

State of Hawaii
Department of Human Services
Office of Youth Services

Request for Proposals

RFP No. HMS 501-06-06

POSITIVE YOUTH DEVELOPMENT IN A PROGRAM FEATURING PERFORMANCE ACTIVITIES

June 15, 2006

Note: If this RFP was downloaded from the State Procurement Office RFP Website each applicant must provide contact information to the RFP contact person for this RFP to be notified of any changes. For your convenience, you may download the [RFP Interest form](#), complete and e-mail or mail to the RFP contact person. The State shall not be responsible for any missing addenda, attachments or other information regarding the RFP if a proposal is submitted from an incomplete RFP.



STATE OF HAWAII
DEPARTMENT OF HUMAN SERVICES
1390 Miller Street
Honolulu, Hawaii 96813

June 15, 2006

MEMORANDUM

TO: All Interested Parties

FROM: Lillian B. Koller, Esq., Director

SUBJECT: **REQUEST FOR PROPOSAL (RFP) HMS-501-06-06
POSITIVE YOUTH DEVELOPMENT IN A PROGRAM FEATURING
PERFORMANCE ACTIVITIES**

The Department is soliciting proposals from qualified applicants to provide the service listed above and further described in the attached RFP. The RFP provides information to assist applicants in the preparation of program plans and budget, including:

1. A description of services sought;
2. Special requirements to be met by provider;
3. The criteria by which qualifying proposals shall be reviewed/rated; and
4. The criteria for monitoring and evaluation the contract.

The original and three (3) copies of the proposal must be hand delivered by 4:30 p.m., Hawaii Standard Time (H.S.T.), or postmarked by the United States Postal Service (USPS) before midnight, H.S.T., on **July 14, 2006** to the Director's Office of the Department of Human Services (DHS) located at 1390 Miller Street, Room 209, Honolulu, Hawaii, 96813.

Proposals postmarked by the USPS after July 14, 2006 or hand delivered after 4:30 p.m. H.S.T. on July 14, 2006 will not be considered and will be returned to the applicant. Deliveries by private mail services such as Federal Express (FedEx) and United Parcel Service (UPS) shall be considered hand deliveries. There are no exceptions to this requirement.

An informational meeting is scheduled on Monday, June 26, 2006 from 10:00 a.m. to 12:00 noon HST, at the Queen Liliuokalani Building, 1390 Miller Street, Honolulu, Hawaii, 96813, Second Floor, Conference Room 2. For more information, please call 721-6225.

Attachments

PROPOSAL MAIL-IN AND DELIVERY INFORMATION SHEET

NUMBER OF COPIES TO BE SUBMITTED: ONE (1) Original and THREE (3) Copies

ALL MAIL-INS SHALL BE POSTMARKED BY THE UNITED STATES POSTAL SERVICE (USPS) NO LATER THAN July 14, 2006 and received no later than 10 days from the submittal deadline.

All Mail-ins

Department of Human Services
Director's Office
1390 Miller Street, Room 209
Honolulu, Hawaii 96813-2936

RFP COORDINATOR

Scott Ray
For further info. or inquiries
Phone: 808-721-6225
Fax: 808-586-4890
Email: scott_ray_assoc@yahoo.com

ALL HAND DELIVERIES SHALL BE ACCEPTED AT THE FOLLOWING DESIGNATED DROP-OFF SITE UNTIL 4:30 P.M., HAWAII STANDARD TIME (HST), JULY 14, 2006. Deliveries by private mail services such as FEDEX shall be considered hand deliveries. Hand deliveries shall not be accepted if received after 4:30 p.m., July 14, 2006.

Drop-off Site

Department of Human Services
Director's Office
1390 Miller Street, Room 209
Honolulu, Hawaii 96813-2936

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Section 1

Administrative Overview

Section 1

Administrative Overview

Applicants are encouraged to read each section of the RFP thoroughly. While sections such as the administrative overview may appear similar among RFPs, state purchasing agencies may add additional information as applicable. It is the responsibility of the applicant to understand the requirements of *each* RFP.

I. Procurement Timetable

Note that the procurement timetable represents the State's best estimated schedule. Contract start dates may be subject to the issuance of a notice to proceed.

<u>Activity</u>	<u>Scheduled Date</u>
Public notice announcing RFP	6/15/06
Distribution of RFP	6/15/06
RFP orientation session	6/26/06
Closing date for submission of written questions for written responses	6/26/06
State purchasing agency's response to applicants' written questions	7/06/06
Discussions with applicant prior to proposal submittal deadline (optional)	As needed
Proposal submittal deadline	7/14/06
Discussions with applicant after proposal submittal deadline (optional)	At DHS option
Final revised proposals (optional)	As needed
Proposal evaluation period	7/06-8/06
Provider selection	7/06-8/06
Notice of statement of findings and decision	7/06-8/06
Contract start date	9/06-10/06

II. Website Reference

The State Procurement Office (SPO) website is www.spo.hawaii.gov

	For	Click
1	Procurement of Health and Human Services	“Health and Human Services, Chapter 103F, HRS...”
2	RFP website	“Health and Human Services, Ch. 103F...” and “RFPs”
3	Hawaii Administrative Rules (HAR) for Procurement of Health and Human Services	“Statutes and Rules” and “Procurement of Health and Human Services”
4	Forms	“Health and Human Services, Ch. 103F...” and “For Private Providers” and “Forms”
5	Cost Principles	“Health and Human Services, Ch. 103F...” and “For Private Providers” and “Cost Principles”
6	Standard Contract -General Conditions	“Health and Human Services, Ch. 103F...” “For Private Providers” and “Contract Template – General Conditions”
7	Protest Forms/Procedures	“Health and Human Services, Ch. 103F...” and “For Private Providers” and “Protests”

Non-SPO websites

(Please note: website addresses may change from time to time. If a link is not active, try the State of Hawaii website at www.hawaii.gov)

	For	Go to
8	Tax Clearance Forms (Department of Taxation Website)	http://www.hawaii.gov/tax/ click “Forms”
9	Wages and Labor Law Compliance, Section 103-055, HRS, (Hawaii State Legislature website)	http://www.capitol.hawaii.gov/ click “Bill Status and Documents” and “Browse the HRS Sections.”
10	Department of Commerce and Consumer Affairs, Business Registration	http://www.hawaii.gov/dcca click “Business Registration”
11	Campaign Spending Commission	www.hawaii.gov/campaign

III. Authority

This RFP is issued under the provisions of the Hawaii Revised Statutes (HRS), Chapter 103F and its administrative rules. All prospective applicants are charged with presumptive knowledge of all requirements of the cited authorities. Submission of a valid executed proposal by any prospective applicant shall constitute admission of such knowledge on the part of such prospective applicant.

IV. RFP Organization

This RFP is organized into five sections:

Section 1, Administrative Overview--Provides applicants with an overview of the procurement process.

Section 2, Service Specifications--Provides applicants with a general description of the tasks to be performed, delineates applicant responsibilities, and defines deliverables (as applicable).

Section 3, Proposal Application Instructions--Describes the required format and content for the proposal application.

Section 4, Proposal Evaluation--Describes how proposals will be evaluated by the state purchasing agency.

Section 5, Attachments --Provides applicants with information and forms necessary to complete the application.

V. Contracting Office

The Contracting Office is responsible for overseeing the contract(s) resulting from this RFP, including system operations, fiscal agent operations, and monitoring and assessing provider performance. The Contracting Office is:

Department of Human Services
Office of Youth Services
820 Mililani Street, Suite 817
Honolulu, Hawaii 96813
Phone (808)808-587-5700
Fax: (808)587-5734

VI. Orientation

An orientation for applicants in reference to the request for proposals will be held as follows:

Date: June 26, 2006 **Time:** 10:00 AM to 12:00 Noon
Location: Conference Room 2, Second Floor, Queen Liliuokalani Building,
1390 Miller Street, 96813

Applicants are encouraged to submit written questions prior to the orientation. Impromptu questions will be permitted at the orientation and spontaneous answers provided at the state purchasing agency's discretion. However, answers provided at the orientation are only intended as general direction and may not represent the state purchasing agency's position. Formal official responses will be provided in writing. To ensure a written response, any oral questions should be submitted in writing following the close of the orientation, but no later than the submittal deadline for written questions indicated in the next paragraph (VII. Submission of Questions).

VII. Submission of Questions

Applicants may submit questions to the RFP Contact Person identified in Section 2 of this RFP. All written questions will receive a written response from the state purchasing agency. Deadline for submission of written questions:

Date: 6/26/06 **Time:** 4:30 P.M. HST

State agency responses to applicant written questions will be provided by:

Date: 6/29/06

VIII. Submission of Proposals

A. Forms/Formats - Forms, with the exception of program specific requirements, may be found on the State Procurement Office website (See page 1-2, Websites Referred to in this RFP. Refer to the Proposal Application Checklist for the location of program specific forms.

