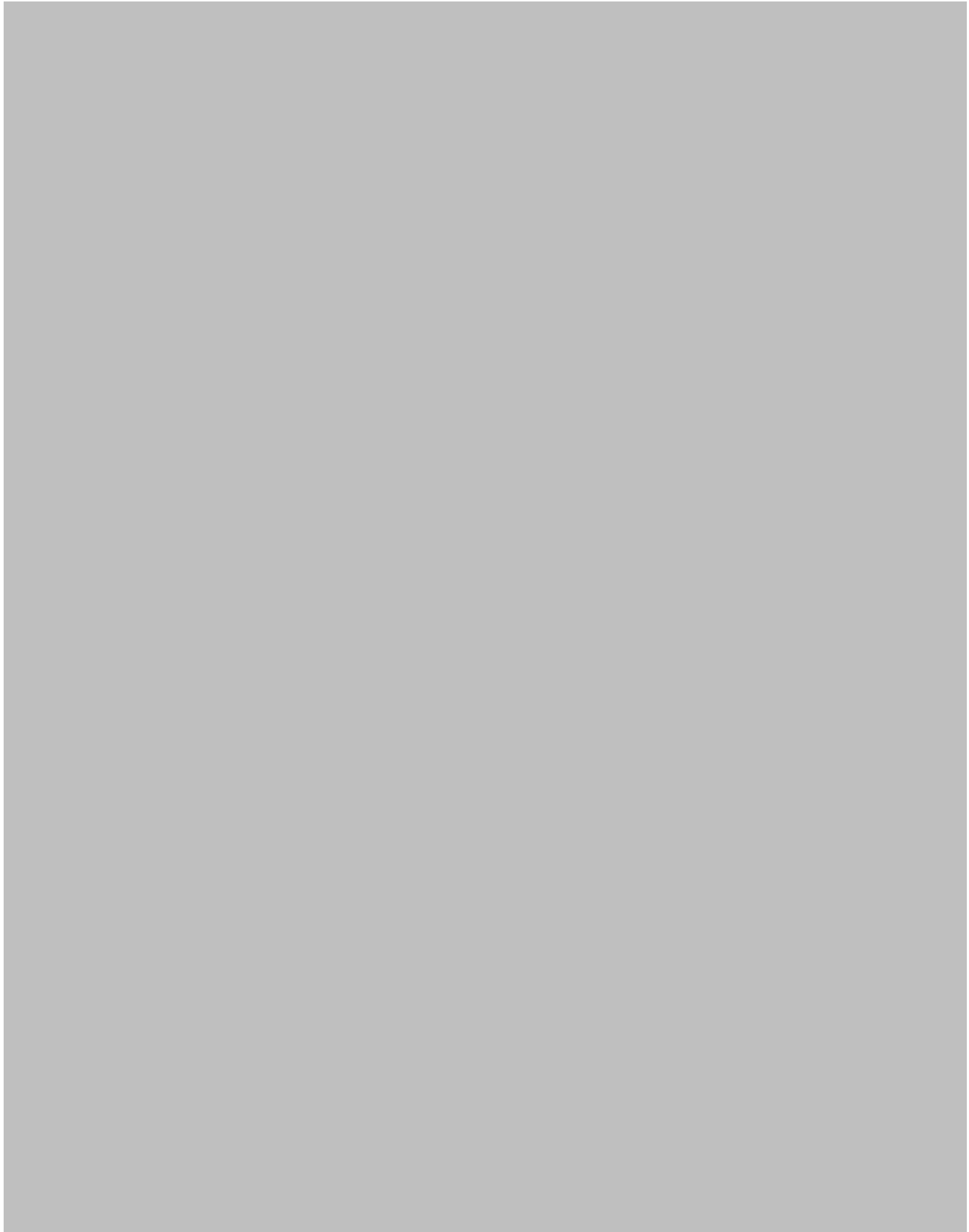




3.4 Contract Deliverables and Performance Expectations

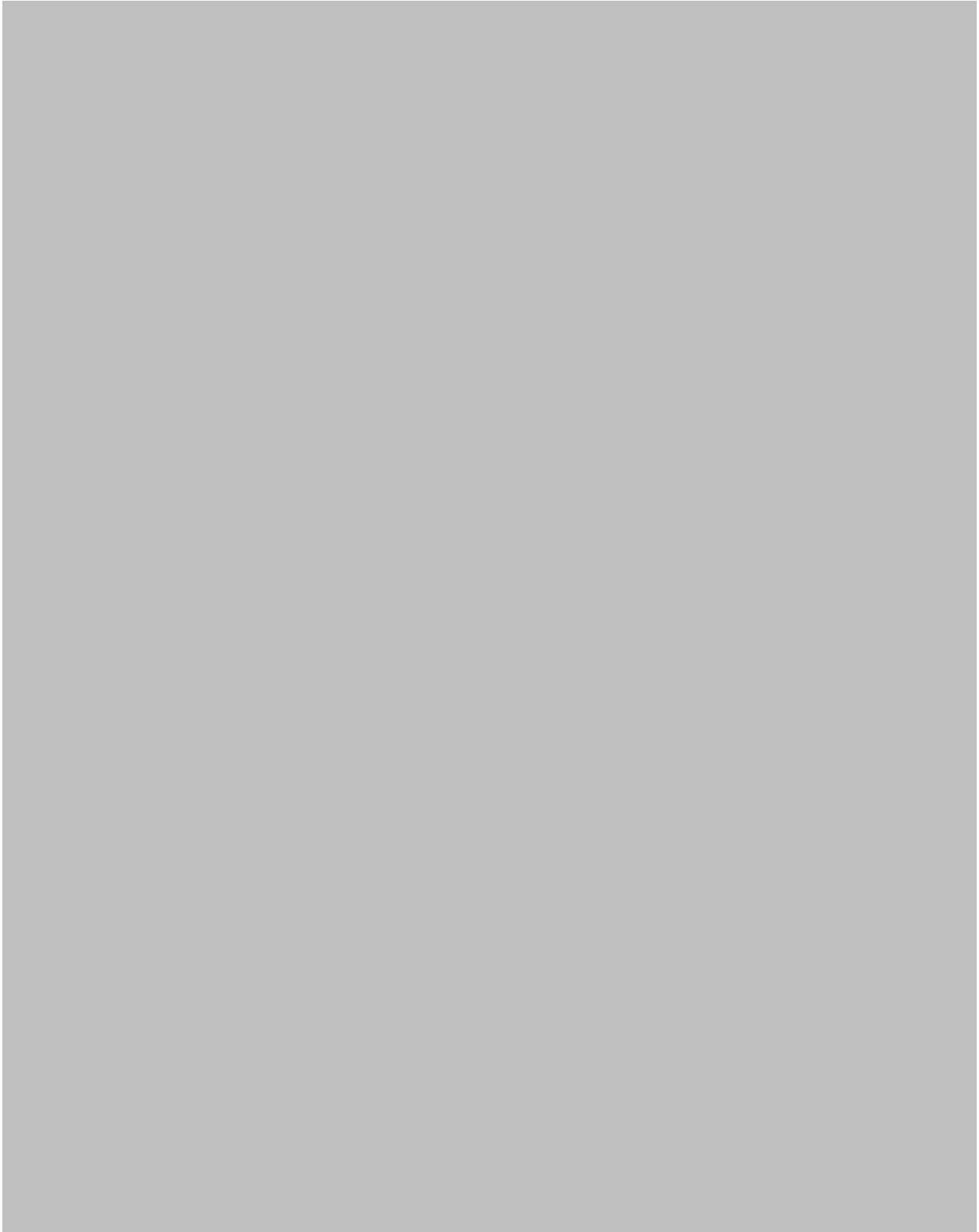
RFP Section 2.4





3.4.1 Assessment Tracking and Documentation

RFP Section 2.4.1





3.4.2 Appointment Metrics

RFP Section 2.4.2; 2.4.3



3.4.3 Scheduling Metrics





DAIL can have confidence that Maximus will meet or exceed the RFP requirement that at least 85 percent of all assessment appointments will occur within 15 business days of receiving the approved referral, and 100 percent of all assessments will occur within 30 business days of receiving the approved referral.

3.4.4 Completed Assessments and Entry into SIS-A Platform Metrics

RFP Section 2.4.4



3.4.5 Monthly Reports

RFP Section 2.4.5; 2.4.7



Please refer to *Section 5: Reporting Requirements* for a detailed sample Monthly Activity Report.

3.4.5.1 Reporting Approach





During the transition period, we will work with DAIL to determine the Monthly Report's format, distribution list, and other report specifics.

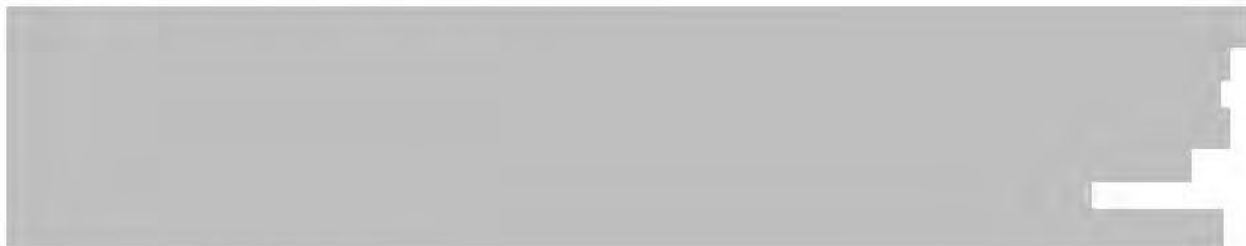
3.4.6 Performance Incentives

RFP Section 2.4.6

Maximus welcomes dialogue with DAIL on performance incentives and/or disincentives after contract award.

3.4.7 Semi-Annual Report

RFP Section 2.4.7



[REDACTED]

Please refer to *Section 5: Reporting Requirements* for a detailed sample Semi-Annual Report.

