

State of Hawaii  
Department of Education

**Request for Proposals**

**RFP No. RFP F10-085**

**Provide Occupational Therapy Services for the  
Department of Education**

***December 7, 2009***

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, an [RFP Interest form](#) may be downloaded to your computer, completed and e-mailed or mailed 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.

December 7, 2009

**REQUEST FOR PROPOSALS  
THERAPY SERVICES FOR THE DEPARTMENT OF EDUCATION**

RFP No. F10-083 SPEECH LANGUAGE THERAPY

RFP No. F10-084 PHYSICAL THERAPY

RFP No. F10-085 OCCUPATIONAL THERAPY

The Department of Education (DOE), Office of Curriculum, Instruction and Student Support (OCISS), Special Education Section (SPED) is requesting proposals from qualified applicants to provide educational educationally related Therapy services to students certified as eligible under the Individuals with Disabilities Education Act (IDEA) and Section 504 of the American with Disabilities Act. The contract term will be from July 1, 2010 through June 30, 2011. Multiple contracts may be awarded under each request for proposals.

Due to the differences in delivering these three distinct services, Applicants must submit separate proposals for each RFP.

Copies of these RFPs may be obtained at the DOE Procurement and Contracts Branch, Waipahu Civic Center, 94-275 Mokuola ST., Rm 200, Waipahu, Hawaii 96797 or from the SPO website: <http://www2.hawaii.gov/spoh/rfps.htm>

Applicants are encouraged to submit written questions. Official responses will be provided in writing. The deadline for submission of written questions is December 22, 2009 at 2:00 p.m. HST. All written questions will receive a written response from the State on or before January 5, 2010.

Proposals shall be mailed, postmarked by the United States Postal Service on or before January 18, 2010, or hand delivered no later than 2:00 p.m. HST, on January 18, 2010, at the drop-off sites designated on the Proposal Mail-in and Delivery Information Sheet. Proposals postmarked or hand delivered after the submittal deadline shall be considered late and rejected. There are no exceptions to this requirement.

Program Inquiries regarding this RFP should be directed to the RFP contact person as follows:

Verna Chinen  
Phone Number: (808) 203-5565  
Fax Number: (808) 733-4475

Administrative inquiries regarding this should be directed to the Procurement and Contracts Branch at 94-275 Mokuola St, Room 200, Waipahu, Hawaii 96797, telephone: (808) 675-0130, email: Marie\_Neilson@notes.k12.hi.us.

**PROPOSAL MAIL-IN AND DELIVERY INFORMATION SHEET****NUMBER OF COPIES TO BE SUBMITTED:**

**ONE (1) ORIGINAL  
AND  
TWO (2) COPIES**

Each Offeror shall submit two (2) copies and one single-sided unbound original of the Offeror's Proposal (for a total of three [3]). Each Offeror shall also submit one (1) soft copy on compact disk (CD) in *both* Acrobat (.pdf) format and Microsoft Office format.

ALL MAIL-INS SHALL BE POSTMARKED BY THE UNITED STATES POSTAL SERVICE (USPS) NO LATER THAN **January 18, 2010** and received by the state purchasing agency no later than 10 days from the submittal deadline.

<u>All Mail-ins</u>	<u>RFP COORDINATOR</u>	
	<u>Program Related</u>	<u>Administrative Related</u>
Department of Education	DOE Office of Curriculum, Instruction and Student Support (OCISS), Special Education Section (SPED)	DOE Procurement Office
Procurement and Contracts Branch	For further info. or inquiries	For further info. or inquiries
Waipahu Civic Center	Phone: (808) 203-5565	Phone: (808) 675-0130
94-275 Mokuola Street, Room 200		(Interest forms, written questions, etc.)
Waipahu, Hawaii 96797		

ALL HAND DELIVERIES SHALL BE ACCEPTED AT THE FOLLOWING SITES UNTIL **2:00 P.M., Hawaii Standard Time (HST), January 18, 2010.**

Deliveries by private mail services such as FEDEX shall be considered hand deliveries.

Hand deliveries shall not be accepted if received after 2:00 p.m., **January 18, 2010.**

**Drop-off Site****Oahu:**

Department of Education  
Procurement and Contracts Branch  
Waipahu Civic Center  
94-275 Mokuola Street, Room 200

Waipahu, Hawaii 96797

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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	<u>December 7, 2009</u>
Distribution of RFP	<u>December 7, 2009</u>
RFP orientation session	<u>Not applicable</u>
Closing date for submission of written questions for written responses	<u>December 22, 2009</u>
State purchasing agency's response to applicants' written questions	<u>January 5, 2010</u>
Discussions with applicant prior to proposal submittal deadline (optional)	<u>Not applicable</u>
Proposal submittal deadline	<u>January 18, 2010</u>
Discussions with applicant after proposal submittal deadline (optional)	<u>Not applicable</u>
Final revised proposals (optional)	<u>Not applicable</u>
Proposal evaluation period	<u>January 28, 2010 – February 18, 2010</u>
Provider selection	<u>February 22, 2010</u>
Notice of statement of findings and decision	<u>February 25, 2010</u>
Contract start date	<u>July 1, 2010</u>

## II. Website Reference

The State Procurement Office (SPO) website is <http://hawaii.gov/spo/>

	<b>For</b>	<b>Click</b>
1	Procurement of Health and Human Services	"Health and Human Services, Chapter 103F, HRS..."
2	RFP website	"Health and Human Services, Ch. 103F..." and "The RFP Website" (located under Quicklinks)
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 <http://hawaii.gov>)

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

## 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 provider 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:

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Department of **Education**  
 Office of Curriculum, Instruction and Student Support (OCISS)  
 Special Education Section (SPED)  
 475 22<sup>nd</sup> Avenue, Building 302, Room 115  
 Honolulu, Hawaii 96816  
 Phone (808) 203-5565 Fax: (808) 733-4475

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#### VI. Orientation

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

**Date:** NA **Time:** NA  
**Location:** NA

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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(s) 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:** December 22, 2009 **Time:** 2:00 p.m. HST

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

**Date:** January 5, 2010

## VIII. Submission of Proposals

- A. Forms/Formats** - Forms, with the exception of program specific requirements, may be found on the State Procurement Office website referred to in II. Website Reference. Refer to the Proposal Application Checklist for the location of program specific forms.
- 1. Proposal Application Identification (Form SPO-H-200).** Provides applicant proposal identification.
  - 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 address all of the proposal requirements contained in Section 3 of this RFP, including a cost proposal/budget if required.
- B. Program Specific Requirements.** Program specific requirements are included in Sections 2, Service Specifications and Section 3, Proposal Application Instructions, as applicable. If required, Federal and/or State certifications 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. Tax Clearance.** Pursuant to HRS Section 103-53, as a prerequisite to entering into contracts of \$25,000 or more, providers shall be required to submit a tax clearance certificate issued by the Hawaii State Department of Taxation (DOTAX) and the Internal Revenue Service (IRS). The certificate shall have an original green certified copy stamp and shall be valid for six (6) months from the most recent approval stamp date on the certificate. Tax clearance applications may be obtained from the Department of Taxation website (refer to this section's part II. Website Reference).
- E. Wages and Labor Law Compliance.** If applicable, by submitting a proposal, the applicant certifies that the applicant is in compliance with HRS Section 103-55, Wages, hours, and working conditions of employees of contractors performing services. Refer to HRS Section 103-55, at the Hawaii State Legislature website. (See part II, Website Reference.)
- **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 registered 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 part II, Website Reference.)
- F. Hawaii Compliance Express (HCE).** Providers may register with HCE for online proof of DOTAX and IRS tax clearance Department of Labor and Industrial Relations (DLIR) labor law compliance, and DCCA good standing compliance. There is a nominal annual fee for the service. The "Certificate of Vendor Compliance" issued online through HCE provides the registered provider's current compliance status as of the issuance date, and is accepted for both contracting and final payment purposes. Refer to this section's part II. Website Reference for HCE's website address.
- G. Campaign Contributions by State and County Contractors.** Contractors are hereby notified of the applicability of HRS Section 11-205.5, 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, FAQs are available at the Campaign Spending Commission webpage. (See part II, Website Reference.)
- H. 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.***

- I. 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.

**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 HAR Section 3-143-403.

**X. Opening of Proposals**

Upon receipt of a 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 RFP 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 RFP, 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 HAR Sections 3-142-202 and 3-142-203.

