

State of Hawaii
Department of Public Safety
Hawaii Paroling Authority

Request for Proposals

RFP No.: PSD 14-HPA-25

Date Issued: October 28, 2013

THERAPEUTIC LIVING PROGRAM FOR MALE AND FEMALE PAROLEES ON THE ISLANDS OF HAWAII AND KAUAI

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

October 28, 2013

**REQUEST FOR PROPOSALS
REQUEST FOR PROPOSALS FOR THERAPEUTIC LIVING PROGRAM FOR MALE
AND FEMALE PAROLEES ON THE ISLANDS OF HAWAII AND KAUAI
RFP No.: PSD 14-HPA-25**

The Department of Public Safety, Hawaii Paroling Authority, is requesting proposals from qualified applicants to provide therapeutic living services for male and female parolees on the islands of Hawaii and Kauai. The initial contract term will be for a twenty-four month (24) period commencing on January 1, 2014 or the commencement date stated on the Notice to Proceed and may be extended for not more than two (2) additional twelve month periods or portions thereof, subject to the provider's satisfactory performance, the availability of funds and upon mutual written agreement. Multiple contracts will may be awarded under this request for proposals.

Proposals must be postmarked by the US mail before midnight on November 26, 2013, or hand delivered by 4:30PM, Hawaii Standard Time (HST), at the drop-off sites that are designated on the Proposal Mail-in and Delivery Information Sheet.

Proposals postmarked after midnight on November 26, 2013, or hand delivered after 4:30PM H.S.T. on November 26, 2013, will not be considered and will be late returned to the applicant. There are no exceptions to this requirement.

The Hawaii Paroling Authority will conduct an orientation on October 31, 2013, from 11:00 a.m. to 12:00 p.m., HST, at:

**DEPARTMENT OF PUBLIC SAFETY
919 Ala Moana Blvd, Room 413
Honolulu, Hawaii 96814.**

Interested applicants not able to attend the orientation meeting may call in via telephone conference at:

Conference Dial-In Number: 1 (712) 432-1500
Participant Access Code: 131228#

The deadline for submission of written questions is 4:30PM, HST, on November 6, 2013. All written questions will receive a written response from the State on or about November 12, 2013.

Inquiries regarding this RFP should be directed in writing to the RFP contact person, Mr. Marc Yamamoto at 919 Ala Moana Boulevard, Honolulu, Hawaii 96814, or by e-mail at marc.s.yamamoto@hawaii.gov.

PROPOSAL MAIL-IN AND DELIVERY INFORMATION SHEET

ONE ORIGINAL AND THREE (3) COPIES OF THE PROPOSAL ARE REQUIRED

ALL MAIL-INS SHALL BE POSTMARKED BY THE UNITED STATES POSTAL SERVICE (USPS) NO LATER THAN **November 26, 2013**, and received by the state purchasing agency no later than 10 days from the submittal deadline.

All Mail-ins

*Department of Public Safety
Administrative Services Office –
Purchasing and Contracts
919 Ala Moana Blvd., room 413
Honolulu, HI 96814*

RFP COORDINATOR

*Marc Yamamoto
Phone: (808) 587-1215
Fax Number: (808) 587-1244
e-Mail Address:
marc.s.yamamoto@hawaii.gov*

Drop-off Sites

ALL HAND DELIVERIES WILL BE ACCEPTED AT THE FOLLOWING SITES UNTIL **4:30 P.M., Hawaii Standard Time (HST) November 26, 2013.**

*Department of Public Safety
Administrative Services Office –
Purchasing and Contracts
919 Ala Moana Blvd., room 413
Honolulu, HI 96814*

BE ADVISED: All mail-ins postmarked by USPS after **12:00 midnight, November 26, 2013**, will be rejected.

Hand deliveries will **not** be accepted after **4:30 p.m., HST, November 26, 2013.**

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, November 26, 2013.**

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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.

1.1 Procurement Timetable

Note that the procurement timetable represents the State's best estimated schedule. If an activity on this schedule is delayed, the rest of the schedule will likely be shifted by the same number of days. 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)	10/28/2013
Distribution of RFP	10/28/2013
RFP orientation session	10/31/2013
Closing date for submission of written questions for written responses	11/6/2013
State purchasing agency's response to applicants' written questions	11/12/2013
Discussions with applicant prior to proposal submittal deadline (optional)	N/A
Proposal submittal deadline	11/26/2013
Discussions with applicant after proposal submittal deadline (optional)	11/29/2013
Final revised proposals (optional)	12/6/2013
Proposal evaluation period	11/27/2013- 12/12/2013
Provider selection	12/13/2013
Notice of statement of findings and decision	12/16/2013
Contract start date	01/01/2014

1.2 Website Reference

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

	For	Click on “Doing Business with the State” tab or
1	Procurement of Health and Human Services	http://hawaii.gov/spo/health-human-svcs/doing-business-with-the-state-to-provide-health-and-human-services
2	RFP website	http://hawaii.gov/spo/general/procurement-notice-for-solicitations
3	Hawaii Revised Statutes (HRS) and Hawaii Administrative Rules (HAR) for Purchases of Health and Human Services	http://hawaii.gov/spo/general/statutes-and-rules/procurement-statutes-and-administrative-rules
4	Forms	http://hawaii.gov/spo/statutes-and-rules/general/spo-forms
5	Cost Principles	http://hawaii.gov/spo/health-human-svcs/cost-principles-for-procurement-of-health-and-human-services
6	Standard Contract -General Conditions, AG103F13	http://hawaii.gov/spo/general/gen-cond/general-conditions-for-contracts
7	Protest Forms/Procedures	http://hawaii.gov/spo/health-human-svcs/protestsreqforreconsideration/protests-requests-for-reconsideration-for-private-providers

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>)

	For	Go to
8	Hawaii Compliance Express (HCE)	https://vendors.ehawaii.gov/hce/splash/welcome.html
9	Department of Taxation	http://hawaii.gov/tax/
10	Wages and Labor Law Compliance, HRS §103-055	http://capitol.hawaii.gov/hrscurrent
11	Department of Commerce and Consumer Affairs, Business Registration	http://hawaii.gov/dcca click “Business Registration”
12	Campaign Spending Commission	http://hawaii.gov/campaign

1.3 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.

1.4 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.

1.5 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 Public Safety
 Hawaii Paroling Authority
 Attn: Mr. Michael D. Knott
 1177 Alakea Street, 1st Floor, Honolulu, HI 96813
 Phone (808) 587-1309 Fax: (808) 587-1314

1.6 RFP Contact Person

From the release date of this RFP until the selection of the successful provider(s), any inquiries and requests shall be directed to the sole point-of-contact identified below.

State of Hawaii
 Department of Public Safety
 Administrative Services Office – Purchasing & Contracts
 Attn: Mr. Marc S. Yamamoto
 919 Ala Moana Blvd, Room 413, Honolulu, HI 96814
 Phone (808) 587-1215 Fax: (808) 587-1244

1.7 Orientation

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

Date: October 31, 2013 **Time:** 11:00 am
Location: 919 Ala Moana Blvd, Room 413
Honolulu, HI 96814

Interested applicants not able to attend the orientation meeting may call in via telephone conference at:

Conference Dial-In Number: 1 (712) 432-1500
 Participant Access Code: 131228#

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 subsection 1.8, Submission of Questions.

1.8 Submission of Questions

Applicants may submit questions to the RFP Contact Person identified in Section 1.6. Written questions should be received by the date and time specified in Section 1.1 Procurement Timetable. The purchasing agency will respond to written questions by way of an addendum to the RFP.

Deadline for submission of written questions:

Date: November 6, 2013 **Time:** 4:30 pm HST

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

Date: November 12, 2013

1.9 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 subsection 1.2, Website Reference. Refer to the Section 5, Proposal Application Checklist for the location of program specific forms.

1. **Proposal Application Identification (Form SPOH-200).** Provides applicant proposal identification.