3.5 Proposed Payment

RFP Section 2.5; 2.7.5

As a vital partner to health and human services agencies nationwide, Maximus is committed to establishing and maintaining sound financial relationships with our customers. [REDACTED]

[REDACTED]

Exhibit 3.5-1: Detailed Description of Start-up Funds. *Our pricing model includes allocation of start-up funds for reduced cost month-over-month.*

3.6 Implementation and Management Plan

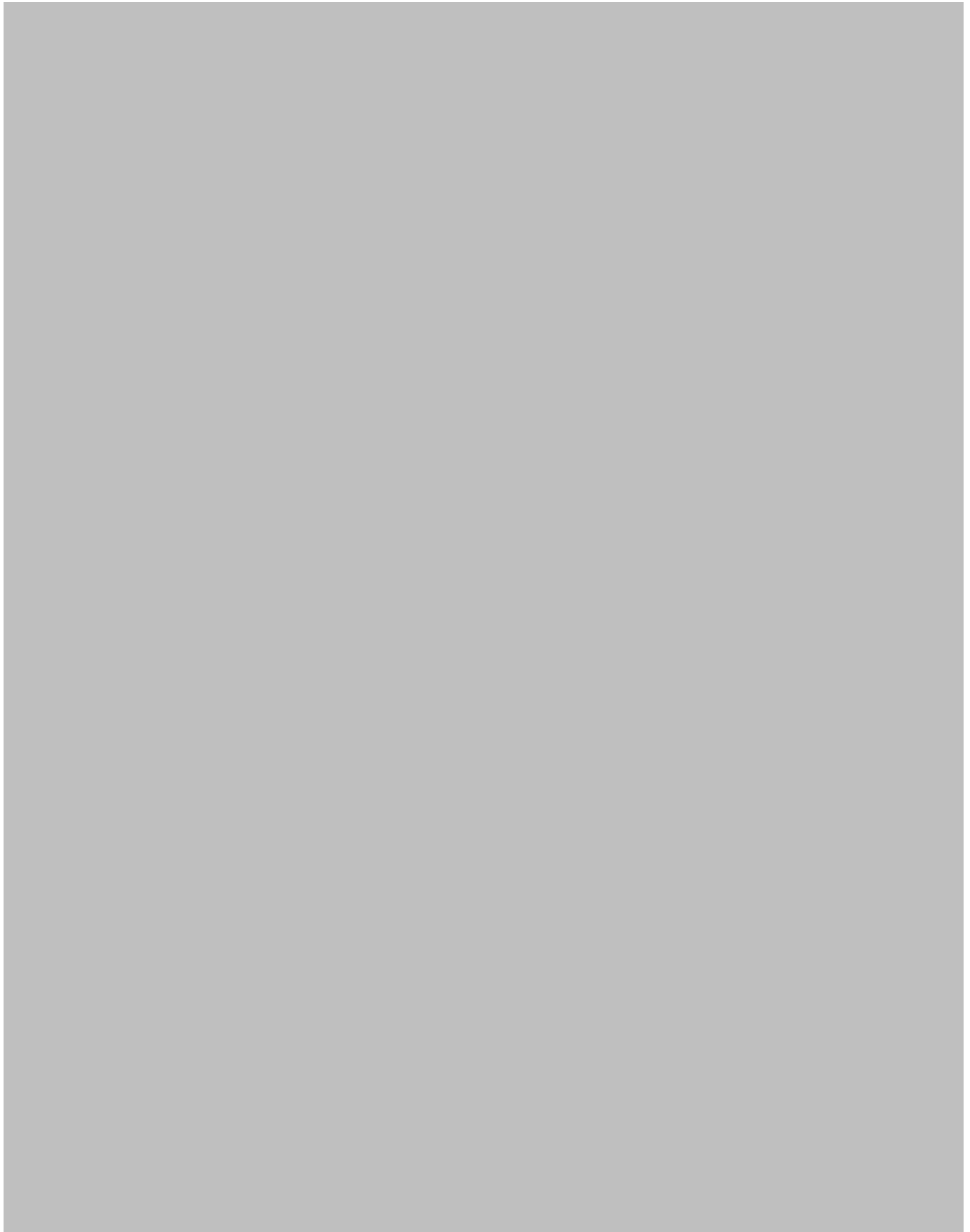
Individuals and the State depend on a smooth implementation to effectively transition to a new approach to assessments. Maximus brings the knowledge and background in implementing statewide needs assessment operations as well as the expertise in hiring and training exceptional staff to provide accurate and timely assessments.

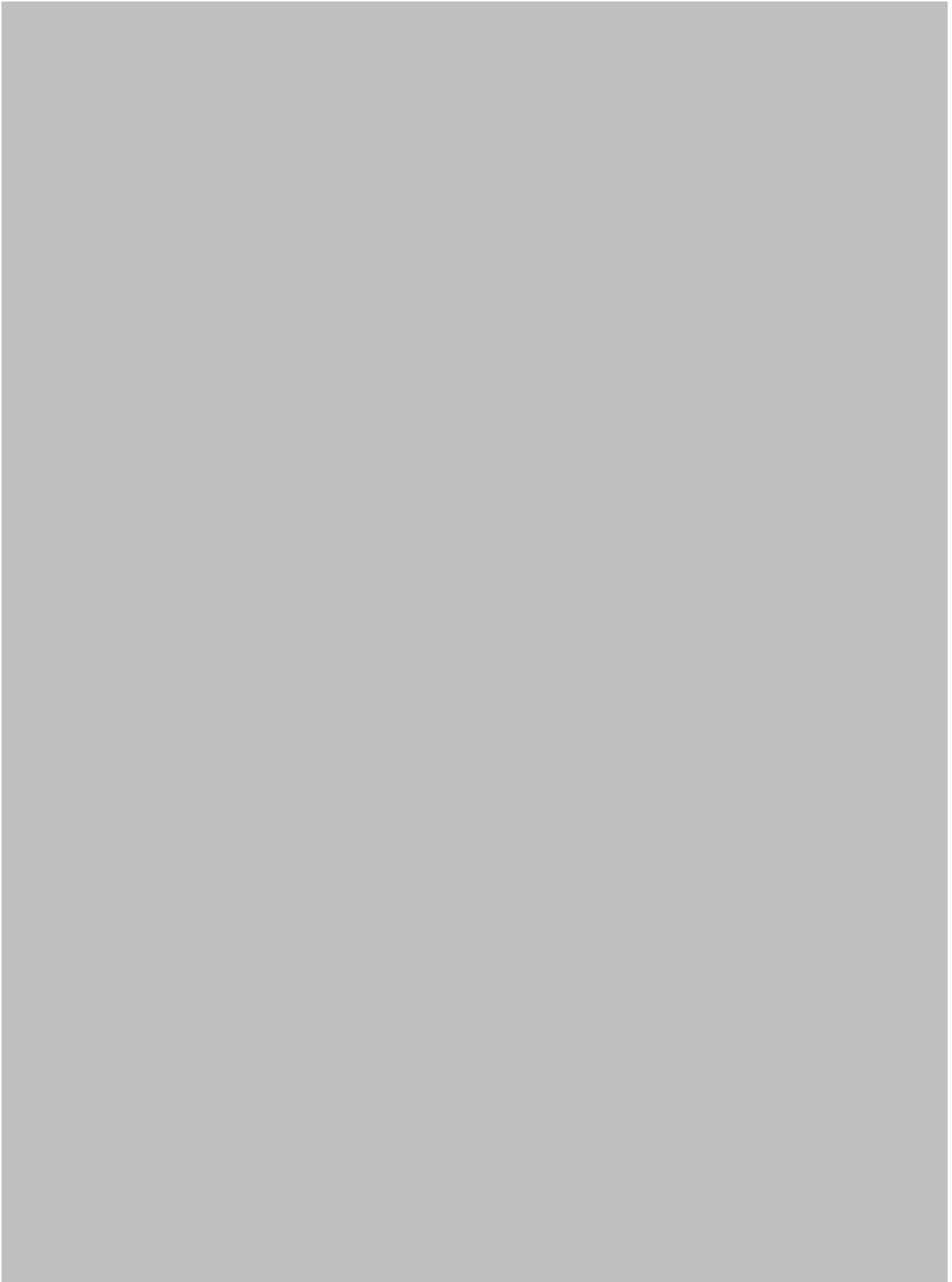
RFP Section 2.7.3; 3.5.2.3

Maximus has over four decades of experience planning, executing, monitoring, and implementing statewide health and human services operations projects across the U.S. We will draw from our specific experience of first-time state-wide successful and rapid needs assessment implementations.