1. **Proposal Application Identification (Form SPO-H-200)** - Provides identification of the proposal.
2. **Proposal Application Checklist** – Provides applicants with information on where to obtain the required forms; information on program specific requirements; which forms are required and the order in which all components should be assembled and submitted to the state purchasing agency.
3. **Table of Contents** - A sample table of contents for proposals is located in Section 5, Attachments. This is a sample and meant as a guide. The table of contents may vary depending on the RFP.
4. **Proposal Application (Form SPO-H-200A)** - Applicant shall submit comprehensive narratives that addresses all of the issues contained in the Proposal Application Instructions, including a cost proposal/budget if required. (Refer to Section 3 of this RFP.)
5. **Tax Clearance** – A certified copy of a current valid tax clearance certificate issued by the State of Hawaii, Department of Taxation (DOTAX) and the Internal Revenue Service (IRS) will be required either at the time of proposal submittal or upon notice of award at the discretion of the purchasing agency.

Refer to Section 4, subparagraph III.A.1, Administrative Requirements, and the Proposal Application Checklist (located

in Section 5) to determine whether the tax clearance is required at time of proposal submittal for this RFP. Tax clearance application may be obtained from the Department of Taxation website. (See paragraph II, Website Reference.)

- B. Program Specific Requirements** - Additional program specific requirements are included in Sections 2 and/or 3, Service Specifications and the Proposal Application Instructions, as applicable. If Federal and/or State certifications are required, they are listed on the Proposal Application Checklist located in Section 5.
- C. Multiple or Alternate Proposals** - Multiple or alternate proposals shall not be accepted unless specifically provided for in Section 2 of this RFP. In the event alternate proposals are not accepted and an applicant submits alternate proposals, but clearly indicates a primary proposal, it shall be considered for award as though it were the only proposal submitted by the applicant.
- D. Wages and Labor Law Compliance** - Before a provider enters into a service contract in excess of \$25,000, the provider shall certify that it complies with section 103-55, HRS, Wages, hours, and working conditions of employees of contractors performing services. Section 103-55, HRS may be obtained from the Hawaii State Legislature website. (See paragraph II, Website Reference.)
- E. Compliance with all Applicable State Business and Employment Laws.** All providers shall comply with all laws governing entities doing business in the State. Prior to contracting, owners of all forms of business doing business in the state except sole proprietorships, charitable organizations unincorporated associations and foreign insurance companies be register and in good standing with the Department of Commerce and Consumer Affairs (DCCA), Business Registration Division. Foreign insurance companies must register with DCCA, Insurance Division. More information is on the DCCA website. (See paragraph II, Website Reference.)
- F. Campaign Contributions by State and County Contractors.** Contractors are hereby notified of the applicability of Section 11-205.5, HRS, which states that campaign contributions are prohibited from specified State or county government contractors during the term of the contract if the contractors are paid with funds appropriated by a legislative body. For more information, Act 203/2005 FAQs are available at the Campaign Spending Commission webpage. (See paragraph II, Website Reference.)

- G. Confidential Information** – If an applicant believes any portion of a proposal contains information that should be withheld as confidential, the applicant shall request in writing nondisclosure of designated proprietary data to be confidential and provide justification to support confidentiality. Such data shall accompany the proposal, be clearly marked, and shall be readily separable from the proposal to facilitate eventual public inspection of the non-confidential sections of the proposal.

Note that price is not considered confidential and will not be withheld.

- H. Proposal Submittal** – All mail-ins shall be postmarked by the United States Postal System (USPS) and received by the State purchasing agency no later than the submittal deadline indicated on the attached Proposal Mail-in and Delivery Information Sheet. All hand deliveries shall be received by the State purchasing agency by the date and time designated on the Proposal Mail-In and Delivery Information Sheet. Proposals shall be rejected when:

- Postmarked after the designated date; or
- Postmarked by the designated date but not received within 10 days from the submittal deadline; or
- If hand delivered, received after the designated date and time.

The number of copies required is located on the Proposal Mail-In and Delivery Information Sheet. Deliveries by private mail services such as FEDEX shall be considered hand deliveries and shall be rejected if received after the submittal deadline. Dated USPS shipping labels are not considered postmarks. Submission by facsimile, e-mail, website, diskette/CD or other electronic means is **NOT permitted**.

IX. Discussions with Applicants

- A. Prior to Submittal Deadline.** Discussions may be conducted with potential applicants to promote understanding of the purchasing agency's requirements.
- B. After Proposal Submittal Deadline -** Discussions may be conducted with applicants whose proposals are determined to be reasonably susceptible of being selected for award, but proposals may be accepted without discussions, in accordance section 3-143-403, HAR.

X. Opening of Proposals

Upon receipt of proposal by a state purchasing agency at a designated location, proposals, modifications to proposals, and withdrawals of proposals shall be date-stamped, and when possible, time-stamped. All documents so

received shall be held in a secure place by the state purchasing agency and not examined for evaluation purposes until the submittal deadline.

Procurement files shall be open to public inspection after a contract has been awarded and executed by all parties.

XI. Additional Materials and Documentation

Upon request from the state purchasing agency, each applicant shall submit any additional materials and documentation reasonably required by the state purchasing agency in its evaluation of the proposals.

XII. RFP Amendments

The State reserves the right to amend this RFP at any time prior to the closing date for the final revised proposals.

XIII. Final Revised Proposals

If requested, final revised proposals shall be submitted in the manner, and by the date and time specified by the state purchasing agency. If a final revised proposal is not submitted, the previous submittal shall be construed as the applicant's best and final offer/proposal. *The applicant shall submit **only** the section(s) of the proposal that are amended, along with the Proposal Application Identification Form (SPO-H-200).* After final revised proposals are received, final evaluations will be conducted for an award.

XIV. Cancellation of Request for Proposal

The request for proposal may be canceled and any or all proposals may be rejected in whole or in part, when it is determined to be in the best interests of the State.

XV. Costs for Proposal Preparation

Any costs incurred by applicants in preparing or submitting a proposal are the applicants' sole responsibility.

XVI. Provider Participation in Planning

Provider participation in a state purchasing agency's efforts to plan for or to purchase health and human services prior to the state purchasing agency's release of a request for proposals, including the sharing of information on community needs, best practices, and providers' resources, shall not disqualify providers from submitting proposals if conducted in accordance with sections

3-142-202 and 3-142-203 of the Hawaii Administrative Rules for Chapter 103F, HRS.

XVII. Rejection of Proposals

The State reserves the right to consider as acceptable only those proposals submitted in accordance with all requirements set forth in this RFP and which demonstrate an understanding of the problems involved and comply with the service specifications. Any proposal offering any other set of terms and conditions contradictory to those included in this RFP may be rejected without further notice.

A proposal may be automatically rejected for any one or more of the following reasons: (Relevant sections of the Hawaii Administrative Rules for Chapter 103F, HRS, are parenthesized)

- (1) Rejection for failure to cooperate or deal in good faith. (Section 3-141-201, HAR)
- (2) Rejection for inadequate accounting system. (Section 3-141-202, HAR)
- (3) Late proposals (Section 3-143-603, HAR)
- (4) Inadequate response to request for proposals (Section 3-143-609, HAR)
- (5) Proposal not responsive (Section 3-143-610(a)(1), HAR)
- (6) Applicant not responsible (Section 3-143-610(a)(2), HAR)

XVIII. Notice of Award

A statement of findings and decision shall be provided to all applicants by mail upon completion of the evaluation of competitive purchase of service proposals.

Any agreement arising out of this solicitation is subject to the approval of the Department of the Attorney General as to form, and to all further approvals, including the approval of the Governor, required by statute, regulation, rule, order or other directive.

No work is to be undertaken by the awardee prior to the contract commencement date. The State of Hawaii is not liable for any costs incurred prior to the official starting date.

XIX. Protests

Any applicant may file a protest against the awarding of the contract. The Notice of Protest form, SPO-H-801, is available on the SPO website. (See

paragraph II, Website Reference.) Only the following matters may be protested:

- (1) A state purchasing agency’s failure to follow procedures established by Chapter 103F of the Hawaii Revised Statutes;
- (2) A state purchasing agency’s failure to follow any rule established by Chapter 103F of the Hawaii Revised Statutes; and
- (3) A state purchasing agency’s failure to follow any procedure, requirement, or evaluation criterion in a request for proposals issued by the state purchasing agency.

The Notice of Protest shall be postmarked by USPS or hand delivered to 1) the head of the state purchasing agency conducting the protested procurement and 2) the procurement officer who is conducting the procurement (as indicated below) within five working days of the postmark of the Notice of Findings and Decision sent to the protestor. Delivery services other than USPS shall be considered hand deliveries and considered submitted on the date of actual receipt by the state purchasing agency.