2. **Proposal Application Checklist.** The checklist provides applicants specific program requirements, reference and location of required RFP proposal forms, and the order in which all proposal components should be collated 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 SPOH-200A).** Applicant shall submit comprehensive narratives that address all proposal requirements specified in Section 3, Proposal Application Instructions, including a cost proposal/budget, if required.
- B. **Program Specific Requirements.** Program specific requirements are included in Sections 2 and 3, as applicable. Required Federal and/or State certifications are listed on the Proposal Application Checklist in Section 5.
- C. **Multiple or Alternate Proposals.** Multiple or alternate proposals shall not be accepted unless specifically provided for in Section 2. 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. **Hawaii Compliance Express (HCE).** All providers shall comply with all laws governing entities doing business in the State. Providers shall register with HCE for online compliance verification from the Hawaii State Department of Taxation (DOTAX), Internal Revenue Service (IRS), Department of Labor and Industrial Relations (DLIR), and Department of Commerce and Consumer Affairs (DCCA). There is a nominal annual registration fee (currently \$12) for the service. The HCE's online "Certificate of Vendor Compliance" 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 **subsection 1.2, Website Reference**, for HCE's website address.
- **Tax Clearance.** Pursuant to HRS §103-53, as a prerequisite to entering into contracts of \$25,000 or more, providers are required to have a tax clearance from DOTAX and the IRS. (See subsection 1.2, Website Reference for DOTAX and IRS website address.)
 - **Labor Law Compliance.** Pursuant to HRS §103-55, providers shall be in compliance with all applicable laws of the federal and state governments relating to workers' compensation, unemployment compensation, payment of wages, and safety. (See subsection 1.2, Website Reference for DLIR website address.)
 - **DCCA Business Registration.** 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 shall be registered and in good standing with the DCCA, Business Registration Division. Foreign insurance companies must register with DCCA, Insurance Division. More information is on the DCCA website. (See subsection 1.2, Website Reference for DCCA website address.)

- E. **Wages Law Compliance.** If applicable, by submitting a proposal, the applicant certifies that the applicant is in compliance with HRS §103-55, Wages, hours, and working conditions of employees of contractors performing services. Refer to HRS §103-55, at the Hawaii State Legislature website. (See subsection 1.2, Website Reference for DLIR website address.)
- F. **Campaign Contributions by State and County Contractors.** HRS §11-355 prohibits campaign contributions from certain State or county government contractors during the term of the contract if the contractors are paid with funds appropriated by a legislative body. Refer to HRS §11-355. (See subsection 1.2, Website Reference for Campaign Spending Commission website address.)
- G. **Confidential Information.** If an applicant believes any portion of a proposal contains information that should be withheld as confidential, the applicant shall request in writing nondisclosure of designated proprietary data to be confidential and provide justification to support confidentiality. Such data shall accompany the proposal, be clearly marked, and shall be readily separable from the proposal to facilitate eventual public inspection of the non-confidential sections of the proposal.

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

- H. **Proposal Submittal.** All mail-ins shall be postmarked by the United States Postal System (USPS) and received by the State purchasing agency no later than the submittal deadline indicated on the attached Proposal Mail-in and Delivery Information Sheet, or as amended. 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, or as amended. Proposals shall be rejected when:
1. Postmarked after the designated date; or
 2. Postmarked by the designated date but not received within 10 days from the submittal deadline; or
 3. 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.

1.10 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 with HAR §3-143-403.

1.11 Opening of Proposals

Upon the state purchasing agency's receipt of a proposal 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.

1.12 Additional Materials and Documentation

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

1.13 RFP Amendments

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

1.14 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 final revised proposal. *The applicant shall submit **only** the section(s) of the proposal that are amended, along with the Proposal Application Identification Form (SPOH-200).* After final revised proposals are received, final evaluations will be conducted for an award.

1.15 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 interest of the State.

1.16 Costs for Proposal Preparation

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

1.17 Provider Participation in Planning

Provider(s), awarded a contract resulting from this RFP,

are required

are not required

to participate in the purchasing agency's future development of a service delivery plan pursuant to HRS §103F-203.

Provider participation in a state purchasing agency's efforts to plan for or to purchase health and human services prior to the 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 §§3-142-202 and 3-142-203.

1.18 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 §3-141-201)
- (2) Rejection for inadequate accounting system. (HAR §3-141-202)
- (3) Late proposals (HAR §3-143-603)
- (4) Inadequate response to request for proposals (HAR §3-143-609)
- (5) Proposal not responsive (HAR §3-143-610(a)(1))
- (6) Applicant not responsible (HAR §3-143-610(a)(2))

1.19 Notice of Award

A statement of findings and decision shall be provided to each responsive and responsible applicant 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 provider(s) awarded a contract prior to the contract commencement date. The State of Hawaii is not liable for any costs incurred prior to the official starting date.

1.20 Protests

Pursuant to HRS §103F-501 and HAR Chapter 148, an applicant aggrieved by an award of a contract may file a protest. The Notice of Protest form, SPOH-801, and related forms are available on the SPO website. (See subsection 1.2, Website Reference for website address.) Only the following matters may be protested:

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

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

Head of State Purchasing Agency	Procurement Officer
Name: Ted Sakai	Name: Teresita Fernandez
Title: Director	Title: Acting Business Management Officer
Mailing Address: 919 Ala Moana Blvd., Room 400 Honolulu, HI 96814	Mailing Address: 919 Ala Moana Blvd., Room 413 Honolulu, HI 96814
Business Address: same	Business Address: same

1.21 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.

1.22 General and Special Conditions of Contract

The general conditions that will be imposed contractually are on the SPO website. (See subsection 1.2, Website Reference for website address.) Special conditions may also be imposed contractually by the state purchasing agency, as deemed necessary.

1.23 Cost Principles

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 SPOH-201, which is available on the SPO website. (See subsection 1.2 Website Reference for website address.) Nothing in this section shall be construed to create an exemption from any cost principle arising under federal law.

1.24 Liability Insurance

The Contractor shall maintain insurance acceptable to the State in full force and effect throughout the term of this contract. The policy or policies of insurance maintained by the Contractor shall provide the following limit(s) and coverage:

<u>Coverage</u>	<u>Limits</u>
Commercial General Liability (occurrence form)	\$2,000,000 combined single limit per occurrence for bodily injury and property damage
Automobile, if applicable	Bodily injury \$2,000,000/person \$2,000,000/occurrence Property damage \$1,000,000/accident
Professional Liability, if applicable	\$2,000,000/claim \$2,000,000 annual aggregate

Each insurance policy required by this contract shall contain the following clauses:

1. *"The State of Hawaii, Department of Public Safety, is added as an additional insured as respects to operations performed for the State of Hawaii."*
2. *"It is agreed that any insurance maintained by the State of Hawaii will apply in excess of, and not contribute with, insurance provided by this policy."*

Each insurance policy shall be written by insurance companies licensed to do business in the State or meet Section 431:8-301, HRS, if utilizing an insurance company not licensed by the State of Hawaii.

The Contractor agrees to deposit with the State of Hawaii, on or before the effective date of this contract, certificate(s) of insurance necessary to satisfy the State that the insurance provisions of this contract have been complied with and to keep such insurance in effect and the certificate(s) therefore on deposit with the State during

the entire term of this contract. Upon request by the State, Contractor shall furnish a copy of the policy or policies.

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

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

If the Contractor is authorized by the Department Coordinator to subcontract, subcontractor(s) is not excused from the indemnification and/or insurance provisions of this contract. In order to indemnify the State, the Contractor agrees to require its subcontractor(s) to obtain insurance in accordance with the insurance provisions of this contract.

Section 2

Service Specifications

Section 2

Service Specifications

2.1 Introduction

A. Overview, purpose or need

Drug abuse is a serious problem in the State of Hawaii, and current policies and practices in the criminal justice system have not adequately addressed the issue. Within Hawaii's criminal justice system, there is a major shift in philosophy on how to deal with the needs of drug offenders by requiring nonviolent drug possession offenders to participate in community-based supervision and treatment.

