

State of Hawaii  
Department of Human Services  
Social Services Division  
Child Welfare Services Branch

## **Request for Proposals**

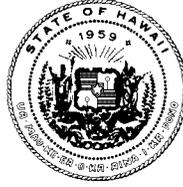
### **RFP No. HMS 301-63**

# **Blueprint for Change/Neighborhood Places**

Issued: March 8, 2010  
Date Due: April 6, 2010

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

LINDA LINGLE  
GOVERNOR



LILLIAN B. KOLLER, ESQ.  
DIRECTOR

HENRY OLIVA  
DEPUTY DIRECTOR

**STATE OF HAWAII  
DEPARTMENT OF HUMAN SERVICES**

810 Richards Street, Room 400  
Honolulu, Hawaii 96813

March 8, 2010

**MEMORANDUM**

**TO:** Prospective Applicants

**FROM:** Amy Tsark, Acting Administrator  
Social Services Division

**SUBJECT:** SOCIAL SERVICES DIVISION'S REQUEST FOR PROPOSALS (RFPs)

The State of Hawaii Department of Human Services, Social Services Division, is currently soliciting proposals from qualified applicants to provide the Blueprint for Change/Neighborhood Places service. The Request for proposals (RFPs) to provide this program are being issued under the provisions of Chapter 103F of the Hawaii Revised Statutes and its administrative rules.

Attached is the RFP for the Blueprint for Change/Neighborhood Places service. Please see the attached "Proposal Mail-In and Delivery Information Sheet" for important proposal submittal information.

An orientation for this RFP will be held on Monday, March 15, 2010, from 2:30 p.m. to 3:30 p.m. HST. See section 1, part VI, of the RFP for further details. All prospective applicants are encouraged to attend the orientation. For further information about the orientation, for special accommodations, or to participate by phone, contact Rex Shilo at (808) 587-3168 or at [rshilo@dhs.hawaii.gov](mailto:rshilo@dhs.hawaii.gov). Those wishing to participate via telephone should notify the RFP issuing office at least two days prior to the orientation meeting.

If you have questions regarding this procurement, please refer to RFP Section 1, part VII, Submission of Questions, and RFP Section 2, part II.F., for information on the question and answer process and whom to contact.

Thank you for your interest. We look forward to your proposal(s).

Attachments

## PROPOSAL MAIL-IN AND DELIVERY INFORMATION SHEET

**NUMBER OF COPIES TO BE SUBMITTED: ONE ORIGINAL AND FIVE (5) COPIES OF THE PROPOSAL ARE REQUIRED. ADDITIONAL COPIES MAY BE REQUESTED.**

**PROPOSALS SUBMITTED BY FACSIMILE OR BY ELECTRONIC MEANS WILL NOT BE ACCEPTED.**

ALL MAIL-INS SHALL BE POSTMARKED BY THE UNITED STATES POSTAL SERVICE (USPS) NO LATER THAN **April 6, 2010** and received by the state purchasing agency no later than **10 days from the submittal deadline.**

ALL HAND DELIVERIES SHALL BE ACCEPTED AT THE FOLLOWING SITE UNTIL **4:30 P.M., Hawaii Standard Time (HST), April 6, 2010.** Deliveries by private mail services such as FEDEX shall be considered hand deliveries. Hand deliveries shall not be accepted if received after 4:30 p.m., HST, **April 6, 2010.**

**All Mail-ins/All Hand Deliveries**

Department of Human Services  
Social Services Division  
Purchase of Services Unit  
810 Richards Street, Suite 400  
Honolulu, Hawaii 96813

**DHS RFP COORDINATOR**

Rex Shilo  
Program Specialist  
Phone: 587-3168  
FAX: 586-5700

**BE ADVISED:**

- All mail-ins postmarked by USPS after April 6, 2010 will be rejected. All mail-ins postmarked by USPS by April 6, 2010 but received by the state purchasing agency later than 10 days from the submittal deadline will be rejected. Dated shipping labels (such as those labels downloaded from the internet) are not considered postmarks.
- Hand deliveries will not be accepted after 4:30 p.m., HST, on April 6, 2010.
- Deliveries by private mail services such as FEDEX shall be considered hand deliveries and will not be accepted if received after 4:30 p.m. HST, April 6, 2010.
- Proposals sent by facsimile or by electronic means will not be accepted.
- The Department of Human Services will NOT allow applicants the option to submit copies of proposals on compact disc (CD). Applicants must submit one (1) original proposal and five (5) copies on paper.

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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 Request for Proposals (RFP)	<u>3/8/10</u>
Distribution of RFP	<u>3/8/10</u>
RFP orientation session	<u>3/15/10</u>
Closing date for submission of written questions for written responses	<u>3/18/10</u>
State purchasing agency's response to applicants' written questions	<u>3/25/10</u>
Discussions with applicant prior to proposal submittal deadline (optional)	<u>3/15/10-</u> <u>3/25/10</u>
Proposal submittal deadline	<u>4/6/10</u>
Discussions with applicant after proposal submittal deadline (optional)	<u>4/6/10-4/9/10</u>
Final revised proposals (optional)	<u>4/9/10-4/16/10</u>
Proposal evaluation period	<u>4/19/10-</u> <u>5/12/10</u>
Provider selection	<u>5/12/10</u>
Notice of statement of findings and decision	<u>5/26/10-6/2/10</u>
Contract start date	<u>7/1/09</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:

State of Hawaii  
 Department of Human Services  
 Social Services Division, Support Services Office, Purchase of Services Unit  
 810 Richards Street, Suite 400  
 Honolulu, Hawaii 96813  
 Phone: (808) 587-3168 Fax: (808)586-5700

#### VI. Orientation

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

**Date:** March 15, 2010 **Time:** 2:30 p.m. – 3:30 p.m.

**Locations:**

**Oahu:** Keoni Ana Bldg, 1177 Alakea Street, Room 302, Honolulu, HI  
**Hilo:** Hilo State Office Bldg, 75 Aupuni Street, Basement, Hilo, HI  
**Maui:** Wailuku Judiciary Bldg, 2145 Main Street, First Floor, Wailuku, HI  
**Kauai:** Lihue State Office Bldg, 3060 Eiwa Street, Basement, Lihue, HI  
**West Hawaii:** Contact Kori Nakamura at 586-5680 to provide contact information

The RFP Orientation will be held via videoconference at the locations listed above. For our planning purposes, please contact Rex Shilo at (808) 587-3168 no later than the close of business on March 12, 2010 providing your name, telephone number, and email address. Due to limited space, please provide the number of people that plan to attend the meeting.

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 paragraph VII. Submission of Questions.

## VII. Submission of Questions

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

Deadline for submission of written questions:

**Date:** March 18, 2010      **Time:** 4:30 p.m. HST

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

Date: March 25, 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.** Providers 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. **Confidentiality of Personal Information.** Act 10 relating to personal information was enacted in the 2008 special legislative session. As a result, the Attorney General’s General Conditions of Form AG Form 103F, *Confidentiality of Personal Information*, has been amended to include Section 8 regarding protection of the use and disclosure of personal information administered by the agencies and given to third parties.
- J. **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.

*For this procurement, the Department of Human Services will NOT accept faxed proposals and/or submission of proposals on diskette/CD or transmission by email, website, or other electronic means. Please refer to HAR section 3-143-504.*

## **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: Lillian B. Koller	Name: Amy Tsark
Title: Director	Title: Social Services Division Administrator – Acting
Mailing Address: Department of Human Services P.O. Box 339 Honolulu, Hawaii 96809	Mailing Address: Department of Human Services Social Services Division 810 Richards Street, Suite 400 Honolulu, Hawaii 96813
Business Address: Department of Human Services 1390 Miller Street, Room 209 Honolulu, Hawaii 96813	Business Address: Department of Human Services Social Services Division 810 Richards Street, Suite 400 Honolulu, Hawaii 96813

## **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. 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. See Section 5 for any special conditions.

## **XXII. 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. Background**

The Department of Human Services, Social Services Division, Child Welfare Services Branch (Department) provides social and case management services to children and their biological, extended, foster, or adoptive families to ensure safe, nurturing, and permanent families for Hawaii's children.

##### **B. Purpose or Need**

The Department of Human Services is seeking proposals to provide voluntary services to provide services to strengthen families through the Neighborhood Place (NP) services in support of the Department's mandate to protect children who have been harmed or threatened with harm by their families.

Problems within families such as substance abuse, unemployment, poverty, an absent parent, and lack of parenting skills negatively impact family members, especially children, and may result in family violence in the form of child abuse and neglect and the consequent breakup of the family unit. Services to be accomplished under this contract include the following:

- a. Providing assistance to needy families so that children may be cared for in their own homes (or in the homes of relatives); and
- b. Promoting the formation and maintenance of two-parent families through family strengthening initiatives.

These services provided in accordance with Public Law 104-93 as amended contribute to stronger family units both now and in the next generation. This in turn provides for a safe and healthy environment for Hawaii's youth and their families.

Concerning initiative (a) above, these services will be provided to current TANF recipients and/or TANF eligible families. PROVIDER will furnish the STATE with the names of families currently known to be TANF recipients and/or the names of members of the family unit and the income of the primary wage earner so that the STATE can ascertain TANF eligibility. The STATE is requesting that listing immediately in order to determine the percentage of service recipients who are TANF eligible.

Concerning initiative (b) above, these services will be provided without regard to income or TANF eligibility.

Family strengthening activities provided through community-based neighborhood places may include but not be limited to direct services such as crisis intervention, informal counseling, early childhood education, assistance in obtaining needed

resources, promotion of socialization skills, parenting groups, and parent-child interaction activities.

In addition to direct services it is critical to engage local communities and develop resources for families by assisting communities in assessing their capacities and needs for supporting families, providing workshops on the neighborhood place model, forming networks of resources for families in need, and supporting and expanding the neighborhood places throughout the STATE. In this regard it is expected that the PROVIDER will subcontract for community-based neighborhood place services in designated locations and that the local neighborhood places will work with local communities to develop resources for families.

**C. Planning Activities (check all that apply):**

Information from funders (legislature, federal agencies, private foundations, etc.) on funding terms and conditions;

Views of provider organizations on how to improve service specifications; a request for information (RFI) process may have been used for this purpose;

Information from POS monitoring and other reports for current contracts; and

Other data (socio-economic and health trends, waiting lists for services, client satisfaction surveys, etc.).

**D. Description of the goals of the service**

The goals are comprised of three broad outcome domains in the continuum of child welfare services: safety, permanency, and child and family well-being. In administering and conducting the service activities, the safety of children to be served shall be of paramount concern. Service activities shall be based on the principles of family-centered, strengths/needs-based practice.

The guiding principles of family-centered based practice in the Child Welfare Services Branch are:

1. The safety of children is the paramount concern that must guide all child welfare services. Child safety must be the paramount concern when making service provision, placement, and permanency planning decisions.
2. Reasonable efforts to maintain and reunify families are important except when it is determined that the child's safety in the family cannot be assured due to certain aggravated circumstances, or after a period of 12 months of service activities, the Department shall move towards a permanent placement for the child. Thus, risk and safety assessment skills are important in maintaining the quality of child welfare services and decision-making.
3. Children should be helped to stay with their families, when safety can be

assured, through the provision of timely, appropriate, quality, individualized service activities and supports that build on the strengths of children and families and are responsive to their needs.