**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:

- (1) Rejection for failure to cooperate or deal in good faith. (HAR Section 3-141-201)
- (2) Rejection for inadequate accounting system. (HAR Section 3-141-202)
- (3) Late proposals (HAR Section 3-143-603)

- (4) Inadequate response to request for proposals (HAR Section 3-143-609)
- (5) Proposal not responsive (HAR Section 3-143-610(a)(1))
- (6) Applicant not responsible (HAR Section 3-143-610(a)(2))

#### **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.

<b>Head of State Purchasing Agency</b>	<b>Procurement Officer</b>
Name: Andrell Beppu Aoki	Name: Kathleen Nishimura
Title: Designee for the Superintendent of the Department of Education	Title: Director
Mailing Address: 94-275 Mokuola Street, Room 200, Waipahu, HI 96797	Mailing Address: 475 22 <sup>nd</sup> Avenue, Building 302, Room 115, Honolulu, HI 96816
Business Address: 1390 Miller Street, Honolulu, HI 96813	Business Address: same as above

**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 HRS Chapter 37, 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.

**LIABILITY INSURANCE**

The Offeror is advised that if awarded a Contract under this RFP, Offeror shall, upon award of the contract, furnish a certificate of insurance in accord with the requirements described below. Offeror selected for an award shall maintain in full force and effect, during the life of this contract, liability and property damage insurance. This insurance shall protect the Contractor and his subcontractors, if any, from claims for damages for personal injury, accidental death and property damage which may arise from operations under this contract, whether such operations be by himself or by a subcontractor or anyone directly or indirectly employed by either of them. If any subcontractor is involved in the performance of the contract, the insurance policy or policies shall name the subcontractor as additional insured.

As an alternative to the Offeror selected for an award of Contract providing insurance to cover operations performed by a subcontractor and naming the subcontractor as additional insured, Offeror selected for an award of Contract may require subcontractor to provide its own insurance which meets the requirements herein. It is understood that a subcontractor's insurance policy(ies) are in addition to the Offeror's own policy or policies.

The following minimum insurance coverage(s) and limit(s) shall be provided by the Contractor, including its subcontractor(s) where appropriate:

<b>Coverage</b>	<b>Limits</b>
<b>General Liability, Commercial</b>	\$200,000 aggregate
(Occurrence Form)	\$1,000,000 combined single limit per occurrence for bodily injury and property damage
<b>Automobile Liability, Comprehensive</b>	
• Bodily Injury	\$100,000 per occurrence
• Property Damage	\$ 50,000 per occurrence
<b>Professional Liability</b>	\$1,000,000 per claim or \$2,000,000 per annual aggregate

If awarded a Contract under this RFP the Offeror shall maintain and keep in force professional liability insurance that covers any professional service (i.e. physical therapy, occupational therapy, or speech-language services) required to fulfill any or all of the activities.

Each insurance policy required, including a subcontractor's policy, shall contain the following clauses:

- "This insurance shall not be canceled, limited in scope of coverage or non-renewed until after 30 days written notice has been given to the State of Hawaii, Department of Education, PCB, 94-275 Mokuola Street, Room 200, Waipahu, Hawaii 96797."
- "It is agreed that any insurance maintained by the State of Hawaii will apply in excess of, and not contribute with, insurance provided by this policy."

The minimum insurance required shall be in full compliance with the Hawaii Insurance Code throughout the entire term of the Contract, including supplemental agreements. Each insurance policy shall be written by 1) an insurance company licensed to do business in the State of Hawaii, or 2) if not licensed by the State of Hawaii, an insurance company which meets §431:8-301, Hawaii Revised Statutes.

Upon execution of the contract, the Contractor agrees to deposit with the DOE certificate(s) of insurance necessary to satisfy the DOE that the insurance provisions of this Contract have been complied with and to keep such insurance in effect and the certificate(s) therefore on deposit with the DOE during the entire term of this Contract, including those of its subcontractor(s), where appropriate. Upon request by the DOE, Contractor shall be responsible for furnishing a copy of the policy(ies).

Failure of the Contractor to provide and keep in force such insurance shall be regarded as material default under this contract, entitling the DOE to exercise any or all of the remedies provided herein.

The procuring of such required insurance shall not be construed to limit Contractor's liability hereunder nor to fulfill the indemnification provisions and requirements of this contract. Notwithstanding said policy(ies) of insurance, Contractor shall be obligated for the full and total amount of any damage, injury, or loss caused by negligence or neglect.

### **XXIII. Cost Principles**

In order to promote uniform purchasing practices among state purchasing agencies procuring health and human services under HRS Chapter 103F, 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 Hawaii Department of Education (DOE) administers the statewide system of public schools. The scope of educational programs and services of the public schools encompasses grades kindergarten through twelve, and such preschool programs and community/adult education curricula, as may be authorized. In addition to regular programs of instruction and support services, the DOE offers special programs and services for students who are disabled, gifted, learning English as a second language, economically and culturally disadvantaged, school-alienated, or institutionally confined. Applicable federal and state statutes and regulations govern the provision of occupational therapy services (i.e., Reauthorized Individuals with Disabilities Education Act [IDEA]; Hawaii Administrative Rules [HAR] Chapters 60 and 61; and Hawaii Revised Statutes [HRS] Chapter 457G).

The DOE strives to provide an integrated system of care for children and youth with educational disabilities and related mental health challenges.

The Occupational Therapy Program, Special Education Section, is responsible for the provision of mandated educationally related services of occupational therapy to eligible children with special needs enrolled in the public schools. Occupational therapy services are provided to assist students with special needs to benefit from individualized education programs, as mandated by the IDEA and local regulations. The aim of the program is to assess students to identify needs for intervention and provide the necessary therapeutic services to maximize the students' potential for independence to participate and progress in educationally related activities in the general education curriculum and/or benefit from their special education program.

Qualified occupational therapists (OTs) and their respective therapy assistants deliver services to special needs students with various educational certifications. The OTs work collaboratively with the educational team, which includes the parents. The OTs travel from school to school to deliver services. Each OT may service anywhere from five (5) or more schools within the assigned geographic area.

The DOE participates in Medicaid reimbursement to eligible students. The DOE will require verification of licensure subject to the terms of this Request for Proposal (RFP) in context of Medicaid reimbursable activities. This requirement does not supersede the OT credentials required in the service activities. Agencies awarded a contract under this RFP will be subject to administrative claiming for all eligible services regardless of licensure, and will be expected to participate in time studies by the DOE or their agent(s) three (3) times a year, or

more frequently, if required. All services under this RFP will be subject to Medicaid audit.

The purpose of this RFP is to solicit private providers of occupational therapy services (agencies and/or individuals) interested in providing occupational therapy assessments and treatment that reflect a curriculum-based educational model within the Comprehensive Student Support System (CSSS).

The CSSS educational model is a strengths-based, multi-disciplinary team decision-making model focusing on learning and development. It is based upon the understanding that an individual's capacity to meet expectations is based upon unique inherent characteristics and previous learning opportunities.

A need exists for the continuing infrastructure development to provide occupational therapy services. In the interim, the purchase of occupational therapy services will be utilized to provide these services on a timely basis for students with special needs attending public schools. The purpose of this RFP is to assure that resources to students who require occupational therapy services in the state of Hawaii will continue to receive educationally related occupational therapy services and the necessary assessments, as defined in their Individualized Education Program (IEP) or Modification Plan (MP).

The types of services that may be necessary to contract through this RFP are as follows: (1) educational team planning, (2) meeting participation, (3) occupational therapy assessment, (4) occupational therapy intervention, (5) consultation services, and (6) administrative time (i.e., documentation of assessment and progress reports, visit logs and therapy preparation). See Part III Scope of Work for details on performance standards.

## **B. Description of the goals of the service**

The goal of this RFP is to provide occupational therapy resources statewide. The DOE is seeking single statewide or district contract(s). It is anticipated that the contract awarded as a result of this RFP will be to provide occupational therapy services to students referred in the specific geographic area assigned by the DOE including, as applicable, short-term coverage of less than 12 months.

As part of an integrated programmatic approach under CSSS, these services are designed to provide the personalized support necessary to assist students to successfully engage in standards-based educational opportunities through overcoming individual barriers to learning. The primary goal is to remove barriers to learning through the provision of occupational therapy services to students, emphasizing the development of motor, perceptual-motor, and sensory-motor skills necessary to meet the demands of learning and school community environment.