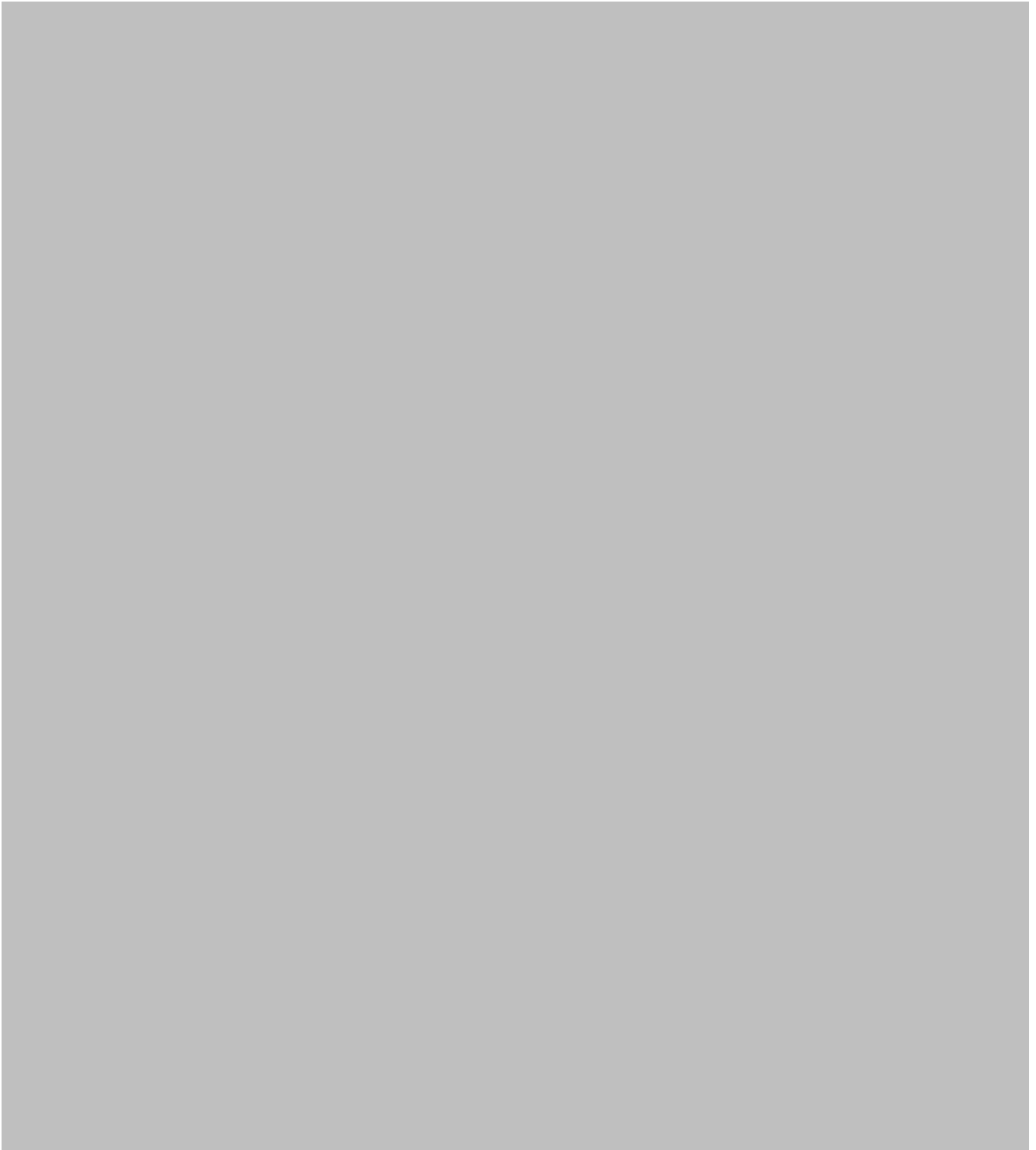
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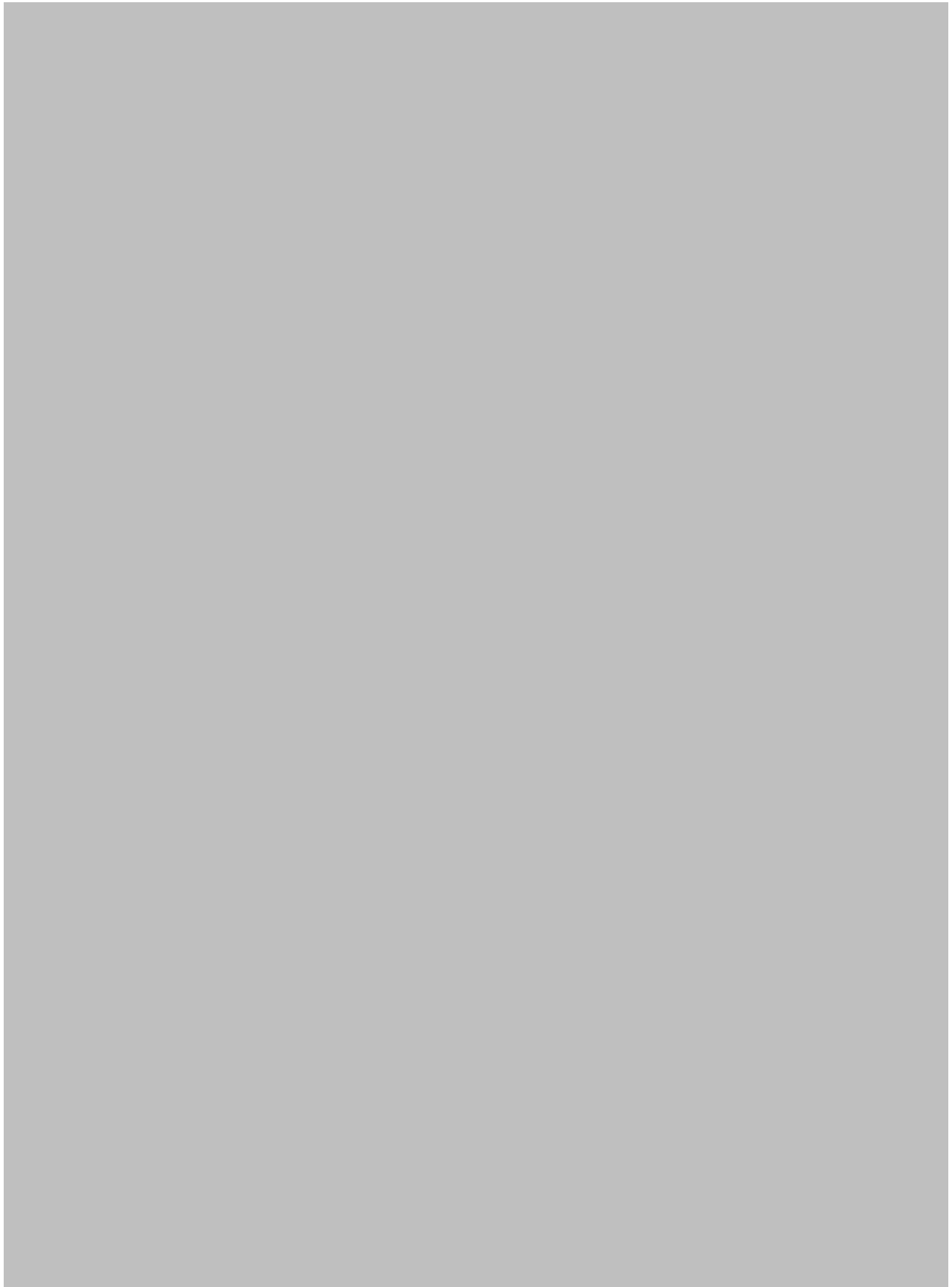
Exhibit 3.6-1: Implementation Resources. *Maximus brings experienced staff, program implementation experts, and corporate resources for the successful implementation of the Vermont Needs Assessment project.*











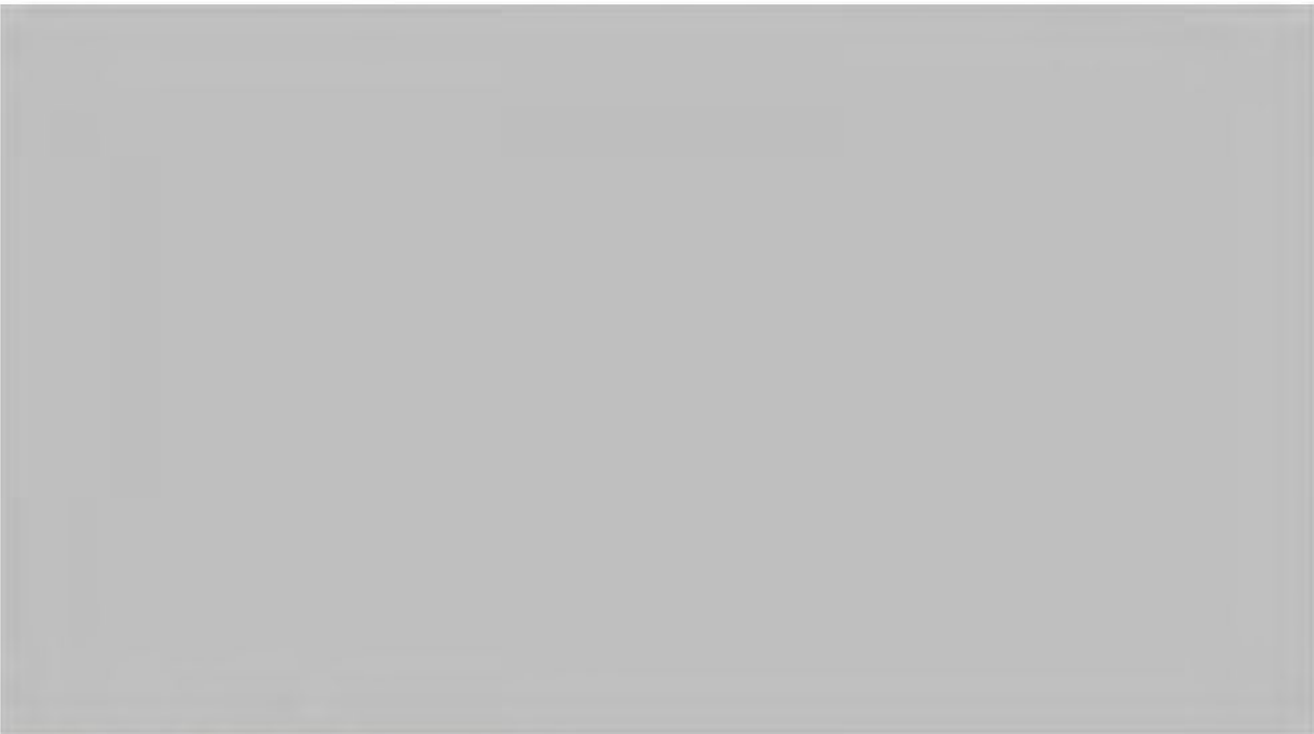


3.6.1 Creating and Maintaining In-State Assessment Capacity

RFP Section 2.7.3

Maximus brings the necessary expertise to successfully create and maintain capacity to complete SIS assessments that are on-time and meet all contract and AAIDD requirements.





3.6.2 Training Assessors

RFP Section 2.7.3

The SIS is a structured needs assessment designed as part of a person-centered planning process for individuals with intellectual and developmental disabilities.