The research in the area of substance abuse demonstrates the destructive impact of alcohol and other substance abuse on personal health and health care costs, the spread of communicable disease, educational performance and attainment, work force participation, safety and productivity in the workplace, and financial stability. These indicators of social erosion are in turn, related to crime in many obvious ways, but are hard to measure. Given the recognized relationship between crime and substance abuse and addiction, it is necessary and appropriate to use, adapt, and expand the resources and remedies available within the criminal justice system to address the problem of substance abuse dependency, and thereby to help reduce the demand for illicit drugs and the incidence of drug-related crimes.

Studies reveal that a large percentage of persons who are arrested for both drug and nondrug offenses (such as thefts, burglaries, robberies, assaults, rapes, and homicides) test positive for recent drug use. Adults who are under the influence of a controlled substance or alcohol commit many offenses to raise revenues to support their habits. Some mind and mood altering drugs induce criminal and often-violent behavior, reducing the person's inhibitions as well as the person's ability to anticipate future consequences, thereby undermining the deterrent thrust of the criminal law.

Finally, some crimes, including crimes of violence, are committed in the normal course of conducting illicit drug businesses and enterprises. These include strong-arm robberies and "rip-offs," violent retaliations for these offenses, and efforts to protect markets and "turf" by means of intimidation and terrorism directed against "would be" competitors and drug purchasers who patronize competing drug distributors.

Most addicted offenders who are convicted of serious crimes and who are sentenced to terms of imprisonment will eventually be released back into the community either on parole or at the expiration of their sentences. Without proper treatment, an offender is at risk to continue to be drug dependent and to commit new offenses, resulting in further injury to victims, loss of property,

and the expenditure of limited resources to identify, apprehend, prosecute, and return the offender to confinement.

The Hawaii Paroling Authority is responsible for supervising a parole population of more than 1,830. During fiscal year 2011, there were about 208 parolees on the island of Hawaii. Of these 208 parolees, about 70% (145) of these parolees were located in the East Hawaii-Hilo area, and 30% (63) of these parolees were located in the West Hawaii-Kona area. There are approximately 53 parolees on the island of Kauai.

The State of Hawaii has incorporated a continuum of “best practice – evidence based” services as opposed to the reliance on a single program intervention. The designed continuum of care service delivery system comprises of substance abuse education programming for the low-risk offender, standard and intensive outpatient programming for the medium-to-low-risk offender and day treatment, short-term and long-term residential supportive services for high risk offenders. This service delivery continuum is based on the assessment and matching process that is critical in the effort to maximize positive client outcomes and the effective use of funding, time and resources.

The Hawaii Paroling Authority believes that based upon all of the available research, if a parolee’s substance abuse problem is left untreated, their likelihood for succeeding on parole is severely diminished. By treating this significant criminogenic need, the parolees’ ability to conform to the terms and conditions of his/her parole will be greatly enhanced. Therapeutic Living Program services for male and female parolees is critical in providing a smooth transition from incarceration to parole

B. Planning activities conducted in preparation for this RFP

Pursuant to HAR, Chapter 3-142-202(e), the head of purchasing agency has waived the requirement for the issuance of a request for information on the basis that the following have remained unchanged: target population for services; the geographic location; and the scope of services.

C. Description of the service goals

The goal of the program is to prevent re-incarceration, by providing parolees with histories of substance abuse, the skills to assist them in remaining drug and alcohol free. The program shall aid residents in meeting basic needs and provide supportive services through an individualized recovery and discharge plan. The therapeutic living program shall serve parolees through a transitional residential program

D. Description of the target population to be served

The target population consists of male and female parolees who are suffering from substance abuse requiring a residential setting, but who do not need the

structure of a special treatment program or are transitioning from a more restrictive setting to independent living. All referrals must come from the Hawaii Paroling Authority. All parolees shall have been assessed by the Hawaii Paroling Authority as being at medium-to-high risk for recidivism, due to the presence of substance dependence, and shall meet the **DSM-IV** criteria for substance abuse dependence. All parolees in any level of treatment shall meet the most current version of the **American Society for Addiction Medicine Patient Placement Criteria, Second Edition Revised (ASAM PPC-2R)** for admission, continuance, and discharge.

E. Geographic coverage of service

Services shall be provided to male and female parolees on the islands of Hawaii and Kauai as referred by the Hawaii Paroling Authority (HPA).

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

Funding for the Therapeutic Living Program for Male and Female Parolees on Hawaii and Kauai is estimated at \$40,000 (\$30,000 for Therapeutic Living Program in East Hawaii-Hilo, and West Hawaii-Kona, and \$10,000 for Therapeutic Living Program in Kauai) for the period commencing on January 1, 2014, or the date indicated on the Notice to Proceed for a period of twenty-four (24) months. This contract may be extended for not more than two additional twelve month periods or fraction thereof, subject to the availability of funds, satisfactory prior performance, and upon mutual agreement in writing.

2.2 Contract Monitoring and Evaluation

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

- (1) Performance/Outcome Measures
- (2) Output Measures
- (3) Quality of Care/Quality of Services
- (4) Financial Management
- (5) Administrative Requirements

2.3 General Requirements

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

1. The APPLICANT shall have licenses and certificates, as applicable, in accordance with federal, state and county regulations, and comply with all applicable **Hawaii Administrative Rules (HAR)**.

- a. All APPLICANTS shall comply with **Title 11, Chapter 175, Mental Health and Substance Abuse System.**
 - b. All APPLICANTS shall complete and submit the Drug Free Workplace Assurance and the Federal certifications in Section 5 Attachment D.
2. If the APPLICANT is awarded a contract, the APPLICANT will be required to arrange for a financial and compliance audit to be done and submitted to the HPA as directed in accordance with **Government OMB Circular A-133** if the APPLICANT expends \$500,000 or more in Federal funds in a year.
 3. The APPLICANT receiving advanced payment for services shall reconcile the amount of the advance by the end of the first quarter of the contract.
 4. The APPLICANT shall develop and maintain fiscal, statistical, and administrative records pertaining to services as specified by HPA.
 5. After contract execution, the APPLICANT shall submit a copy of its operating policies and procedures to the HPA when requested. The copy is to be provided at the APPLICANT'S expense.
 6. The APPLICANT shall assign staff to attend provider meetings as scheduled by HPA.
 7. Confidentiality
 - a. All substance abuse records shall be kept confidential pursuant to **42 Code of Federal Regulations (42CFR), Part 2, Confidentiality of Alcohol and Drug Abuse Patient Records** and if necessary, the APPLICANT shall resist in judicial proceedings, any efforts to obtain access to patient records except as permitted by such regulations, and **Section 334-5, HRS, Confidentiality of Records.**
 - b. Appropriate parolee records shall be readily accessible to those staff members who provide services directly to the parolee.
 - c. APPLICANT shall provide sufficient facilities for the storage, processing, and security of all records and data, which shall include suitably locked and secured rooms and files.
 - d. If a program stores data on automated information systems, security measures shall be developed to prevent inadvertent or unauthorized access to data files. The security measures shall be documented in the operating manual.
 8. Health Screening/Infection Control