Head of State Purchasing Agency	Procurement Officer
Name: Lillian B. Koller, Esq.	Name: Lillian B. Koller, Esq.
Title: Director	Title: Director
Mailing Address: P.O. Box 339, Honolulu, Hawaii 96813	Mailing Address: P.O. Box 339, Honolulu, Hawaii 96813
Business Address: Department of Human Services 1390 Miller Street, Honolulu, Hawaii	Business Address: Department of Human Services 1390 Miller Street, Honolulu, Hawaii

XX. Availability of Funds

The award of a contract and any allowed renewal or extension thereof, is subject to allotments made by the Director of Finance, State of Hawaii, pursuant to Chapter 37, HRS, and subject to the availability of State and/or Federal funds.

XXI. Monitoring and Evaluation

The criteria by which the performance of the contract will be monitored and evaluated are:

- (1) Performance/Outcome Measures
- (2) Output Measures
- (3) Quality of Care/Quality of Services

- (4) Financial Management
- (5) Administrative Requirements

XXII. General and Special Conditions of Contract

The general conditions that will be imposed contractually are on the SPO website. (See paragraph II, Website Reference). Special conditions may also be imposed contractually by the state purchasing agency, as deemed necessary.

XXIII. Cost Principles

In order to promote uniform purchasing practices among state purchasing agencies procuring health and human services under Chapter 103F, HRS, state purchasing agencies will utilize standard cost principles outlined in Form SPO-H-201 which is available on the SPO website (see paragraph II, Website Reference). Nothing in this section shall be construed to create an exemption from any cost principle arising under federal law.

Section 2

Service Specifications

Section 2

Service Specifications

I. Introduction

A. Overview, purpose or need

The Department of Human Services (DHS) is continuing its efforts to provide a diverse array of programs designed to promote positive youth development. Programs employing diverse activities are required to meet the interests to stimulate participation by as many different youth as possible. Structured wholesome after school activities are critical to promoting positive development by offering constructive alternatives to negative peer influences in unstructured recreational settings. Most youth with working parents first experiment with alcohol, tobacco and other drugs (ATODs) as well as criminal and other negative behaviors in the unsupervised period between the time when they leave school for the day and the time that their parents return home from work. Community and school-based programs featuring sports and physical fitness are much more available to vulnerable youth than programs featuring performing arts.

Therefore, DHS is issuing this Request for Proposals (RFP) to seek qualified, experienced and interested faith and community-based organizations (FCBOs) to provide a structured after-school program(s). The selected program(s) must:

1. feature performing arts training;
2. include education benefits relating to the selected performance art as well as related areas of education and inducements to educational achievement in school;
3. provide culturally diverse education on the performance art and be open to a culturally diverse population from an array of public and private schools across Oahu;
4. promote family involvement in the program and the youth's performance;
5. promote the development of personal goals by participating youth;
6. provide training in life skills; and
7. provide performances that constitute and promote public service.

B. Planning activities conducted in preparation for this RFP

Preliminary discussions were held with the between the Department of Human Services and the Offices of the Governor, the Lt. Governor and Youth Services on the need for more structured after-school programs featuring more diverse activities, including performing arts. A Request for Information (RFI) was posted on the Hawaii State Procurement Office (SPO) website on May 27, 2006 where FBCOs and the community at large were encouraged to provide comments, suggestions, and/or recommendations on the relevant topics to provide community input into the plans for a potential RFP. Written and verbal comments were solicited through June 9, 2006. An RFI meeting was held to receive input from the community on June 7, 2006 at 10:00 AM to 12:00 Noon in Conference Room 1 on the Second Floor of the Queen Liliuokalani Building at 1390 Miller Street, Honolulu, Hawaii 96813. Representatives of four agencies attended. Each described programs thought to fit under a potential RFP and made suggestions for the parameters of funding. One written comment was received by fax. The comments were considered in the design of this RFP.

C. Description of the goals of the service

DHS desires that all youth should have access to safe structured after-school activities that promote positive youth development, and that a variety of after-school programs should be available to be responsive to the diversity of the interests of youth across the diverse array of public and private schools on Oahu. This initiative will help fill the gap for youth who are interested in and motivated by performing arts. The goal of this service is to provide safe, structured educationally beneficial services that will promote youth development in performing arts. As such, the program will provide an alternative to negative peer influences and other risk in unstructured after-school settings. The program will also foster development of not only performance but also life skills and educational attainment in general. The service will facilitate parents' involvement in their child's/children's development and teach the importance of cultural diversity and public service.

D. Description of the target population to be served

The target population will include students, within the age range from six to seventeen from a diverse array of public and private schools on Oahu.

E. Geographic coverage of service

The services will be performed on Oahu. Successful services might possibly lead to services on other islands in potential future solicitations.

F. Probable funding amounts, source, and period of availability

While no specific funding amounts have been pre-determined, the DHS anticipates award amounts to be approximately \$100,000.00 – \$150,000.00. Each award will result in a 12-month contract that may be extended for an additional 12-month period.

Funding Period: One year, potentially beginning as soon as 9/1/06, and if so, ending 8/31/07.

Contract Budget Period: 9/1/06 – 8/31/07

Approximate Total Amount of Federal Funds: \$350,000.00

Possible Source of Federal Funds: *Federal Department of Health and Human Services, Social Services Block Grant, **C.F.D.A. Number: 93.667**
www.cdfa.gov

*Circumstance could require the use of other sources of funds for any awards resulting from this RFP.

There may be a possibility for an extension of the initial award period up to an additional 12 months should funds become available. The award of a contract and any allowed renewal or extension thereof, is subject to allotments to be made by the Director of Finance, State of Hawaii, pursuant to Chapter 37, Hawaii Revised Statutes, and subject to the availability of funds and the quality of program services.

II. General Requirements

A. Specific qualifications or requirements, including but not limited to licensure or accreditation

1. Applicants must be a FCBO with a 501 (c) 3 tax status.
2. Applicants must have an established performing arts program with a minimum of three years experience and a track record of success.
3. Applicants must have a demonstrated ability to provide services to a diverse array of public and private school youth.
4. Applicants must arrange for a financial and compliance audit to be done and submitted to the Department as directed in accordance with “Government OMB Circular A-133” if the Applicant expends \$500,000 or more in federal funds in a year.
5. Applicants must refund to the State any funds unexpended or expended inappropriately.

B. Secondary purchaser participation
(Refer to §3-143-608, HAR)

After-the-fact secondary purchases will be allowed.

Planned secondary purchases: None

C. Multiple or alternate proposals
(Refer to §3-143-605, HAR)

Allowed Unallowed

D. Single or multiple contracts to be awarded
(Refer to §3-143-206, HAR)

Single Multiple Single & Multiple

Criteria for multiple awards:

Multiple contracts may be awarded as the OYS deems appropriate to best meet the needs of the State after all proposals are reviewed.

E. Single or multi-term contracts to be awarded
(Refer to §3-149-302, HAR)

Single term (≤ 2 yrs) Multi-term (> 2 yrs.)

Contract terms: The initial term of the contract shall commence on or after September 1, 2006 or Notice to Proceed, whichever is later, and continue through August 31, 2007. There may be a possibility for extension of the initial award period up to an additional 12 months should funds become available. The maximum length of the contract shall be 24 months. The conditions for extension must be in writing and any extension must be executed prior to the expiration of the initial term of the contract and any subsequent extension. The award of a contract and any allowed renewal or extension thereof, is subject to allotments to be made by the Director of Finance, State of Hawaii, pursuant to Chapter 37, Hawaii Revised Statutes, and subject to the availability of funds and the quality of program services.

F. RFP contact person

The individual listed below is the sole point of contact from the date of release of this RFP until the selection of the successful provider or providers. Written questions should be submitted to the RFP contact person and received on or before the day and time specified in Section 1, paragraph I (Procurement Timetable) of this RFP.

Contact Person: Scott Ray
 Phone: 808-721-6225
 Fax: 808-586-4890
 e-mail: scott_ray_assoc@yahoo.com

III. Scope of Work

The scope of work encompasses the following tasks and responsibilities:

A. Service Activities (Minimum and/or mandatory tasks and responsibilities)

The applicants shall each serve at least 50 youth from a diverse array of public and private schools across Oahu. In doing so, the applicants shall involve each youth participant in the following:

1. education and training in the targeted performing art;
2. additional educational benefits and incentives;
3. culturally diverse education and creative products;
4. structured activities involving parents;
5. activities teaching life skills and encouraging the development of personal goals for success; and
6. participation in at least 12 public performances, a significant number of which constitute a public service to segments of the community.

B. Management Requirements (Minimum and/or mandatory requirements)

1. Personnel

- a. The applicant shall ensure that employees do not have a criminal history or background that poses a risk to youth. The applicant shall conduct employment and reference checks on all employment applicants. In addition, prior to providing direct services to youth, criminal history record checks (State and FBI Criminal History Check, Sex Offender Registry, and the Child Abuse and Neglect Registry Clearance) shall be conducted, as allowed by statutes or rules, for any person who is employed or volunteers in a position that necessitates close proximity to or contact with children or adolescents. Documentation of criminal history record checks shall be maintained in the employee or volunteer's personnel file and shall be available for

review. Criminal history record checks, except for the FBI fingerprint check, shall be conducted annually.