4. Family crises provide opportunities to the families to address problems. When timely, high quality, and appropriate services are provided to families in crisis, family members, Child Welfare Services Branch staff, and Family Courts are able to make informed decisions about biological, foster, or adoptive parents' ability to protect and care for their children.
5. Service activities must be relevant and useful for the family, coordinated, and collaborative and provided in all designated geographic areas under the contract.
6. Service activities must be competent, culturally appropriate and responsive to the strengths, needs, values and preferences of the child and family, and delivered in a manner that is respectful of and builds on the strengths of the family, the community, and cultural ties. Service activities must address the physical, social, emotional, and educational needs of the child and the family's ability to protect the child. Service activities must provide clear and attainable goals and objectives for each participant.
7. Service activities must be individualized, addressing the unique capacities and needs of each child and family.
8. Service activities must empower families to help themselves and to gain and maintain mastery and control over their ability to protect their children.

**E. Description of the target population to be served**

The STATE is committed to a safe, healthy, and nurturing community that a) values all youth and their families as productive and contributing members and b) provides opportunities for actualization of their highest potential including the formation and maintenance of two-parent families as a cornerstone for safe, healthy, and nurturing communities. In this context the target group for neighborhood place services includes:

1. Families with children at risk of child abuse and neglect who request services to support and strengthen their families and decrease the risk of child abuse and/or neglect.
2. Families with children who are at risk of child abuse and neglect but are not known to child protective services (CPS) and are in need of services to support and strengthen the family.
3. Families assessed by CPS with unconfirmed findings of child abuse/neglect but who are in need of supportive services to prevent child abuse/neglect.
4. Families referred to CPS that have been assessed to be in need of supportive services but are not accepted for CPS investigation.
5. Families assessed and confirmed for child abuse/neglect by CPS but needing no

more than 6 months of supportive services after the CPS case is closed.

**F. Geographic coverage of service**

Services may be expanded if additional resources become available. Assurance must be given that the following areas will be provided the full range of contracted service.

Oahu

- Central Oahu-Kalihi
- Waianae Coast - Waianae

Maui

- Wailuku

Island of Hawaii

- East Hawaii-Puna
- West Hawaii-Kailua

**G. Estimated annual funding amounts**

\$783,200

Funding under this RFP provides for : 1) an allocation for the Provider's administrative expenses (not to exceed 15%); and 2) the balance of the contract amount to be expended for the provision of services in accordance with this RFP.

Additional funding may become available over the life of the contract, and the sources of funding may change. Funding for any given year or for the contract as a whole may increase up to 300% of the original amount without being considered a fundamental change according to section 3-149-303(d) of Hawaii Administrative Rules. Increases are subject to availability of funds, program utilization, and satisfactory performance.

During the term of the contract the parties may renegotiate terms and conditions related to the performance of the PROVIDER including but not limited to measurable outcomes, benchmarks for monitoring timely and adequate provision of services, special reporting requirements, pricing methodology, units of service, unit rates, and penalties. At the time of the renegotiation either party has the right to terminate this Agreement under Exhibit "D", General Conditions, paragraph 4.3 or 4.4 as applicable. Any amendments to this Agreement will not constitute a fundamental change as defined in §3-149-303(d) of Hawaii Administrative Rules. A fundamental change is one which “is so great that a reasonable purchasing agency would in light of all the circumstances, re-procure the required services instead of amending an existing contract in order to assure that the state is receiving the most advantageous bargain.”

## **II. General Requirements**

### **A. Performance-Based Framework**

1. The PROVIDER shall design, implement, and refine programs for youth and families based on research or evaluation that provides evidence that the programs used can establish and strengthen protective factors whereby children can be cared for in their own homes or the homes of relatives and/or otherwise preventing child abuse and neglect or the recurrence of such harm.
2. Performance Measures: See Form A – People to be Served, Form B – Service Activities, and Form C – Outcomes below. For partially funded neighborhood places, the numbers on Forms A and B shall be prorated based on the ratio of partial funding to full funding.

### **B. 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 in the POS manual.
2. The applicants shall, in a proper and satisfactory manner as determined by the STATE, perform all work described in this Scope of Services in strict accordance with the terms and conditions of this Agreement pursuant to the Social Security Act, Title IV, Part A, as amended; Personal Responsibility and Work Opportunity Reconciliation Act of 1996, Public Law 104-193; Balanced Budget Act of 1997, Public Law 105-33; and Catalogue of Federal Domestic Assistance (C.F.D.A.) #93.558, Temporary Assistance to Needy Families (TANF).
3. The provider must assure that the delivery of services is consistent with the Departmental goals listed below:
  - a. Safety:
    - i. Decrease the number and rate of reported and confirmed child abuse/neglect incidences for the families served by the program.
    - ii. Decrease the number and rate of reported and confirmed child abuse/neglect incidences of reabuse for the families served by the program.
    - iii. Increase the number of children who are referred to CWS who are safely maintained in their homes (or in the homes of relatives).
  - b. Permanency:

- i. Promotion of the formation and maintenance of two parent families through family strengthening initiatives and activities.
    - ii. Prevent the requirement for CWS intervention with the families referred or self referred to the program.
  - c. Well being:
    - i. Increase family's capacity to provide a safe family home.
- 4. The provider must provide focused prevention, problem-solving counseling and paraprofessional service activities when referred by the Department's staff.
- 5. The provider must provide service activities in concurrence with the Department's statutory mandate under 45 CFR 1340, Hawaii Revised Statutes Chapters 346, 350, and 587, and Hawaii Administrative Rules and Departmental procedures. The provider must provide services in concurrence with the philosophy and treatment goals related to the safety of children and the family's ability to be protective of the child.
- 6. The provider, and the client, must develop an individualized program plan that addresses the risk concerns in the family and provides each family clear goals and objectives and ongoing feedback and progress reports consistent with the goals and objectives resolving the risk issues that pose a risk to the child in the home. The provider must assure that the family understands the goals and objectives and is capable of accomplishing the goals and objectives in the service plan.
- 7. The provider must ensure that service delivery and short and long term goals for the individuals and families served address the four competency areas listed below, depending on the strengths and needs of the families:
  - a. The parents/caregivers ability to protect the child/ren.
  - b. The parents/caregivers ability to meet the needs of the child/ren.
  - c. The parents/caregivers ability to problem-solve.
  - d. The parents/caregiver's ability to maintain the safety of the child/ren.
- 8. The applicant must provide reasonable accommodations to assure the applicant's capacity to deliver services to those clients with minimal English speaking abilities or physical limitations.
- 9. The provider must provide services on a consistent basis to families referred by CWS. Services should be provided within a reasonable time to children and families. Services must be available on weekends and evenings to accommodate families' work hours.

10. The provider must make available each service activity specified in each client's individualized program plan in the designated geographical area to the full extent of the proposed and contracted program resources and funding. Service activities for this contract include assessment, individualized program planning, child-related skills building activities, parental life skills, support activities, and referral activities, and childcare while clients receive services. Clients may be referred to some or all of the service activities listed.
11. The provider must assure and be responsible for the provision of service activities throughout the geographical area. Recruitment of staff from the specific geographic area is preferred.
12. The provider must assure and be responsible for the continuity of service activities by providing full service activity in the event of staff illness, medical emergencies, vacancies, or other situations that result in program resources that are less than proposed and contracted for. The provider must not require nor depend on the Department's staff to provide service activities in the event that program resources are not available due to the above situations.
13. The provider must ensure smooth transitions between service activities for families under the contract or when the contract ends.
14. The provider must connect, coordinate and collaborate with CWS and other Department resources provided within the community as well as other sources of support for the families served.
15. The provider must provide timely and accurate case documentation necessary to monitor and evaluate the quality, quantity, and timeliness of service activities to the Department's staff. The documentation must include case status reports, case discharge reports, and other documentation.
16. The provider must assure that all staff meets the minimum educational requirements as required by the Department.
17. The provider must evaluate its program by using credible and tested measurement tools for program effectiveness in achieving outcomes.
18. The provider shall conduct criminal history, and CPS central registry checks and shall ensure that no employee has a record of criminal convictions or CPS involvement that would pose a risk to children or families.
19. The provider shall report any suspected child abuse and/or neglect in accordance with Chapter 350, Hawaii Revised Statutes.
20. Providers shall cooperate with DHS as requested to implement changes to

the program including changes in populations to be served and/or service delivery. Providers shall participate in quality assurance/improvement projects as requested by DHS for research and evaluation purposes. Such activities will include 1 Child and Family Service Review (CFSR) per year per qualified staff as requested and arranged by DHS. Qualifications of provider staff to participate in the CFSR will be determined by DHS. Other quality assurance/improvement activities will include data collection and other future requests related to current DHS initiatives, activities and programs. Providers will be requested to provide records for review by DHS for these purposes.

**C. Secondary purchaser participation**

After-the-fact secondary purchaser participation may be allowed, upon approval of the Department and pursuant to §3-143-608 HAR.

**D. Multiple or alternate proposals (*check one*)**

Allowed       Unallowed

**E. Single or multiple contracts to be awarded (*check one*)**  
*(Refer to §3-143-206, HAR)*

Single                       Multiple                       Single & Multiple

Criteria for multiple awards:

If “Multiple” or “Single & Multiple” is checked, then multiple contracts may be awarded for any combination of geographic areas specified above if the STATE determines that multiple contracts will be more advantageous in terms of cost effectiveness (outcomes and outputs per funding) and whether the Department desires a choice among providers. The highest scoring applicants will be awarded multiple contracts. The relative funding of the multiple awardees will be limited by available funding for the geographic area(s) to be served and will be allocated at the discretion of the Department taking into account factors that may include but not be limited to availability, accessibility, and proposed configuration of the service activities

**F. Single or multi-term contracts to be awarded (*check one*)**  
*(Refer to §3-149-302, HAR)*

Single term (< 2 yrs)       Multi-term (> 2 years)

**\*Contract Terms:**

**Initial term of each contract:** One (1) year anticipated to be 7/1/2010 through 6/30/2011\*

**Length of each extension:** One (1) year unless otherwise agreed by the STATE  
**# of possible extensions:** Five (5) annual extensions

**Maximum length of contract:** Six (6) years from 7/1/2010 through 6/30/2016 subject to Option to Extend provision in the Special Conditions of the contract. See Exhibit "E", Special Conditions, in Section 5 of the RFP.

**\*The initial period shall commence on the contract start date or Notice to Proceed, whichever is later.**

**Conditions for extension:**

- Satisfactory performance as determined by the STATE
- Availability of funding
- Acceptable utilization as determined by the STATE
- Ongoing need for the service as determined by the STATE
- Satisfactory compliance as determined by the STATE with the terms and conditions of the contract
- Must be in writing and must be executed prior to expiration

**G. RFP contact person**

The individual listed below is the sole point of contact from the date of release of this RFP until the selection of the winning provider or providers. Questions will be accepted if submitted to the RFP contact person and received on or before the day and time specified in Section 1, Item IV (Procurement Timetable) of this RFP.

**Rex Shilo - Phone: 587-3168 Fax: 586-5700 Email: rshilo@dhs.hawaii.gov**

**III. Scope of Work**

The scope of work encompasses the following tasks and responsibilities:

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

In a comprehensive manner using the neighborhood place model, the applicant shall conduct family strengthening activities for at-risk youth and families in each geographic area served. These activities are intended to promote the formation, maintenance, strengthening and/or re-unification of the family unit, and specifically address the areas of family and social communication, inter-personal relationships, anger management, problem identification and solving, parenting skills, and social and community responsibility. The PROVIDER shall ensure the allocation of resources for the following core service activities:

1. Intake and assessment of risk, needs, strengths, and competencies on all families referred or self-referred to the neighborhood place.