- a. The facility shall have documentation indicating that each employee has had a health examination by a physician to determine the presence of infectious diseases prior to direct contact with residents.
 - b. Each facility shall have on file, documented evidence that every care staff or any individuals having contact with residents has an initial and annual tuberculosis (TB) clearance.
 - c. Any direct care staff or any individual providing service to the resident who develops evidence of an infectious disease shall be relieved of any duties relating to food handling or direct resident contact until such time as the infection clears and it is safe for the individual to resume duties. If the caregiver has a condition, which may place the well-being of the residents at risk, a physician shall be consulted for a clearance and a procedure for infection control. Undiagnosed skin lesions, or respiratory tract symptoms or diarrhea shall be considered presumptive evidence of an infectious disease.
 - d. There shall be appropriate policies and procedures written and implemented for the identification, prevention, control, and voluntary testing of infectious diseases including, but not limited to HIV and hepatitis.
 - e. Therapeutic Living Programs shall provide training in safety and and risk management, including standard precaution to caregivers and staff. The training shall be documented and available for review by the HPA on request.
 - f. Incident reports shall be completed where staff or residents are exposed to infectious disease, and the action taken following such incidents shall be documented.
9. The APPLICANT shall incorporate best practices/evidence-based practices in any substance abuse service. Best practices/evidence-based practices are defined as a body of contemporaneous empirical research findings that produce the most efficacious outcomes for persons with substance abuse problems, has literature to support the practices, is supported by national consensus, has a system for implementing and maintaining program integrity, and conformance to professional standards. For best practices in specific areas of substance abuse, the APPLICANT may consult the Substance Abuse and Mental Health Services Administration (SAMHSA) **Treatment Improvement Protocol Series (TIPS)**, the National Institute on Drug Abuse's (NIDA) **Principles of Drug Addiction Treatment**, and/or access website resources listed in **Attachment E-7, "Important Website Addresses."**
 10. The APPLICANT must have by-laws or policies that describe the manner in which business is conducted and policies that relate to nepotism and management of potential conflict of interest situations.

11. The APPLICANT shall be required to accept parolees who have been assessed by the HPA as being appropriate for services, unless the applicant presents to the HPA, justifiable reason(s) that a parolee should not be accepted into the program.
12. Fire safety/Disaster
 - a. APPLICANT shall comply, and be inspected by appropriate fire authorities for compliance with state and county zoning, building, fire safety and health codes.
 - b. The facility shall have a written plan for caregivers/staff and residents to follow in case of fire, explosion, or other emergencies. The plan shall be posted in conspicuous places throughout the facility. The plan shall include, but not be limited to:
 - (1) Assignments;
 - (2) Instructions;
 - (3) Special escape routes; and
 - (4) Quarterly drills.
 - c. Drills shall be conducted quarterly at various times of the day to provide training for residents and staff. (When new residents are admitted or staff hired, they shall be in-serviced on fire procedures. Drills shall be conducted under conditions that simulate fire emergencies.)
 - d. The drill record shall contain the date, hour personnel participating, description of drill, and the time taken to evacuate the building. A copy of the drill shall be available for inspection by fire authorities and the HPA.
 - e. Facilities shall be safe from fire hazards. All combustible items must be stored away from heat sources.
 - f. Exits shall be unobstructed and maintained in an operational manner.
 - g. If smoking is allowed, there shall be designated smoking areas.
 - h. All locking devices shall automatically pop open upon turning the doorknob in one motion. Locking devices for sleeping room doors shall be readily opened by the occupant from inside the room without the use of a key or special knowledge.

- i. Fire extinguishers shall be installed in accordance with NFPA 101 Fire Safety Code. A minimum fire extinguisher classification rating of 2a10bc is required.
 - j. Hardwired smoke detectors shall be located in the hallway outside the residents' sleeping rooms and also in the living/activity room. Hardwired or battery-operated smoke detectors, or both shall also be located in all resident sleeping rooms.
 - k. All residents occupying rooms above or below street level of a facility shall be able to evacuate without the physical help of another person.
 - l. All multi-story homes shall have an internal stairwell.
 - m. Fees for fire inspection shall be the responsibility of the licensee.
 - n. Automatic sprinkler systems may be required for Group I occupancies and facilities with nine or more residents as determined by the respective city and county building and fire codes.
 - o. The facility shall have a written disaster plan which identifies those actions that should be taken in each type of hazard: hurricane, earthquake, tsunami or flood. The plan shall include the following provisions:
 - (1) Plan of evacuation;
 - (2) Identification of the closest emergency shelter;
 - (3) Transportation to the emergency shelter if necessary;
 - (4) Identification of staff accompanying and remaining with residents while at the emergency shelter;
 - (5) Maintenance of survival kits.
 - p. Each facility shall have basic first-aid supplies accessible for use.
13. Nutrition – Therapeutic Living Programs operating in a residential setting with eight or less residents who prepare food only for family consumption shall meet the following dietary requirements:
- a. The program shall provide balanced nutritional meals for the residents.
 - b. There shall be three meals a day and snacks provided daily with no more than fourteen hours between meals.

- c. There shall be a minimum of three days food supply, which will be adequate for the number of people to be served.
 - d. Residents who have identified special nutritional needs, or who require dietetic services, shall have a diet order written by a physician or APRN. The order shall be updated annually, with a written plan for the provision of dietetic service, which may require the consultation by a dietician, physician or APRN. The implementation of the plan shall be recorded on admission and quarterly thereafter.
 - e. The program's policies and procedures shall be in accordance with the National Research Council's most current "Recommended Dietary Allowance," and shall be adjusted to the resident's age, sex, activity and disability when evaluating the resident's diet, or ordering diet supplements and provision of special diet training to the staff;
 - f. Menus for special diets shall be available for review by the Department of Health.
 - g. The residents record shall have:
 - (1) Documentation of special diet needs;
 - (2) Documentation of reactions to food, and evidence that a report to a physician was made immediately upon occurrence.
14. Changes in Circumstances, Transfers, and Program Mergers
- a. APPLICANT shall notify the HPA in writing, of any of the following changes in circumstances not less than thirty (30) calendar days before the change takes effect:
 - (1) Program name
 - (2) Mailing address
 - (3) Telephone number
 - (4) Executive director
 - (5) Program location
 - (6) Program discontinuation
 - (7) Expansion of service capacity
 - b. In addition to completing the required written notification change

in circumstance, a discontinued program shall also provide the following information:

- (1) A written notification to parolees who require continued services of the date closure and where continued services may be obtained;
 1. A procedure to transfer certain information or entire parolee records to another agency or person where such information is necessary and authorized; and
 2. A procedure to store and dispose of parolee records pursuant to 42 C.F.R., Parts 1 and 2, Confidentiality of Alcohol and Drug Abuse Patient Records; Chapter 323 C, HRS; section 325-101; HRS 334-5; HRS section 622-58, and other applicable laws or regulations relating to the retention of mental health records.

15. Governing Authority

- a. APPLICANT shall document its governance authority and the delegation of governance. The purposes of the program and its governing documents shall be reviewed annually.
- b. APPLICANT shall furnish the HPA with the names, addresses, and phone numbers of all owners, corporate officers or general and limited partners and the board of directors. In addition, the minutes of meetings of the governing body and of its committees, at which issues relevant to the facilities or programs are discussed, shall be available for review by the HPA.

16. Program

- a. The program shall focus on rehabilitation to encourage the parolee to develop skills to become self-sufficient and capable of increasing levels of independent functioning where appropriate. It shall include prevocational and vocational programs, as appropriate.
- b. The program shall encourage the participation of the parolee in the daily milieu and in the development of the parolee's treatment or recovery planning and evaluation.
- c. The program environment shall attempt to reflect aspects associated with a family home without sacrificing resident safety or care. The program shall have furniture and equipment that are age-appropriate to its residents. The programs shall have policies and procedures addressing the resident's opportunities for regular physical exercise.