Occupational therapy services provided are to be curriculum-based and integrated with the DOE standards. IEPs or MPs will be developed collaboratively with school teams to assure services are accountable, cost effective, performance based, and results in measurable outcomes to foster

independence and enhance the student's ability to make progress on IEP/MP goals and objectives.

### C. Description of the target population to be served

Students eligible for the services described in this RFP must meet at least one of the following criteria:

- Students with identified and established special needs through IDEA or Section 504 eligibility.
- Students (3 to 20 years of age) who attend public schools statewide or DOE contracted schools and require occupational therapy services as indicated on their IEP/MP in order to benefit from their free appropriate public education.

Educational certifications of students served include: autism, deaf, deaf and blind, developmental delay, emotional impairment, hearing impaired, multiple disabilities, mental retardation, other health impairment, orthopedic impairment, specific learning disability, speech-language impairment, traumatic brain injury, and Section 504 eligible students.

### D. Geographic coverage of service

The DOE provides service to schools on seven (7) islands. The estimated number of hours is based upon eight (8) hours per day up to 190 days per school year, which includes direct service and administrative time, required per district as listed in the following table. The number of students and hours will vary depending on the therapy needs of the students.

Island	District	Number of Hours
Oahu	Honolulu	7,424
	Windward	5,568
	Central	3,712
	Leeward	3,712
Hawaii	Hawaii	3,712
Maui/Lanai/Molokai	Maui	9,280
Kauai	Kauai	3,712
	<b>TOTAL</b>	<b>37,120</b>

### E. Probable funding amounts, source, and period of availability

It is expected that state and federal funds will be used to support the services. An estimated amount not to exceed \$1.92 million per year may be available, contingent upon appropriation of funds and need of services. The appropriation may be extended provided availability of said funds.

A decrease in funding may occur depending upon the need for services and future allocation of funds. It is expected that funding, at least at this current level, would be allocated for this contract period.

## II. General Requirements

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

1. The applicant shall comply with the Chapter 103F, HRS Cost Principles for Purchases of Health and Human Services identified in SPO-H-201 (Effective 10/1/98), which can be found on the SPO website (See Section 5, POS Proposal Checklist, for the website address).
2. The applicant shall assign personnel to attend meetings as scheduled by the DOE.
3. The applicant shall cooperate with the DOE in approved research, training, and service projects provided that such projects do not substantially interfere with the applicant's service requirements as outlined in this RFP.
4. The applicant shall comply with all applicable policies and procedures of the DOE.
5. The applicant shall submit to the DOE a copy of the applicant's operating policies and procedures, including all revisions and updates, at the applicant's expense upon request.
6. "Research based-practice" shall be incorporated in all therapy services. Research based-practice is defined as the body of research findings that produce the most efficacious outcomes for children with disabilities, has literature to support the practice, and has a system for implementing and maintaining program integrity.
7. The applicant shall employ qualified personnel that meet the National Board for Certification in Occupational Therapy Standards, and the state of Hawaii accreditation or licensure requirements for registered occupational therapists (OTRs) in this RFP including suitability clearance (criminal history check) to work in the Hawaii Public School System.

### B. Secondary purchaser participation

(Refer to §3-143-608, HAR)

After-the-fact secondary purchases will be allowed.

Planned secondary purchases.

The secondary purchaser will execute a separate contract.

### C. Multiple or alternate proposals

(Refer to §3-143-605, HAR)

Allowed  Unallowed

The applicant may submit a proposal either:

1. Statewide in which the applicant can provide services in all districts.
2. Individual district(s) in which the applicant can provide services in a specific district(s).

**D. Single or multiple contracts to be awarded**

(Refer to §3-143-206, HAR)

Single                       Multiple                       Single & Multiple

Criteria for multiple awards:

Applicants who meet all requirements based on the criteria listed in Section 4, Evaluation, shall be qualified to enter into a contract with the DOE. Qualified applicants who obtain a score of 70 or higher in Section 4, Evaluation, will be placed on the Treatment Procurement list for occupational therapy service providers and will be eligible to enter into a contract with the DOE under this RFP. All qualified proposals will be ranked from highest to lowest score.

Selection for contracts will be given to the highest ranking provider until capacity of the provider is met and will proceed in a descending manner until the needs of the DOE is met (i.e., DOE will select provider #1 until their proposed capacity is met, followed by provider #2 until proposed capacity is met). The state will evaluate all proposals, select, and award contracts determined to be the most advantageous, as delineated further in Section 4, Evaluation.

**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:

Initial term of contract	One (1) year
Length of each extension	One (1) year
Number of possible extensions	Three (3) extensions
Maximum length of contract	Four (4) years
Initial period	Shall commence on the contract start date
Conditions for extension	Extension must be in writing and is contingent upon potential changes to the DOE's approach to service delivery, availability of funding beyond first year, and upon mutual agreement

**F. RFP contact person(s)**

The individuals listed below are the points 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(s) and received on or before the day and time specified in Section I, Item IV (Procurement Timetable) of this RFP.

Verna Chinen, State Speech-Language Pathology Coordinator  
 Department of Education  
 Curriculum Instruction Branch  
 Special Education Section  
 475 22<sup>nd</sup> Avenue, Room 113  
 Honolulu, HI 96816  
 Phone No: (808) 203-5565  
 Fax No: (808) 733-4475

### 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 following activities shall comprise of the billable eight (8) hours per workday, as described in Unit Rate.

#### Assessments

OTs must be able to conduct occupational therapy assessments as deemed necessary by Student Support Teams (SSTs) to determine presence or absence of motor, perceptual-motor and/or sensory-motor disability, as it pertains to a student's ability to progress in the general education curriculum.

All assessments of students must:

- Be determined by the SST.
- Involve direct face-to-face contact with the individual student.
- Include input from others who know the student's current performance levels.
- Consider the student's performance skills in a natural environment.
- Integrate information from all sources of information, such as standardized assessments, informal observations, work samples and parent/teacher reports.
- Address the impact the deviance in performance level(s) have on the student's ability to progress in an educational setting.

Documentation of findings shall take the form of a written report, which shall include the following:

- Data from standardized tests, as appropriate.
- Findings which address the nature of the problem, severity, and the impact on classroom performance.
- Integration of all findings (i.e., standardized assessments, observations, and parent/teacher reports).
- Student's areas of strengths and needs.

- A statement which addresses to what extent the student's performance level(s) would impact his/her ability to progress in the current general education curriculum.

### **Therapy Services**

OTs must be able to deliver occupational therapy as the student's related service to benefit from special education. Occupational therapy services must be carried out in accordance with their IEP or MP.

Development of the occupational therapy program for an individual student must:

- Involve collaboration and consultation with the IEP team, which should include, but is not limited to, the administrator, special education teacher, regular education teacher, parents, and other related services personnel, as appropriate.
- Involve evidence based-practice.
- Utilize an educational model in the delivery of occupational therapy.
- Reflect the DOE standards.
- Have direct correlation to the general education curriculum.
- Utilize strategies and/or accommodations, which are efficient and effective for the student as he/she progresses toward general education curriculum.
- Include materials and approaches that are appropriate to the student's chronological and developmental age, physical and sensory abilities, and cognitive status.
- Utilize a delivery option which best meets the needs of the student, which can be individual sessions, small group sessions, inclusive classroom sessions, or a combination in the least restrictive environment.

Implementation of occupational therapy services must:

- Be determined by the IEP team.
- Involve direct face-to-face contact with the student individually in small groups, an inclusive classroom setting, or any combination which meets the needs of the student.
- Involve collaboration with teachers and parents.
- Involve consultation with teachers, parents, and other school staff to ensure generalization of skills to individuals and/or situations.
- Be carried out in accordance with their IEP or MP.

### **Participation in Educational Team Meetings**

OTs must be available to attend any educational team meeting as requested by the DOE personnel. OTs must be knowledgeable in the area of normal child development to participate and provide input in SST meetings, Eligibility Conferences, IEP or MP meetings, or any other team meetings, as appropriate.

*Student Support Team* meetings are to allow for discussion, consultation regarding a student's fine motor, perceptual-motor, and sensory-motor needs. These meetings may involve, but are not limited to, suggestions regarding regular education programming/school level assistance or decisions to be made

regarding the need for specific occupational therapy assessments under Chapter 60 or Chapter 61.