- b. The applicant shall develop policies that describe the grounds and circumstances for denial of employment or termination of current employees who have been found to have convictions or pending charges upon completion of any criminal history check or other investigation.
- c. The applicant shall have written personnel policies covering selection of staff, salaries, fringe benefits, leaves, job descriptions, and minimum qualifications of each position. Staff salaries shall be sufficiently competitive to recruit and retain qualified staff.
- d. The program staff and volunteers shall have appropriate qualifications and necessary training to provide the required drug and violence prevention services and activities, demonstrate knowledge, capacity, skills and experience in working with the target population, and are knowledgeable about the community served.
- e. Applicants shall engage trainers and professionals that have expertise in the subject matter and experience working with the staff and/or identified target population to ensure credibility with the target audiences. The trainers should be skilled in conveying information to participants.

2. Administrative

- a. The applicant is required to meet with the OYS to discuss any aspect of the services.
- b. The applicant is required to maintain detailed records of youth, program activities, and personnel in addition to maintaining an accounting system and financial records to accurately account for funds awarded. Funds shall be budgeted and expended in accordance with applicable State and/or Federal cost principles.
- c. The applicant shall also be required to comply with applicable provisions and mandates of the Health Insurance Portability and Accountability Act (HIPAA) of 1996. The HIPAA regulates how individually identifiable health (medical and mental health) information is handled to ensure confidentiality.
- d. The OYS reserves the right to make modifications to the scope of the services and in funding amounts that it is currently unable to anticipate. There may be unique circumstances, not limited to

directives and decrees from State and Federal agencies that require these modifications be made to continue or improve services. Additionally should funding be increased or decreased, the OYS reserves the right to add in additional funds or decrease at its discretion.

- e. The applicant shall not utilize youth for any agency solicitation or political campaign purposes.
- f. The applicant may not charge youth and/or their families more than a token amount for program services.
- g. Subcontracting arrangements may be allowed if the applicant is unable to provide components of the requested services directly. Copies of draft subcontract agreements must be submitted as an attachment to the proposal. All subcontracts must follow the pricing structure and all other requirements of this RFP.
- h. Memoranda of Agreements and working agreements with other agencies for services resulting from awards and contracts of this RFP shall be submitted to the OYS for review for appropriateness and relevancy.

3. Quality assurance and evaluation specifications

- a. All contracts shall be monitored by the OYS in accordance with requirements set forth by Chapter 103F, Hawaii Revised Statutes. Contract monitoring shall include but may not be limited to:
 - 1) The review of amendments and approvals, deemed appropriate by the OYS, of the contract's program items, especially the outcomes plan, the performance targets and milestones, the assurance of collaboration, quarterly program reports, and other documents submitted to the OYS.
 - 2) Periodic site visits, scheduled and unscheduled, with written evaluation of the major program service areas, such as:
 - a) Staff qualification, organization, and effectiveness.
 - b) Outcomes planning, implementation, and evaluation.
 - c) Collaboration (Informal and formal agreements and subcontracts).
 - d) File maintenance and record keeping.
 - e) Facility accessibility, suitability, and safety.
 - f) Transportation and other liability issues.
 - g) Consumer satisfaction.

- 3) Access to all materials, files, and documents relating to the provision of services. In addition, the OYS may, at its discretion, observe individual, group, and educational sessions conducted by the applicant.
- b. The applicant must maintain for the term of the contract the system of evaluation developed by the OYS, including the use of evaluation tools and reporting forms. In addition, the applicant must take corrective actions the OYS deems necessary in light of the evaluation data.

4. Output and performance/outcome measurements

- a. An Outcomes Framework (outcomes, performance targets, and milestones) will be used for monitoring and results reporting. The Outcomes Framework (OF) for this service will focus on specific changes in conditions, skills, attitudes, and/or behaviors of at-risk youth and their families related to drug and violence issues, education and positive youth development services.
 - 1) Performance targets are statements that describe the number of program participants who will achieve the established level of success and/or the anticipated increase level of change in program participants that occurs as a consequence of the service provided. The performance target does not reflect the actions or behaviors of the agency or the staff in the delivery of the program services. In response to the RFP, applicants must propose and commit to performance targets that are directly related to the desired change in the program participants' knowledge, skills, and/or behavior.
 - 2) Milestones describe the sequential and or incremental steps or actions made by the program participants to indicate they are successfully progressing toward achieving the performance target. Applicants should identify the milestones that will most effectively communicate (track and report) the success of program participants and at the same time can be efficiently documented on an ongoing basis. The successful achievement of milestones and performance targets should be verifiable by direct and indirect measures, observable events or behaviors, or indicators identified by the applicant.
- b. Within this OF, applicants must:
 - 1) Design and implement performing arts programs for youth based on research or evaluation that provides evidence that the programs and activities used impact the indicators of risk and protective

factors and contribute to reducing risk factors and establishing or strengthening protective factors and positive youth development.

- 2) Evaluate programs to assess their progress toward achieving the outcomes, performance targets, and milestones. Furthermore, such evaluation shall be used to improve and strengthen the programs, to revise timelines, and to refine the outcomes, performance targets, and milestones.
 - 3) Use appropriate computer hardware and Microsoft software Access and Excel to record, monitor, and report various data.
- c. Applicants will commit to the performance targets finalized with the OYS as part of the applicants' contractual responsibility. Applicants will track and report progress through a standard reporting format and meet periodically with the OYS to review progress and results and to make necessary modifications and corrections.
 - d. In order to facilitate the implementation of the OF and enhanced services, the State will:
 - 1) Provide technical assistance in developing outcomes, performance targets, and milestones.
 - 2) Provide technical assistance in using forms developed by the OYS and necessary hardware and software to evaluate the progress of the programs using such forms.

5. Experience

Applicants shall have a minimum of three years experience designing, implementing, and managing, a performing arts program and identified activities related to those proposed in response to this RFP.

6. Coordination of services

The funded program(s) shall coordinate with related schools, performing arts organizations and other agencies and organizations, as required, to effectively meet the requirements of the RFP.

7. Reporting requirements for program and fiscal data

- a. Contracts are programmatically and fiscally monitored by the State. Monitoring includes the review of program reports and services; budgets and revisions (as approved by the State); invoices and expenditure reports; and any issues applicable to services provided.

Monitoring will take place at a variety of locations including the applicant's administrative office and the site(s) of service delivery.

- b. OYS will provide applicants diskettes with the required reporting forms upon execution of contracts.
- c. Timely program and fiscal reports as specified by the OYS will be due quarterly and at the end of each budget period. The applicant shall submit to OYS its final invoice no later than 30 days after the end of each budget period. Lapsing of funds will occur if final invoices are not received by OYS in a timely manner.

8. Pricing structure or pricing methodology to be used

Pricing structure will be based on a cost reimbursement basis. The cost reimbursement pricing structure reflects a purchase arrangement in which the State pays the applicant for budgeted agreed-upon costs that are actually incurred and allocable in delivering the services specified in the contract, up to a stated maximum obligation.

9. Units of service and unit rate

Not Applicable.

10. Method of compensation and payment

Payments shall be made in accordance with the State of Hawaii, State Procurement Office, Chapter 103F, HRS – Cost Principles, Purchases of Health and Human Services and when applicable, in accordance with the Office of Management and Budget (OMB) Federal Cost Principles (OMB Circular A-21, A-87 or A-122) and subject to the following:

- a. Payments shall be made in monthly installments upon the monthly submission by the applicant of an invoice for the services provided in accordance with the terms and information set forth in the contract.
- b. After the first payment made in advance, the monthly invoices shall be based on expenditures actually incurred for the performance of the services required under the contract.
- c. The OYS shall withhold a final payment of one-twelfth of the total compensation for each budget period until final settlement of each budget period of a contract. Provided that all expenditures are in compliance with the terms stated in the contract, payment of the lesser of actual costs reported on the final expenditure report or the contract amount for the budget period will be made.

IV. Facilities

Applicants shall assure the adequacy of the facilities that will be used to conduct the proposed service to ensure the safety and well-being of the target population.

Section 3

Proposal Application Instructions

Section 3

Proposal Application Instructions

General instructions for completing applications:

- *Proposal Applications shall be submitted to the state purchasing agency using the prescribed format outlined in this section.*
- *The numerical outline for the application, the titles/subtitles, and the applicant organization and RFP identification information on the top right hand corner of each page should be retained. The instructions for each section however may be omitted.*
- *Page numbering of the Proposal Application should be consecutive, beginning with page one and continuing through for each section. See sample table of contents in Section 5.*
- *Proposals may be submitted in a three ring binder (Optional).*
- *Tabbing of sections (Recommended).*
- *Applicants must also include a Table of Contents with the Proposal Application. A sample format is reflected in Section 5, Attachment B of this RFP.*
- *A written response is required for **each** item unless indicated otherwise. Failure to answer any of the items will impact upon an applicant's score.*
- *Applicants are **strongly** encouraged to review evaluation criteria in Section 4, Proposal Evaluation when completing the proposal.*
- *This form (SPO-H-200A) is available on the SPO website (see Section 1, paragraph II, Website Reference). However, the form will not include items specific to each RFP. If using the website form, the applicant must include all items listed in this section.*

The Proposal Application comprises the following sections:

- *Proposal Application Identification Form*
- *Table of Contents*
- *Program Overview*
- *Experience and Capability*
- *Project Organization and Staffing*
- *Service Delivery*
- *Financial*
- *Other*

I. Program Overview (Not to exceed one page; 0 Points)

Applicant shall give a brief overview to orient evaluators as to the program/services being offered.