2. Information and referral to connect youth and families to existing resources and services. (It is not sufficient to provide the information to the families, the provider must also know the resources, both public and private that are available to the families and be willing and able to facilitate the families' access and participation with those services. Assistance may be accomplished by assisting families in making out applications, going with them to appointments, advocating for the families with other providers and other "hands on" activities that will assist the families to access and participate in services and obtain other benefits.)
3. Development of an individualized program plan (IPP) for families being referred from the Department's child protective services (CPS) system that will meet the families' needs and ameliorate the risk of child abuse and neglect. The IPP will identify goals, measurable objectives, milestones or timelines, and specific services to be provided. The IPP shall be mutually agreed to and signed by the client and the PROVIDER'S neighborhood place staff, and, as applicable, it shall be updated semi-annually.
4. Case management for families in accordance with their IPPs including the arrangement of necessary services and monitoring progress.
5. An array of services to prevent child abuse and neglect and divert families from the CPS system that shall include:
  - a. Crisis intervention;
  - b. Informal counseling including but not limited to relationship counseling and anger management;
  - c. Advocacy;
  - d. Education about early childhood development;
  - e. Socialization activities;
  - f. Parenting groups; and
  - g. Parent-child interaction activities.
6. Follow-up contact with families six (6) months after case closure to determine whether these families have remained safe and healthy and whether they are in need of additional neighborhood place services or the more formal CPS services.
7. Referral to CPS of any family a) that is deemed too high risk for abuse or neglect to receive neighborhood place services or b) that has an incident of abuse or neglect during program involvement.
8. Dissemination of information regarding the neighborhood place program and other resources available to strengthen families by means of workshops, trainings, and participation in community activities.
9. Maintain and expand the availability of Neighborhood Place services to communities currently served and to meet service needs identified in the future, to the extent funding and resources become available. These activities are intended to respond to increased needs for family strengthening services that will result from the implementation of the Department's Differential Response

system which will increase the number of families that are referred for Neighborhood Place services in lieu of being involved in the Child Welfare Services system.

10. In addition to direct services the provider will develop enhanced resources for families by providing opportunities to engage the Department and local communities to enhance collaboration and coordination between the Department and Statewide communities. The activities may include but not be limited to those listed below and other opportunities which will assist communities in assessing their capacities and developing community resources to support families, develop networks of resources for families in need, and supporting and expanding the neighborhood places throughout the STATE.

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

### **1. Personnel**

- a. Staff should have the educational qualifications and necessary training to provide the activities requested.
- b. When disagreement between the provider staff and the Department's staff exists in regard to the performance of service activities within contracted specifications, the wishes of the Department of Human Services shall prevail. Failure on the part of the provider to comply shall be deemed cause for corrective action and subject to contractual remedies.
- c. Child related skills and parental life skills and support require staff with bachelor's degree from an accredited institution or equivalent training and experience approved by the Department. Individuals must have had relevant training and experience in working with families who abused or neglected their children.
- d. Counseling activities require staff with bachelor's degree in social work or related field from an accredited institution. The department may grant a waiver for individuals who can document relevant training and/or experience in working with families who abused or neglected their children.
- e. Contract funds may be allowed for use for training costs as they relate to service provision. To the extent possible, training shall be attended on the island of the attendees.

### **2. Administrative**

The provider shall accept only families with children at risk of abuse and neglect who voluntarily request services and those who are referred by the Department of Human Services.

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

This Agreement shall be programmatically and fiscally monitored by the STATE in accordance with requirements set forth by Chapter 103F, Hawaii

Revised Statutes. The STATE shall:

1. Review program services and reports, including but not limited to quarterly reports and other documents requested by the STATE, and issues applicable to the services provided.
2. Review invoices and, if applicable, review, amend, and approve budgets, budget revisions, and expenditure reports as the STATE deems appropriate.
3. Review major program service areas, such as staff qualification, organization, and effectiveness; outcomes planning, implementation, and evaluation; collaboration efforts; file maintenance and record keeping; facility accessibility, suitability, and safety; transportation and other liability issues; and consumer satisfaction.
4. Conduct periodic site visits.
5. The provider must maintain throughout the term of the contract a system of self-appraisal and program evaluation for evaluating the effectiveness of the activities provided. The evaluation process must include tools or instruments to be used to identify client indicators of change, which are relevant to client outcomes and include a process for making improvements or taking corrective action based upon the evaluation findings.

#### **4. Outcome and performance measurements**

Quarterly reports shall be submitted based on outcome and performance measurements specified by the Department.

#### **5. Reporting requirements for program and fiscal data**

##### **a. Required Program Reports:**

Unless otherwise agreed quarterly and year-end program reports shall be submitted in a format specified by the Department in which the PROVIDER summarizes major activities undertaken during the report period. Data to be reported may include but not limited to the number of service units provided, the number of persons served, client lists, outcomes and objectives achieved, problems encountered, recommendations, proposed future activities, and staffing changes.

PROVIDER shall be required to submit Quarterly Activity Reports and Quarterly Expenditure Reports including any other additional reports and information that STATE may reasonably require in any or all of the following ways at the sole discretion of STATE: as an electronic file, on paper, or via an electronic reporting system which may be internet based. PROVIDER may be required to submit electronic files to STATE as attachments to electronic mail. PROVIDER shall be required to abide by

the STATE's confidentiality measures and other procedures in conducting contract related correspondence with STATE via electronic mail.

PROVIDER may be required to utilize an electronic reporting system in other ways as determined by STATE including but not limited to the recording, organizing and maintaining of Quarterly Activity Reports and Quarterly Expenditure Reports on an ongoing and cumulative basis. PROVIDER shall be required to abide by the STATE's confidentiality measures and other procedures in the use and maintenance of an electronic reporting system.

b. Required Fiscal Reports:

- i. Providers will submit invoices in the format specified by the Department.
- ii. Unless otherwise agreed, for cost reimbursement contracts, quarterly and year end reports shall be submitted listing total expenditures of contract funds, contract revenues received and collections and expenditures from program income and other sources of funding.

c. Penalties for Late Reporting

Unless otherwise specified in the contract, quarterly program and fiscal reports are due 30 days after the end of the quarter.

- Payments may be held pending the submission of required reports.
- Payments may be reduced and funding lapsed by 15% when reports are not submitted within 60 days after the end of the quarter.
- If quarterly reports are not submitted within 90 days of the end of the quarter, the PROVIDER will lapse the funding for the quarter for which no report has been received.

The PROVIDER will still be required to maintain the capacity to provide the contracted level of services in spite of the reduced funding.

**6. Pricing or pricing methodology to be used**

The pricing methodology under this Agreement is cost reimbursement where the STATE pays the PROVIDER for budgeted costs per Attachment 3 to this Exhibit "A," as may be revised with approval of the STATE, that are actually incurred in delivering the services specified in this Agreement up to a stated maximum contract amount.

Pricing shall be based on cost reimbursement utilizing the unit rates as specified in #7 below for budgeted costs actually incurred in delivering the agreed upon activities, up to the maximum amount specified in Section 2, paragraph. The provider shall claim units of service according to the

educational background of the provider, rather than the service provided, provided that the family is in need of the service.

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

Unless otherwise proposed and agreed upon with the State, the pricing shall be based on cost reimbursement as indicated below.

- a. The unit rate is \$60.00 per professional hour and shall be commensurate with the educational level of the provider of the activity. A professional staff hour is one hour of service requiring the provider to have masters' degree. Activities requiring a bachelor's degree will be credited and priced at .84 unit of service. Services requiring paraprofessional level staff will be credited and priced at .52 unit of service.
- b. The provider shall propose to deliver units of service in terms of professional staff hours at a master's level as defined above. Included is direct service time provided to clients (including wait time up to 15 minutes for failed home or office visits) as well as collateral contacts such as attendance at case conferences, CWS meetings, multidisciplinary team conferences, attending family Ohana conferences, and court hearings. Travel time related to direct client contact shall be considered a service activity only for the time spent traveling from the designated and approved provider office to the client. Supervisory consultation, report writing, failed office visits, training, and travel time to and from workshops, conferences, meetings, staff home not designated and approved as provider office, or other travel not related to direct client contact are not considered units of services. These are considered administrative functions and their costs are included in the unit rate.
- c. The unit rate may be changed by mutual agreement of the provider and the Department of Human Services.

### **NOTE:**

**Unless otherwise authorized, utilization and expenditures will be periodically reviewed.**

**If program utilization and/or expenditures are low, program funds may be reduced.**

**Providers shall submit a projected billing in April of the final quarter of service provision**

# FORM A - PEOPLE TO BE SERVED

ORGANIZATION: Blueprint for Change

PROGRAM/SERVICE: Neighborhood Place Services

SITE(S): Each Fully Funded Neighborhood Place

Estimated total families to be served in numbers 1 – 3 below at each location: 75

Estimated total number of families that receive information and referral only at each location:  
200

<b>PEOPLE TO BE SERVED</b>	
1. # of families assessed and provided neighborhood place (NP) services that prevent them from entering the DHS child protective services (CPS) system.	
2. # of families assessed and provided NP services upon CPS case closure where the NP services are expected to last 6 months or less (subset of #1).	
3. # of families assessed and provided NP services to prevent child abuse and neglect.	
4. # of families provided information and referral services only.	

# FORM B – SERVICE ACTIVITIES

ORGANIZATION: Blueprint for Change

PROGRAM/SERVICE: Neighborhood Place Services

SITE(S): Each Fully Funded Neighborhood Place

<b>SERVICE ACTIVITIES</b>	
1. # of <u>assessments</u> completed within 30 days of intake that address the strengths, competencies, needs, and risks of families and youths.	
2. # of <u>individualized program plans</u> developed with and agreed to by families within 30 days of intake that identify goals, measurable objectives, milestones or timelines, and specific service activities to be provided.	
3. # of workshops/trainings for families or professionals to increase the knowledge of child abuse and neglect dynamics.	
4. # of community activities in which the NP participates to disseminate information to families or professionals about NP services and other community resources.	

# FORM C - OUTCOMES

ORGANIZATION: Blueprint for Change

PROGRAM/SERVICE: Neighborhood Place Services

SITE(S): Each Fully Funded Neighborhood Place

<b>OUTCOMES</b>	
<b>SERVICES TO STRENGTHEN FAMILIES:</b>	
1. % of families that complete the measurable objectives in their IPPs.	80%
2. % of families not confirmed for child abuse or neglect while in the program.	95%
3. % of families not confirmed for child abuse or neglect within 6 months of NP case closure.	90%
<b>PREVENTION FAMILIES:</b>	
4. % of prevention families not confirmed for child abuse or neglect while in the program.	95%
5. % of prevention families not confirmed for child abuse or neglect within 6 months of NP case closure.	90%

# WORK PLAN FORMAT

## INSTRUCTIONS

The Work Plan format is a comprehensive guide to services provided in this program. It should describe not only what services will be offered but how those services will be provided.

In the following table complete columns B, C, and D where blank. Column B should detail how the requirements in column A will be met. If specific tasks have already been indicated in column B, provide additional information to fully describe how these tasks will be accomplished. The title or position of responsible staff in column C must be consistent with the position titles used elsewhere in the proposal such as in the program organizational chart and the section on staff qualifications. **For direct services staff specified in column C, indicate backup staff to cover for the primary staff person responsible.** Column D pertains to the time line or schedule for completing specific service activities or tasks. It does not pertain to when policies and procedures will be developed or implemented.

As applicable, service activities must be provided in a manner that is consistent with the following principles of family-centered practice:

- Service activities must be comprehensive, coordinated, and collaborative and provided in all designated geographic areas under the contract.
- Service activities must be culturally competent and appropriate and responsive to the strengths, needs, values and preferences of the child and family. They must be delivered in a manner that is respectful of and builds on the strengths of the family, the community, and cultural ties.
- Service activities must address the physical, social, emotional, and educational needs of the child and the family's ability to protect the child.
- Service activities must provide clear and attainable goals and objectives for each participant.
- Service activities must be individualized, addressing the unique capacities and needs of each child and family.
- Service activities must empower families to help themselves and to gain and maintain mastery and control over their ability to protect their children.