*Eligibility Conferences* are meetings to allow for discussion of assessment findings. The OT must be able to discuss occupational therapy findings, consider findings in conjunction with findings of all team members, help teams determine the extent of the impact that the findings have on educational progress and make suggestions and/or recommendations to the team regarding the student's performance level(s) and its impact on learning. To interpret findings, the OT along with the school team must examine:

- Student's areas of strengths and needs.
- Comparison of the student's performance with the age/grade expectations.
- Consistencies and contrasts in the student's performance.
- Patterns and trends in the student's performance across assessment measures.
- Student's performance in the current program/placement.
- Whether a lack of instruction in reading and/or math, or limited English proficiency is the sole determinant factor of learning difficulties.
- The state of Hawaii eligibility criteria.
- Whether the student has a disability and is in need of special education and related services because of the disability.

*Individualized Education Program, Modification Plan, and Services Plan* meetings are held to allow school team members to work together to provide educational results for students with disabilities. The OT must be able to attend these meetings to look closely at the student's unique needs. They must be able to work collaboratively with the team and incorporate knowledge and experience to design an educational program that will help the student be involved in, and progress in, the general curriculum. The IEP guides the delivery of special education supports and services for the student with a disability.

Other team meetings may be held to allow for planning purposes and parent-teacher conferences. Participation in and attendance at these meetings should be left up to the discretion of the administrator taking into consideration the relevance of the OT's input.

OTs must participate in district staff meetings and training, as required by the administrator in charge.

### **Written Reports**

This section shall apply to documentation of service activities completed by OTs (i.e., assessments, initial eligibility conferences, reevaluation conferences, progress reporting, or therapy sessions).

OTs must complete and furnish all written assessment reports within 45 days of parental consent, IEP/MP goals and objectives at date of scheduled meeting, and annual progress reports within two (2) weeks of IEP/MP meeting, or as requested by school teams as mandated by HAR Title 8, Department of

Education, Chapter 60, Provision of a Free Appropriate Public Education for a Student with a Disability.

### *Assessment Reports*

OTs must write occupational therapy assessment reports. Written assessment reports are to address, but are not limited to, the following:

- Data from standardized assessments.
- Data from functional assessments.
- Interpretation of standardized data and utilization of functional data to validate results of standardized tests.
- Input from teacher/parent observations to substantiate findings.
- Areas of strength.
- Possible areas of need.
- Statement as to the adverse effect performance levels have on the student's ability to progress in the general education curriculum.
- Summary of findings.

**All written assessment reports must be entered into electronic Comprehensive Student Support System (eCSSS) within the time frames set forth at the Student Support Team meeting.** A signed and dated hard copy is to be maintained in the student's OT confidential folder.

### *Individualized Education Programs or Modification Plans*

OTs must have the ability to write IEPs which incorporate and integrate findings from assessments, teacher and parent interviews, and observations. IEPs are to include the following:

- Statement of the student's present level(s) of educational performance, including how the student's disability affects the student's involvement and progress in general education.
- Measurable\* annual goals including short term objectives or benchmarks related to meeting the student's needs that result from his/her disability. (\*Measurable means that goals and objectives must reflect behaviors that can be measured).
- Reasonable\* annual goals, benchmarks and short term objectives, which enable the student to progress in the general education curriculum. (\*Reasonable means a description of what a student is reasonably expected to accomplish within a 12-month period).
- Annual goals which are aligned with the Hawaii Content Performance Standards III.
- An integrated approach to the development of occupational therapy functional skills across various environments (e.g., school, home, and community).

### *Documentation of Services*

Documentation will occur for each face-to-face session with the student or consultation session with teacher, parent, or other appropriate team member.

This data must relate to the goals and objectives set forth in the IEP, MP, or Services Plan.

- *Therapy Log:* OTs are responsible for keeping student therapy logs (charting) on students, which document activities covered during the therapy session and student responses. The DOE reserves the right to inspect therapy records without notice. OTs must note progress in therapy logs. Therapy logs are daily notes which OTs are to utilize to document progress and/or lack of progress. It may also be used to document specific behaviors or events which can influence therapy sessions. The DOE reserves the right to inspect therapy records without notice.

Therapy logs shall be considered educational records and property of the DOE. Upon completion of the school year, therapy logs will be filed with the student's occupational therapy folder.

- *Quarterly Progress Reports:* OTs must write concise progress notes on a quarterly basis. These notes are to be written to explain to parents, student progress on goals and objectives. Progress notes must be written in terminology which is easily read and understood by those who are not in the field of occupational therapy. It must reflect progress and/or lack of progress on IEP goals and objectives in the therapy setting, as well as generalization of skills into the classroom setting, or other settings, as appropriate.

Quarterly summary reports with supporting data denoting gains or lack thereof, must be entered into eCSSS at the end of each quarter. Summary reports are entered within ten (10) calendar days of the end of each quarter. Failure to submit the report on time will incur a fine of \$25 per week, which will accrue on the first day of each week from the date the report was due. This deadline may be tolled for extenuating circumstances by written notice from the IEP/MP team administrator. The notice shall designate the next date the report is due. No additional time may be billed for corrections.

The last quarterly report will be considered the yearly summary of progress with supporting data denoting gains or lack thereof, and recommendation(s) for the following year. A signed and dated hard copy shall be filed in the student's OT confidential folder.

Mandatory training and ongoing support for electronic submission to the DOE database will be provided by the DOE.

Documentation: OTs must keep documentation of sessions, as required by the state and district including, but not limited to, computerized visit records, and/or attendance logs.

### **Professional Behavior**

Applicants responding to the RFP must agree to have their personnel adhere to the following provisions:

- Sign-in at the school office when entering a school campus and sign-out when leaving a school campus.

- Wear appropriate identification when visiting a school campus.
- Maintain a professional attitude, work ethic, and appearance.
- Be accessible to observations without notice by designated DOE personnel.
- Provide educationally relevant occupational therapy assessments.
- Participate in educational team meetings, as appropriate.
- Provide curriculum-based occupational therapy services based on an educational model.
- Ensure that therapy is aligned to and follows the IEP, MP, or Services Plan goals, objectives, and results in educational progress.
- Provide services as specified in the IEP or MP.
- Provide services at the school or at a site identified, as appropriate by the IEP or MP team.
- Maintain appropriate levels of contact (as specified per service) with families and school/district personnel.
- Provide written documentation by timelines, as specified above.
- Demonstrate competency in the services to be provided, including specific competencies related to test administration, interpretation, and delivery of curriculum-based therapy.
- Maintain confidentiality of student records at all times, as mandated under all applicable laws and regulations. All information obtained by the provider and their employees and/or subcontracted providers about individuals receiving services shall be held confidential and shall not be disclosed unless written consent is received by the individual's parent or legal guardian. Confidential school records shall not be removed from schools.
- Maintain necessary computer equipment, assessment tools, therapy materials or supplies, and/or adaptive equipment provided by the DOE. Should computer equipment, assessment tools, therapy materials or supplies, and/or adaptive equipment be damaged or stolen while in the OT's possession, the OT or provider will be responsible for the repair or replacement of such items.
- Demonstrate capability to provide timely scheduling of appointments, processing of documents, and participation in conference meetings.
- Adhere to school year calendar regarding scheduling of students.
- Provide the district office and schools with a roster and therapy schedule of assigned students within two (2) weeks of assignment.
- Participate in training regarding the following topics:
  - IDEA, Section 504, Chapter 60 and 61 requirements.
  - Procedures and eligibility criteria.
  - A review of the CSSS.
  - eCSSS
- Conduct therapy sessions on school days, during the hours of 7:30 a.m. to 4:00 p.m. at the assigned school. Summer session/extended school year intersessions shall be considered as school days, whereby services can be provided upon the request of the DOE.
- Follow state directives regarding any school closures. When schools are closed, OTs are not to report to the school site. Compensation will not be provided should the OT elect to work from home.

- Follow state guidelines regarding absences.
- Obtain approval from the state occupational therapy coordinator regarding reporting to school sites on noninstructional days.
- Submit written documentation of work activities provided on noninstructional days. Work activities on noninstructional days may be authorized, but are not limited to, the following:
  - o Conferring with other team members outside the IEP/MP setting in order to fulfill a DOE request beyond those inherent to direct service provision.
  - o Participate in a due process hearing at the request of the DOE.
  - o Completion of supplemental reports upon the request of the DOE.
  - o Participation in training required by and under the direction of DOE.
- Upon termination of assignment, the OT must: turn in all pertinent reports; ensure student records, therapy logs and visit records are up-to-date; return equipment in working order; ensure therapy materials are in usable condition; and return all DOE materials, such as keys and office supplies to the appropriate place/person. Failure to do so by any OT will result in withholding of final payment and may impact future contracts.