- d. The program shall provide a room for residents to gather during leisure time. There shall also be an area set aside where residents may receive and visit with parents, guardians, relatives, or friends with some degree of privacy.
- e. The program shall have written policies regarding the use of behavior management and prohibit the use of physical or emotional punishment, physical exercise to eliminate or curb behaviors, use of punitive versus therapeutic assignments, use of medication for behavioral management, excessive use of physical or emotional isolation, and deprivation of resident's rights.
- f. The program shall have the resident's rights policies and procedures governing the legal, civil, and human rights and policies in the parolee's orientation including:
 - (1) Procedures for handling complaints and grievances of residents
 - (2) Documentation of consent to program services
 - (3) Financial information
 - 3. The need for and use of an interpreter
- g. The program shall have a non-smoking policy in accordance with sections 328K-2, 328K-13 HRS.
- h. APPLICANT shall have and maintain policies and procedures for a comprehensive drug-free work place.
- i. APPLICANT shall have a policy and procedures identifying:
 - (1) An individual who is designated as the administrator and is responsible for the overall operations of the program. During periods of absences of the administrator, a designated staff member shall assume the responsibilities of the administrator;
 - (2) An individual who is designated as program director of the residential program;
 - (3) An individual designated as the rights advisor who is responsible for reviewing residents' rights. The individual shall be responsible for answering questions upon admission, maintaining a log that describes possible rights violations, making an effort to resolve resident rights violations, making an effort to resolve resident complaint, investigating the complaints and providing consultation and assistance to residents who wish to file a formal complaint.

If a resident feels threatened by physical or psychological harm, or does not believe a complaint has been adequately dealt with at the staff level, the resident may direct the complaint in writing to the director or to an independent agency identified by the HPA. APPLICANT shall have a mechanism for receiving, documenting, and responding to consumer grievances, including an appeals process; and

- (4) An individual designated to verify staff credentials, provide staff in sufficient number and qualifications to meet the service needs of the residents and adequately carry out the program's goals, services, and activities

j. Safety and Risk Management

- (1) APPLICANT shall have a written safety plan in existence that includes, but is not limited to, policies and procedures for dealing with:
 - (a) Residents who are dangerous to themselves or others;
 - (b) Incidents in which staff or residents are injured or exposed to hazards;
 - (c) Medication errors;
 - (d) Vehicle safety; and
 - (e) An arrangement for voluntary testing of HIV and of standard precautions
- (2) APPLICANT shall verbally or via facsimile, report sentinel events to the HPA, with a written report submitted within seventy-two hours.
- (3) APPLICANT shall have written policies and procedures regarding the use of least restrictive alternatives to the use of physical or chemical restraints and seclusion, which may include, but not be limited to holding and time out.
- (4) APPLICANT shall have written policies and procedures for reporting of abuse or neglect to the Child Protective Services for children, adolescents or Adult Intake and Protective Services for adults.
- (5) APPLICANT shall have written policies and procedures for management of residents suspected of having any communicable disease.

- (6) APPLICANT shall have written policies and procedures to follow when arranging for and obtaining emergency medical or psychiatric treatment, which shall include names and telephone numbers of persons to provide the emergency care.
- (7) APPLICANT shall provide staff training in safety and risk management procedures. The safety program shall be reviewed annually and documented.
- (8) APPLICANT shall have policies and procedures for residents addressing proper safety measures, including, but not limited to emergency and medical issues, nutrition requirement, sanitation, medication storage for day or overnight field trips or adventure program activities.

k. Medication Requirements

APPLICANT shall have written policies and procedures to address staff training, storage, labeling, availability, and disposal of medications. Procedures shall at a minimum address:

- (1) Medication storage:
 - (a) Programs shall have double-locked storage for medications. If required to be stored in a refrigerator used for food items, medications shall be kept in a separate, single locked compartment or container;
 - (b) Medications shall be kept separately for each resident;
 - (c) Medication shall be kept separately for external and internal use;
 - (d) Medications approved by a physician or APRN for self-administration shall be kept in a secure manner.

(2) Medication labeling:

The packaging label of each prescription medication dispensed shall include the following:

- (a) The resident's name;
- (b) The prescriber's name;
- (c) The current dispensing date;

- (d) Clear directions for self-administration;
 - (e) The name, strength, quantity, and expiration date of the prescribed medication; and
 - (f) The name, address, and phone number of the pharmacy or dispensing location.
- (3) Medication availability:
- (a) All prescription medications shall be made available only under written order and direction of a physician or APRN, and shall be based upon a physician's or APRN's evaluation of the resident's condition.
 - (b) Non-prescription medications shall be made available only under physician orders specified to each resident.
 - (c) All physician orders for prescription medication shall be re-evaluated and signed by the physician at a minimum of every three months or at the next physician's visit, whichever comes first.
 - (d) Programs shall designate and train staff prior to making medications available and on an annual basis to:
 - Make prescribed medications available to residents;
 - Supervise and assist with self-medication;
 - Record information immediately after medications have been made available to each resident, including date, time, name of medication, dosage, number or amount given, and signature of person making medication available, according to prescription;
 - Record any side effects of medication;
 - Record resident requests for medication changes, questions, or concerns and any follow up with an appointment or consultation with a physician or designee.
 - (e) Medications shall not be offered to any resident other than the resident for whom they were prescribed.

- (f) Self-administration of medication shall be permitted when it is determined to be a safe practice by the resident, family, legal guardian, or case manager and service provider, and upon authorization of the physician or APRN and supervised by trained staff; and
 - (g) Medication errors and drug reactions shall be reported immediately to the physician responsible for the care of the resident. An incident report shall be prepared within twenty-four (24) hours from the time of the incident.
- (4) Medication disposal:
- Prescription and non-prescription medications, which have been discontinued by physician's order or retained by the facility after the resident is discharged, shall be disposed of by incineration, or by transfer to a local pharmacy for destruction. The program shall maintain a record of the medication disposal. Documentation shall specify the resident's name, medication name, strength, quantity, disposal date and method, and the signatures of the person disposing of the medication and of the person witnessing the disposal.
- I. Nondiscrimination – The program shall have a policy and procedure complying with all federal and state laws prohibiting discrimination against any person on the grounds of race, color, national origin, religion, creed, gender, sexual orientation, age, or disability. The program shall provide access to persons regardless of their ability to speak English.
 - m. Admission and Discharge – The program shall have policies and procedures for residents, which include:
 - (1) Intake process
 - (2) Admission criteria
 - (3) Documentation of eligibility at prescreening or preadmission
 - (4) Documentation of ineligibility and referral when appropriate
 - (5) Updating of appropriate individuals or agencies, as appropriate, of the transition and discharge
 - (6) Discharge summary
 - n. Resident's Rights – The program shall have the resident's rights

policies and procedures governing the legal, civil, and human rights and policies in the resident's orientation including:

- (1) Procedures for handling complaints and grievances of residents
- (2) Documentation of consent to program services
- (3) Financial information
- (4) The need for and use of an interpreter

o. Parolee Record

Each parolee's individual record shall contain, at a minimum the following:

- (1) An identification face sheet that includes:
 - Last, first, middle, maiden names;
 - Home address;
 - Date of birth;
 - Race, gender, marital status;
 - Admission date;
 - Discharge date;
 - Social security identification number;
 - Parolee record number;
 - Telephone number of referral agency; and
 - Emergency information including the name, address, and telephone number of the person to be contacted in an emergency, and the name, address, and telephone number of the parolee's physician;
- (2) A signed statement from the parolee, or a person legally responsible, granting permission to seek emergency care from a hospital or physician;
- (3) Documentation of parolee's orientation to the facility and program, including procedures for filing complaints and grievances;
- (4) Documentation that all required consent forms are signed and dated by the parolee, legal guardian and program staff;
- (5) Documentation of the pre-admission, qualifying diagnosis, screening and assessment;
- (6) Documentation that the parolee was informed of his or her

- legal, civil, and human rights;
- (7) Documentation attesting to the parolee's involvement in the following:
- (a) The parolee's presence during the development of the supportive services plan or recovery plan;
 - (b) The parolee's opportunity to participate and comment in the development of the supportive services or recovery plan;
 - (c) The parolee's participation in revising or updating the supportive services or recovery plan.
- (8) Daily documentation of progress toward goals;
- (9) Documentation of services provided;
- (10) A completed discharge summary, entered into the parolee's record within (2) two weeks after discharge, including, but not limited to:
- (a) The date of admission;
 - (b) Description of the condition of the parolee at admission;
 - (c) Services provided;
 - (d) Discharge placement, including the name, address, and telephone number of the program, agency, or individual who will be responsible for the parolee's continuing care if applicable;
 - (e) Rational for discharge;
 - (f) The parolee's supportive services and rehabilitation status or condition at discharge; and
 - (g) The instructions given the parolee about a continuing service plan and follow-up.