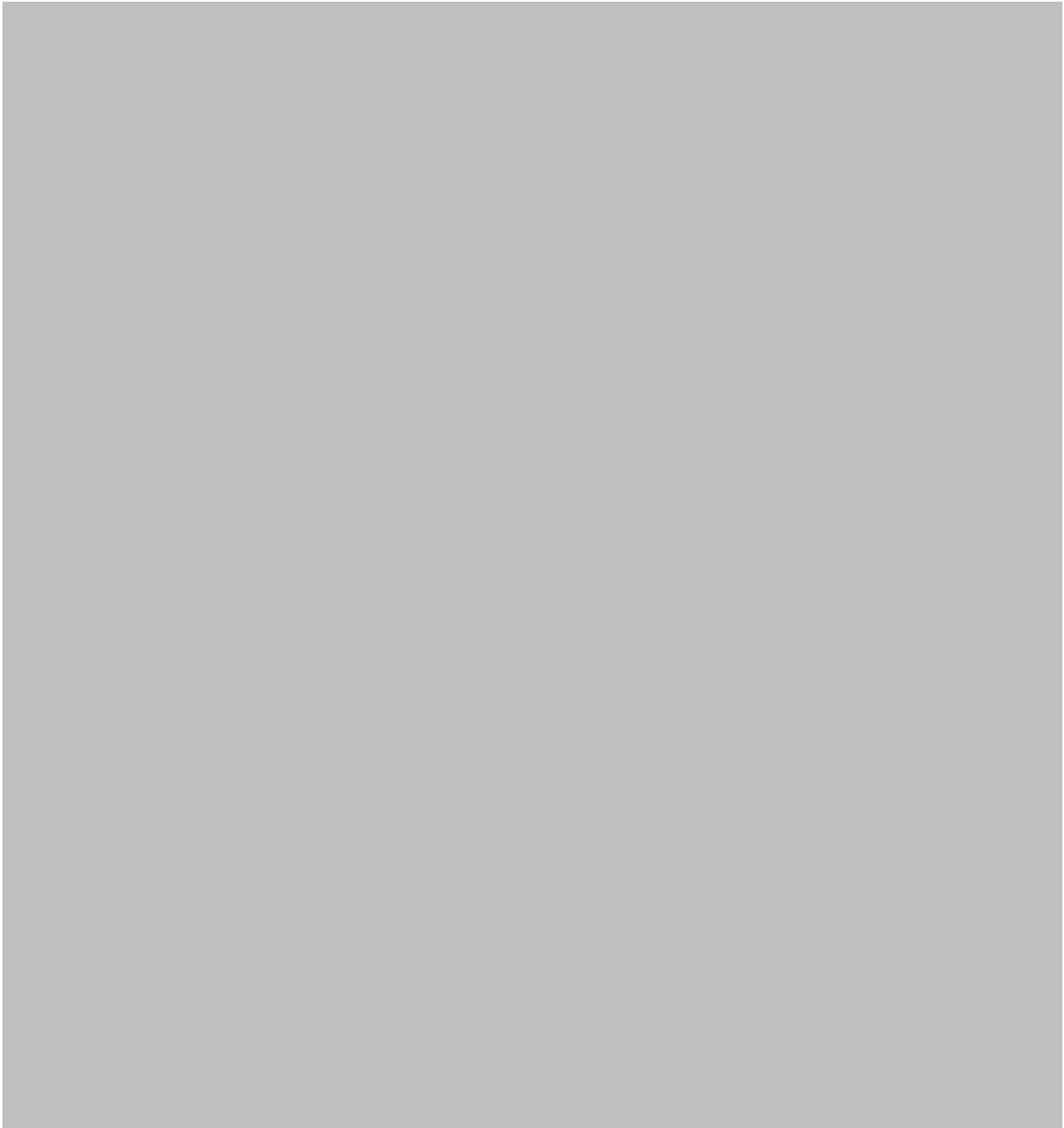
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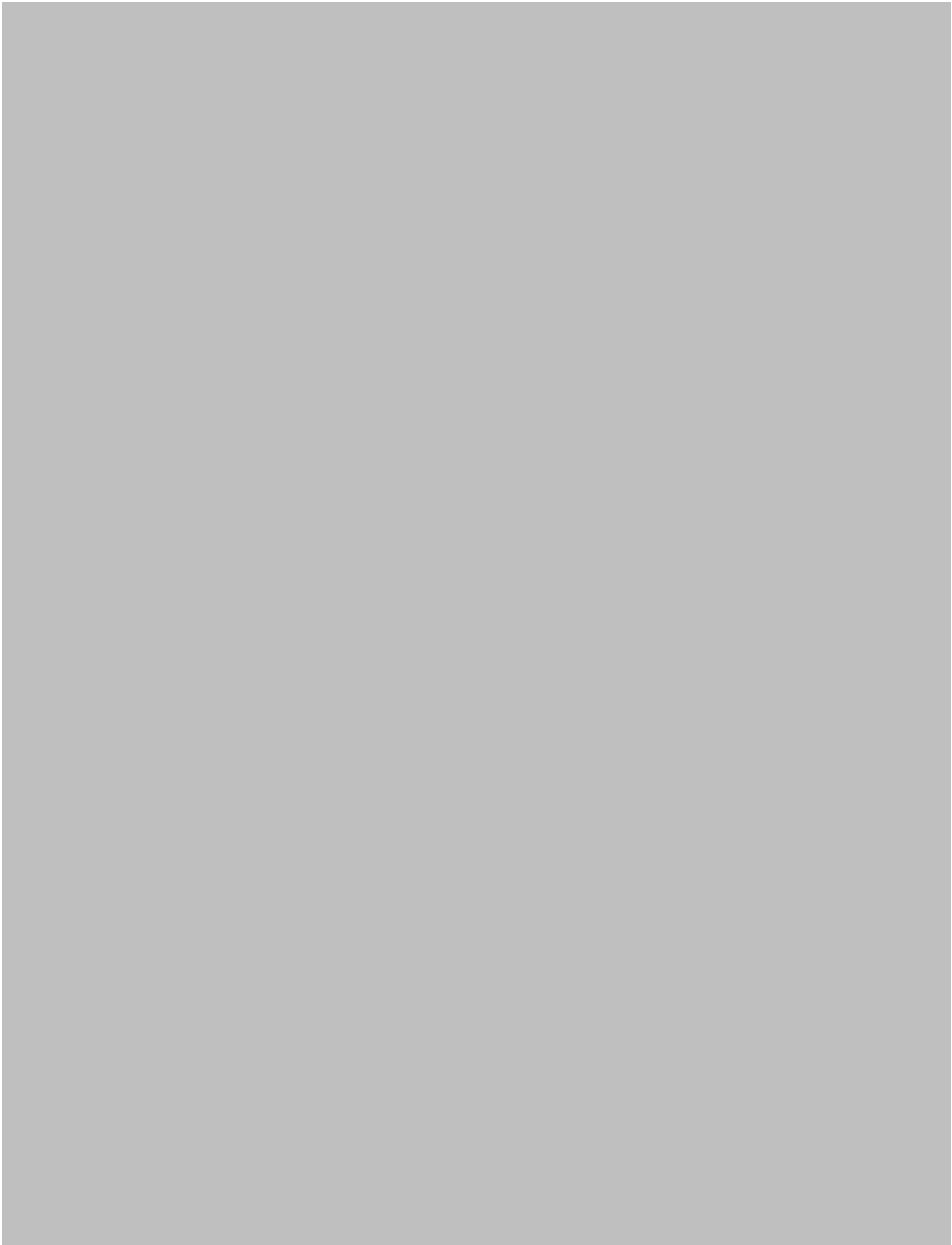
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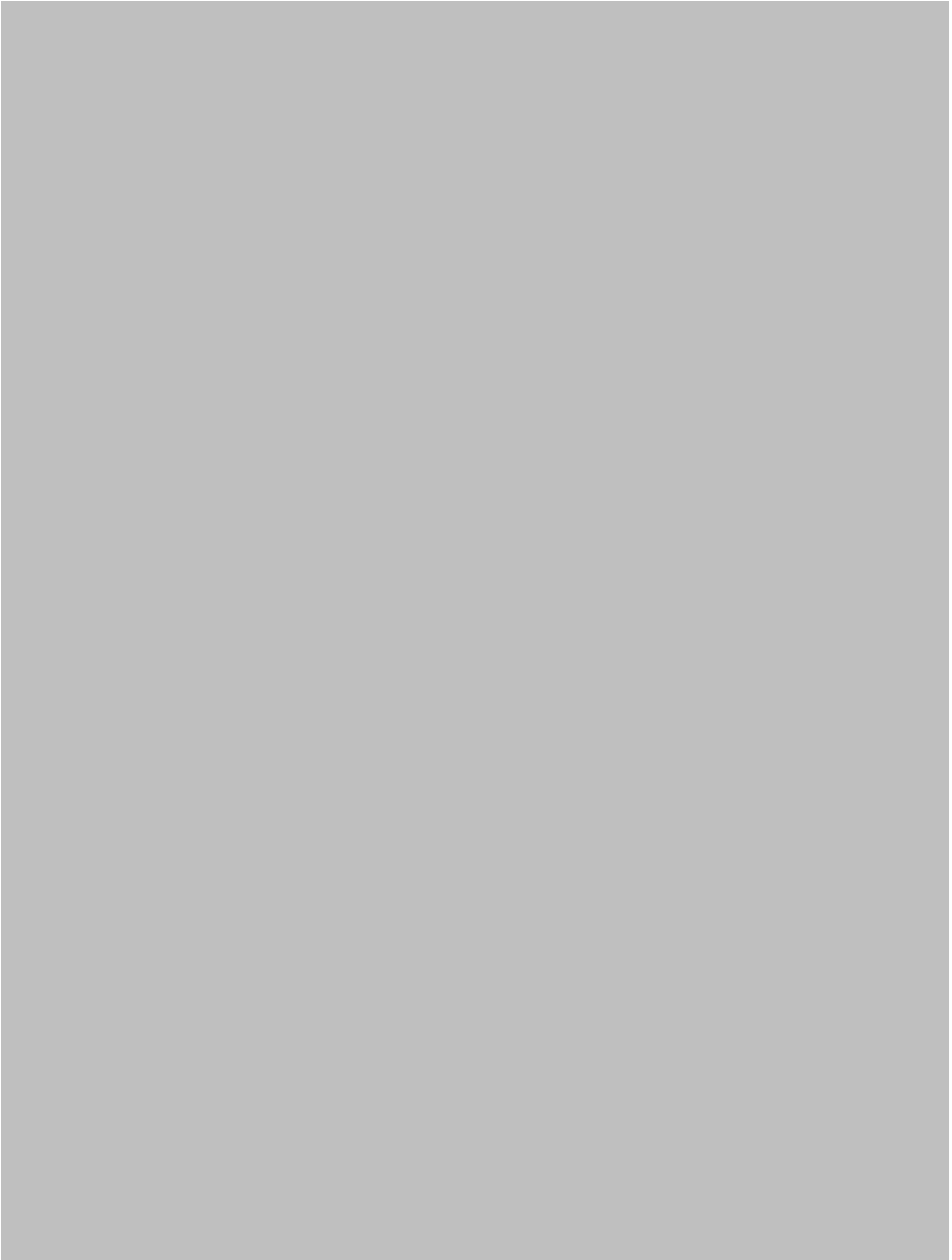
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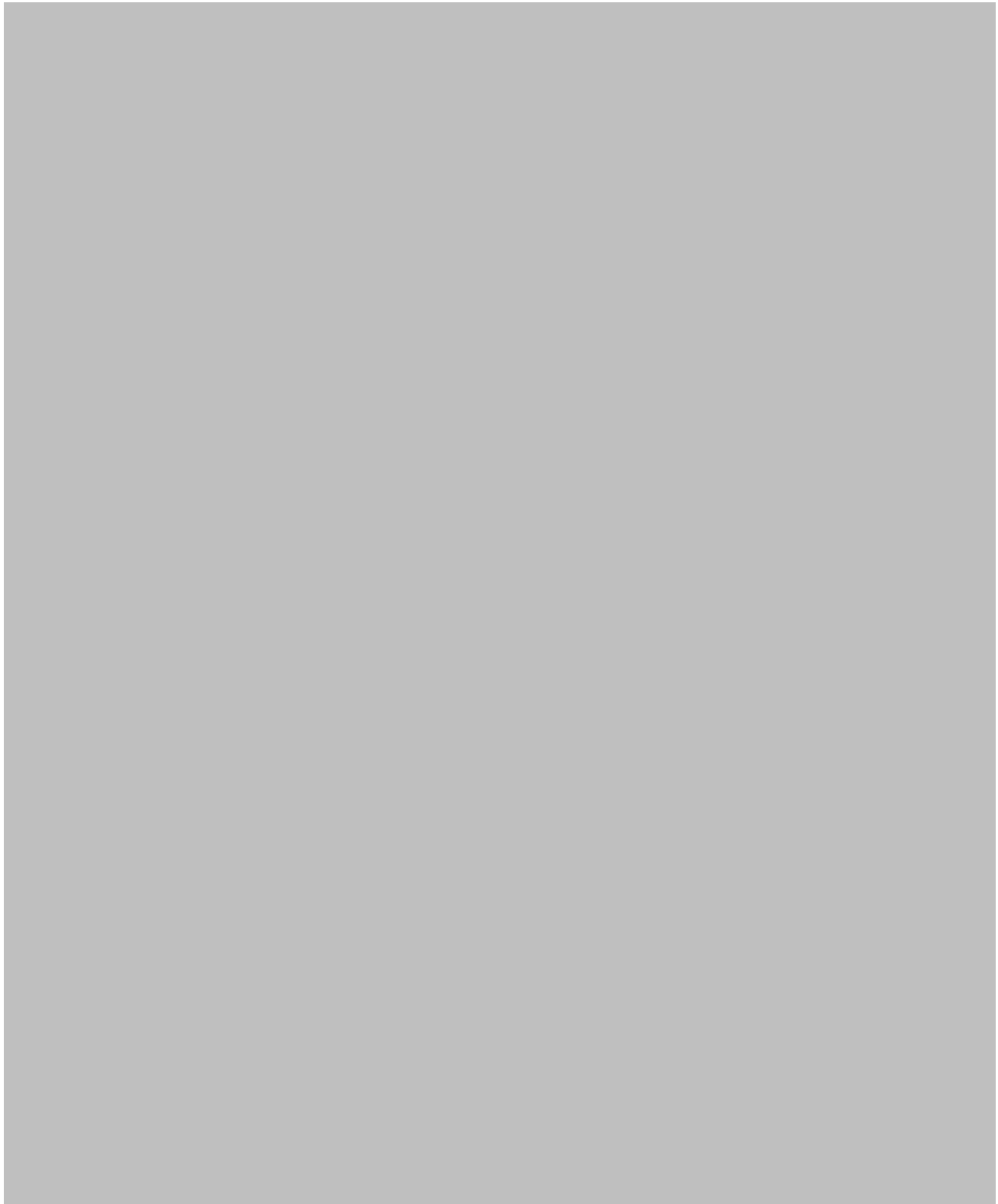
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3.6.3 Managing Access to AAIDD SIS-A