## **B. Management Requirements (Minimum and/or mandatory)**

### **1. Personnel**

**Applicants responding to the RFP are strictly prohibited from recruiting OTs employed within the DOE and OTs residing within the state. Any violation of this clause shall result in immediate termination of the contract and may influence future contracts.**

The applicant may choose to hire direct employees or establish a network of professional OTs. If the applicant utilizes a network of independent OTs, each practitioner must meet the state requirements to provide occupational therapy services as an independent practitioner.

*National Certification:* The applicant shall provide a current copy of the OT personnel's certificate from the National Board for Certification in Occupational Therapy (NBCOT) to the DOE. Documentation must be provided after contract award is made and prior to any employee of the applicant being assigned to any work site. Documentation of certification renewals must be submitted before or on day of expiration.

*Hawaii State Licensure:* The applicant shall provide the state with a current copy of the OT personnel's state of Hawaii license to practice occupational therapy. Documentation must be provided prior to any employee of the applicant being assigned to any work site. Documentation of license renewals must be submitted before or on day of expiration.

The applicant must ensure that all employees and contracted personnel receive a copy of and abide by the American Occupational Therapy Association Code of Ethics.

*Mandatory Criminal Background Checks:* The applicant shall perform fingerprint and criminal background checks at applicant's expense, for all of its employees and/or subcontracted providers. A copy shall be provided to the DOE. Fingerprinting required under this section shall be completed before any employee of the applicant is assigned to any work site.

*Verification of Mandatory Criminal Background Checks:* The applicant shall maintain a record of the mandatory criminal background check performed on each of its employees and/or subcontracted providers in compliance with the above. A local criminal records check is required every three (3) years. Additionally, the applicant shall maintain and update a list of all new employees that documents the status and completion dates of the mandatory background checks.

*Health and Safety:* The applicant shall provide documentation on all employees and/or subcontracted providers of tuberculosis clearance before any employee of the applicant is assigned to a work site.

The DOE reserves the right to review and inspect all required records of employees and/or subcontracted providers without notice.

## **2. Administrative**

The applicant agrees to remove any of its employees and/or subcontracted providers from services rendered and to be rendered to the DOE, upon written request by the DOE Administration.

The applicant must identify procedures to maintain personnel files of training, supervision, appropriate credentialing and recredentialing, and ongoing monitoring of all OTs. This policy and adherence to the set standards shall be subject to inspection by the DOE.

The applicant must identify how they would provide the necessary infrastructure to support the provision of services.

An organization chart must be included, which clearly defines the applicant's line of authority and organizational functions.

The applicant must also submit curriculum vitae for the organization's officers and occupational therapy personnel. Vitae updates must be submitted for officers and direct service personnel to reflect any changes to the DOE.

The applicant must maintain a written policy and procedure that will identify their process for primary source verification of all personnel. This policy and adherence to the set standards shall be subject to inspection by the DOE.

## **3. Quality assurance and evaluation specifications**

The applicant will identify how they intend to comply with quality assurance plans approved by the DOE. The DOE reserves the right to inspect any or all records without notice, as specified below.

The applicant shall have a quality assurance plan, which identifies the mission of their organization, what services will be provided, and the standards used to assess or evaluate the quality and timely delivery of services, as well as continuous improvement. The quality assurance plan should also indicate corrective actions to be taken, if any deficiencies are noted. This plan and the agency's adherence to it, is subject to inspection by the DOE.

The applicant assumes all responsibility for quality of work provided by employees and/or subcontracted providers. The applicant is responsible for monitoring the work of all subcontracted providers and ensures that expectations and responsibilities of the applicant and its employees are met. Each applicant must identify how personnel will be trained to ensure provided services are consistent with an educational model and are consistent with empirically validated interventions for population, as addressed in the proposal.

Applicants must detail the approach for the provision of supervision and monitoring of the quality of services of all employees and contracted personnel.

The applicant must participate in, at least annually and frequently, quarterly contract monitoring. This contract monitoring is based on compliance with all the administrative and fiscal aspects of the contract. All documentation and all student records must be made available for audits scheduled by the DOE.

#### **4. Output and performance/outcome measurements**

The applicant shall submit monthly reports and statistics, as specified by the state occupational therapy program coordinator, (see Section 5, Attachment C: DOE Sign-In Sheet and Attachment D: DOE Attendance Sheet).

At a minimum, these measures must reflect:

- Satisfaction of parents and schools with the services.
- Treatment progress and outcome measures related to academic achievement and fine motor/self help/perceptual functioning in school and at home.
- Timeliness of services, including indication of percentage of assessments completed and submitted within the timelines specified by law, and time from authorization of service to initiation of service.
- Submission of monthly reports and statistics, as specified by the DOE.

**All written assessment reports must be entered into the student's official DOE school record within the time frames set forth at the Student Support Team (SST) meeting.** Failure to submit the report on time will incur a fine of \$25 per week, which will accrue on the first day of each week from the date the report was due. This deadline may be tolled for extenuating circumstances by written

notice from the SST administrator. The notice shall designate the next date the report is due. No additional time may be billed for corrections.

**All IEPs/MPs must be entered into eCSSS within 48 hours of completion of the IEP/MP meeting.** Failure to submit the report on time will incur a fine of \$25 per week, which will accrue on the first day of each week from the date the report was due. This deadline may be tolled for extenuating circumstances by written notice from the IEP/MP team administrator. The notice shall designate the next date the report is due. No additional time may be billed for corrections.

**Quarterly summary reports must be entered into eCSSS at the end of each quarter.** Summary reports shall be entered within ten (10) calendar days after the end of each quarter. Failure to submit the report on time will incur a fine of \$25 per week, which will accrue on the first day of each week from the date the report was due. This deadline may be tolled for extenuating circumstances by written notice from the IEP/MP team administrator. The notice shall designate the next date the report is due. No additional time may be billed for corrections.

**Documentation of Services:** OTs must document face-to-face therapy sessions with students on eCSSS within one (1) week of its occurrence. In the event this is not possible due to technical difficulties, the therapy session will be documented in a paper format (see Attachment D, DOE Attendance Sheet) and entered into eCSSS by the OTs at a later time. Failure to submit the report on time will incur a fine of \$25 per week, which will accrue on the first day of each week from the date the service logs were due. This deadline may be tolled for extenuating circumstances by written notice from the district educational specialist. The notice shall designate the next date the report is due. No additional time may be billed for corrections.

## 5. Experience

The applicant shall have in place an administrative structure capable of supporting the activities required by the RFP. Specifically, there must be clinical, financial, accounting and management information systems, and an organizational structure to support the activities of the applicant.

## 6. Coordination of services

The OTs may be required to coordinate the provision of services to students with other state agencies and community organizations, as specified in the student's IEP/MP.

## 7. Reporting requirements for program and fiscal data

### Tax clearance

The applicant shall submit an original tax clearance certificate upon the execution of a contract with the final invoice.

### Invoices

Original invoices, copies of individual OT time cards, DOE Sign-In Sheet (Attachment C), and DOE Attendance Sheet (Attachment D) must be submitted

within 14 calendar days after the last day of each calendar month to the state occupational therapy coordinator. All appeals and corrections for reporting/invoice rejections must be resolved within the next 60 calendar days; late claims will not be accepted. Any appeals and corrections for reporting/invoice rejections shall constitute the end of the DOE's requirement to pay within 30 days upon receipt of the original invoice. The DOE's requirement to pay within 30 days starts on the day the corrected invoice is resubmitted and accepted by the DOE.

The contract provider shall, at the completion of the contract period, submit a final written report summarizing contract performance to include work outcomes and difficulties encountered to the DOE in a format to be prescribed by the DOE.

## **8. Pricing structure or pricing methodology to be used**

### Hourly Rate

The DOE shall reimburse on an hourly rate for hours worked, not to exceed eight (8) hours per workday or forty (40) hours per workweek. No overtime pay will be allowed. The DOE shall not pay for mileage and travel costs.