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

After-the-fact secondary purchases will be allowed.

Planned secondary purchases

1. The Hawaii Paroling Authority does not plan to have any secondary purchasers in conjunction with this RFP.

C. Multiple or alternate proposals

(Refer to HAR §3-143-605)

 Allowed Unallowed
D. Single or multiple contracts to be awarded

(Refer to HAR §3-143-206)

 Single Multiple Single & Multiple

Criteria for multiple awards:

Multiple awards shall be determined by the provider(s) scoring the highest evaluation score, geographic region of their facility, and/or clientele gender population.

E. Single or multi-term contracts to be awarded

(Refer to HAR §3-149-302)

 Single term (2 years or less) Multi-term (more than 2 years)

Contract terms:

The initial contract term shall be for a twenty four (24) month period, commencing on January 1, 2014, or, the start date stated on the Notice to Proceed. This contract may be extended for two additional twelve month periods or portions thereof, subject to the availability of funds beyond June 30, 2014.

2.4 Scope of Work

The scope of work encompasses the following tasks and responsibilities:

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

The Therapeutic Living Program services shall provide structured therapeutic living to parolees who are without appropriate living alternatives and who are currently receiving, are in transition to, or who have been clinically discharged within six (6) months from a substance abuse Day, Intensive Outpatient, or Outpatient treatment service. The focus of this program is to provide the

necessary support and encouragement so that the parolee can complete treatment outside of the program, adjust to a chemically abstinent lifestyle, and manage activities of daily living so that they can move towards independent housing and life management. Services shall be provided to only those parolees referred by the Hawaii Paroling Authority.

The overall rehabilitation approach of the parolee supportive services plan shall be cognitive and behavioral with heavy emphasis on relapse prevention. The therapeutic approach shall be holistic, with a focus on the bio-psycho-social needs of the parolees (physical, mental, social, emotional, familial, and spiritual). Services shall be designed to help parolees change their thought process, attitudes, values and behaviors from negative and dysfunctional to positive and self-fulfilling. Supportive services shall follow the principles of effective service intervention, based in part on the National Institute on Drug Abuse principles of drug addiction treatment as follows:

- Assessment parolees, to include risk of re-offending, substance abuse treatment needs, and criminogenic needs are essential
 - Match level of services to level of risk
 - Match supportive services with appropriate levels of care that meet individual needs based on assessment of parolee characteristics, such as learning style, and responsivity
 - Service models should be research based and include social learning and cognitive behavioral techniques
 - Relapse/recidivism prevention of both substance abuse and criminal behaviors needs to be the focus of the supportive services
 - Supportive services must target criminogenic issues, such as antisocial attitudes, chemical dependency, criminal companions, physical and mental health, social relationships, vocational/financial, residence/neighborhood, and education
 - Length of stay in supportive service must be sufficient for change to occur, but not so long as to reduce service effectiveness
 - Service providers must be responsive to the parolee population and goals of the overall program
 - Possible drug use during supportive service plan must be monitored continuously
 - Medications are an important element of support services for many, especially when combined with counseling and behavioral therapies
 - Aftercare is essential
1. APPLICANTS providing Therapeutic Living Program services shall provide **fifteen (15) hours per week** of face-to-face therapeutic activities to each parolee. Activities can include, but are not limited to, needs assessment, service planning, individual and group skill building, referral and linkage, case management, client support and advocacy, monitoring and follow-up. Each part of the continuum shall include, as appropriate, the face-to-face activities, which are defined in ADAD'S **Substance Abuse Treatment Guidelines** found in Section 5, Attachment E-1. The service shall be based on a parolee's/resident's assessment and

recovery/supportive service plan and shall address the physiological, psychological, and social, aspects of recovery.

2. APPLICANT to conduct screening and assessment services of parolees referred for supportive services **within fourteen (14) days of referral**. Assessments shall be presented in writing to the referring parole officers **within five (5) working days** of the assessment session based on the assessment results.

Upon completion of the provider's initial screening with a referred Kauai parolee and the provider's acceptance of the Kauai parolee into the program, the HPA Paroles & Pardons Administrator, Field Services Branch Administrator or their designee, will review the request, and if appropriate, approve the Kauai's parolee's transportation to the provider's facility as a covered service.

3. A parolee recovery plan shall be prepared **within seven (7) days of admission** by program's staff in cooperation with the parolee and, when applicable, staff of any Outpatient or Day treatment program serving the parolee. Plans shall include problem areas to be addressed in supportive services, services recommended (group, individual, and family counseling), projected time in treatment, short and long range service goals, and shall measure a parolee's progress in services.
4. APPLICANT shall develop and have a mechanism for periodic review and updating of the supportive service plan as the parolee progresses through the services with **monthly** written progress reports being submitted to the referring parole officer. Progress reports shall include:
 - (a) The first and last name of the parolee
 - (b) The date of the report
 - (c) The time period the report covers
 - (d) The name of the agency providing services
 - (e) The location (facility) where the service was delivered
 - (f) The number of attended sessions versus the total number of sessions offered during the time period covered by the report

Each progress report for each parolee shall be stamped CONFIDENTIAL in the upper right corner on the first page. Reports shall focus on the content of the parolee's progress. Progress reports for group sessions will include the stated goals covered during the reporting period; the parolee's improved performance to reach the stated goal; any problems (i.e. when parolees lack the support of their family members in supportive services) encountered during reporting period and how these problems were addressed. Inadequate progress reports will be grounds for contract termination.

5. Upon acceptance to APPLICANT'S program, parole officers shall provide a copy of the Level of Service Inventory-Revised (LSI-R) to the APPLICANT. APPLICANT shall ***openly communicate*** with the referring parole officer.

The APPLICANT shall ***immediately*** notify the referring parole officer when a parolee is not accepted into the program, when parolees do not contact the program, when parolees are terminated or when parolees do not attend their initial sessions within five (5) working days of the referral.

6. Clients in any level of treatment shall meet the most current version of the American Society for Addictive Medicine Patient Placement Criteria (**ASAMPPC**) for admission, continuance, and discharge. The APPLICANT shall document in writing in the parolee's chart that ASAM criteria have been met.

7. The APPLICANT that provides Therapeutic Living services shall develop and implement an appropriate transition plan for each parolee in the final phase of supportive services prior to discharge. The plan shall address transition and recovery issues and relapse prevention.

8. Adult treatment programs shall administer the **Addiction Severity Index (ASI)** as part of the initial assessment and upon discharge to all clients admitted for treatment. Results of the **ASI** must be included in the Client Data System Admission form.

9. The APPLICANT shall adopt and implement a policy on alcohol and other drug use (including psychotropic, mood stabilizing medication and methadone) while individuals are in service. **Client cannot be excluded solely on the basis of use of medically prescribed medication.**

10. The APPLICANT shall routinely make available tuberculosis (TB) services to all residents either directly or through arrangements with public or nonprofit agencies. If the program is unable to accept a person requesting services, the program shall refer the person to a provider of TB services. TB services shall include, but not be limited to counseling; testing to determine whether the individual has contracted the disease and to determine the appropriate form of treatment; and treatment.

11. Each Therapeutic Living Program shall provide the following services on-site or through resources in the community:

- a. Individual, group, or family therapy for each parolee;
- b. Educational counseling or vocational counseling, training and placement, as appropriate;
- c. Nutritional education;

- d. Recreation therapy;
 - e. Referrals to supportive services including self-help groups, legal counseling, life skills, substance abuse education; and
 - f. Community resources for financial and employment assistance, housing, and other specialized services
12. All residents in the same transitional living program house shall be adults of the same gender.
13. As ruled by the Office of Information Practices, the HPA may withhold from inspection by the parolee or his attorney, all confidential progress reports, assessment reports, and service recommendations provided by the APPLICANT, unless instructed otherwise by the Department of the Attorney General.