RFP Section 2.7.3



3.6.4 Scheduling Assessments

RFP Section 2.7.3





3.6.5 Supervision and Management of Assessors

RFP Section 2.7.3

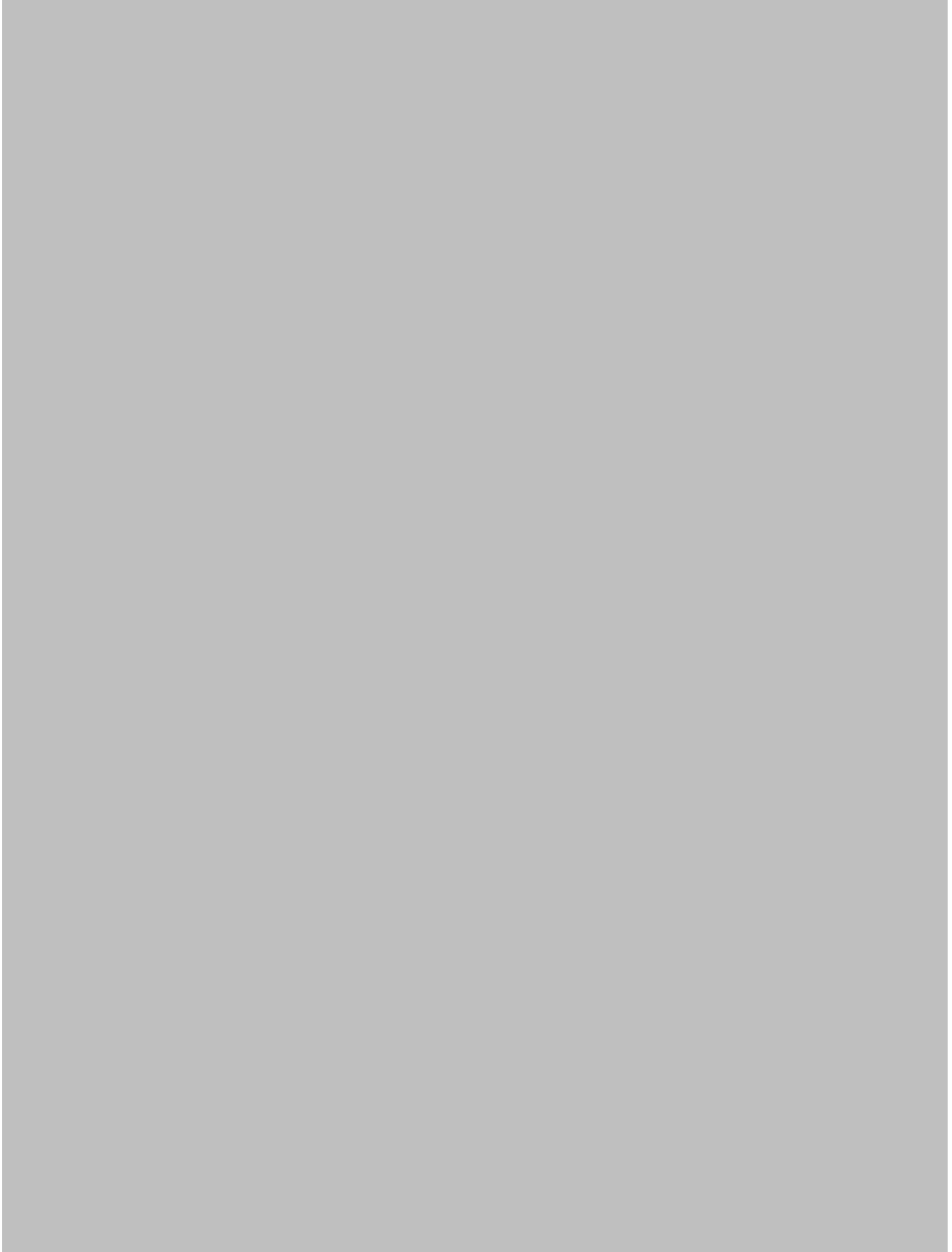




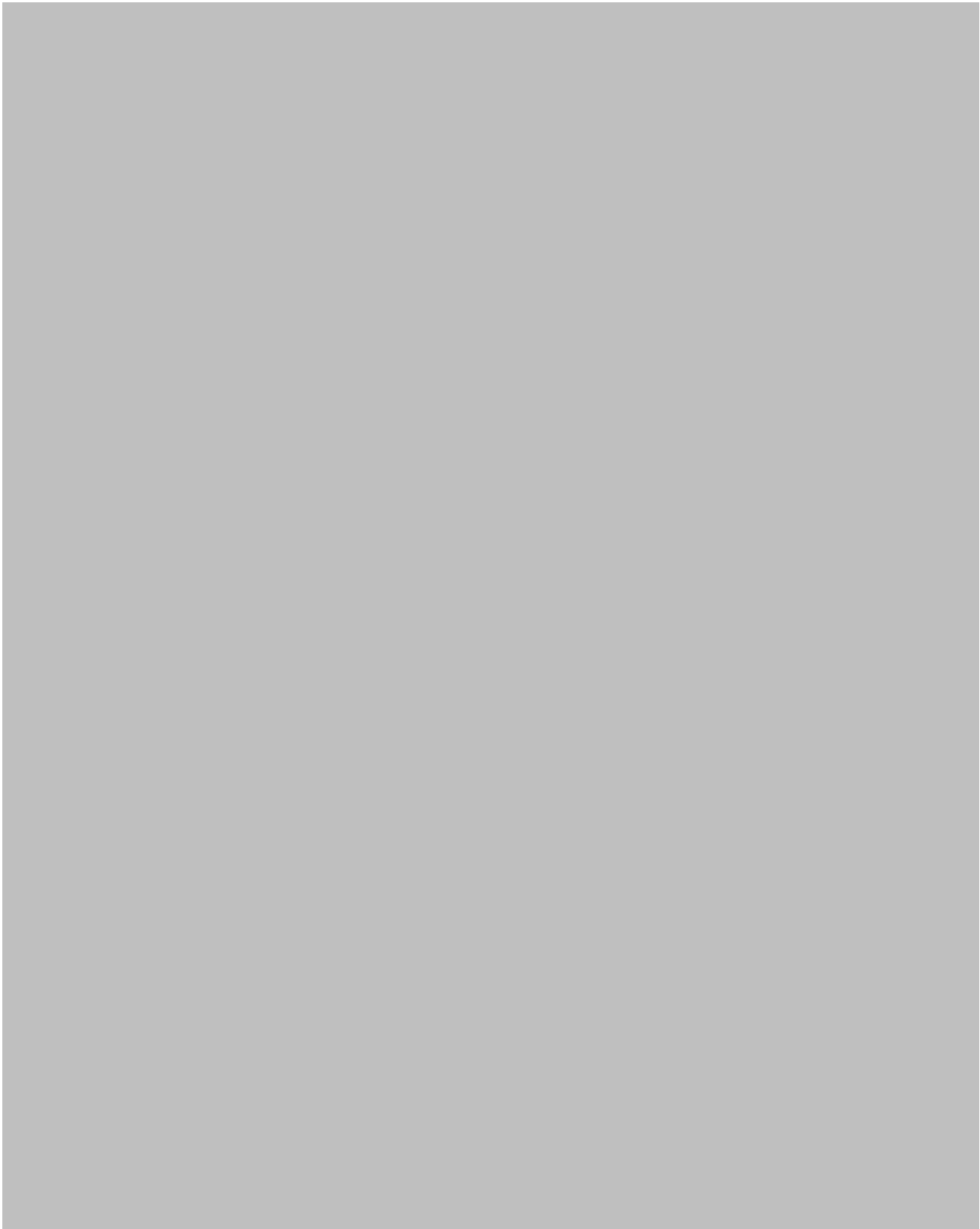
3.6.6 Quality Assurance and Performance Management