**Refer to parts II and III of Section 2, Service Specifications, of the RFP for further information and guidance on specific service activities and tasks.**

**NOTE:** A narrative format may be used instead of the table format below as long as specific tasks, responsible staff, and time line or schedule are addressed for each service activity and program requirement in column A.

**Upon request, the table format below will be e-mailed to applicants. Contact the RFP contact person specified in Section 2, part II.F of the RFP.**

# WORK PLAN FORMAT

Service: Neighborhood Places

RFP #: HMS 301-63

Agency: \_\_\_\_\_

A	B	C	D
SERVICE ACTIVITIES & PROGRAM REQUIREMENTS	SPECIFIC TASKS	TITLE OF RESPONSIBLE STAFF (& BACKUP)	TIME LINE/ SCHEDULE
<p>1. Contract specific policies and procedures for <u>admission</u> and <u>discharge</u> including:</p> <ul style="list-style-type: none"> <li>• Referral;</li> <li>• Intake, &amp; service initiation</li>   <li>• Waiting lists or turn-away policies;</li> <li>• Discharge criteria &amp; process.</li> </ul>			

A <b>SERVICE ACTIVITIES &amp; PROGRAM REQUIREMENTS</b>	B <b>SPECIFIC TASKS</b>	C <b>TITLE OF RESPONSIBLE STAFF (&amp; BACKUP)</b>	D <b>TIME LINE/ SCHEDULE</b>
2. <u>Grievance</u> procedures & <u>dispute resolution</u> for both clients & DHS staff when disagreements arise about actions or decisions of the provider.			

A <b>SERVICE ACTIVITIES &amp; PROGRAM REQUIREMENTS</b>	B <b>SPECIFIC TASKS</b>	C <b>TITLE OF RESPONSIBLE STAFF (&amp; BACKUP)</b>	D <b>TIME LINE/ SCHEDULE</b>
3. <u>Evaluate client progress with credible and tested measurement tools.</u>			

A <b>SERVICE ACTIVITIES &amp; PROGRAM REQUIREMENTS</b>	B <b>SPECIFIC TASKS</b>	C <b>TITLE OF RESPONSIBLE STAFF (&amp; BACKUP)</b>	D <b>TIME LINE/ SCHEDULE</b>
4. <u>Assessment of risk, needs, strengths, and competencies on all families referred.</u>			

A <b>SERVICE ACTIVITIES &amp; PROGRAM REQUIREMENTS</b>	B <b>SPECIFIC TASKS</b>	C <b>TITLE OF RESPONSIBLE STAFF (&amp; BACKUP)</b>	D <b>TIME LINE/ SCHEDULE</b>
5. <u>Information and Referral</u> to connect children and families to existing resources and services.			

A <b>SERVICE ACTIVITIES &amp; PROGRAM REQUIREMENTS</b>	B <b>SPECIFIC TASKS</b>	C <b>TITLE OF RESPONSIBLE STAFF (&amp; BACKUP)</b>	D <b>TIME LINE/ SCHEDULE</b>
6. <u>Development of an individualized program plan. (IPP)</u>			

A <b>SERVICE ACTIVITIES &amp; PROGRAM REQUIREMENTS</b>	B <b>SPECIFIC TASKS</b>	C <b>TITLE OF RESPONSIBLE STAFF (&amp; BACKUP)</b>	D <b>TIME LINE/ SCHEDULE</b>
7. <u>Case Management.</u>			

A <b>SERVICE ACTIVITIES &amp; PROGRAM REQUIREMENTS</b>	B <b>SPECIFIC TASKS</b>	C <b>TITLE OF RESPONSIBLE STAFF (&amp; BACKUP)</b>	D <b>TIME LINE/ SCHEDULE</b>
<p>8. <u>Array of Services to prevent child abuse and neglect and divert families from CPS system:</u></p> <ul style="list-style-type: none"> <li>a. Crisis intervention</li> <li>b. Informal counseling</li> <li>c. Advocacy</li> <li>d. Education about early childhood development</li> <li>e. Socialization activities:</li> <li>f. Parenting groups</li> <li>g. Parent-child interaction activities</li> </ul>			

<b>A</b> <b>SERVICE ACTIVITIES &amp; PROGRAM REQUIREMENTS</b>	<b>B</b> <b>SPECIFIC TASKS</b>	<b>C</b> <b>TITLE OF RESPONSIBLE STAFF (&amp; BACKUP)</b>	<b>D</b> <b>TIME LINE/ SCHEDULE</b>
9. <u>Follow-up contact with families after case closure.</u>			

A <b>SERVICE ACTIVITIES &amp; PROGRAM REQUIREMENTS</b>	B <b>SPECIFIC TASKS</b>	C <b>TITLE OF RESPONSIBLE STAFF (&amp; BACKUP)</b>	D <b>TIME LINE/ SCHEDULE</b>
10. <u>Referral to CWS</u>			

A <b>SERVICE ACTIVITIES &amp; PROGRAM REQUIREMENTS</b>	B <b>SPECIFIC TASKS</b>	C <b>TITLE OF RESPONSIBLE STAFF (&amp; BACKUP)</b>	D <b>TIME LINE/ SCHEDULE</b>
<p>11. <u>Dissemination of information regarding the neighborhood place program</u> and other resources to strengthen families by means of workshops, trainings, and participation in community activities.</p>			

## **Section 3**

# **Proposal Application Instructions**

## Section 3

# Proposal Application Instructions

### General instructions for completing applications:

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

### The Proposal Application comprises the following sections:

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

**a. Program Overview**

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

**b. Experience and Capability (20 points)**

**A. Necessary Skills (4 points)**

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

**B. Experience (6 points)**

The applicant shall provide a **description of projects/contracts** for the most recent two (2) years that are pertinent to the service activities detailed in Section 2, Part III, Scope of Work, of this RFP. The applicant shall include the following information for each project/contract listed:

- Contract/project identification number
- Contracting agency
- Name of contact person, phone number, email address, and mailing address from the contracting agency
- Title of the service or a brief description of the service

This will document that the contract(s) are pertinent to the service activities detailed in this RFP. The State reserves the right to contact references to verify experience.

**C. Quality Assurance and Evaluation (4 points)**

The applicant shall describe its own plans for quality assurance and evaluation, including methodology, instruments, and timelines for the proposed services. The applicant shall describe the agency's internal review process to ensure conformance with contract requirements, provision of Administrative Assurances, adequate accounting practices, accurate case record keeping, accurate tracking of performance/outcome/output measures, adequate maintenance of agency files, and program effectiveness.

**D. Coordination of Services (5 points)**

The applicant shall describe its own plans that demonstrate the capability to coordinate services with other agencies and resources in the community. Refer to the Administrative Assurances in Section 5 Attachment H of the RFP for requirements for the coordination of services.

**E. Facilities (1 points)**

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

**III. Project Organization and Staffing (15 points)**

**A. Staffing**

**1. Proposed Staffing (4 points)**

The applicant shall describe the proposed staffing pattern, client/staff ratio and proposed caseload capacity appropriate for the viability of the services. Refer to RFP Service Specifications Section 2, as applicable. In addition, the applicant shall list the positions for all contract management staff and fiscal staff proposed as part-time or full-time employees under the contract.

**2. Staff Qualifications (4 points)**

The applicant shall provide position descriptions that include the minimum qualifications (including experience) for each staff position budgeted to the program directly or through subcontract including back-up staff for direct service staff. These minimum qualifications must meet the minimum personnel requirements of this RFP. Refer to RFP Service Specifications, Section 2, as applicable.

Position description titles shall match the titles listed on the Program Specific and Organization-Wide charts.

**B. Project Organization**

**1. Supervision and Training (3 points)**

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

**2. Organization Charts (4 points)**

The applicant shall describe in detail its approach and rationale for the structure, functions, and staffing to effectively deliver the proposed service activities and tasks. In addition, the applicant shall provide:

- A. An Organization-Wide chart showing where the proposed program fits within the applicant agency.
- B. A Program Specific organization chart that reflects:
  - 1. The position of each staff budgeted to the proposed program including:
    - a) Title from position descriptions
    - b) Qualification level (e.g. high school diploma, bachelor's degree, master's degree)
    - c) Full-time equivalency (FTE) to the applicant agency and to the program.
    - d) The lines of authority/supervision

Both the "Organization-Wide" and "Program Specific" organization charts shall be attached to the Proposal Application.

#### **IV. Service Delivery (55 points)**

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

The applicant shall address all of the items of the Work Plan in Section 2 of this RFP according to the instructions attached to that Work Plan. Please note that it is not acceptable to simply repeat language in the RFP as you address the specific tasks related to the various service activities.

The applicant shall address in detail the following items which are listed in the Work Plan:

##### **A. Referral and Intake (5 points)**

The applicant shall provide detailed information on its referral and intake process, including, but not limited to:

- 1. How referrals will be received
- 2. How referrals will be processed
- 3. How the client will be notified of the program's response to the referral
- 4. How the department will be notified of the program's response to the referral

##### **B. Assessment and Service Planning with Family (10 points)**

The applicant shall provide detailed information on the process they will use to:

1. Assess client strengths
2. Assess client areas needing improvement or support
3. Inform the client of the disposition of the referral
4. Engage the client and offer services
5. Involve the client in service planning
6. Determine practical service outcomes
7. Develop and implement an individualized program service plan

**C. Direct Service Provision (25 points)**

The applicant shall provide a **detailed, comprehensive, and practical** plan for delivery of services to the client, based on the assessment and individualized program service plan.

**D. Coordination with DHS (10 points)**

The applicant shall provide a detailed explanation of how the program will work with the department to establish:

1. Agreed upon services
2. Common service goals
3. Outcomes for the client

**E. Quality assurance, Grievance and Dispute Resolution Procedures (5 points)**

The applicant shall provide a plan to ensure consistent delivery of quality services and a process to positively address potential disputes between program and DHS staff who share clients.

**V. Financial (10 points)**

**A. Pricing Structure (8 points)**

1. Applicant shall submit a cost reimbursement proposal which utilizes the pricing structure designated by the state purchasing agency in Section 2, Service Specifications, Compensation and Method of Payment and which fully supports the scope of services. Applicant shall submit all the required budget information and forms listed in section 3 of this RFP. (2 points)

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

SPO-H-205:	Budget
SPO-H-206A:	Personnel – Salaries and Wages <i>Must Include All Scheduled Pay Raises</i>
SPO-H-206B:	Personnel – Taxes, Assessments, Fringe
SPO-H-206C:	Inter-Island Travel
SPO-H-206E:	Contractual Services – Administrative
SPO-H-206F:	Contractual Services – Subcontracts
SPO-H-206H:	Program Activities
SPO-H-206I:	Equipment Purchases
SPO-H-206J	Motor Vehicle

Applicant shall be advised for budgeting purposes that there are insurance requirements and auditing requirements under this contract. See the Insurance Requirements, General Conditions and Special Conditions of the Contract located in Section 5 of this RFP for details.

2. Applicant shall provide a detailed, clear, logical, and practical budget for the overall costs specifically expended to support this service and this budget reflects reasonable costs. (3 points)
3. Applicant shall provide a clear budget for the administrative costs, not to exceed 15% of the annual funding amount and provide a justification for the administrative costs. (1 point)
4. Applicant's budget shall provide reasonable personnel and non-personnel costs which are comparable to those costs in the community. (2 points)

Note: AWARDEES ONLY may be asked to submit additional budget forms at a later date as part of the contracting process including but not limited to:

SPO-H-205A:	Organization-Wide Budget by Source of Funds
SPO-H-205B:	Organization-Wide Budget by Programs
SPO-H-206G:	Depreciation (as applicable)

## **B. Other Financial Related Materials**

### **1. Accounting System (2 points)**

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 (to be attached):

- a. The applicant shall submit the most recent Financial Audit including any management letters that accompanied that audit.
- b. The applicant shall submit a cost allocation plan which demonstrates the applicant's expenditures are allocated based on a plan that is reasonable, appropriate, and lawful.