II. Experience and Capability (Not to exceed 5 pages; 25 points)

A. Necessary Skills

The applicant shall demonstrate that it has the necessary skills, abilities, and knowledge relating to the delivery of the proposed services, including but not limited to expertise in the selected performance art as well as program management and direct service to the target population.

B. Experience

The applicant will describe its history and track record with previous program activities of the scope and nature of the proposed activities. The applicant shall provide a description of projects/contracts pertinent to the proposed services. Applicant shall include points of contact, addresses, and phone numbers for previous contracting and/or funding agents. The DHS reserves the right to contact references to verify experience.

C. Quality Assurance and Evaluation

The applicant shall describe its own plans for quality assurance and evaluation for the proposed services, including methodology. The applicant shall describe the arrangements for evaluation and methods to determine the program effectiveness and overall impact on target population.

D. Coordination of Services

The applicant shall describe its experience in collaborating and coordinating with other agencies and resources in the community or geographic area of planned service delivery. Letters of agreement or support should be specific and relevant to the planned services for this RFP.

E. Facilities

The applicant shall provide a description of its facilities and demonstrate its adequacy in relation to the proposed services. If facilities are not presently available, describe plans to secure facilities. Also describe how the facilities meet ADA requirements, as applicable and special equipment that may be required for the services.

III. Project Organization and Staffing (Not to exceed 3 pages; 15 Points)

A. Staffing

1. Proposed Staffing

The applicant shall describe the proposed staffing pattern and student/staff ratio appropriate for the viability of the services. (Refer to the personnel requirements in the Service Specifications, as applicable.)

2. Staff Qualifications

The applicant shall provide the minimum qualifications (including experience) for staff assigned to the program. Resumes of key staff and job descriptions of all staff that will be providing services shall be included.

B. Project Organization

1. Supervision and Training

The applicant shall describe its ability to supervise, train and provide administrative direction relative to the delivery of the proposed services.

2. Organization Chart

The applicant shall reflect the position of each staff and line of responsibility/supervision. (Include position title, name and full time equivalency) Both the "Organization-wide" and "Program" organization charts shall be attached to the Proposal Application. The applicant shall reflect the position(s) of each individual who has direct responsibility for the proposed services, including position title, name, full time equivalency, and supervision received.

If the applicant does not have an organization chart, the applicant shall state so and name the person(s) directly responsible for the specific prevention services to be delivered.

IV. Service Delivery (Not to exceed 20 pages; 50 Points)

Applicant shall include a detailed discussion of the applicant's approach to applicable service activities and management requirements from Section 2, Item III. - Scope of Work, including (if indicated) a work plan of all service activities and tasks to be completed, related work assignments/responsibilities and timelines/schedules.

The applicant (s) shall each serve at least 50 youth from a diverse array of public and private schools across Oahu. In doing so, the applicant(s) shall provide service for youth participants according to the proposed work plan. The proposal should include a work plan that describes how the applicant will address each of the following tasks and services for youth participants:

1. education and training in the targeted performing art;
2. additional educational benefits and incentives;
3. culturally diverse education through creative products;
4. structured activities involving parents;
5. activities teaching life skills and encouraging the development of personal goals for success; and
6. participation in at least 12 public performances, a significant number of which constitute a public service to segments of the community.

V. Financial (10 Points)

A. Pricing Structure

Applicant shall submit a cost proposal utilizing the pricing structure designated by the state purchasing agency. The cost proposal shall be attached to the Proposal Application.

All budget forms, instructions and samples are located on the SPO website (see Section 1, paragraph II Websites referred to in this RFP). The following budget form(s) shall be submitted with the Proposal Application:

SPO-H-205:	Budget
SPO-H-206A:	Personnel
SPO-H-206B:	Personnel – Taxes, Assessments, Fringe
SPO-H-206C:	Travel – Inter-island
SPO-H-206E:	Contractual Services – Administrative
SPO-H-206F:	Contractual Services – Subcontracts
SPO-H-206H:	Program Activities
SPO-H-206I:	Equipment Purchases

The budget must be accompanied by a detailed budget narrative. Budget narrative forms from the SPO website may be used.

B. Other Financial Related Materials

1. Accounting System

In order to determine the adequacy of the applicant’s accounting system as described under the administrative rules, the following documents are requested as part of the Proposal Application (may be attached):

Latest Single Audit Report of Financial Audit or most recent financial audit letter.

2. Accounting Personnel.

- a. Applicant must state which staff positions are responsible for maintaining accounting records and fiscal reporting and approximately how many hours a week is devoted to this function.
- b. Applicant shall also describe what accounting qualifications are required for each of these positions if not detailed in the submitted Section III. Personnel: Project Organization and Staffing.
- c. Applicant shall state which staff position will be responsible for filing timely quarterly expenditure reports required by all OYS contracts.

VI. Other

A. Litigation

The applicant shall disclose any pending litigation to which they are a party, including the disclosure of any outstanding judgment. If applicable, please explain.

NOTE: It is highly recommended that the applicant also read *Section 4, Proposal Evaluation* of this RFP which contains criteria for evaluating proposals submitted in response to this RFP.

Section 4

Proposal Evaluation

Section 4 Proposal Evaluation

I. Introduction

The evaluation of proposals received in response to the RFP will be conducted comprehensively, fairly and impartially. Structural, quantitative scoring techniques will be utilized to maximize the objectivity of the evaluation.

II. Evaluation Process

The procurement officer or an evaluation committee of designated reviewers selected by the head of the state purchasing agency or procurement officer shall review and evaluate proposals. When an evaluation committee is utilized, the committee will be comprised of individuals with experience in, knowledge of, and program responsibility for program service and financing.

The evaluation will be conducted in three phases as follows:

- Phase 1 - Evaluation of Proposal Requirements
- Phase 2 - Evaluation of Proposal Application
- Phase 3 - Recommendation for Award

Evaluation Categories and Thresholds

<u>Evaluation Categories</u>	<u>Possible Points</u>
<i>Administrative Requirements</i>	
<i>Proposal Application</i>	
Program Overview	0 points
Experience and Capability	25 points
Project Organization and Staffing	15 points
Service Delivery	50 points
Financial	10 Points
TOTAL POSSIBLE POINTS	100 Points

III. Evaluation Criteria

A. Phase 1 - Evaluation of Proposal Requirements

- 1. Administrative Requirements**
 - Application Checklist

- Tax Clearance Certificate (Form A-6) or letter indicating it has been requested and will be available before contracting.

2. Proposal Application Requirements

- Proposal Application Identification Form (Form SPO-H-200)
- Table of Contents
- Program Overview
- Experience and Capability
- Project Organization and Staffing
- Service Delivery
- Financial (All required forms and documents)
- Program Specific Requirements (as applicable)

B. Phase 2 - Evaluation of Proposal Application (100 Points)

Program Overview: No points are assigned to Program Overview. The intent is to give the applicant an opportunity orient evaluators as to the service(s) being offered.

1. Experience and Capability (25 Points)

The State will evaluate the applicant’s experience and capability relevant to the proposal contract, which shall include:

A. Necessary Skills

- Demonstrated skills, abilities, and knowledge relating to the delivery of the proposed services, including but not limited to expertise in the selected performance art as well as program management and direct service to the target population.

B. Experience

- The applicant will describe its history and track record with previous program activities of the scope and nature of the proposed activities.
- The applicant shall provide a description of projects/contracts pertinent to the proposed services. Applicant shall include points of contact, addresses, and phone numbers for previous contracting and/or funding agents. The DHS reserves the right to contact

references to verify experience.

C. Quality Assurance and Evaluation

- Sufficiency of quality assurance and evaluation plans for the proposed services, including methodology.
- The applicant shall describe the arrangements for evaluation and methods to determine the program effectiveness and overall impact on target population.

D. Coordination of Services

- Demonstrated capability to coordinate services with other agencies and resources in the community.
- Letters of agreement or support should be specific and relevant to the planned services for this RFP.

E. Facilities

- Adequacy of facilities relative to the proposed services.
-

2. Project Organization and Staffing (15 Points)

The State will evaluate the applicant’s overall staffing approach to the service that shall include:

A. Staffing

- Proposed Staffing: The proposed staffing pattern and student/staff ratio is reasonable to insure viability of the services.
- Staff Qualifications: Minimum qualifications (including experience) for staff assigned to the program.
- Proposal includes resumes of key staff that list experience with related or similar projects.