RFP Section 2.7.3

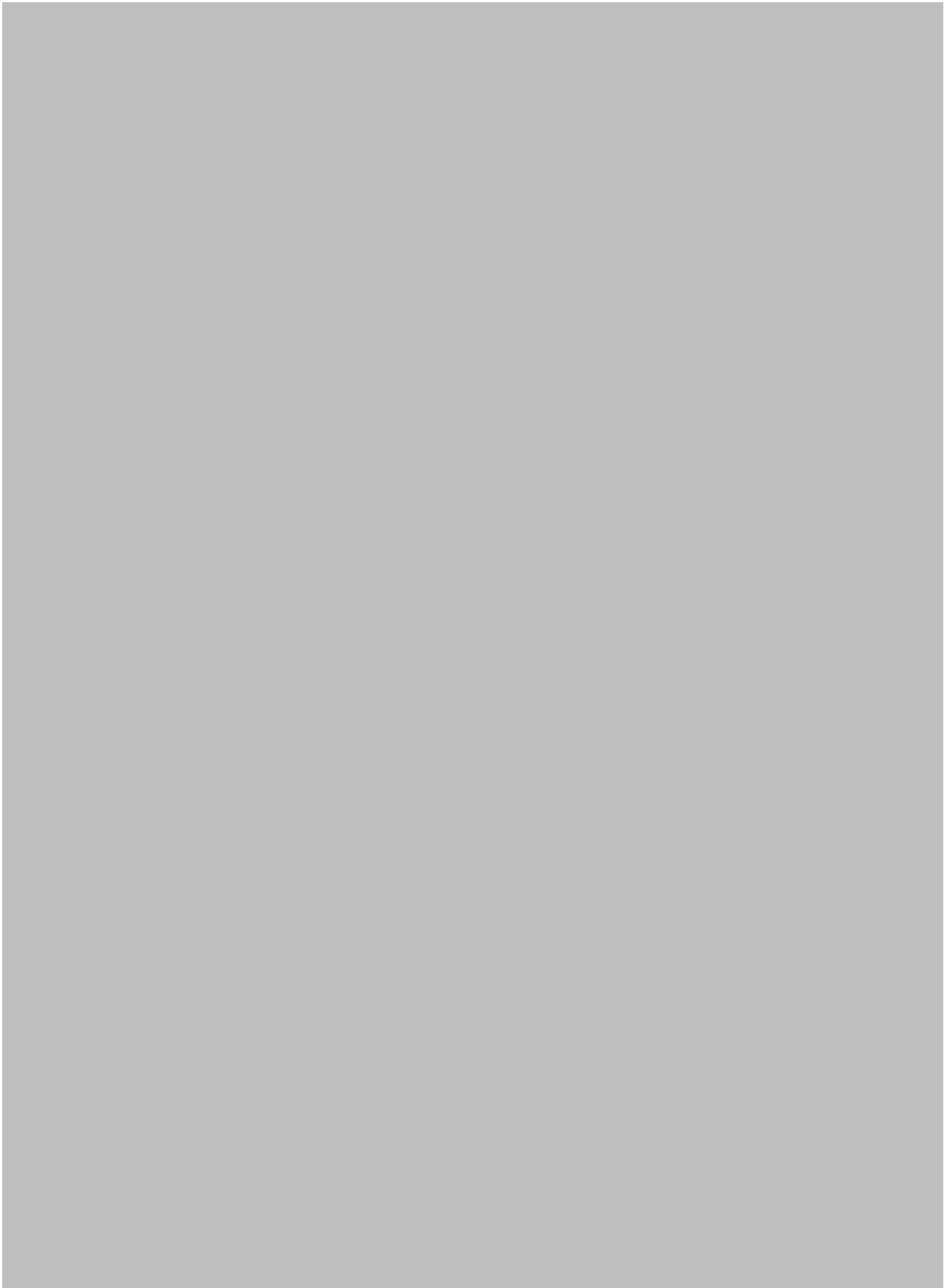














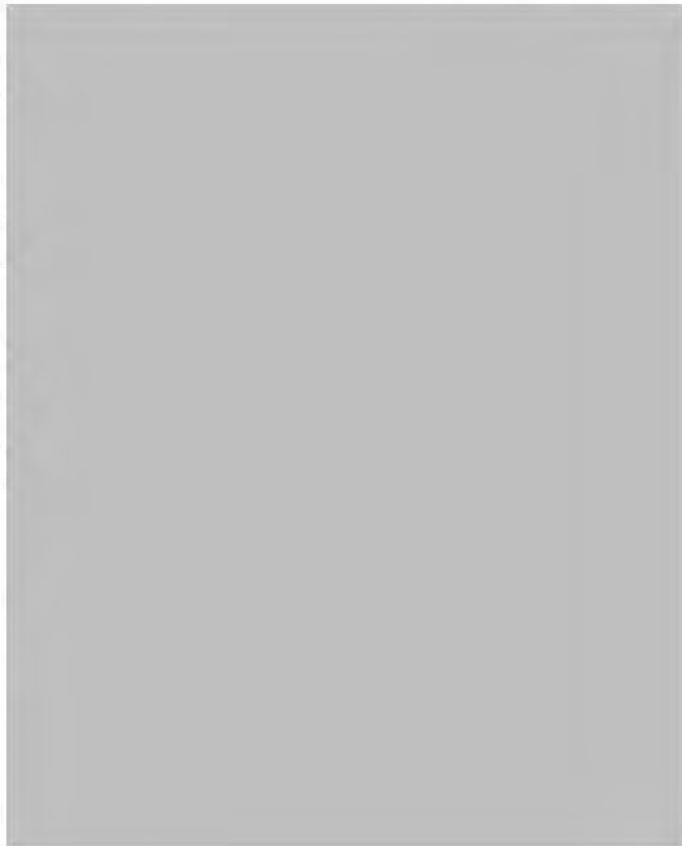
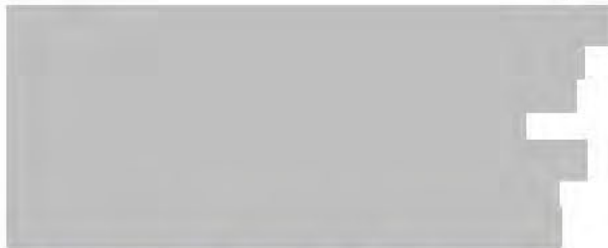
3.6.6.1 Methods to Ensure Appropriate Level of Training of Assessors is Maintained

RFP Section 2.7.3

The SIS requires thorough initial and ongoing training, experience, and quality oversight to conduct it in a reliable and consistent manner



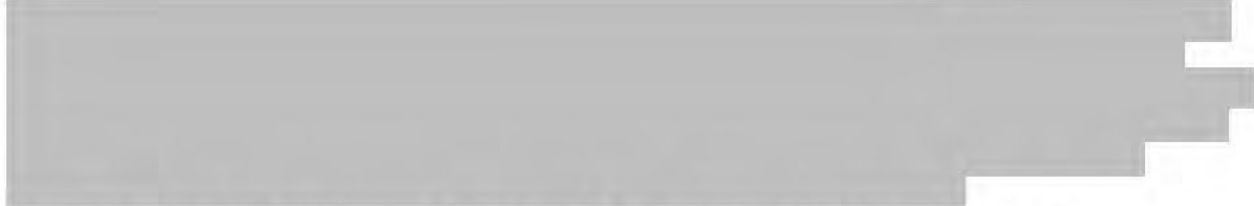
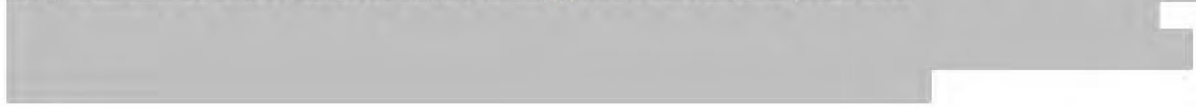




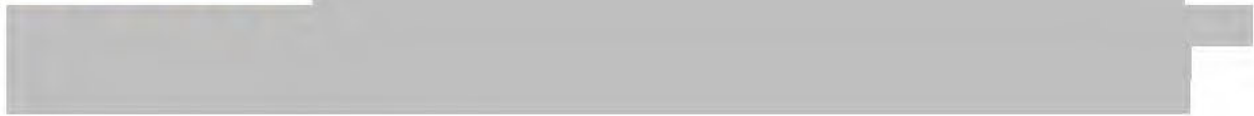
3.6.6.2 Methods to Manage any Subcontracts

RFP Section 2.7.3

Maximus has detailed corporate and project-level procedures that we employ in selecting and managing our subcontractors to verify the viability and capacity of our chosen partners. Our effectiveness in managing subcontractors begins with the subcontractor and teaming partner selection process.



We work with our subcontractors to establish a clear understanding about roles and responsibilities for deliverable preparation and all work toward common project goals and objectives. We agree on the format and content of each deliverable prior to the start of the task that produces it. This approach establishes clear expectations and defines a template to build toward as the subcontractor produces contracted deliverables according to the established budget, schedule, and requirements.