## **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

### **B. Administrative Assurances**

The applicant shall sign and attach a copy of the Administrative Assurances that are found in Section 5, Attachment H, of this RFP.

## **Section 4**

# **Proposal Evaluation**

# Section 4

## Proposal Evaluation

### I. Introduction

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

### II. Evaluation Process

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

The evaluation will be conducted in three phases as follows:

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

#### Evaluation Categories

#### Possible Points

##### *Administrative Requirements*

##### *Proposal Application*

Program Overview	0 points
Experience and Capability	20 points
Project Organization and Staffing	15 points
Service Delivery	55 points
Financial	10 Points

**100 Points**

**TOTAL POSSIBLE POINTS**

**100 Points**

### **III. Evaluation Criteria**

#### **A. Phase 1 - Evaluation of Proposal Requirements**

##### **1. Administrative Requirements**

- a. Proposal Application Checklist
- b. Tax Clearance certificate
- c. Administrative Assurances

##### **2. Proposal Application Requirements**

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

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

**Program Overview:** No points are assigned to Program Overview. The intent is to give the applicant an opportunity to orient evaluators as to the service(s) being offered. The applicant shall highlight the agency's mission and vision, as well as the goals and objectives of the proposed service activities relative to the assessed needs and available resources of the target population and geographic coverage of service.

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

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

- A. Necessary Skills**
- The applicant has demonstrated skills, abilities, and knowledge relating to the delivery of the proposed services. 4 points
- B. Experience**
- The applicant has listed all required information that demonstrates two(2) years of experience pertinent to the service activities detailed in this RFP. 4 points
  - The references listed confirm the provider has delivered services pertinent to the service activities detailed in this RFP. 1 point
  - The applicant has included the following information for each contract/project listed:
    - 1)Contract/project identification number
    - 2)Contracting Agency
    - 3)Name of contact person, phone number, email address, and mailing address from contracting agency,
    - 4)Title of service or a brief description of the service1 point
- C. Quality Assurance and Evaluation**
- The applicant has fully described and has demonstrated sufficiency of quality assurance and evaluation plans for the proposed services, including methodology, instruments, and timelines for proposed services. 4 points
- D. Coordination of Services**
- The applicant has provided a plan to coordinate services that includes pertinent items listed in the Administrative Assurances. 2 points
  - The applicant has demonstrated the capability to coordinate services with other agencies and resources in the community. 3 points
- E. Facilities**
- The applicant has provided information that demonstrates adequacy of facilities relative to the proposed services. This includes but is not limited to the following: physical address, appropriateness in relation to proposed services, facility meeting ADA requirements as applicable, and detailed plans to secure facilities if applicable. 1 point

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

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

**A. Staffing**

- Proposed Staffing: The proposed staffing pattern, percentage of FTE allocated to the program for each position, number of positions, client/staff ratio, and proposed caseload capacity *are* described and are appropriate and reasonable for the viability of the services. 4 points
- Staff Qualifications: The proposed minimum qualifications (including experience) for staff and subcontractor assigned to the program are described and are sufficient to ensure quality program/service delivery. Position descriptions are attached. 3 points
- Consistency of Titles: The applicant's position titles in the Program Specific and Organization-Wide charts match titles in position descriptions. 1 point

**B. Project Organization**

- Supervision and Training: The applicant has described and demonstrated the ability to supervise, train and provide administrative direction to staff relative to the delivery of the proposed services. 3 points
- Organization Charts: The applicant has detailed the approach and rationale for the structure, functions, and staffing of the proposed organization for the overall service activity and tasks. In addition the applicant has provided the following information:

1. An Organization-Wide chart showing where the proposed program fits within the applicant agency.

2. A Program Specific chart that reflects all of the following:

- a) Each position budgeted to the program including:
    - Title from the position description,
    - Qualification level (e.g. HS diploma, bachelor's degree, master's degree)
    - Full-time equivalency
    - The lines of authority and supervision
- 4 points

### 3. Service Delivery (55 Points)

Evaluation criteria for this section will assess the applicant's approach to the service activities and management requirements outlined in this request for proposal.

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 practicality of the timelines and schedules, as applicable.

- Referral and Intake 5 points
- Assessment and Service Planning with Family 10 points
- Direct Service Provision 25 points
- Coordination with DHS 10 points
- Quality Assurance, Grievance, & Dispute Resolution 5 points

### 4. Financial (10 Points)

The applicant has submitted a cost reimbursement proposal which utilizes the pricing structure designated by the state purchasing agency in Section 2, Service Specifications, Compensation and Method of Payment and which fully supports the scope of services. Applicant shall submit all the required budget information and forms listed in Section 3 of this RFP.

2 points

Applicant has provided a detailed, clear, logical, and practical budget for the overall costs specifically expended to support this service and this budget reflects reasonable costs.

3 points

The applicant has provided a clear budget for the administrative costs **not to exceed 15%** of the annual funding amount and provide a justification for the administrative costs.

1 point

Applicant's budget has provided reasonable personnel and non-personnel costs which are comparable to those costs in the community.

2 points

The applicant has submitted the most recent financial audit and a cost allocation plan which demonstrates the applicant's expenditures are allocated based on a plan that is reasonable, appropriate and lawful.

2 points

### **C. Phase 3 - Recommendation for Award**

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

# Section 5

## Attachments

- A. Proposal Application Checklist
- B. Sample Proposal Application Table of Contents
- C. Proposal Application Identification Form (SPO-H-200)
- D. Insurance Requirements (Excerpts from Contract)
- E. Criminal Conviction Record Check Standards and Protective Services Central Registry Standards (Forms To Be Included With Contract)
- F. General Conditions
- G. Special Conditions
- H. Administrative Assurances

**ATTACHMENT A**

**PROPOSAL APPLICATION CHECKLIST**

## Proposal Application Checklist

Applicant: \_\_\_\_\_ RFP No.: \_\_\_\_\_

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

Item	Reference in RFP	Format/Instructions Provided	Required by Purchasing Agency	Completed by Applicant
<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>	
Tax Clearance Certificate (Form A-6)	Section 1, RFP	Dept. of Taxation Website (Link on SPO website)*	<b>X</b>	
Cost Proposal (Budget)			<b>X</b>	
SPO-H-205	Section 3, RFP	SPO Website*	<b>X</b>	
SPO-H-205A	Section 3, RFP	SPO Website* Special Instructions are in Section 5	<b>N/A</b>	
SPO-H-205B	Section 3, RFP,	SPO Website* Special Instructions are in Section 5	<b>N/A</b>	
SPO-H-206A	Section 3, RFP	SPO Website*	<b>X</b>	
SPO-H-206B	Section 3, RFP	SPO Website*	<b>X</b>	
SPO-H-206C	Section 3, RFP	SPO Website*	<b>X</b>	
SPO-H-206D	Section 3, RFP	SPO Website*	<b>N/A</b>	
SPO-H-206E	Section 3, RFP	SPO Website*	<b>X</b>	
SPO-H-206F	Section 3, RFP	SPO Website*	<b>X</b>	
SPO-H-206G	Section 3, RFP	SPO Website*	<b>X</b>	
SPO-H-206H	Section 3, RFP	SPO Website*	<b>X</b>	
SPO-H-206I	Section 3, RFP	SPO Website*	<b>X</b>	
SPO-H-206J	Section 3, RFP	SPO Website*	<b>X</b>	
<b>Certifications:</b>				
<b>Federal Certifications</b>				
Debarment & Suspension		Section 5, RFP	<b>N/A</b>	
Drug Free Workplace		Section 5, RFP	<b>N/A</b>	
Lobbying		Section 5, RFP	<b>N/A</b>	
Program Fraud Civil Remedies Act		Section 5, RFP	<b>N/A</b>	
Environmental Tobacco Smoke		Section 5, RFP	<b>N/A</b>	
<b>Program Specific Requirements:</b>				
Administrative Assurances	Section 3, RFP	Section 5, RFP	<b>X</b>	

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

\_\_\_\_\_  
Date

**ATTACHMENT B**

**SAMPLE PROPOSAL APPLICATION TABLE OF  
CONTENTS**

**SAMPLE Proposal Application  
Table of Contents**

**I. Program Overview.....1**

**II. Experience and Capability .....1**

**A. Necessary Skills .....2**

**B. Experience.....4**

**C. Quality Assurance and Evaluation.....5**

**D. Coordination of Services.....6**

**E. Facilities.....6**

**III. Project Organization and Staffing .....7**

**A. Staffing.....7**

        1. Proposed Staffing.....7

        2. Staff Qualifications .....9

**B. Project Organization .....10**

        1. Supervision and Training.....10

        2. Organization Chart (Program & Organization-wide)  
            (See Attachments for Organization Charts)

**IV. Service Delivery.....12**

**V. Financial.....20**  
    See Attachments for Cost Proposal

**VI. Litigation.....20**

**VII. Attachments**

**A. Cost Proposal**  
        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. Other Financial Related Materials**  
        Financial Audit for fiscal year ended June 30, 1996

**C. Organization Chart**  
        Program  
        Organization-wide

**D. Performance and Output Measurement Tables**  
        Table A  
        Table B  
        Table C

**E. Program Specific Requirements**

## ATTACHMENT C

### PROPOSAL APPLICATION IDENTIFICATION FORM (SPO-H-200)

**This form may be accessed from the State Procurement Office website at <http://www.spo.hawaii.gov>. Click *Health and Human Services Chapter 103F, HRS Procurements*. Then in the *Quicklinks* box click on *Forms and Instructions...***

# **ATTACHMENT D**

## **INSURANCE REQUIREMENTS (EXCERPTS FROM CONTRACT)**

# **INSURANCE REQUIREMENTS (EXCERPTS FROM CONTRACT)**

Unless otherwise indicated, the following insurance coverages are contractually required by DHS of its POS Providers:

## 1. GENERAL LIABILITY INSURANCE

The PROVIDER shall obtain, maintain, and keep in force throughout the period of this Agreement liability insurance (the “Liability Insurance”) issued by an insurance company in a combined amount of at least TWO MILLION AND NO/100 DOLLARS (\$2,000,000.00), or such lesser amount requested in writing by the PROVIDER, and, for good cause shown, approved by the head of the purchasing agency, which approval, of any, is incorporated herein by reference, for bodily injury and property damage liability arising out to each occurrence. The commercial general liability insurance as required in Section 1.4 of the General Conditions shall be **Occurrence Based**.

The Liability Insurance shall provide that is the primary insurance for the State of Hawaii, the purchasing agency, and their officers, employees, and agents for any liability arising out of or resulting from occurrences connected with the PROVIDER’S performance under this Agreement. Prior to or upon execution of this Agreement, the PROVIDER shall obtain a certificate of insurance verifying the existence of the necessary liability insurance coverage, including the coverage of the State of Hawaii, and its officers, employees, and agents. If the scheduled expiration date of the liability insurance policy is earlier than the expiration date of the time for performance under this Agreement, the PROVIDER, upon renewal of the policy, shall promptly cause to be provided to the STATE an updated certificate of insurance. The certificates of insurance shall expressly provide that the insurance policy shall not be cancelled unless the insurance company has first given to the STATE thirty (30) calendar days’ written notice of the intended cancellation.