B. Project Organization

- Supervision and Training: Demonstrated ability to supervise, train and provide administrative direction to staff relative to the delivery of the proposed services.
- Organization Chart: Approach and rationale for the structure, functions, and staffing of the proposed organization for the overall service activity and tasks.
-

3. Service Delivery (50 Points)

Evaluation criteria for this section will assess the applicant’s approach to the service activities and management requirements outlined in the Proposal Application.

- The applicant clearly described in detail how the following services will be delivered for at least 50 students from a diverse array of public and private schools across Oahu.
 - education and training in a targeted performing art;
 - additional educational benefits and incentives;
 - use of culturally diverse educational and creative products to engage a culturally diverse group of participants;
 - structured activities involving parents;
 - activities teaching life skills and encouraging the development of personal goals for success; and
 - youth participation in at least 12 public performances, a significant number of which constitute a public service to segments of the community.
- Performance Measures for the program participants are established and submitted on OYS Form 4-1.
- The logic of the work plan for the major service activities and tasks to be completed, including clarity in work assignments and responsibilities, and the realism of the timelines and schedules, as applicable, is detailed.

5. *Financial (10 Points)*

- Personnel costs are reasonable and comparable to positions in the community.
- Non-personnel costs are reasonable and adequately justified.
- The budget fully supports the scope of service and requirements of the Request for Proposal.
- A detailed budget narrative was included that sufficiently clarified details in the budget.
- Adequacy of accounting system.

C. Phase 3 - Recommendation for Award

Each notice of award shall contain a statement of findings and decision for the award or non-award of the contract to each applicant.

Section 5

Attachments

- Attachment A: Competitive Proposal Application Checklist
- Attachment B: Sample Proposal Table of Contents
- Attachment C: DRAFT Special Conditions of the Contract
- Attachment D: Outcomes Plan & Program Report (OYS Form 4-1)
- Attachment E: Administrative Assurances

Proposal Application Checklist

Applicant: _____ RFP No.: _____

The applicant's proposal must contain the following components in the order shown below. This checklist must be signed, dated and returned to the purchasing agency as part of the Proposal Application. SPOH forms are on the SPO website. See Section 1, paragraph II Website Reference.*

Item	Reference in RFP	Format/Instructions Provided	Required by Purchasing Agency	Completed by Applicant
General:				
Proposal Application Identification Form (SPO-H-200)	Section 1, RFP	SPO Website*	X	
Proposal Application Checklist	Section 1, RFP	Attachment A	X	
Table of Contents	Section 5, RFP	Section 5, RFP	X	
Proposal Application (SPO-H-200A)	Section 3, RFP	SPO Website*	X	
Tax Clearance Certificate (Form A-6)	Section 1, RFP	Dept. of Taxation Website (Link on SPO website)*	X	
Cost Proposal (Budget)			X	
SPO-H-205	Section 3, RFP	SPO Website*		
SPO-H-205A	Section 3, RFP	SPO Website* Special Instructions are in Section 5	X	
SPO-H-205B	Section 3, RFP,	SPO Website* Special Instructions are in Section 5	X	
SPO-H-206A	Section 3, RFP	SPO Website*	X	
SPO-H-206B	Section 3, RFP	SPO Website*	X	
SPO-H-206C	Section 3, RFP	SPO Website*	X	
SPO-H-206D	Section 3, RFP	SPO Website*	X	
SPO-H-206E	Section 3, RFP	SPO Website*	X	
SPO-H-206F	Section 3, RFP	SPO Website*	X	
SPO-H-206G	Section 3, RFP	SPO Website*	X	
SPO-H-206H	Section 3, RFP	SPO Website*	X	
SPO-H-206I	Section 3, RFP	SPO Website*	X	
SPO-H-206J	Section 3, RFP	SPO Website*		
Certifications:				
Federal Certifications		Section 5, RFP	Certification will be required at time of contract execution	
Debarment & Suspension		Section 5, RFP		
Drug Free Workplace		Section 5, RFP		
Lobbying		Section 5, RFP		
Program Fraud Civil Remedies Act		Section 5, RFP		
Environmental Tobacco Smoke		Section 5, RFP		
Program Specific Requirements:				
Outcomes Plan (OYS Form 4-1)			X	

Authorized Signature

Date

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	SPO-H-206I Equipment Purchases	
	B. Other Financial Related Materials	
	Financial Audit for fiscal year ended June 30, 1996	
	C. Organization Chart	
	Program	
	Organization-wide	
	D. Outcomes Form OYS 4-1	
	E. Program Specific Requirements	

SPECIAL CONDITIONS

1. **Insurance.** Paragraph 1.4, Insurance, Exhibit “D”, General Conditions, is modified and the PROVIDER agrees to the following:

The PROVIDER shall obtain, maintain, and keep in force throughout the period of this Agreement liability insurance (the “Liability Insurance”) issued by an insurance company in a combined amount of at least TWO MILLION AND NO/100 DOLLARS (\$2,000,000.00), or such lesser amount requested in writing by the PROVIDER and, for good cause shown, approved by the head of the purchasing agency, which approval, if any, is incorporated herein by reference, for bodily injury and property damage liability arising out of each occurrence. The Liability Insurance shall provide that it is the primary insurance for the State of Hawaii, the purchasing agency, and their officers, employees, and agents for any liability arising out of or resulting from occurrences connected with the PROVIDER’s performance under this Agreement. Prior to or upon execution of this Agreement, the PROVIDER shall obtain a certificate of insurance verifying the existence of the necessary liability insurance coverage, including the coverage of the State of Hawaii, and its officers, employees, and agents. If the scheduled expiration date of the liability insurance policy is earlier than the expiration date of the time for performance under this Agreement, the PROVIDER, upon renewal of the policy, shall promptly cause to be provided to the STATE an updated certificate of insurance. The certificates of insurance shall expressly provide that the insurance policy shall not be cancelled unless the insurance company has first given to the STATE thirty (30) calendar days’ written notice of the intended cancellation.

In order to protect the PROVIDER as well as the State of Hawaii, the STATE, and their officers, employees, and agents covered under the indemnification provision in this Agreement, the PROVIDER shall obtain and keep in force throughout the period of this Agreement the following insurance:

Automobile liability insurance for automobiles owned or leased by the PROVIDER and used to carry out services specified in this Agreement shall be obtained from a company authorized to do business in the State, or meet Section 431:8-301, Hawaii Revised Statutes if utilizing an insurance company not licensed by the State of Hawaii, and complying with the Hawaii No Fault Insurance Law. The amount shall be at least ONE MILLION AND NO/100 DOLLARS (\$1,000,000.00) combined single limit with respect to bodily injury and property damage. The PROVIDER's policy shall name the STATE, the State of Hawaii and their officers, agents, servants or employees as additional insured. Prior to or upon execution of this Agreement, the PROVIDER shall furnish the STATE with a Certificate of Insurance, verifying the existence of such insurance. Such certificate shall also expressly provide that such insurance shall not be canceled unless the insurance company has first given to the STATE thirty (30) calendar days' written notice of the intended cancellation.

If the PROVIDER is authorized by the STATE to subcontract, subcontractor(s) is not excused from the Indemnification and/or Insurance provisions of this Agreement. The PROVIDER agrees to require its subcontractor(s) to obtain insurance in order to indemnify the STATE.

Failure of the PROVIDER to provide and keep in force such insurance shall be regarded as material default under this Agreement, entitling the STATE to exercise any or all of the remedies provided in this Agreement for default of the PROVIDER.

The procuring of such required policy or policies of insurance shall not be construed to limit the PROVIDER's liability hereunder nor to fulfill the indemnification provisions and requirements of this Agreement. Notwithstanding said policy or policies of insurance, the PROVIDER shall be obliged for the full and total amount of any damage, injury, or loss caused by the negligent act or omission of the PROVIDER or its authorized representatives.

2. **Confidential Information.** In addition to Paragraph 2.1, Confidentiality of Material, Exhibit "D", General Conditions, the PROVIDER further agrees to the following:

All information and records about or for the clients served, secured from clients, the STATE, or any other individuals or agencies by the PROVIDER, or prepared by the PROVIDER for the STATE, in satisfaction of this Agreement, shall be confidential and shall not be made available to any individual or organization by the PROVIDER without prior written approval of the STATE, subject to provisions of applicable State of Hawaii and Federal statutes, and State of Hawaii Administrative Rules. To ensure the confidentiality of all such information and records, the PROVIDER shall immediately notify the STATE when inquiries for information, including subpoenas are made to the PROVIDER. The PROVIDER shall submit copies of all written requests for information, as well as subpoenas, to the STATE.