3.6.6.3 Methods to Meet the Timelines for Completion of Assessments

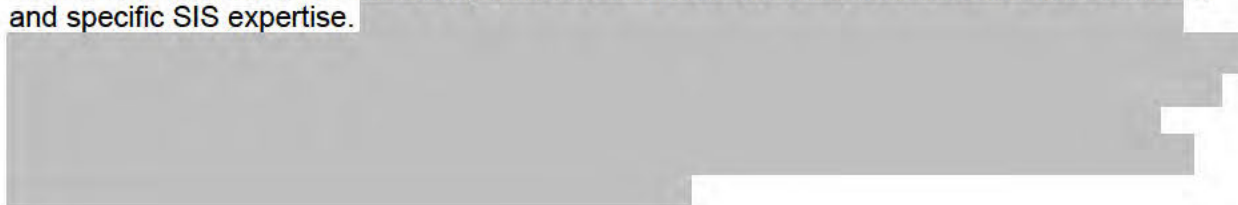
RFP Section 2.7.3

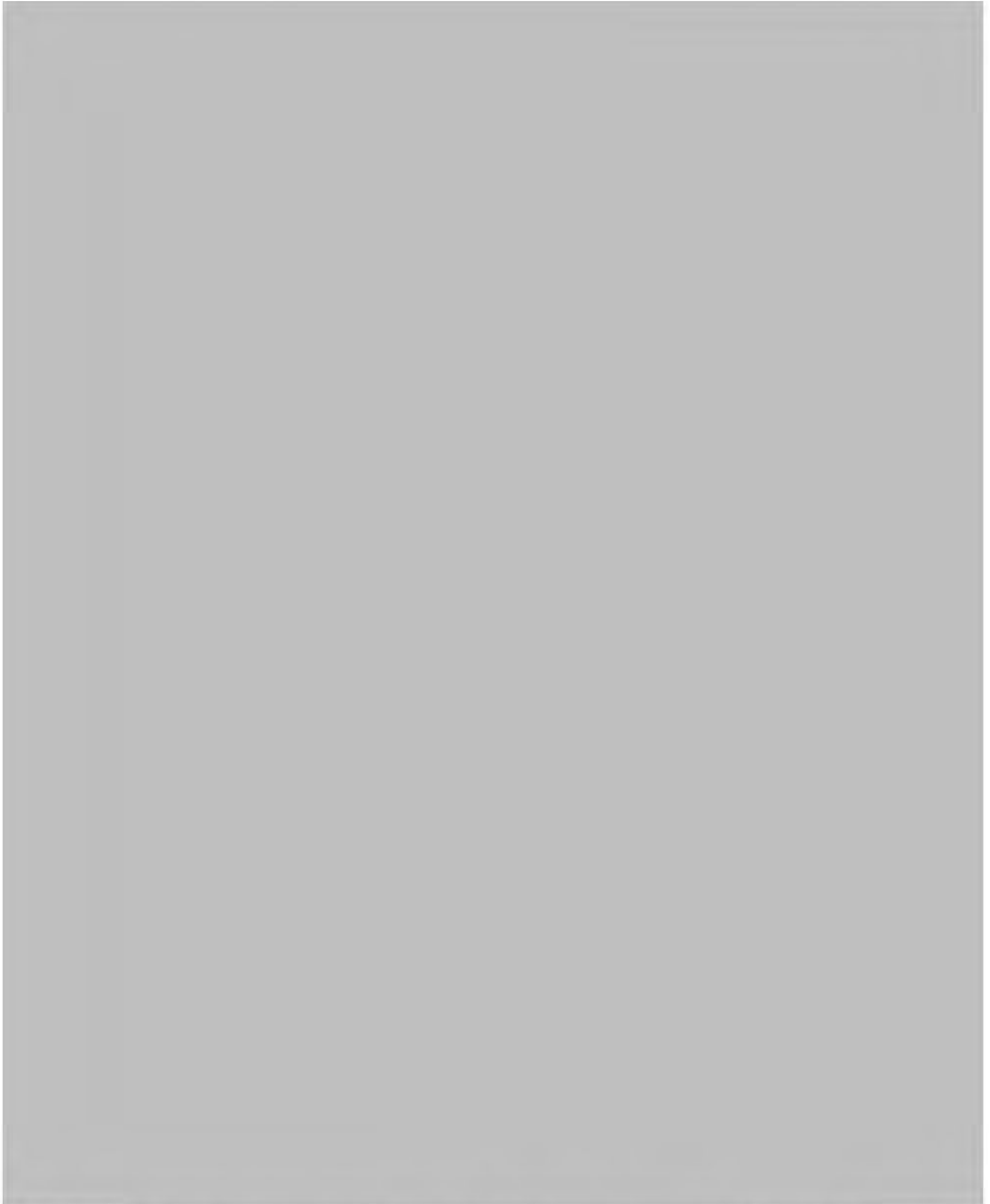


3.6.7 Proposed Staffing Plan

RFP Section 2.7.3

DAIL requires a highly qualified, fully trained team with advanced assessment understanding and specific SIS expertise.





20-P25001.044-29

Exhibit 3.6.7-1: Maximus Proposed Vermont SIS Project Organizational Structure. *Our organizational structure reflects our understanding of the operational and management needs of needs assessment projects.*

[Redacted] Some of the traits and skills we seek in our staff are highlighted in *Section 2.4 Assessors*.

3.6.7.1 Number and Locations of Assessors

RFP Section 2.7.3

Maximus will provide the right number of skilled SIS assessors necessary to meet and exceed DAIL expectations and performance standards. [Redacted]

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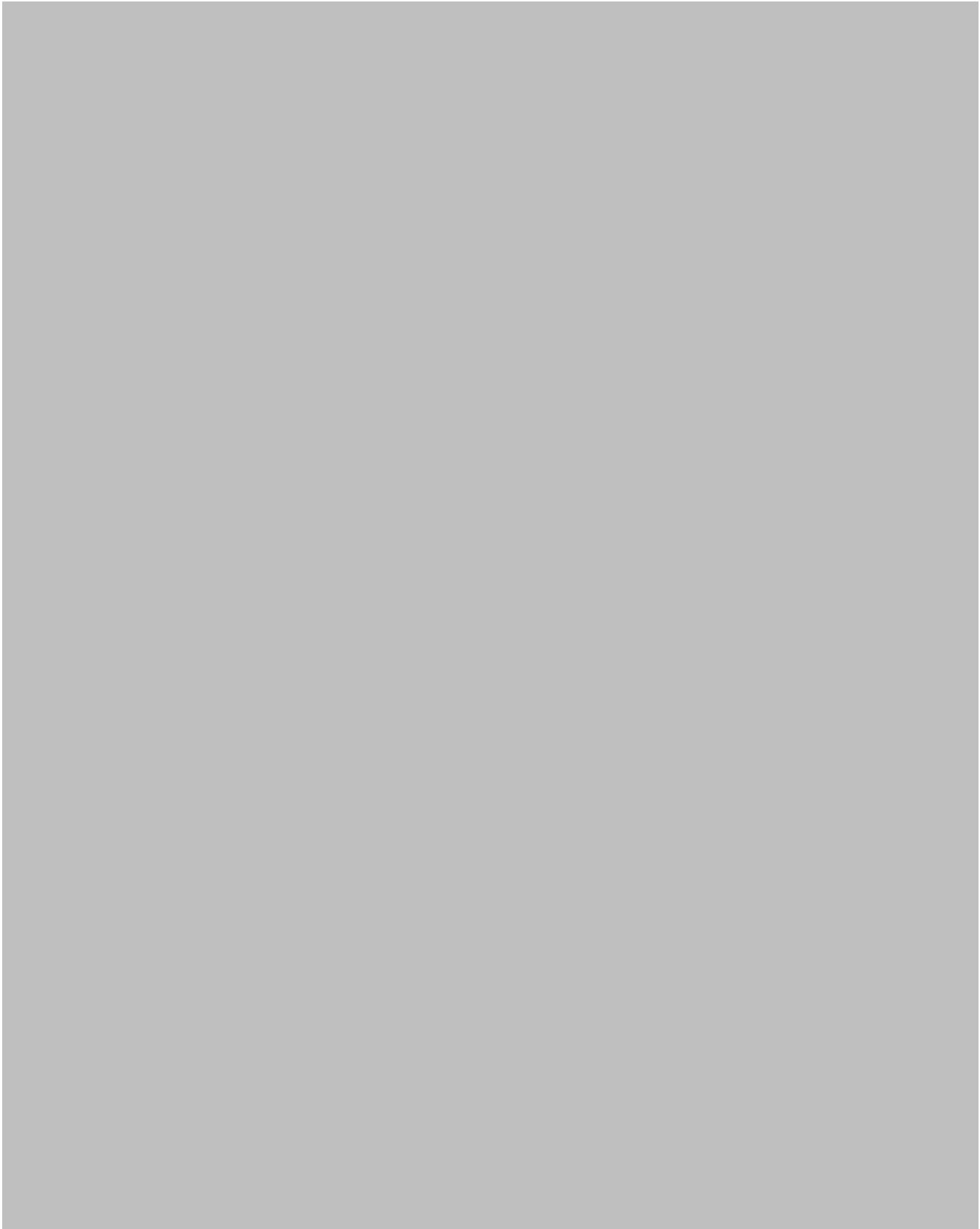
3.6.7.2 Availability of In-State and Contract Staff

RFP Section 2.7.3

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3.6.7.3

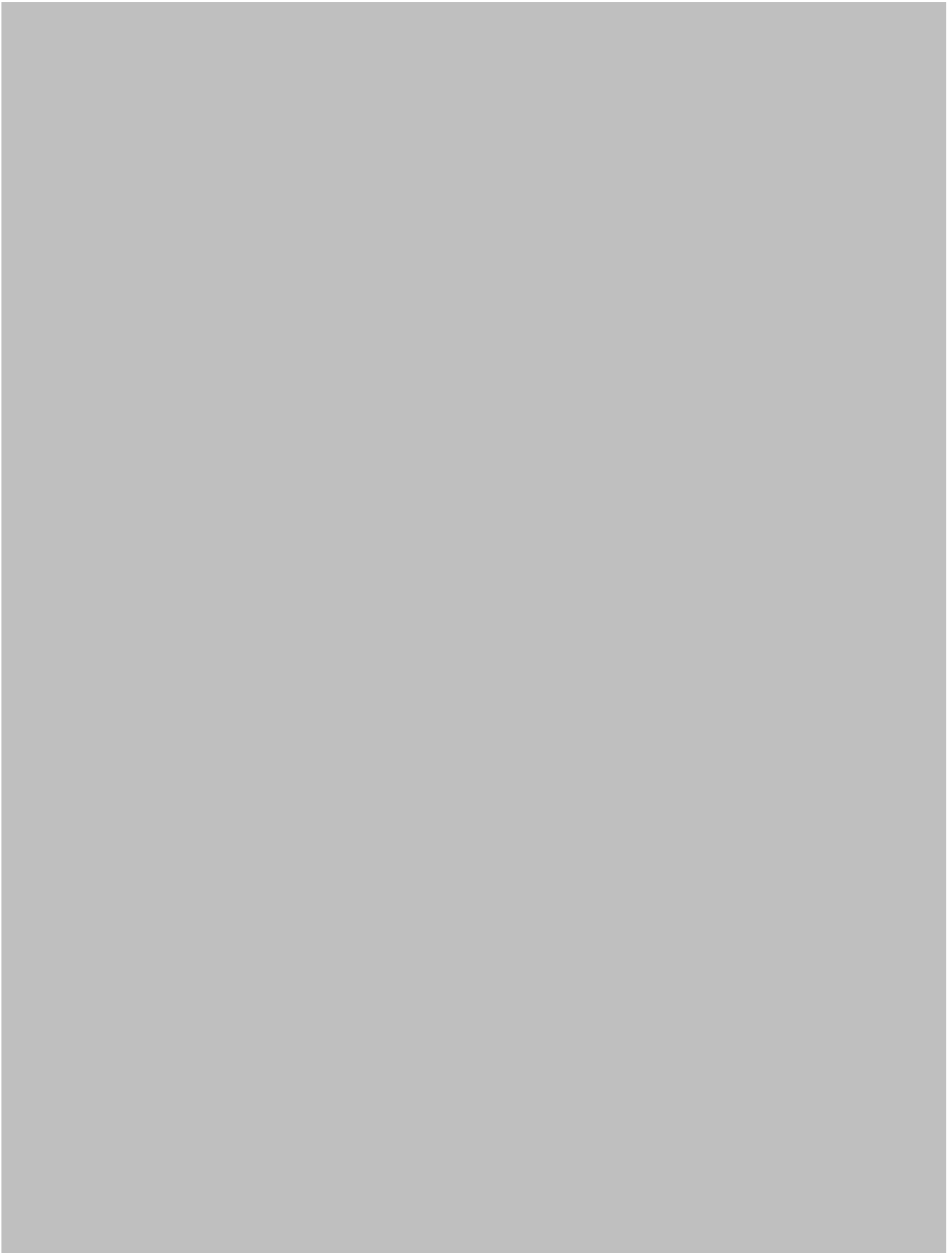




3.6.8 Implementation Timeline

RFP Section 2.6; 2.7.4







4. References

RFP section 4.4; 3.5.2.2; 2.7.2

The table below provides client names, contact names, and contact information for references with whom we have transacted similar business in the last 12 months. The contacts provided can talk knowledgeably about Maximus performance.