## 2. AUTOMOBILE LIABILITY INSURANCE

Automobile liability insurance as applicable for automobiles owned or leased by PROVIDER and used to carry out services specified in this Agreement shall be obtained from a company authorized to do business in the State of Hawaii, or meet Section 431:8-301, Hawaii Revised Statutes, if utilizing an insurance company not licensed by the State of Hawaii and complying with the Hawaii No Fault Insurance Law. The amount shall be at least THREE HUNDRED THOUSAND AND NO/100 DOLLARS (\$300,000.00) each person with respect to bodily injury and FIFTY THOUSAND AND NO/100 DOLLARS (\$50,000.00) each occurrence with respect to property damage. Prior to or upon execution of this Agreement, PROVIDER shall furnish STATE with a Certificate of Insurance verifying the existence of such insurance. Such certificate shall also contain an endorsement that such insurance may not be cancelled, except upon thirty (30) calendar days written notice to STATE.

If the PROVIDER'S employees are required to use personally owned automobiles to transport clients in order to carry out services specified in this Agreement, PROVIDER shall require said employees to have a valid driver's license and to use only vehicles for which there is automobile liability coverage of at least ONE HUNDRED THOUSAND AND NO/100 DOLLARS (\$100,000.00) each person with respect to bodily injury and THIRTY THOUSAND AND NO/100 DOLLARS (\$30,000.00) each occurrence with respect to property damage.

If the PROVIDER'S employees are required to use personally owned automobiles to carry out services specified in this Agreement exclusive of transporting clients, PROVIDER shall require said employees to have a valid driver's license and to use only vehicles with at least minimum no-fault coverage required by law.

3. ERRORS AND OMISSIONS (PROFESSIONAL) LIABILITY INSURANCE

As applicable for professional staff, errors and omissions liability insurance issued by a company authorized to do business in the State of Hawaii, or meet Section 431:8-301, Hawaii Revised Statutes, if utilizing an insurance company not licensed by the State of Hawaii, in a total aggregate amount that will pay up to ONE MILLION AND NO/100 DOLLARS (\$1,000,000.00) per occurrence. Prior to or upon execution of this Agreement, PROVIDER shall furnish STATE with a Certificate of Insurance, verifying the existence of such insurance. Such certificate shall also contain an endorsement that such insurance may not be cancelled except upon thirty (30) calendar days written notice to STATE.

Failure of PROVIDER to provide and keep in force such insurance shall be regarded as failure to provide the required services adequately or satisfactorily, entitling STATE to exercise any or all of the remedies provided in this Agreement.

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

# **ATTACHMENT E**

## **CRIMINAL CONVICTION RECORD CHECK STANDARDS (Revised 10/3/2008)**

## **PROTECTIVE SERVICES CENTRAL REGISTRY STANDARDS (Revised 10/3/2008)**

DEPARTMENT OF HUMAN SERVICES  
Social Services Division

CRIMINAL HISTORY RECORD CHECK STANDARDS

I. PURPOSE

To protect the health, safety and welfare of Adult and Community Care Services Branch (ACCSB) and Child Welfare Service Branch (CWSB) clients, criminal history information on an individual who wishes to serve as a direct service provider shall be considered in determining whether the individual is suitable to serve as a direct service provider to ACCSB/CWSB clients.

II. STATE CRIMINAL INFORMATION SYSTEM CHECK

- A. Upon implementation of these standards, a check of the Criminal Justice Information System (CJIS) and the Federal Bureau of Investigation (FBI) data system for a criminal history record check shall be conducted when an individual is:
1. Conditionally offered a position as a direct service provider by an agency, purchase of service contractor, or individual employer. Pending the completion of the criminal history record check, the individual may be placed in a direct service provider position on a probationary status not to exceed thirty (30) days;
  2. In a direct service provider position when these standards become effective. The criminal history record check shall be completed within six (6) months of the effective date of these standards.
- B. The criminal history record check shall include the submission of fingerprints to the FBI and the CJIS for a State criminal history record check.
- C. Individuals shall have a criminal history record check upon initial hire or implementation of these standards and a second criminal history record check twelve months later. Thereafter, State name checks shall be conducted every other year.
- D. The responsibility for conducting a criminal history record check shall rest with the individual seeking to become a direct service provider or the individual/agency/organization hiring the individual as a direct service provider.
- E. The criminal history record checks shall be conducted through:
1. For ACCSB providers: The Department of Human Services (DHS) designee contracted to fingerprint individuals and to submit information to and receive information from the FBI and CJIS. The individual shall complete, sign and date the DHS 1645, "Authorization for Criminal

History Record Clearance”, and submit the completed form to the DHS designee;

2. For ACCSB and CWSB providers: State name checks are to be obtained from the Hawaii Criminal Justice Data Center (HCJDC) website: (<http://ecrim.ehawaii.gov/ahewa/>). Individuals who do not have access to a computer may request information from the following:

**Oahu:** Hawaii Criminal Justice Data Center  
465 South King Street, Room 101  
Honolulu, Hawaii 96813

The Oahu office, for an additional fee, will process mailed-in requests for criminal history records checks.

**Neighbor Islands:** County police stations where HCJDC computer terminals are available. Molokai and Lanai are covered through the main police station on Maui.

- F. When name checks into the State name inquiry system are required for employment, a printed report of each name record check accompanied by a signed Statement of Authenticity that the criminal history record report is a true and unaltered copy shall be retained in the hired individual’s personnel file and made available for review by DHS staff or its designee for compliance monitoring purposes.
- G. Fingerprint results and/or a printed name check in the State criminal history records, dated no more than six (6) months before the date an initial criminal history record check is required, may be accepted instead of a new criminal history record check being performed.
- H. DHS shall not be directly responsible for any cost related to the criminal history record check. Funds received through a Purchase of Service contract with DHS for administrative costs may be used to meet the cost for criminal history record checks.

### III. CONVICTION RECORDS IN HIRING AND TERMINATING DIRECT SERVICE PROVIDERS

Information contained in criminal history record check reports shall be taken into consideration when hiring and terminating individuals as direct service providers. An offer of employment shall be withdrawn or the position of a direct service provider shall be terminated when a prospective or current direct service provider has a criminal history as indicated below:

- A. The criminal conviction shall have occurred within ten (10) years of the date of the criminal history record check. A criminal conviction occurring more than ten (10) years prior to the date of the criminal history record check may be considered when the criminal history of the individual may pose a risk to the health, welfare and safety of service recipients ; and
- B. The crime for which there is a conviction shall have a rational relationship to the direct service provider's position. Rational relationship means the crime for which there is a history is substantially related to the qualifications, duties and responsibilities of the direct service provider position. Crimes having rational relationships to direct service provider positions include any felony, including but not limited to theft, abuse, neglect, assault, or crimes involving violence or sexual offenses.
- C. Exemptions from the requirements of sections III. A. and B. may be approved for ACCSB providers by the DHS designee and for CWSB providers by the CWSB.
1. Requests for exemptions shall be made in writing by using form DHS 1673, "Request for Exemption (From Criminal History Records Check Standards or Protective Services Central Registry Check Standards)", or a similar form. The individual seeking the exemption must complete the DHS 1673 or similar form. A copy of the individual's current results of a name inquiry into the State criminal history records check must accompany the request. Fingerprint results for ACCSB providers should already be on file with the DHS designee.
  2. The "Checklist for Exemption Request" may be used as a reminder of the documents to be submitted for EACH exemption request. All documents shall be submitted to the DHS designee or CWSB.
  3. Unless an individual is self-employed, the employer agency must be involved in the exemption process to assure the timely submittal of all required documents and appropriateness of the exemption request. Requests for exemptions shall be routed through the prospective employer agency prior to submittal to the Department or its designee.
  4. **For ACCSB Providers:** All documents shall be submitted to the DHS designee. Upon receipt of the written exemption request and other required documents listed on the "Checklist for Exemption Request", the DHS designee shall convene a panel consisting of three (3) professional level multi-disciplinary team members to review the request. The panel shall include individuals in at least two different professions with backgrounds in criminal justice, legal and/or the therapeutic mental health field.
  5. **For CWSB Providers:** All documents shall be submitted to the CWSB Administrator. Upon receipt of the written exemption request and other required documents listed on the "Checklist for Exemption Request", the CWSB Administrator shall convene a panel to review the request. The panel may include the CWSB Administrator or designee, the CWSB Program Development Administrator, relevant CWSB Assistant Program

and Section Administrators, and anyone else deemed appropriate by the CWSB Administrator or designee.

6. The exemption panel shall consider the following:
  - a. The relevancy of the individual's conviction record to the qualifications, functions and duties of the direct service provider position the individual wishes to fill;
  - b. Passage of time since the crime was committed; and
  - c. Any evidence of rehabilitation, such as letters from counselors or therapists attesting to a sustained improvement in the individual's behavior, character references, and activities since conviction, such as employment.
7. A single factor may not be evidence of rehabilitation. If necessary, the panel shall request additional information from the individual seeking the exemption.
8. Individuals requesting exemptions shall be informed in writing of the panel's decision within 45 calendar days from the date the panel receives all documents needed for a decision to be made. The panel may extend the 45-day period with cause and a written explanation to the individual seeking the exemption.
9. Individuals who are dissatisfied with the panel decisions on their exemption requests may:
  - a. Request an informal discussion with the ACCSB/CWSB Administrator; and/or
  - b. Appeal the panel's decision to the Social Service Division Administrator.

- D. ACCSB clients may choose not to conduct criminal history record checks on individuals they hire on their own. Clients who choose not to have criminal history record checks shall complete form DHS 1672, "Consumer-Employer Choice Regarding Criminal History Record Check and Adult Protective Services (APS) Central Registry Check", to acknowledge their understanding of these standards and the purpose for the checks, and their decision not to conduct criminal history record checks or APS Central Registry checks on individuals they plan to hire as direct service providers.

#### Attachments

DHS 1645 with instructions  
DHS 1672 with instructions  
DHS 1673 with instructions  
Statement of Authenticity  
Checklist for Exemption Request

DEPARTMENT OF HUMAN SERVICES  
Social Services Division

PROTECTIVE SERVICES  
CENTRAL REGISTRY CHECK STANDARDS

I. PURPOSE

To protect the health, safety and welfare of Adult and Community Care Services Branch (ACCSB) and Child Welfare Services Branch (CWSB) clients, Protective Services Central Registry information on an individual who wishes to serve as a direct service provider shall be considered in determining whether the individual is suitable to serve as a direct service provider to ACCSB/CWSB clients.

The Protective Services Central Registry may include information from the Adult Protective Services (APS) Central Registry and the Child Welfare Services (CWS) Central Registry. The APS Central Registry shall be checked for individuals serving as direct service providers for ACCSB clients. The CWS Central Registry shall be checked for individuals serving as direct service providers for CWSB clients. Both Registries shall be checked for individuals serving as direct service providers for both ACCSB and CWSB clients, and for ACCSB clients who are minor children.

These Protective Services Central Registry Check Standards do not apply to direct service providers who must meet the licensing standards as specified in the Child-Caring Institution and/or Child-Placing Organization administrative rules.

II. PROTECTIVE SERVICES CENTRAL REGISTRY CHECK

- A. Upon implementation of these standards, a check of the Protective Services Central Registry shall be conducted when an individual is:
1. Conditionally offered a position as a direct service provider by an agency, purchase of service contractor, or individual employer. Pending the completion of the Protective Services Central Registry check, the individual may be placed in a direct service provider position on a probationary status not to exceed thirty (30) days; or
  2. In a direct service provider position when these standards become effective. The Protective Services Central Registry check shall be completed within six (6) months of the effective date of these standards.
- B. Individuals shall have a Protective Services Central Registry check upon initial hire or implementation of these standards and a second Protective Services Central Registry check twelve (12) months later. Thereafter, Protective Services Central Registry checks shall be conducted every other year.