- During the regular school year and when students are present, the work hours will be 7:30 a.m. to 4:00 p.m. with one-half hour lunch. The maximum hours per week are 40 hours.
- During school holidays or when no students are present, the provider's employees will not be on duty.
- In the event that contracted assistance is needed during summer session/extended school year intersessions, the work hours will be adjusted to a maximum of 20-30 hours per week to coincide with length of the school day.

## **9. Units of service and unit rate**

Occupational therapy services include screening, assessment, consultation, treatment, IEP meetings, documentation, and care coordination. Proposed hourly rate is to be submitted by applicant in the Procurement of Services (POS) Proposal Application (refer to Section 3, Item 1).

Unit rate is not to exceed \$60 per hour of occupational therapy services and are to include all direct and administrative costs. Administrative costs may include, but are not limited to, travel between base station and school(s), phone communication, report writing, and inputting into eCSSS, unless specified in the scope of work.

If mutually agreed upon by the contract provider and the DOE, individual OT contracts may be purchased (by the DOE) upon the completion of one (1) year of satisfactory contract service for the proposed rate (up to \$8,000).

## **IV. Facilities**

Not applicable to this RFP.

**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***
- *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 (for the website address see the Proposal Application Checklist in Section 5, Attachments). 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 is composed of the following sections:

- *Title Page*
- *Table of Contents*
- *Program Overview*
- *Experience and Capability*
- *Project Organization and Staffing*
- *Service Delivery*
- *Financial*
- *Other*

#### I. **Program Overview**

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

#### II. **Experience and Capability**

##### A. **Necessary Skills**

The applicant shall demonstrate that it has the necessary skills, abilities, and knowledge relating to the delivery of the proposed services.

##### B. **Experience**

The applicant shall provide a description of projects/contracts pertinent to the proposed services.

The Applicant shall also provide a listing of verifiable experience with projects or contracts for the most recent five years that are pertinent to the proposed services. Applicant is encouraged to include points of contract, addresses, e-mail addresses, and phone numbers. The State 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 its own plans for quality assurance and evaluation for the proposed services, including methodology.

**D. Coordination of Services**

The applicant shall demonstrate the capability to coordinate services with other agencies and resources in the community.

**III. Project Organization and Staffing**

**A. Staffing**

**1. Proposed Staffing**

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

The Applicant shall describe personnel that will provide identified services, including how the employee and/or subcontracted provider will go from one school site to another in the assigned geographic area.

**2. Staff Qualifications**

The applicant shall provide the minimum qualifications (including experience) for staff assigned to the program. (Refer to the qualifications in the Service Specifications, as applicable)

The Applicant shall describe how personnel are evaluated not only for the mandatory background checks, but also for competence and ability to deliver the services in conformity with Applicant's own policies and within the requirements of this RFP.

## **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.

The Applicant shall describe the personnel that will provide identified services, including how the employee will go from one school site to another in the assigned geographic area.

### **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.

## **IV. Service Delivery**

The 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.

Services are needed statewide during the school hours and to attend student's IEP meetings and other appropriate school/district/program meetings. Applicant is to identify service delivery plans to provide adequate staffing who may provide occupational therapy services to an estimated 800 students. The DOE is not obligated to purchase the amount of services indicated, however, it should be used as a guideline of the volume of services needed.

The Service Delivery Section shall include a detailed discussion of the Applicant's approach to recruitment, placement and replacement of Occupational Therapists to work in the districts/schools to fulfill the Scope of Services in Section 2, Item III. Scope of Work.

## **V. Financial**

### **A. Pricing Structure**

The 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.

The DOE will establish a unit rate not to exceed \$52.00 per hour. Since overall costs and cost effectiveness is one criterion by which proposals will be evaluated, proposals reflecting a lower rate unit are welcome.

Applicants shall submit a cost proposal utilizing the pricing structure designated by the state-purchasing agency by completing ATTACHMENT F, RATE PROPOSAL WORKSHEET. The cost proposal shall be attached to the POS Proposal Application.

As these contracts will be services “as needed,” the SPO budget forms have been deleted. Providers will have difficulty in constructing a budget as the actual amount of services requested by the DOE may vary. In lieu of providing budget forms, Applicants must provide a narrative with supporting monetary figures of how the unit cost is constructed. Such components, including but not limited to: compensation to providers, housing allowance; cost or reimbursement for travel; administrative expenses and what they comprise of; training and supervision of professionals, quality assurance; and any other factors that contribute to the final proposed rate for a unit of service should be identified.

Applicants shall furnish a reasonable estimate of the maximum number of service units it can provide for which there is sufficient operating capacity. The DOE reserves the right to ask for additional information (i.e. information supporting or justifying service delivery) from each applicant. Additional information must be available for review during the proposal evaluation period.

## **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):

- Most recent financial audit of Applicant
- A description of how Applicant’s accounting system is organized to handle the contract
- A description of the Applicant’s billing procedure including, if applicable, the procedures in which subcontractors are paid.
- Name of individual responsible for the accounting/billing system and his/her qualifications and position description.
- Applicant’s most recent program annual report, if available
- Description of the internal control structure used in the accounting system and
- If accounting work is subcontracted, please describe

**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.

# **Section 4**

## **Proposal Evaluation**

## Section 4 Proposal Evaluation

### 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.

### 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

##### Evaluation Categories

##### Possible Points

##### *Administrative Requirements*

Pass or Rejected

##### *Proposal Application*

100 Points

Program Overview	0 points
Experience and Capability	20 points
Project Organization and Staffing	15 points
Service Delivery	50 points
Financial	15 Points

##### **TOTAL POSSIBLE POINTS**

**100 Points**

### Evaluation Criteria

#### Phase 1 - Evaluation of Proposal Requirements

##### **Administrative Requirements**

- Application Checklist
- Registration (if not pre-registered with the State Procurement Office)
- Federal Certifications, see Section 5 (Attachments)

##### **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)

## 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 to orient evaluators as to the service(s) being offered.

### **Experience and Capability (20 Points)**

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

<b>A. Necessary Skills</b>	<b>4</b>
<ul style="list-style-type: none"> <li>• Demonstrated skills, abilities, and knowledge relating to the delivery of the proposed program services.</li> </ul>	_____
<ul style="list-style-type: none"> <li>• <i>Demonstrated skills, abilities, knowledge of, and experience relating to the delivery of occupational therapy services in an educationally based approach. Responses should specifically address the experience and capacity of its supervisors, or those overseeing the delivery of the services and their knowledge or expertise in the interventions or in working with this population.</i></li> </ul>	<u>4</u>
<b>B. Experience</b>	<b>5</b>
<ul style="list-style-type: none"> <li>• <i>Applicant's experience in delivery of occupational therapy services in the public school system</i></li> </ul>	<u>5</u>
<b>C. Quality Assurance and Evaluation</b>	<b>11</b>
<ul style="list-style-type: none"> <li>• Sufficiency of quality assurance and evaluation plans for the proposed services, including methodology.</li> </ul>	_____
<ul style="list-style-type: none"> <li>• <i>Applicant's clear detailed description of quality assurance plan and personnel accountability</i></li> </ul>	<u>5</u>
<ul style="list-style-type: none"> <li>• <i>Method of supervision and evaluating performance of personnel</i></li> </ul>	<u>3</u>
<ul style="list-style-type: none"> <li>• <i>Method of counseling personnel and collaborating with the DOE to resolve conflicts</i></li> </ul>	<u>3</u>
<b>D. Coordination of Services</b>	<b>0</b>
<ul style="list-style-type: none"> <li>• Demonstrated capability to coordinate services with other agencies and resources in the community.</li> </ul>	_____
<b>E. Facilities</b>	<b>0</b>
<ul style="list-style-type: none"> <li>• Adequacy of facilities relative to the proposed services.</li> </ul>	_____

**Project Organization and Staffing (15 Points)**

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

<b>A. Staffing</b>	<b>8</b>
<ul style="list-style-type: none"> <li>• <u>Proposed Staffing</u>: That the proposed staffing pattern, client/staff ratio, and proposed caseload capacity is reasonable to insure viability of the services.</li> </ul>	<u>2</u>
<ul style="list-style-type: none"> <li>• <u>Staff Qualifications</u>: Minimum qualifications (including experience) for staff assigned to the program.</li> </ul>	<u>2</u>
<ul style="list-style-type: none"> <li>• <i>Demonstrated ability to adequately supervise and train personnel, as applicable.</i></li> </ul>	<u>2</u>
<ul style="list-style-type: none"> <li>• <i>The agency should have detailed and demonstrated a background review process as well as detailing their screening process for determining competency of providers</i></li> </ul>	<u>2</u>
<b>B. Project Organization</b>	<b>7</b>
<ul style="list-style-type: none"> <li>• Supervision and Training: Demonstrated ability to supervise, train and provide administrative direction to staff relative to the delivery of the proposed services.</li> </ul>	<u>1</u>
<ul style="list-style-type: none"> <li>• <i>Organization chart: Approach and rationale for the structure, functions, and staffing of the proposed organization for the overall service activity and tasks.</i></li> </ul>	<u>1</u>
<ul style="list-style-type: none"> <li>• <i>Ability to provide continuous service whenever there is a change in the Applicant's personnel.</i></li> </ul>	<u>2</u>
<ul style="list-style-type: none"> <li>• Ability to provide qualified personnel in a timely manner, from time of request by the DOE to placement at the school site</li> </ul>	<u>3</u>

**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 evaluation criteria may also include an assessment of 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 timelines and schedules, as applicable.