Client Name	Contact Name	Contact Title	Contact Email	Contact Phone	Contact Address
[Redacted]	[Redacted]	[Redacted]	[Redacted]	[Redacted]	[Redacted]
[Redacted]	[Redacted]	[Redacted]	[Redacted]	[Redacted]	[Redacted]
[Redacted]	[Redacted]	[Redacted]	[Redacted]	[Redacted]	[Redacted]
[Redacted]	[Redacted]	[Redacted]	[Redacted]	[Redacted]	[Redacted]

5. Reporting Requirements

RFP section 4.5

Maximus captures, analyses, and reports on extensive operational performance data as a routine part of our project management approach.

we invest in close collaboration with our customer states to develop and conduct meaningful routine and ad hoc analyses.

Please refer to Section 3.4 *Contract Deliverables and Performance Expectations* for a more detailed discussion of our reporting approach and capabilities.

Effective management and delivery of the VT SIS project deliverables is integral to overall contract management and project improvement. Our experience on other needs assessment projects has helped us refine our methods of communication so our intention and the content of each deliverable is well communicated and understood. Every deliverable goes through a rigorous quality check prior to publication. *Exhibit 3.4-2: Deliverable Development Process* in *Section 3.4: Contract Deliverables and Performance Expectations* illustrates the sequence of activities that Maximus follows to create all project documentation and deliverables, including obtaining DAIL approval of deliverables, when required.

Project leaders will meet frequently with DAIL to harmonize our understanding of project deliverables and associated expectations, as well as to identify new objectives that align with the DAIL's goals and schedule (for example, identification of stakeholders, identification of key subtasks, and clarification of acceptance criteria). As part of this process, Maximus will schedule deliverable walkthroughs to provide an opportunity for DAIL to ask for clarification from the project team.

Exhibit 5-1: Sample Vermont Supports Intensity Scale Monthly Activity Report is a sample of our Monthly Activity Report, based on a current project's monthly reporting data. *Exhibit 5-2: Sample Vermont Supports Intensity Scale Semi-Annual Activity Report* is a sample of a Semi-Annual Report. Both reports are configurable to the needs of the project.

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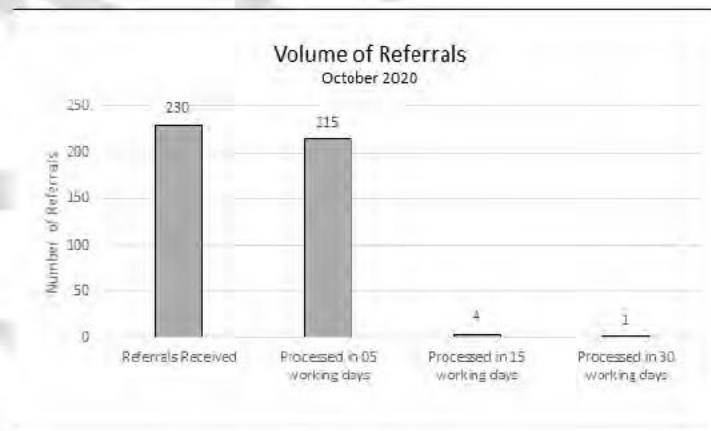
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SAMPLE

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www.maximusclinicalservices.com / P.877.431.1388 / F. 877.431.9568

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6. Pricing

RFP Section 4.1.2; 4.6

Attachment 6.6 can be found below.

Attachment 6.6

Price Schedule/Response: Bidder's Proposed Pricing

1. Proposed start-up funding and payments:

Contract Year	Proposed first year start-up funding if requesting	Proposed payment per completed assessment

2. Proposed total payments for estimated number of completed assessments by Contract Year:

Contract Year	(A) Proposed first year start-up funding if requesting	(B) Estimated number of completed assessments	(C) Proposed payment per completed assessment	Proposed total payments =A+(B*C)

Name of Bidder: _____

Signature of Bidder: _____

Date: _____

7. Certificate of Compliance

RFP Section 4.7

Attachment 6.5 can be found below.

**Attachment 6.5
CERTIFICATE OF COMPLIANCE**

For a bid to be considered valid, this form must be completed in its entirety, executed by a duly authorized representative of the bidder, and submitted as part of the response to the proposal.

- A. **NON-COLLUSION:** Bidder hereby certifies that the prices quoted have been arrived at without collusion and that no prior information concerning these prices has been received from or given to a competitive company. If there is sufficient evidence to warrant investigation of the bid/contract process by the Office of the Attorney General, bidder understands that this paragraph might be used as a basis for litigation.

- B. **CONTRACT TERMS:** Bidder hereby acknowledges that is has read, understands and agrees to the terms of this RFP, including Attachment C: Standard State Contract Provisions, and any other contract attachments included with this RFP.

- C. **FORM OF PAYMENT:** Does Bidder accept the Visa Purchasing Card as a form of payment?
 ___ Yes No

- D. **WORKER CLASSIFICATION COMPLIANCE REQUIREMENT:** In accordance with Section 32 of The Vermont Recovery and Reinvestment Act of 2009 (Act No. 54), the following provisions and requirements apply to Bidder when the amount of its bid exceeds \$250,000.00.

Self-Reporting. Bidder hereby self-reports the following information relating to past violations, convictions, suspensions, and any other information related to past performance relative to coding and classification of workers, that occurred in the previous 12 months.

Summary of Detailed Information	Date of Notification	Outcome
N/A	N/A	N/A

Subcontractor Reporting. Bidder hereby acknowledges and agrees that if it is a successful bidder, prior to execution of any contract resulting from this RFP, Bidder will provide to the State a list of all proposed subcontractors and subcontractors’ subcontractors, together with the identity of those subcontractors’ workers compensation insurance providers, and additional required or requested information, as applicable, in accordance with Section 32 of The Vermont Recovery and Reinvestment Act of 2009 (Act No. 54), and Bidder will provide any update of such list to the State as additional subcontractors are hired. Bidder further acknowledges and agrees that the failure to submit subcontractor reporting in accordance with Section 32 of The Vermont Recovery and

DAIL RFP# DDS D 306

Reinvestment Act of 2009 (Act No. 54) will constitute non-compliance and may result in cancellation of contract and/or restriction from bidding on future state contracts.

E. Executive Order 05 – 16: Climate Change Considerations in State Procurements Certification

Bidder certifies to the following (Bidder may attach any desired explanation or substantiation. Please also note that Bidder may be asked to provide documentation for any applicable claims):

1. Bidder owns, leases or utilizes, for business purposes, space that has received:
- Energy Star® Certification
 - LEED®, Green Globes®, or Living Buildings ChallengeSM Certification
 - Other internationally recognized building certification:

-
2. Bidder has received incentives or rebates from an Energy Efficiency Utility or Energy Efficiency Program in the last five years for energy efficient improvements made at bidder's place of business. Please explain:

N/A

3. Please Check all that apply:
- Bidder can claim on-site renewable power or anaerobic-digester power (“cow-power”). Or bidder consumes renewable electricity through voluntary purchase or offset, provided no such claimed power can be double-claimed by another party.
 - Bidder uses renewable biomass or bio-fuel for the purposes of thermal (heat) energy at its place of business.
 - Bidder's heating system has modern, high-efficiency units (boilers, furnaces, stoves, etc.), having reduced emissions of particulate matter and other air pollutants.
 - Bidder tracks its energy consumption and harmful greenhouse gas emissions. What tool is used to do this? Energy Star
 - Bidder promotes the use of plug-in electric vehicles by providing electric vehicle charging, electric fleet vehicles, preferred parking, designated parking, purchase or lease incentives, etc..
 - Bidder offers employees an option for a fossil fuel divestment retirement account.
 - Bidder offers products or services that reduce waste, conserve water, or promote energy efficiency and conservation. Please explain:

We use low flow flush valves for toilets & urinals. We use a single-stream recycling program.

4. Please list any additional practices that promote clean energy and take action to address climate change:

F. Acknowledge receipt of the following Addenda:


Addendum No.: _____ Dated: _____
Addendum No.: _____ Dated: _____
Addendum No.: _____ Dated: _____

Bidder Name: Ascend Management Innovations LLC Contact Name: T. Isadora Huntley

Address: 840 Crescent Centre Drive, Suite 400 Fax Number: (703) 251-8240

Franklin, TN 37067-4667 Telephone: (703) 251-8500

E-Mail: MaximusHealthProposals@maximus.com

By:  Name: T. Isadora Huntley
Signature of Bidder (or Representative) (Type or Print)

END OF CERTIFICATE OF COMPLIANCE

8. **Worker Classification Compliance Requirement Form**

RFP Section 4.8

Attachment 6.7 can be found below.

Attachment 6.7

WORKER CLASSIFICATION COMPLIANCE REQUIREMENT

RFP/PROJECT:

DATE:

Self-Reporting Form

This form must be completed in its entirety and submitted as part of the bid response for the proposal to be considered valid.

The State of Vermont in accordance with Act 54, Section 32 of the Acts of 2009 and for total projects costs exceeding \$250,000.00, requires bidders comply with the following provisions and requirements.

Bidder is required to self-report the following information relating to past violations, convictions, suspensions, and any other information related to past performance relative to coding and classification for worker's compensation. The state requires information on any violations that occurred in the previous 12 months.

Summary of Detailed Information	Date of Notification	Outcome
N/A	N/A	N/A

WORKER CLASSIFICATION COMPLIANCE REQUIREMENT: Bidder hereby certifies that the company/individual is in compliance with the requirements as detailed in Act 54, Section 32 of the Acts of 2009.

Date: Oct 28, 2020

Name of Company: Ascend Management Innovations LLC

Contact Name: T. Isadora Huntley

Address: 840 Crescent Centre Drive, Suite 400

Title: Vice President, Contracts and Assistant General Counsel

Franklin, TN 37067-4667

Phone Number: (703) 251-8500

E-mail: MaximusHealthProposals@maximus.com

Fax Number: (703) 251-8240

By: 
Signature (Bid Not Valid Unless Signed)*

Name: T. Isadora Huntley
(Type or Print)

*Form must be signed by individual authorized to sign on the bidder's behalf.