Whenever the APPLICANT is requested by the parolee, his/her family, or his/her attorney, to provide assessment reports or supportive services progress reports to the parolee, his family, or his attorney, the APPLICANT shall inform the requesting party that such reports are the property of the HPA, and that all requests should be directed to the contracting officer.

The APPLICANT shall notify the contracting officer, that such a request was made. The APPLICANT shall not release such reports directly to the parolee or to any party representing the parolee. Hawaii Revised Statutes Chapter 92 Section F-22 (1) (B) prohibits the release of confidential records that were previously submitted to criminal justice agencies.

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

1. Personnel

a. Staff Training and Supervision

The program shall have documentation of each staff member's completion of training recorded in the employee's personnel record. A regular assessment of the training needs of the staff shall be performed and documented. A written training schedule shall be in place and constantly updated at least annually.

- (1) Direct services staff shall be supervised by a clinical supervisor.
- (2) Direct services staff shall receive a minimum of one hour per month of supervision, or as determined by the HPA.
- (3) At a minimum, the documentation shall contain:

- (a) Name of the person supervised and the date of supervision
- (b) General content of the discussion
- (c) Documentation of the follow up to concerns and activities identified in clinical supervision sessions

The APPLICANT shall ensure that staff receives appropriate supervision including clinical supervision, and administrative direction.

Individuals performing the following functions shall be Hawaii State certified substance abuse counselors (CSACs) pursuant to **321-193 (10), Hawaii Revised Statutes (HRS)**, or hold an advanced degree in behavioral health sciences unless otherwise approved ADAD:

- Clinical supervision

CSACs and individuals who hold an advanced degree in behavioral health sciences preferably shall perform the following functions; however, non CSACs or non-Masters level providers may be utilized as long as they are directly supervised by a CSAC or Master's level counselor and are working toward certification:

- Clinical evaluation
- Supportive service planning
- Individual, group, and family counseling

Direct supervision means a minimum of one hour of supervision for every seven hours of performance. This involves teaching the supervisee about each core function of a substance abuse counselor, demonstrating how each core function is accomplished, the supervisee sitting in while the supervisor performs the function, the supervisee performing the function with the supervisor present, and, finally, the supervisee performing the function independently, but with review and feedback from the supervisor. In addition, supervisees shall be required to attend ADAD-approved CSAC preparatory training when available.

b. Personnel Orientation

The program shall have documentation of each staff member's orientation to the program. The orientation shall include, but not limited to:

- (1) Program(s);

- (2) Policies and procedures;
- (3) Duties and responsibilities of the position;
- (4) Health and safety procedures, including the uses of standard health care precautions;
- (5) Crisis intervention procedures;
- (6) Record keeping requirements;
- (7) Confidentiality;
- (8) Resident rights;
- (9) Cultural needs;
- (10) Community resources; and
- (11) The procedure for identifying and reporting abuse and neglect

c. Personnel Requirements

APPLICANT shall have policies and procedures requiring background checks and a criminal history check, which may include fingerprints. The APPLICANT shall conduct, at a minimum, a criminal history record check for any person who is employed or volunteers in an administrative or program position which necessitates close proximity to clients.

Personnel policies shall include qualifications, duties, and responsibilities of each staff position. APPLICANT shall adopt and enforce policies and procedures on hiring, termination, suspension, assignment, evaluation, promotion, confidentiality, and prohibiting personal involvement with residents.

APPLICANT shall have a minimum of one (1) year experience in the provision of support services for substance abuse clients plus a minimum of one (1) additional year of successful experience in the provision of support services for the parole population.

- (1) Staffing patterns shall reflect, to the maximum extent feasible, at all levels, the cultural, linguistic, ethnic, sexual, and other social characteristics of the community the facility serves;
- (2) The program shall be designed to use appropriate multidisciplinary professional and staff to meet the specific

diagnostic, rehabilitation, and supportive service needs of the resident; and

- (3) A personnel record shall be maintained for each individual employed by the APPLICANT. The records shall include training, experience, and qualifications of the position, and verification appropriate to licensure, registration or certification.
 - (4) APPLICANT shall have documentation verifying that each staff member has received annual training on confidentiality, resident's rights, cultural sensitivity, community resources, and on the program's safety procedures.
 - (5) APPLICANT shall have documentation verifying that each staff member has reviewed his or her position description on an annual basis.
 - (6) All direct services staff shall have current First Aid and Cardio-Pulmonary Resuscitation (CPR) certification, and infant CPR for those programs working with infants and children. The training must be conducted by trainers certified by American Lung Association, American Red Cross, or other organization accepted by the HPA. A minimum of one direct services staff member with a current First Aid certificate and CPR training shall be present in the program when residents are present in the program.
 1. For non-therapeutic program hours, the program shall have sufficient staff, as approved by the HPA, to ensure the safety, health, and delivery of the services.
 2. All direct service staff shall be familiar with substance abuse treatment and recovery issues. The staff shall also be familiar with practices including knowledge of relapse prevention, vocational rehabilitation, case management, life skills, and community resources.
 3. Program's staffing pattern shall include a fully certified program administrator pursuant to 321-193 (10), HRS or consultative services on a regular basis from a substance abuse professional.
 4. All direct service staff shall have training in and be familiar with current procedures and practices, intake, admission, and referral of residents.
- d. The APPLICANT shall document verifiable experience of staff in

any specialized therapeutic activities, such as psychotherapy or family therapy, and/or experience in working with relevant specialized populations such as women, minorities, or adolescents.

- e. Staffing shall reflect a multi-disciplinary team effort to the greatest extent possible.
- f. The APPLICANT shall maintain documentation for each employee of an initial and annual tuberculosis (TB) clearance.

2. Administrative

- a. The APPLICANT shall operate their program in accordance with the rules, regulations, and policies of the Department of Public Safety.
- b. The APPLICANT is required to meet the qualifying requirements specified in Chapter 103F, Hawaii Revised Statutes.
- c. The APPLICANT shall comply with all codes and ordinances as required by the State of Hawaii and the City and County of Honolulu.
- d. The APPLICANT shall have the ability to supervise, train, and provide administrative direction relative to the delivery of services.
- e. The APPLICANT shall maintain and show proof of a liability insurance policy of at least two million dollars. The State of Hawaii shall be named as an additional insured and shall be notified at least thirty (30) days prior to cancellation of the policy.

3. Quality Assurance and Evaluation Specifications

- a. The APPLICANT shall have a quality assurance plan which identifies:
 - The mission of the organization
 - What services will be provided
 - How services are delivered
 - Who is qualified to deliver them
 - Who is eligible to receive the services
 - What standards are used to assess or evaluate the quality and utilization of services
- b. The quality assurance plan shall:
 - Serve as procedural guidelines for staff, and will

- Confer designated individuals and committees with the authority to fulfill their responsibilities in the areas of quality assurance
- c. The quality assurance system shall:
- Identify strengths and deficiencies
 - Indicate corrective actions to be taken and validate corrections
 - Recognize and implement innovative, efficient, or effective methods for the purpose of overall program improvement
- d. Program evaluation shall reflect the documentation of the achievement of the stated goals of the program using tools and measures consistent with the professional standards of the disciplines involved in the delivery of services.
- e. APPLICANT will allow the appropriate agency's (i.e. Hawaii Paroling Authority, Department of Public Safety, Attorney General, and Judiciary) staff to use the Correctional Program Assessment Inventory (CPAI) or Correctional Program Checklist (CPC)
- f. Quality improvement activities shall include:
- (1) Composition and activities of a quality assurance and quality improvement committee;
 - (2) Methods for monitoring and evaluating the quality and appropriateness of resident care, including delineation of parolees outcomes and utilization of services;
 - (3) A requirement that staffs who are not qualified professionals and who provide direct care shall be supervised by a qualified mental health professional for those parolees requiring mental health services or a substance abuse professional for those parolees recovering from substance abuse;
 - (4) Strategies for improving parolee care;
 - (5) Methods for annual monitoring and maintenance of staff qualifications, licensure and certifications;
 - (6) Review of all sentinel events and establishment of measures to provide for parolee's safety; and
 - (7) Adoptions of standards that assure operational and programmatic performance meeting applicable standards of practice.