3. **Maintain Records.** In addition to Paragraph 2.3, Records Retention, Exhibit "D", General Conditions. The PROVIDER further agrees as follows:

The PROVIDER shall maintain statistical, clinical, and administrative records pertaining to services of this Agreement. The records shall be subject at all reasonable times to inspection or review by the STATE or Federal representatives directly connected with the program area under this Agreement. All records shall be retained and made accessible for a minimum of six years after the date of submission of the PROVIDER's final report to the STATE; provided that, in the event any litigation, claim, negotiation, investigation, audit, or other action involving the records has been started before the expiration of the 6-year period, the PROVIDER shall retain the records until completion of the action and resolution of all issues that arise from it or until the end of the regular 6-year retention period, whichever occurs later.

4. **Equipment.** All equipment purchased with contract funds under this Agreement including items of personal property, as distinguished from real property, that has an

acquisition cost of \$1,000.00 or more per item and with an expected life of more than one year, shall remain the property of the STATE. All equipment purchased with contract funds must have prior approval from the STATE before purchase to be allowable. Following the Agreement period, all equipment shall be reported in the final fiscal report to the STATE. Disposition of said equipment shall be prescribed by the STATE.

5. **Publications.** The PROVIDER shall submit all reports and written publications resulting from this Agreement for review, comment and approval prior to publication. Any publications (written, visual or sound), whether published at the PROVIDER's or STATE's expense, shall contain the following statements (Note: This excludes press releases, newsletters, and issue analyses):

This project was supported by an Agreement from the Office of Youth Services, Department of Human Services, State of Hawaii (and if applicable, the name and federal award number of a federal grant funding the contract).

The opinions, findings, and conclusions or recommendations expressed in this publication/program/exhibition are those of the author(s) and do not necessarily reflect the views of the Office of Youth Services (and if applicable, the federal grant agency).

6. **HIPAA.** In this Agreement "HIPAA" means the Administrative Simplification provisions of the *Health Insurance Portability and Accountability Act of 1996*, Pub. L. No. 104-191. PROVIDER is a "health care provider" under HIPAA. A "covered entity" is a health care provider that transmits information in a standard electronic transaction under 45 CFR Parts 160 and 162. If PROVIDER is or becomes a "covered entity", then PROVIDER must comply with all of the rules adopted to implement HIPAA, including rules for privacy of individually identifiable information, security of electronic protected health information, transactions and code sets, and national employer and provider identifiers. See, 45 CFR Parts 160, 162, and 164.
7. **Federal Audit Requirement.** The PROVIDER, when required, shall have an independent certified public accountant conduct a financial and compliance audit in accordance with the guidelines of the Office of Management and Budget (OMB) Circular No. A-133, "Revised, Audit Requirements for the State, Local Governments, and Non-Profit Organizations."

Office of Youth Services
OUTCOMES PLAN & PROGRAM REPORT
 (Submit Original and Two Copies For Each Target Group)

Note: To X a , Double Click On It, Select "Checked" Option

Outcomes Plan Number (Check One): <input type="checkbox"/> 1 Target Group <input type="checkbox"/> 2 Target Group		Date Submitted	Prepared By (Signature)	Date Approved	Approved By (Signature)
This Document Is Submitted As (Check One Only):					
Contract Number: DHS _____ OYS _____	<input type="checkbox"/> Initial Outcomes Plan (After Approval, May Not Be Revised Without OYS Consent)	___/___/___		___/___/___	
Agency:	<input type="checkbox"/> Quarterly Program Report for (Check One): <input type="checkbox"/> 1 st <input type="checkbox"/> 2 nd <input type="checkbox"/> 3 rd <input type="checkbox"/> 5 th <input type="checkbox"/> 6 th <input type="checkbox"/> 7 th Quarter	___/___/___		___/___/___	
Contract Start Date: ___/___/___	<input type="checkbox"/> (Check One) <input type="checkbox"/> One Year Report (4 th Quarter) or <input type="checkbox"/> Two Year Report (8 th Quarter)	___/___/___		___/___/___	
Contract End Date: ___/___/___	<input type="checkbox"/> A Request for Revision (Boldface Requested Changes). Fill Out Request for Revision Section in Form 4-1.	___/___/___		___/___/___	

Target Group Description

Ethnicities Targeted (Check One or More)	Risk Level Targeted (Check One Level Only)	Service Areas Targeted (Check One or More)
<input type="checkbox"/> All Ethnicities <input type="checkbox"/> American Indian <input type="checkbox"/> Black <input type="checkbox"/> Cambodian <input type="checkbox"/> Caucasian <input type="checkbox"/> Chinese <input type="checkbox"/> Filipino <input type="checkbox"/> Hawaiian (Part, Full) <input type="checkbox"/> Japanese <input type="checkbox"/> Korean <input type="checkbox"/> Laotian <input type="checkbox"/> Marshallese <input type="checkbox"/> Micronesian <input type="checkbox"/> Mixed (Not Hawaiian) <input type="checkbox"/> Other Asian <input type="checkbox"/> Other Pacific Islander <input type="checkbox"/> Portuguese <input type="checkbox"/> Puerto Rican, Hispanic <input type="checkbox"/> Samoan <input type="checkbox"/> Tongan <input type="checkbox"/> Unknown <input type="checkbox"/> Vietnamese <input type="checkbox"/> Other	<input type="checkbox"/> Risk Level I <ul style="list-style-type: none"> • At-risk for violence, substance abuse, and/or criminal activity due to geographic, ethnic, or socioeconomic factors. <input type="checkbox"/> Risk Level II Any One of the Following: <ul style="list-style-type: none"> • Status offender: Chronically truant, runaway. • Involved in gangs, violence, or substance abuse. • Experiencing serious family problems. • Abused and/or neglected. <input type="checkbox"/> Risk Level III Any One of the Following: <ul style="list-style-type: none"> • Any characteristic of Level II, but also has immediate need for food, shelter, clothing, and/or medical treatment. • Involved in felony activity. • Court adjudicated. • At-risk for out-of-home placement. • At-risk for secure confinement. <input type="checkbox"/> Risk Level IV <ul style="list-style-type: none"> • Chronic serious offender requiring secure confinement for safety of public and/or of self. 	<input type="checkbox"/> Statewide (All Islands) <input type="checkbox"/> Oahu (All) <input type="checkbox"/> Oahu: Central <input type="checkbox"/> Oahu: Honolulu <input type="checkbox"/> Oahu: Leeward <input type="checkbox"/> Oahu: Windward <input type="checkbox"/> Hawaii (All) <input type="checkbox"/> Hawaii: Hamakua <input type="checkbox"/> Hawaii: Kohala, Waimea <input type="checkbox"/> Hawaii: Konawaena, Kailua-Kona <input type="checkbox"/> Hawaii: Keaau, Pahoahoa <input type="checkbox"/> Hawaii: Naalehu, Kau <input type="checkbox"/> Kauai (All) <input type="checkbox"/> Kauai: Kokee, Hanalei, Kilauea <input type="checkbox"/> Kauai: Waimea, Koloa, Niihau <input type="checkbox"/> Maui (All) <input type="checkbox"/> Maui: Lahaina, Waihee <input type="checkbox"/> Maui: Wailuku, Kahului, Kihei <input type="checkbox"/> Maui: Kula, Haiku, Makawao, Keanae, Hana, Paia <input type="checkbox"/> Maui: Lanai <input type="checkbox"/> Maui: Molokai
Age Range Targeted (Between 5 – 19 Years) ___ To ___	Gender: <input type="checkbox"/> M <input type="checkbox"/> F <input type="checkbox"/> MF	

Performance Targets and Milestones: Report (Unduplicated by Quarters)

P T	Performance Target & Milestones			1st		2nd		3rd		4th		One Year		5th		6th		7th		8th		Two Years		
				#Carryovers	P	A	P	A	P	A	P	A	P	A	P	A	P	A	P	A	P	A	Two Year Goal	2YTD Actual
1	Performance Target (Arial Narrow, 8 Point Type):			#Carryovers																				
	PT Type:											Year Goal	YTD Actual											
	Milestones			Sources of Verification																				
	a.	Milestone (Registration):																						
	b.	Milestone:																						
	c.	Milestone:																						
	d.	Milestone:																						
	e.	Milestone:																						
	f.	Milestone:																						
	g.	Milestone (Last Milestone Is the Performance Target):																						

*Release = No Shows, Released for Misconducts, Dropouts, Transferees/Referrals. Do Not Release Youths Who Complete the Program.
 #Carryovers = Numbers of Youth Carried Over from the Previous OYS Contract

Performance Targets and Milestones: Report (Unduplicated by Quarters)

P T	Performance Target & Milestones		1st		2nd		3rd		4th		One Year		5th		6th		7th		8th		Two Years		
			#Carryovers	P	A	P	A	P	A	P	A	Year Goal	YTD Actual	P	A	P	A	P	A	P	A	Two Year Goal	2YTD Actual
2	Performance Target (Arial Narrow, 8 Point Type):			#Carryovers																			
	PT Type:																						
	Milestones		Sources of Verification																				
	a.	Milestone (Registration):																					
	b.	Milestone:																					
	c.	Milestone:																					
	d.	Milestone:																					
	e.	Milestone:																					
	f.	Milestone:																					
	g.	Milestone (Last Milestone Is the Performance Target):																					

*Release = No Shows, Released for Misconducts, Dropouts, Transferees/Referrals. Do Not Release Youths Who Complete the Program.