<ul style="list-style-type: none"> <li>• <i>For each service in this RFP, the response has clearly detailed how the attendant tasks, obligations, and reporting will be addressed. Responses should be clear both in their theoretical approach as well as how this will translate to actual provision of the service(s).</i></li> </ul>	<u>10</u>
<ul style="list-style-type: none"> <li>• <i>Applicant shall provide a detailed description of the Applicant's means to ensure prompt responses to referrals, and to the policies and procedures of how services are referred. This should also clearly demonstrate how this system will avoid service delays or how the Applicant will keep the DOE apprised of any service gaps.</i></li> </ul>	<u>10</u>
<ul style="list-style-type: none"> <li>• <i>The response should address how the Applicant will service the remote or outlying areas in the proposed school</i></li> </ul>	<u>10</u>

*district(s) to ensure services will be available throughout the districts.*

- |  |  |
|--|--|
| <ul style="list-style-type: none"> <li>• <i>For each service, it should be clearly detailed how the tasks will be accomplished in a manner that is in conformance with best practices, and will demonstrate quality outcomes for students.</i></li> <li>• <i>Demonstration of the Applicant's commitment to least restrictive interventions.</i></li> <li>• <i>Clearly address how the services will be delivered collaboratively with the DOE and will focus on assisting the student's ability to function in the educational system.</i></li> </ul> | <hr style="width: 100%;"/><br><hr style="width: 100%;"/><br><hr style="width: 100%;"/><br><hr style="width: 100%;"/> |
|  | <p style="margin: 0;"><u>10</u></p> <p style="margin: 0;"><u>5</u></p> <p style="margin: 0;"><u>5</u></p>            |

**Financial (15 Points)**

- |  |  |
|--|--|
| <ul style="list-style-type: none"> <li>• <i>Applicant's proposal budget is reasonable given the program's resources and operational capacity.</i></li> <li>• <i>Degree of competitiveness and reasonableness of proposed budget</i></li> <li>• <i>Personnel costs are reasonable and comparable to positions in the community</i></li> <li>• <i>Adequacy of the Applicant's accounting system and infrastructure to support electronic/manual billing requirements including a demonstration of the agency's ability to accurately track cost of related services by students served.</i></li> <li>• <i>Demonstration of the Applicant's financial solvency; submission of financial audit and management letter.</i></li> </ul> | <hr style="width: 100%;"/><br><hr style="width: 100%;"/><br><hr style="width: 100%;"/><br><hr style="width: 100%;"/><br><hr style="width: 100%;"/>                             |
|  | <p style="margin: 0;"><u>3</u></p> <p style="margin: 0;"><u>8</u></p> <p style="margin: 0;"><u>2</u></p> <p style="margin: 0;"><u>1</u></p> <p style="margin: 0;"><u>1</u></p> |

**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.

With a baseline of 70 or higher, a decision for the award will be based on the consensus of the reviewers. First consideration will be given to the applicant with the highest score. Assignments will be made until the capacity of the highest-ranking applicant is met. Additional awards may be made in order of ranking until need for services of the DOE have been fulfilled.

Within seven (7) days of the award, the Applicant will submit documentation of Personnel including resumes of SLPs showing proof of capacity to provide needed services by the beginning of the contract, copies, documentation of criminal history/background checks, and copies of current and valid Drivers Licenses.

# **Section 5**

## **Attachments**

- A.** Proposal Application Checklist
- B.** Sample Table of Contents
- C.** DOE Sign-in Sheet
- D.** Final Contractor Report
- E.** Federal Certifications
- F.** Rate Proposal Worksheet
- G.** Capacity Worksheet

## Proposal Application Checklist

Applicant: \_\_\_\_\_

RFP No.: DOE F10-085

The applicant's proposal must contain the following components in the order shown below. This checklist must be signed, dated and returned to the state purchasing agency as part of the Proposal Application. \*SPO-H forms are located on the web at <http://www.spo.hawaii.gov> Click *Procurement of Health and Human Services* and *For Private Providers*.\*

Item	Reference in RFP	Format/Instructions Provided	Required by Purchasing Agency	Completed by Applicant
<b>General:</b>				
Proposal Application Identification Form (SPO-H-200)	Section 1, RFP	SPO Website*	<b>X</b>	
Proposal Application Checklist	Section 1, RFP	Attachment A	<b>X</b>	
Table of Contents	Section 5, RFP	Section 5, RFP	<b>X</b>	
Proposal Application (SPO-H-200A)	Section 3, RFP	SPO Website*	<b>X</b>	
Registration Form (SPO-H-100A)	Section 1, RFP	SPO Website*	<b>(Required if not Registered)</b>	
Tax Clearance Certificate (Form A-6)	Section 1, RFP	Dept. of Taxation Website (Link on SPO website)*	<b>(Required at time of award)</b>	
Cost Proposal (Budget)				
SPO-H-205	Section 3, RFP	SPO Website*		
SPO-H-205A	Section 3, RFP	SPO Website* Special Instructions is applicable, Section 5		
SPO-H-205B	Section 3, RFP,	SPO Website* Special Instructions, Section 5		
SPO-H-206A	Section 3, RFP	SPO Website*		
SPO-H-206B	Section 3, RFP	SPO Website*		
SPO-H-206C	Section 3, RFP	SPO Website*		
SPO-H-206D	Section 3, RFP	SPO Website*		
SPO-H-206E	Section 3, RFP	SPO Website*		
SPO-H-206F	Section 3, RFP	SPO Website*		
SPO-H-206G	Section 3, RFP	SPO Website*		
SPO-H-206H	Section 3, RFP	SPO Website*		
SPO-H-206I	Section 3, RFP	SPO Website*		
SPO-H-206J	Section 3, RFP	SPO Website*		
<b>Certifications:</b>				
<b>Federal Certifications</b>		Section 5, RFP	<b>X</b>	
Debarment & Suspension		Section 5, RFP	<b>X</b>	
Drug Free Workplace		Section 5, RFP	<b>X</b>	
Lobbying		Section 5, RFP	<b>X</b>	
Program Fraud Civil Remedies Act		Section 5, RFP	<b>X</b>	
Environmental Tobacco Smoke		Section 5, RFP	<b>X</b>	
<b>Program Specific Requirements:</b>				
Rate Proposal Worksheet	Attachment F	Section 5, RFP	<b>X</b>	
Capacity Worksheet	Attachment G	Section 5, RFP	<b>X</b>	