- C. The Department of Human Services or its designee is responsible for conducting the Protective Services Central Registry checks upon request of the individual seeking to become a direct service provider.
1. **For ACCSB Direct Service Providers:** The individual shall sign and date form DHS 1507, “Authorization to Release Information from the Protective Services Central Registry, Adult & Community Care Services Branch”, and mail (not fax) the completed form to:  
Insights to Success, Inc  
1132 Bishop Street, Suite 2401  
Honolulu, Hawaii 96813
  2. **For CWSB Direct Service Providers:** The individual shall sign and date the “Child Protective Service System Central Registry Clearance Form – Experimental (2/06)” and mail (not fax) the completed form to:  
Child Welfare Services Branch  
Statewide Child Welfare Services Section  
420 Waiakamilo Road, Suite 300A  
Honolulu, Hawaii 96817  
Phone: (808) 832-0624

The release of information by the Department of Human Services or its designee shall be limited to the following:

**APS CENTRAL REGISTRY CHECK**

- Notification of whether the individual requesting the information is known to the Department of Human Services to have caused the abuse of a dependent adult; and
- Notification of whether the allegation of abuse is confirmed or not confirmed.

**CWS CENTRAL REGISTRY CHECK**

- Date of CONFIRMED incident(s) of child abuse or neglect; and
- Type of abuse for each incident.

- D. Upon completion of the Protective Services Central Registry check, the Department of Human Services or its designee shall mail a letter to the individual requesting the information or to the agency/organization identified by the individual to receive the information. A copy of each Protective Services Central Registry check shall be retained in the hired individual’s personnel file and made available for review by Department staff for compliance monitoring purposes.
- E. A copy of a Protective Services Central Registry check, dated no more than six (6) months before the date an initial Protective Services Central Registry check is required, may be accepted instead of a new Protective Services Central Registry check being performed.

### III. PROTECTIVE SERVICES CENTRAL REGISTRY CHECKS IN HIRING AND TERMINATING DIRECT SERVICE PROVIDERS

When the Protective Services Central Registry check indicates that abuse has been confirmed, the individual/agency/organization hiring the individual as a direct service provider must inquire of that individual as to the nature and circumstance of the confirmed abuse. Information obtained by the individual/agency/organization from the Protective Services Central Registry check shall be taken into consideration when hiring and terminating individuals as direct service providers. An offer of employment shall be withdrawn or the position of a direct service provider shall be terminated when:

- A. A prospective or current direct service provider has a Protective Services Central Registry check indicating that abuse was confirmed and that the abuse occurred within ten (10) years of the date of the Protective Services Central Registry check. A confirmation of abuse occurring more than ten (10) years of the date of the Protective Service Central Registry check may be considered when the abuse confirmation history of the individual may pose a risk to the health, welfare and safety of service recipients; and
- B. The confirmed abuse has a rational relationship to a direct service provider's position. Rational relationship means the confirmed abuse is substantially related to the qualifications, duties and responsibilities of a direct service provider position.
- C. Exemptions from the requirements of sections III. A. and B. may be approved for ACCSB providers by the DHS designee and for CWSB providers by the CWSB.
  1. Requests for exemptions shall be made in writing by using form DHS 1673, "Request for Exemption (From Criminal Conviction Records Check Standards or Protective Services Central Registry Check Standards)", or a similar form. The individual seeking the exemption must complete the DHS 1673 or similar form. A copy of the individual's current Protective Services Central Registry check must accompany the request.
  2. The "Checklist for Exemption Request" may be used as a reminder of the documents to be submitted for EACH exemption request.
  3. The employer agency must be involved in the exemption process to assure the timely submittal of all required documents and appropriateness of the exemption request. Requests for exemptions shall be routed through the prospective employer agency prior to submittal to the Department or its designee.
  4. **For ACCSB Providers:** All documents shall be submitted to the DHS designee. Upon receipt of the written exemption request and other required documents listed on the "Checklist for Exemption Request", the DHS designee shall convene a panel consisting of three (3) professional level multi-disciplinary team members to review the request. The panel shall include individuals in at least two different professions with backgrounds in criminal justice, legal and/or the therapeutic mental health field.

5. **For CWSB Providers:** All documents shall be submitted to the CWSB Administrator. Upon receipt of the written exemption request and other required documents listed on the “Checklist for Exemption Request”, the CWSB Administrator shall convene a panel to review the request. The panel may include the CWSB Administrator or designee, the CWSB Program Development Administrator, relevant CWSB Assistant Program and Section Administrators, and anyone else deemed appropriate by the CWSB Administrator or designee.
  6. The panel shall consider the following:
    - a. The relevancy of the individual’s protective services history to the qualifications, functions and duties of the direct service provider position the individual wishes to fill;
    - b. Passage of time since the abuse was committed; and
    - c. Any evidence of rehabilitation, such as letters from counselors or therapists attesting to a sustained improvement in the individual’s behavior, character references, and activities since the commission of abuse.
  7. A single factor may not be evidence of rehabilitation. If necessary, the panel shall request additional information from the individual seeking the exemption.
  8. Individuals requesting exemptions shall be informed in writing of the panel’s decision within 45 calendar days from the date the panel receives all documents needed for a decision to be made. The panel may extend the 45-day period with cause and a written explanation to the individual seeking the exemption.
  9. Individuals who are dissatisfied with the panel decisions on their exemption requests may:
    - a. Request an informal discussion with the ACCSB/CWSB Administrator; and/or
    - b. Appeal the panel’s decision to the Social Services Division Administrator.
- D. ACCSB clients may choose not to do APS Central Registry checks on individuals they hire on their own. Clients who choose not to have APS Central Registry checks shall complete form DHS 1672, “Consumer-Employer Choice Regarding Criminal Conviction Record Check and Adult Protective Services (APS) Central Registry Check”, to acknowledge their understanding of these standards and the purpose for the checks, and their decision not to conduct criminal conviction record or APS Central Registry checks on the individuals they plan to hire as direct service providers.

Attachments:

DHS 1507 with instructions

CPS System Central Registry Clearance Form – Experimental (2/06) with instructions

DHS 1672 with instructions

DHS 1673 with instructions

Checklist for Exemption Request

# ATTACHMENT F

## GENERAL CONDITIONS

**The General Conditions may be accessed from the State Procurement Office website at <http://www.spo.hawaii.gov>. Click *Health and Human Services Chapter 103F, HRS Procurements*. Then in the *Quicklinks* box click on *Forms and Instructions...* Then scroll down and click *Contract Template – General Conditions* .**

**ATTACHMENT G**  
**SPECIAL CONDITIONS**

# SPECIAL CONDITIONS

1. **Failure to Deliver.** In addition to Section 3.5, Personnel Requirements, and Section 4.2, Termination in General, of Exhibit “D”, the General Conditions, the PROVIDER further agrees to the following: the inability of PROVIDER to provide the necessary personnel shall not be an acceptable reason for failure to complete the services required. Failure to complete any part of the services contained in Exhibit “A”, Scope of Services, and any attachments to Exhibit “A” as applicable, shall be deemed to be a failure to provide the required services adequately or satisfactorily, entitling STATE to terminate this Agreement. The service shall not be deemed delivered or performance completed until all elements of each service are delivered or completed and accepted by STATE.
  
2. **Insurance.** In addition to Section 1.4 of the General Conditions, Exhibit “D”, in order to protect PROVIDER as well as the State of Hawaii and their officers, employees, and agents covered under the indemnification provision in this Agreement, PROVIDER shall obtain and keep in force throughout the period of this Agreement the following insurance:
  - a. Automobile liability insurance as applicable, for automobiles owned or leased by PROVIDER and used to carry out services specified in this Agreement, shall be obtained from a company authorized to do business in the State of Hawaii, or meet Section 431:8-301, Hawaii Revised Statutes, if utilizing an insurance company not licensed by the State of Hawaii and complying with the Hawaii No Fault Insurance Law. The amount shall be at least THREE HUNDRED THOUSAND AND NO/100 DOLLARS (\$300,000.00) each person with respect to bodily injury and FIFTY THOUSAND AND NO/100 DOLLARS (\$50,000.00) each occurrence with respect to property damage. Prior to or upon execution of this Agreement, PROVIDER shall furnish STATE with a Certificate of Insurance verifying the existence of such insurance. Such certificate shall also contain an endorsement that such insurance may not be cancelled except upon thirty (30) calendar days written notice to STATE.

If the PROVIDER’S employees are required to use personally owned automobiles to transport clients in order to carry out services specified in this Agreement, PROVIDER shall require said employees to have a valid driver’s license and to use only vehicles for which there is automobile liability coverage of at least ONE HUNDRED THOUSAND AND NO/100 DOLLARS (\$100,000.00) each person with respect to bodily injury and THIRTY THOUSAND AND NO/100 DOLLARS (\$30,000.00) each occurrence with respect to property damage.

If the PROVIDER’S employees are required to use personally owned automobiles to carry out services specified in this Agreement exclusive of transporting clients, PROVIDER shall require said employees to have a valid driver’s license and to use only vehicles with at least minimum no-fault coverage required by law.
  - b. Errors and omissions liability insurance issued by a company authorized to do business in the State of Hawaii, or meet Section 431:8-301, Hawaii Revised Statutes, if utilizing an insurance company not licensed by the State of Hawaii, in

a total aggregate amount that will pay up to ONE MILLION AND NO/100 DOLLARS (\$1,000,000.00) per occurrence. Prior to or upon execution of this AGREEMENT, PROVIDER shall furnish STATE with a Certificate of Insurance, verifying the existence of such insurance. Such certificate shall also contain an endorsement that such insurance may not be cancelled except upon thirty (30) calendar days written notice to STATE.

- c. The commercial general liability insurance as required in Section 1.4 of the General Conditions shall be **Occurrence Based.**

The certificates of insurance shall expressly provide that the insurance policies shall not be cancelled unless the insurance company has first given the STATE thirty (30) calendar days written notice of the intended cancellations. If such prior notice is not given by the insurance company, it will be the responsibility of the PROVIDER to provide such notice to the STATE.

Failure of PROVIDER to provide and keep in force such insurance shall be regarded as failure to provide the required services adequately or satisfactorily, entitling STATE to exercise any or all of the remedies provided in this Agreement.

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

- 3. **Notice.** Any notice, bill, invoice, report, request, correspondence, approval, communication or demand that either party desires or is required by this Agreement to give the other party shall be in writing and either served personally or sent through the United States Postal Service by pre-paid first class mail to the addresses noted below. Either party may change its address by notifying the other party of the change in address in writing. Notices of the change in address shall be deemed communicated within forty-eight (48) hours from the time of mailing if mailed as provided in this paragraph.