#Carryovers = Numbers of Youth Carried Over from the Previous OYS Contract

Performance Targets and Milestones: Report (Unduplicated by Quarters)

P T	Performance Target & Milestones		1st		2nd		3rd		4th		One Year		5th		6th		7th		8th		Two Years		
			#Carryovers	P	A	P	A	P	A	P	A	Year Goal	YTD Actual	P	A	P	A	P	A	P	A	Two Year Goal	2YTD Actual
3	Performance Target (Arial Narrow, 8 Point Type):			#Carryovers																			
	PT Type:																						
	Milestones		Sources of Verification																				
	a.	Milestone (Registration):																					
	b.	Milestone:																					
	c.	Milestone:																					
	d.	Milestone:																					
	e.	Milestone:																					
	f.	Milestone:																					
	g.	Milestone (Last Milestone Is the Performance Target):																					

*Release = No Shows, Released for Misconducts, Dropouts, Transferees/Referrals. Do Not Release Youths Who Complete the Program.

#Carryovers = Numbers of Youth Carried Over from the Previous OYS Contract

Narrative for Quarterly Report

**Do Not Submit As Initial Outcomes Plan
Fill In Answers After Each Question
Submit A New Narrative Each Quarter**

During the past Quarter:

1. What were your agency's major accomplishments towards achieving the performance targets and milestones established for this program? What activities proved to be especially effective?
2. In reviewing the Scope of Services for this program, which components of the Scope has your agency successfully implemented or achieved? Which components are you having difficulty implementing or achieving? Why?
3. What problems did this program have to deal with, in terms of staffing, program planning and administration, outcomes monitoring and reporting, communication, youth participation, finances, or communication with the OYS? How were these problems resolved? If the problems were not resolved, what are the plans for resolving these problems?
4. Please provide other comments or observations that will help the OYS understand the progress of this contract at this time?

Request for Revision

This Form 4:1 is being submitted as a Request for Revision of an Outcomes Plan previously submitted and approved. The **boldfaced** items have been changed in the Outcomes Plan. The changes are described below. Upon OYS approval of all proposed changes, this Form 4-1 becomes the agency's revised Outcomes Plan.

Change Number	Change Is Requested in the Following (Quote Original Language from the Approved Outcomes Plan)	Change Is Requested As Follows (Type in the New Language That Reflects the Requested Change)	Reasons for Requesting the Change
1			
2			
3			

Date: ___/___/_____

<p style="text-align: center;">For OYS Use Only</p> <p>Approved by: Specialist: _____ Date: ___/___/_____</p>	<p>If approved, changes are effective as of: Date: ___/___/_____</p>
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Target Type Codes

Place the Target Type Number Next to Each Performance Target in Form 4-1.

No. Brief Description

1. Decreased Arrests (Including Diversion, DMC)
2. Improved or Increased School Attendance
3. Improved or Increased Community Service
4. Education (of Youth)
5. Improved Self-Esteem
6. Improved Family, Personal Relationships
7. Decreased Gang, Delinquency Activity
8. Improved G.P.A.
9. Increased Health, Physical Competencies
10. Increased Personal, Social Competencies
11. Decreased Substance Abuse
12. Training (of Adults)
13. Decreased Violence, Anger
14. Vocational Education, Training (Youth)

The Office of Youth Services
ADMINISTRATIVE ASSURANCES

Provider:	Contract Period: _____ to _____
Contract Number: DHS _____ OYS _____	

Instructions: Please complete the Administrative Assurances Form and send it to the Office of Youth Services (820 Mililani Street, Suite 817, Honolulu, Hawaii 96813) by _____. The Office of Youth Services will require the Provider to produce documents and other evidence, as requested, to verify the information contained herein.

ORGANIZATIONAL ASSURANCES	Yes	No	Comments
Written policies prohibiting discrimination against any person on the grounds of race, color, national origin, religion, creed, gender, sexual orientation, age or disability are posted and on file.			
A current organizational chart delineating the organization's lines of authority and supervision is on file.			
A list of the current Board of Directors and minutes of the meetings are maintained on file.			
The Board of Directors receives a regular operations reports.			
Written policies ensuring the security of confidential staff and client records has been implemented.			
A Quality Assurance Plan has been implemented. That plan includes:			
a. A written policies and procedures.			
b. A staff person or committee assigned to monitor Quality Assurance.			
c. An annual consumer satisfaction survey of recent and current clients.			
d. An annual community satisfaction survey of agencies and/or community members collaborating with the Provider.			
e. A utilization review process to assess the degree to which the services are accessed by the community.			
f. An annual program performance review.			
g. Staff participation in the agency evaluation.			

**The Office of Youth Services
ADMINISTRATIVE ASSURANCES**

A policy or procedure to ensure that all printed information supported or funded by this contract clearly acknowledges the Office of Youth Services as the funding agency has been implemented.			
Written approval from the Office of Youth Services giving approval to hire subcontractor(s) is on file.			
If transportation services are provided, written policies and procedures have been implemented to ensure that all vehicles used (agency-owned and privately-owned) meet the State's safety standards and are in good working condition.			
Written policies and procedures have been implemented to ensure that youth are not charged any fees for program services.			
Written policies and procedures have been implemented to ensure that youth are not used for solicitation or for political campaigning purposes.			

PERSONNEL ASSURANCES	Yes	No	Comment
Written personnel policies and procedures are implemented, updated, and accessible to all staff.			
The current job description for each staff member includes the required minimum qualifications.			
All staff meet the minimum qualifications for their respective positions.			
Each staff person has receives compensation information that describes:			
a. Salary range for each position.			
b. How salary increases are earned.			
c. The fringe benefits.			
All staff, including volunteers, in positions that necessitate direct involvement or close proximity to youth are subjected to a state criminal history check annually or as required by statute and do not have a criminal history or background which poses a risk to youth. Copies of such clearances are maintained in the employee's or volunteer's personnel file.			
Written policies and procedures for staff training describe:			
a. An assessment of training needs.			
b. A staff development and training plan that identifies opportunities for continuing education and/or in-service training.			

**The Office of Youth Services
ADMINISTRATIVE ASSURANCES**

Probation evaluations of all new employees are conducted.			
Annual performance evaluations of its employees are conducted.			
Employees are given the opportunity to participate in the evaluation of their performances.			
Personnel records are maintained in a confidential manner.			
Exit interviews are conducted with all staff leaving the organization.			

CASE RECORD ASSURANCES	Yes	No	Comment
Policies and procedures for serving clients details for:			
a. Assuring clear admission/discharge criteria.			
b. Obtaining consent from parent(s)/guardian(s) to provide services to the clients.			
c. Maintaining the confidentiality of the clients.			
d. Developing, implementing and monitoring an individualized service plan.			
e. Obtaining consent to release information.			
f. Acknowledging the rights and responsibilities of the clients.			
g. Informing clients how to file complaints and grievances with the Provider.			
h. Maintaining progress notes.			
i. Providing follow-up services after discharge.			

I, _____, a duly authorized representative for _____, hereby affirm
Name of Individual Provider

that the information contained herein is true and factual to the best of my knowledge. Further, the information contained herein can be supported by documents or other information that the agency has on file, and the Office of Youth Services may review such information as requested.

Date

Signature

The Office of Youth Services
ADMINISTRATIVE ASSURANCES

STANDARDS FOR FACILITIES AT WHICH DIRECT SERVICES ARE PROVIDED

(Please complete one form per Facility)

Name of Facility	Address of Facility	Telephone Number	Name of Staff Overseeing Facility

Please indicated the status of each standard as appropriate.

STANDARDS	Yes	No	Comments
The facility meets all OSHA standards. Please indicate the date of the last OSHA inspection.			
The facility meets all ADA standards that may be applicable.			
The facility and furnishings are clean and in good condition.			
The facility has sufficient space to provide services without overcrowding.			
A fire inspection is conducted regularly, if appropriate. Please indicate the date of the last fire inspection.			
Fire extinguishers are available and are not obstructed or obscured from view.			
A diagrammed fire escape plan is clearly visible and easy to understand.			
Emergency exits are easy to locate and are not obstructed from access.			
A sanitation inspection is conducted regularly, if appropriate. Please indicate the date of the last sanitation inspection.			
The facility is accessible/adaptable to clients with disabilities.			
The facility meets all applicable operating licensing/certification requirements.			

I, _____, a duly authorized representative for _____, hereby affirm
Name of Individual Provider

that the information contained herein is true and factual to the best of my knowledge. Further, the information contained herein can be supported by documents or other information that the agency has on file, and the Office of Youth Services may review such information as requested.

 Date
 OYS Form 5 (05/03)

 Signature