\_\_\_\_\_  
Authorized Signature

\_\_\_\_\_  
Date

## Proposal Application Table of Contents

<b>I.</b>	<b>Program Overview.....</b>	<b>1</b>
<b>II.</b>	<b>Experience and Capability .....</b>	<b>1</b>
	<b>A. Necessary Skills .....</b>	<b>2</b>
	<b>B. Experience.....</b>	<b>4</b>
	<b>C. Quality Assurance and Evaluation.....</b>	<b>5</b>
	<b>D. Coordination of Services.....</b>	<b>6</b>
	<b>E. Facilities.....</b>	<b>6</b>
<b>III.</b>	<b>Project Organization and Staffing .....</b>	<b>7</b>
	<b>A. Staffing.....</b>	<b>7</b>
	1. Proposed Staffing.....	7
	2. Staff Qualifications .....	9
	<b>B. Project Organization .....</b>	<b>10</b>
	1. Supervision and Training.....	10
	2. Organization Chart (Program & Organization-wide) (See Attachments for Organization Charts)	
<b>IV.</b>	<b>Service Delivery.....</b>	<b>12</b>
<b>V.</b>	<b>Financial.....</b>	<b>20</b>
	See Attachments for Cost Proposal	
<b>VI.</b>	<b>Litigation.....</b>	<b>20</b>
<b>VII.</b>	<b>Attachments</b>	
	<b>A. Cost Proposal</b>	
	SPO-H-205 Proposal Budget	
	SPO-H-206A Budget Justification - Personnel: Salaries & Wages	
	SPO-H-206B Budget Justification - Personnel: Payroll Taxes and Assessments, and Fringe Benefits	
	SPO-H-206C Budget Justification - Travel: Interisland	
	SPO-H-206E Budget Justification - Contractual Services – Administrative	
	<b>B. Other Financial Related Materials</b>	
	Financial Audit for fiscal year ended June 30, 1994	
	<b>C. Organization Chart</b>	
	Program	
	Organization-wide	
	<b>D. Performance and Output Measurement Tables</b>	
	Table A	
	Table B	
	Table C	
	<b>E. Program Specific Requirements</b>	







## ATTACHMENT D

### FINAL CONTRACTOR REPORT

Number of professionals recruited for each location

Location	Number of Candidates Recruited	Accepted	Declined
Oahu			
Maui			
Kauai			
Hawaii			

Number of professionals referred to the DOE

Location	Number of Candidates referred	Accepted by DOE	Declined by DOE & reason
Oahu			
Maui			
Kauai			
Hawaii			
Total			

Retention of personnel and timeliness in personnel replacement:

Name of provider who left prior to completion of the contract	Geographic Area	Reason for leaving	Date left	Date replacement provided to HDOE (If no replacement provided cite reason why)
	Oahu			
	Maui			
	Kauai			
	Hawaii			

List any challenges related to fulfilling this contract.

List suggested changes that would make it easier to implementation of this contract

**ATTACHMENT E****CERTIFICATIONS**

PHS-5161-1-CERTIFICATIONS (7/00)

OMB

Approval No. 0920-0428

**1. CERTIFICATION REGARDING DEBARMENT AND SUSPENSION.**

The undersigned (authorized official signing for the applicant organization) certifies to the best of his or her knowledge and belief, that the applicant, defined as the primary participant in accordance with 45 CFR Part 76, and its principals:

- (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal Department or agency;
- (b) have not within a 3-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) are not presently indicted or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and
- (d) have not within a 3-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.

Should the applicant not be able to provide this certification, an explanation as to why should be placed after the assurances page in the application package.

The applicant agrees by submitting this proposal that it will include, without modification, the clause titled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion--Lower Tier Covered Transactions" in all lower tier covered transactions (i.e., transactions with sub-grantees and/or contractors) and in all solicitations for lower tier covered transactions in accordance with 45 CFR Part 76.

**2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS.**

The undersigned (authorized official signing for the applicant organization) certifies that the applicant will, or will continue to, provide a drug-free workplace in accordance with 45 CFR Part 76 by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about-
  - (1) The dangers of drug abuse in the workplace;
  - (2) The grantee's policy of maintaining a drug-free workplace;
  - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
  - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a) above;
- (d) Notifying the employee in the statement required by paragraph (a), above, that, as a condition of employment under the grant, the employee will--
  - (1) Abide by the terms of the statement; and
  - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d) (2), with respect to any employee who is so convicted--
  - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

- (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

For purposes of paragraph (e) regarding agency notification of criminal drug convictions, the DHHS has designated the following central point for receipt of such notices: Office of Grants and Acquisition Management Office of Grants Management Office of the Assistant Secretary for Management and Budget Department of Health and Human Services 200 Independence Avenue, S.W., Room 517-D Washington, D.C. 20201

### **3. CERTIFICATION REGARDING LOBBYING**

Title 31, United States Code, Section 1352, entitled "Limitation on use of appropriated funds to influence certain Federal contracting and financial transactions," generally prohibits recipients of Federal grants and cooperative agreements from using Federal (appropriated) funds for lobbying the Executive or Legislative Branches of the Federal Government in connection with a SPECIFIC grant or cooperative agreement. Section 1352 also requires that each person who requests or receives a Federal grant or cooperative agreement must disclose lobbying undertaken with non-Federal (non-appropriated) funds. These requirements apply to grants and cooperative agreements EXCEEDING \$100,000 in total costs (45 CFR Part 93).

The undersigned (authorized official signing for the applicant organization) certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federally appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. (If needed, Standard Form-LLL, "Disclosure of Lobbying Activities," its instructions, and continuation sheet are included at the end of this application form.)
- (3) The undersigned shall require that the language of this certification be included in the award documents for all sub awards at all tiers (including subcontracts, sub grants, and contracts under grants, loans and cooperative agreements) and that all sub recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

### **4. CERTIFICATION REGARDING PROGRAM FRAUD CIVIL REMEDIES ACT (PFCRA)**

The undersigned (authorized official signing for the applicant organization) certifies that the statements herein are true, complete, and accurate to the best of his or her knowledge, and that he or she is aware that any false, fictitious, or fraudulent statements or claims may subject him or her to criminal, civil, or administrative penalties. The undersigned agrees that the applicant organization will comply with the Public Health Service terms and conditions of award if a grant is awarded as a result of this application.

### **5. CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE.**

Public Law 103-227, also known as the Pro-Children Act of 1994 (Act), requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, early childhood development services, education or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law also applies to children's services that are provided in indoor facilities that are constructed, operated, or maintained with such Federal funds. The law does not apply to children's services provided in private residence, portions of facilities used for inpatient drug or alcohol treatment, service providers whose sole source of applicable Federal funds is Medicare or Medicaid, or facilities where WIC coupons are redeemed.

Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1,000 for each violation and/or the imposition of an administrative compliance order on the responsible entity.

By signing the certification, the undersigned certifies that the applicant organization will comply with the requirements of the Act and will not allow smoking within any portion of any indoor facility used for the provision of services for children as defined by the Act.

The applicant organization agrees that it will require that the language of this certification be included in any sub awards which contain provisions for children's services and that all sub recipients shall certify accordingly.

The Public Health Services strongly encourages all grant recipients to provide a smoke-free workplace and promote the non-use of tobacco products. This is consistent with the PHS mission to protect and advance the physical and mental health of the American people.

<b>VII.</b>	<b>Signature of Authorized Certifying Official</b>	<b>VIII.</b>	<b>Title</b>
<b>IX.</b>	<b>Applicant Organization</b>	<b>X.</b>	<b>Date Submitted</b>

## ATTACHMENT F

### RATE PROPOSAL WORKSHEET PHYSICAL THERAPIST/OCCUPATIONAL THERAPIST/SPEECH-LANGUAGE PATHOLOGIST

- ✓ If item will not be provided or is not applicable, please indicate so in the “Amount” column.
- ✓ To determine allowable expenses, refer to “Cost Principles on Purchases of Health and Human Services” document available on the SPO website:  
[http://www2.hawaii.gov/spoh/Forms\\_Instructions/forms\\_instructionsprov.htm](http://www2.hawaii.gov/spoh/Forms_Instructions/forms_instructionsprov.htm).

<b>Service/ Expense</b>	<b>\$ Amount per Hour</b>
Personnel costs (please itemize): <u>Professional Development/Training</u> _____ <u>Housing, etc.</u> _____ <u>Travel/Mileage, etc.</u> _____ _____ _____ _____	_____ _____ _____ _____ _____
Administrative/Managerial Costs (please itemize): _____ _____ _____	
Subcontracted Services (please itemize): _____ _____ _____ _____	
Operating Expenses: _____ _____	
Profit:	
Other (please specify): _____ _____ _____ _____ _____ _____	
<b>TOTAL HOURLY RATE (not to exceed \$60.00):</b> (This rate represents the Applicant’s hourly proposal rate for this RFP)	

**ATTACHMENT G****CAPACITY WORKSHEET**

District	Estimated Number of OTs	Estimated Number of Supervisors	Estimated number of Service Units (hours)
Central			
Honolulu			
Leeward			
Windward			
Hawaii			
Kauai			
Maui			