**STATE:**        **Department of Human Services  
Social Services Division  
Support Services Office  
Purchase of Services Unit  
810 Richards Street, Suite 501  
Honolulu, Hawaii 96813**

**PROVIDER:**

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Address: \_\_\_\_\_

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4. **Force Majeure.** Neither party shall be held responsible for delays or failures in performance resulting from acts beyond control of such party. Such acts shall include, but not be limited to, acts of God, labor disturbances, riots, acts of war, epidemics, government regulations imposed after the fact, fire, flood, communication line failures, power failures, shortages of transportation, earthquakes, hurricanes, or other causes beyond such party's control, provided that such party notifies the other party of such delay and the reason therefore as soon as practicable after its occurrence and requests extension prior to the specified date of product delivery, service, reports, or responses.
  5. **Modifications of Agreement.** In addition to Section 4.1, Modifications of Agreement, of the General Conditions, Exhibit “D”, the party requesting an amendment, modification, alteration, change, or extension of any term, provision, or condition of this Agreement shall allow thirty (30) calendar days for consideration and approval of the request.
  6. **Confidential Information.** In addition to Section 2.1, Confidentiality of Material, of the General Conditions, Exhibit “D”, the PROVIDER further agrees to the following: All information and records about or for the clients served, secured from clients, STATE, or any other individuals or agencies by PROVIDER, or prepared by PROVIDER for STATE, in satisfaction of this Agreement, shall be confidential and shall not be made available to any individual or organization by PROVIDER without prior written approval of STATE, subject to provisions of applicable State of Hawaii and Federal statutes, and State of Hawaii Administrative Rules. To insure the confidentiality of all such information and records, PROVIDER shall immediately refer all inquiries for information, including subpoenas, to **the AGENCY'S Social Services Division Administrator** or representative.
  7. **Copyright and Patent.** In addition to Section 2.2, Ownership Rights and Copyright, of the General Conditions, Exhibit “D”, the PROVIDER further agrees to the following: no summary, report, map, chart, graph, table, study or other document or discovery, invention, or development produced in whole or in part under this Agreement shall be the subject of an application for copyright or patent by or on behalf of the PROVIDER, its officers, its agents, its employees, or its subPROVIDERS without prior written authorization from the Director. It is strictly understood that all finished or unfinished documents, reports, summaries, lists, charts, graphs, maps, or other materials prepared by the PROVIDER and all discoveries, inventions, or developments produced in whole or in part under this Agreement shall be the property of STATE.
  8. **State Audit Requirement.** The PROVIDER shall have an annual audit conducted by an independent Certified Public Accountant to verify that its financial management system and internal control procedures are effective in meeting the terms and conditions of this Agreement. The PROVIDER shall obtain an audit in accordance with generally accepted auditing standards, and shall furnish a copy of such audit to STATE. This requirement shall apply to all the PROVIDERS receiving general funds from STATE.

An audit under this provision shall NOT be required if both of the following conditions are met:

- a. The PROVIDER is subject to the federal audit requirements specified below; and
  - b. The federal audit addresses whether the PROVIDER's internal control procedures are effective in meeting the terms and conditions of this Agreement.
9. **Federal Audit Requirement.** The PROVIDER spending Three Hundred Thousand (\$300,000) or more per year in federal financial assistance shall be subject to federal audit requirements under Office of Management and Budget (OMB) Circular A-133, "Audits of State, Local Governments, and Nonprofit Organizations." The PROVIDER shall furnish a copy of any such audit to STATE.
10. **Federal Funds.** In addition to Section 1.1.2, Federal Funds, of the General Conditions, Exhibit "D", when receiving Federal Funds, the PROVIDER shall comply with all regulations and requirements of the expending Federal agency and complete all required forms and documents. The PROVIDER shall allow full access to records, reports, files, and other documents so that the program, management, and fiscal practices may be monitored by federal representatives directly connected with the program under this Agreement.
11. **Accounting System.** The PROVIDER shall maintain an adequate accounting system for keeping procurement and financial records required by STATE, and shall maintain books, records, documents and other evidence which sufficiently and properly reflect all funds received, all direct and indirect expenditures of any nature related to PROVIDER'S performance and provide an adequate audit trail to support the claims for reimbursement under this AGREEMENT. The requirements for an adequate accounting system shall include, but are not limited to:
- The ability to keep all the procurement and financial records accurately as required by law, the purchasing agency, or the state procurement office;
  - The ability to permit timely development of all necessary cost data in the form required by the specific contract type contemplated; or
  - Compliance with generally accepted accounting principles.
12. **Maintain Records.** In addition to General Conditions, Exhibit "D", Section 2.3, Record Retention, PROVIDER shall maintain statistical, clinical and administrative records pertaining to services of this Agreement. The records shall be subject at all reasonable times to inspection or review by STATE or Federal representatives directly connected with the program area under this Agreement.
13. **Intent to Reduce, Terminate or Deny Services.** The PROVIDER shall notify STATE of its intent to reduce, terminate or deny services to a STATE referred individual or family at least fourteen (14) working days before the date of termination or denial of services, except in cases which require immediate termination, or as stated elsewhere in this Agreement.

14. **For Business Termination.** In addition to the requirements of Section 4.2, Termination in General, in the General Conditions, Exhibit “D”, PROVIDER further agrees to the following: if PROVIDER shall cease conducting business in the normal course, become insolvent, make a general assignment for the benefit of creditors, suffer or permit the appointment of a receiver for its business or assets, or shall avail itself of, or become subject to, any proceeding under the Federal Bankruptcy Code or any other statute of any state relating to insolvency or the protection of rights of creditors, then at the option of STATE this Agreement shall terminate and be of no further force and effect and any property or rights of STATE, tangible or intangible, shall immediately without further notice or demand, be returned to STATE.

15. **Equipment.** If more than fifty percent (50%) of total contract funds specified in Exhibit “B” of this Agreement are paid according to a cost reimbursement pricing methodology, then all equipment purchased with contract funds under this Agreement including items of personal property, as distinguished from real property, that have an acquisition cost of \$250.00 or more per item and with an expected life of more than one year, shall remain the property of STATE. Following the Agreement period, all equipment shall be reported in the final fiscal report to STATE. Disposition of said equipment shall be prescribed by STATE.

16. Exhibit “D,” General Conditions, item 1.6, Reporting Requirements, is revised as follows:

The PROVIDER shall submit a Final Project Report to the STATE containing the information specified in Exhibit “B” to this Agreement if applicable, or otherwise satisfactory to the STATE, documenting the PROVIDER’s overall efforts toward meeting the requirements of this Agreement, and where applicable in Exhibit “B,” listing expenditures actually incurred and units actually delivered in the performance of this Agreement. The PROVIDER shall return any overpayments to the STATE.

17. **Option to Extend.** STATE and PROVIDER may agree in writing to extend the terms of this Agreement in accordance with any of the following that are checked:

X	The provisions of the Request for Proposals.
X	The provisions of Hawaii Administrative Rules at §3-149-301 regarding the extension of existing contracts during a procurement process.
	When the Agreement was exempt from procurement rules in accordance with Hawaii Administrative Rules at §3-141-503.
X	If STATE and PROVIDER agree to an extension to utilize unspent funds.

18. As stated in Section 508 of Public Law 103-333, with regard to statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with federal money, all grantees receiving federal funds, including but not limited to State and local governments and recipients of federal research grants, shall clearly state (1) the percentage of the total costs of the program or

project which will be financed with federal money, (2) the dollar amount of federal funds for the project or program, and (3) percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.

19. **Environmental Tobacco Smoke.** The Provider must comply with Public Law 103-227, Part C - Environmental Tobacco Smoke, also known as the Pro Children Act of 1994 (Act). This Act requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted by an entity and used routinely or regularly for provision of health, day care, 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. Federal programs include grants, cooperative agreements, loans or loan guarantees, and contracts. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug and alcohol treatment.

The Provider further agrees that the above language will be included in any subawards which contain provisions for the children's services and that all subgrantees shall certify compliance accordingly. Failure to comply with the provisions of this law may result in the imposition of a civil monetary penalty of up to \$1,000 per day.

20. **Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion – Lower Tiered Covered Transactions.** The Provider agrees that any subgrantee under this agreement, also known as a lower tier participant under federal regulations, shall sign the following Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion – Lower Tiered Covered Transactions:
- a. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.
  - b. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.
21. **Nondiscrimination.**
- a. **Race, Color, and National Origin.** In accordance with Part 80 of Title 45 of the Code of Federal Regulations which effectuates Title VI of the Civil Rights Act of 1964, the Provider and any subgrantees hereby assure that no person shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity funded under this Agreement.
  - b. **Handicap.** In accordance with Part 84 of Title 45 of the Code of Federal Regulations which effectuates section 504 of the Rehabilitation Act of 1973, the Provider and any subgrantees hereby assure that no qualified handicapped person shall, on the basis of handicap, be excluded from participation in, be denied the benefits of, or otherwise be subjected to discrimination under any program or activity funded under this Agreement.

- c. **Sex.** In accordance with Part 86 of Title 45 of the Code of Federal Regulations which effectuates Title IX of the Educational Amendments of 1972 as well as section 844 of the Educational Amendments of 1974, the Provider and any subgrantees hereby assure that no person shall, on the basis of sex, be excluded from participation in, be denied the benefits of, or otherwise be subjected to discrimination under any educational program or activity funded under this Agreement.
  - d. **Age.** In accordance with Part 91 of Title 45 of the Code of Federal Regulations which effectuates the Age Discrimination Act of 1975 and except as may be specified in the Scope of Services of this Agreement, no person shall, on the basis of age, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity funded under this Agreement.
22. **Certification Regarding Lobbying.** The Provider and any subgrantees shall sign and submit to State the Certification Regarding Lobbying as required by New Restrictions on Lobbying, Part 93 of Title 45 of the Code of Federal Regulations.
23. During the term of this Agreement the parties will be renegotiating terms and conditions related to the performance of the PROVIDER including but not limited to measurable outcomes, benchmarks for monitoring timely and adequate provision of services, special reporting requirements, pricing methodology, units of service, unit rates, penalties, incentives, and bonuses. At the time of the renegotiation either party has the right to terminate this Agreement under Exhibit "D", General Conditions, paragraph 4.3 or 4.4 as applicable. Any amendments to this Agreement will not constitute a fundamental change as defined in §3-149-303(d) of Hawaii Administrative Rules. A fundamental change is one which "is so great that a reasonable purchasing agency would in light of all the circumstances, re-procure the required services instead of amending an existing contract in order to assure that the state is receiving the most advantageous bargain."
24. PROVIDER acknowledges and agrees that STATE shall only compensate PROVIDER for services provided to referrals made by STATE, but that nothing contained in this Agreement obligates STATE to provide any such referrals to PROVIDER.

# CERTIFICATION REGARDING LOBBYING

## Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned 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 an 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 Federal 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 Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients 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, title 31, 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.

## Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that: If any 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 commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

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Signature

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Title

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Organization

**ATTACHMENT H**

**ADMINISTRATIVE ASSURANCES**

# ADMINISTRATIVE ASSURANCES

If awarded a contract to provide the services specified in any of the RFP(s) referenced above, I hereby assure that the following will be in place during the term of the contract:

## 1. Staff Development

A written training plan for Provider staff which:

- a. Promotes an understanding of the clients that the Department serves;
- b. Promotes good practice;
- c. Familiarizes staff with the Provider's own program and agency policies and procedures; and
- d. Familiarizes staff with available resources in the community as applicable under the Scope of Work in Section 2 of the RFP and in support of the service activities in the provider's proposal.

## 2. Supervision

A written plan for supervising direct service staff. This plan will be consistent with the lines of supervision indicated on the Program Organizational Chart in the contract.

## 3. Coordination of Services

A written plan to coordinate services with other agencies and with DHS staff. That plan will include each of the following as applicable:

- a. Ongoing communication with DHS staff about active DHS clients, especially regarding critical incidents or non-participation in the mutually agreed upon program plan;
- b. Information and referral of clients to other community resources if appropriate; and
- c. Identification of other programs and agencies that can serve as resources to clients.

## 4. Quality Assurance & Program Evaluation

A written quality assurance plan that addresses all of the following:

- a. How all of the outcomes on Form C in Section 2 of this RFP will be measured; and
- b. The process of service delivery.

## 5. Criminal History and Protective Services Registry Checks

Documentation of criminal history and Protective Services Registry checks, or appropriate waivers, in accordance with the standards in Section 5 of the RFP, will be in the personnel files of all staff and backup staff providing direct services to clients or having direct client contact. This includes direct services staff of any subcontractors.

## 6. Documentation of Utilization

Procedures to accurately track and document the units of service delivered to clients and reported to DHS on Quarterly Activity Reports and, if required, on Client Eligibility Lists.

## 7. Minimal English and Physical Limitations

Reasonable accommodations to assure the delivery of services to clients with minimal English speaking abilities or physical limitations.

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SIGNATURE

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DATE

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TYPE OR PRINT NAME

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TITLE

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AGENCY