4. Output and performance/outcome measurements

a. Performance measures shall be summarized and analyzed and based on the data specified below, on a yearly basis. The APPLICANT shall set a threshold percentage of achievement for each of the following:

- (1) Number of clients completing supportive service
- (2) Employment status at follow-up
- (3) Living arrangements at follow-up
- (4) Number of clients receiving substance abuse treatment since discharge
- (5) Number of clients currently in substance abuse treatment
- (6) In the past thirty (30) days, number of clients experiencing significant periods of psychological distress
- (7) In the past thirty (30) days, number of days of work/school missed because of drinking/drug use
- (8) Number of arrests since discharge
- (9) Number of emergency room visits since discharge
- (10) Number of times client has been hospitalized for medical problems since discharge
- (11) Frequency of use thirty (30) days prior to follow-up

b. The APPLICANT shall submit a **Client Data System Follow-Up Report** form for all clients admitted to the program six (6) months after termination, regardless of the reason for discharge. Sufficient staff time shall be allocated for follow-up to ensure at least three (3) attempts to contact clients using at least two (2) different methods (e.g., mail out, telephone, face-to-face) are made, and to assure that unless the client has died or left no forwarding address they will be contacted.

5. Experience

a. The APPLICANT shall describe the experience of its staff and the ability to hire and retain qualified substance abuse counselors. APPLICANT to report the success it has had in recruiting and retaining quality staff.

b. The APPLICANT shall provide a listing of verifiable experience

with projects or contracts that clearly shows one (1) year experience in the provision of support services for substance abuse clients plus a minimum of one (1) additional year of successful experience in the provision of support services for parolees.

c. For those applicants that do not meet the one (1) year experience requirement, an exception can be made. The request for an exception shall include at a minimum, a discussion of the following:

- The reasons why the exception is being requested (i.e. the reasons why the organization does not meet the two (2) year experience requirement, the service for which funds are being requested is a new service, etc.)
- The qualification and experience of the organization in providing services for other related state programs in the past
- A description of the activities performed to date, and accompanying statistical data

d. APPLICANT to provide a list of experience as an agency providing services to parolees and their families.

- What services will be provided
- How services are delivered
- Who is qualified to deliver them
- Who is eligible to receive the services
- What standards are used to assess or evaluate the quality and utilization of services

6. Coordination of Services

a. The APPLICANT shall provide and document appropriate linkages to other services.

b. The APPLICANT shall maintain a current base of information and referral sources on alcohol, tobacco and other drug, substance abuse and related problem behaviors and treatment resources. Such information shall be made easily accessible to staff and program recipients.

7. Reporting Requirements for Program and Fiscal Data

a. 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 POS Proposal Application (may be attached):

APPLICANT'S current financial statement and any financial audit completed in the last three (3) years

- b. APPLICANT shall submit to the Contracting Person, a monthly invoice (an original and two copies) for payment of delivered service no later than thirty (30) days after the last supportive service intervention for the month.

Each monthly invoice shall include:

- (1) The date and time of each session, whether completed or interrupted, and whether for screening, group, or individual supportive services
- (2) A roster for each session of parolees who attended each session, signed by each parolee in his handwriting and by the treating therapists
- (3) A one-page summary roster attendance sheet for the entire reporting period
- (4) For absent parolees, whether they were excused or unexcused, and the reason for the absence if known

The APPLICANT'S invoices shall not include costs incurred by sub-contracted service providers, unless such costs are paid by the APPLICANT under the terms and conditions provided herein.

The invoice shall be mailed to the following address:

Mr. Michael D. Knott (Contracting Person)
Hawaii Paroling Authority
1177 Alakea Street, Ground Floor
Honolulu, HI 96813

Any discrepancies in regards to the invoice, will be handled in 45 days or less.

- c. APPLICANT shall have in place, fiscal policies and procedures that shall include:

- (1) Maintenance of financial records including an annual budget showing income and expenditures
- (2) Provisions for an independent examination of the program's financial records, with documentation of such to be available for inspection by the appropriate agencies; and
- (3) Additional policies and procedures addressing the following:
 - Management of the program's funds;

- Any insurance policies secured by the agency to protect funds; and
- Donations accepted by the APPLICANT or program

- (4) Financial information including a procedure for identification, accountability, documentation of money transfers, and safeguards of funds belonging to parolees shall be implemented if the program is responsible for funds belonging to parolees.

C. Facilities

The applicant shall provide a description of the facility(s) and site that will be used to meet the supportive service needs of the parolees.

2.5 COMPENSATION AND METHOD OF PAYMENT

1. Pricing Structure Based on a Fixed Unit of Service Rate

Pricing shall be based on unit of service pricing structure. The pricing shall include all taxes, shall be all-inclusive cost to the State, and no other charges will be honored.

2. Units of Service and Rate

The unit of service and unit rate shall be based on price per bed per day based on an estimated number of beds and price per bed day. Therapeutic Living Program services can bill for the day of admission but not for the day of discharge.

The number of beds may be increased provided that funds are available from under utilized vacant bed days. The ability to provide services will be dependent upon the ability to charge the specific dollar amount per day from the program budget.

a. Therapeutic Living

- Cost per client per bed day

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 (SPOH-200A) is available on the SPO website (see 1.2 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 is comprised of the following sections:

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

3.1 Program Overview

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

3.2 Experience and Capability

A. Necessary Skills

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

B. Experience

1. The applicant shall provide a description of projects/contracts pertinent to the proposed services.
2. The applicant shall demonstrate that it has the necessary skills, abilities, knowledge of, and experience relating to providing substance abuse services.
3. Applicant to provide a list of contracts performed for the Department of Public Safety.
4. Applicant to provide a list of prior contracts with the public sector in providing services in general for male and female offenders specifically.

Discuss any problems or difficulties encountered in prior contracts. Applicant shall provide a point of contact and telephone number for each contract listed. The Department reserves the rights to contact any of the listed points of contact to inquire about the applicant's past service performance and personnel.

C. Quality Assurance and Evaluation

1. The quality assurance program includes the specifications to monitor, evaluate and improve the results of the program. APPLICANT will present a plan for collecting, analyzing, and reporting the information required to document that the applicant's goals and objectives have been reached
2. The quality assurance process shall serve as a source of information for internal and external parties interested in knowing how the program monitors and improves the quality of its services:

- Findings shall be summarized and reviewed by the quality assurance committee
- Information shall be conveyed at least semi-annually to: the program administrator (e.g. clinical supervisor, program director), the organization's executive officer (e.g. Executive Director) and governing body (e.g. Board of Directors)

D. Coordination of Services

The APPLICANT shall collaborate with other appropriate services, including, but not limited to health, mental health, social, correctional and criminal justice, educational, vocational rehabilitation, and employment services. The APPLICANT shall demonstrate the capability to coordinate services with other agencies and resources in the community.

- Describe coordination efforts with other agencies and resources. Efforts towards reduction of fragmentation and/or duplication of services should be described.
- Describe and document arrangements with other agencies to provide levels of care as needed for clients.

E. Facilities

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

3.3 Project Organization and Staffing

A. Staffing

1. Proposed Staffing

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

2. Staff Qualifications

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

- (a) List names and submits copies of resumes of all executive/administrative staff already in the employ of the applicant and/or of those likely to be hired.
- (b) List names and submit resumes of all program staff already in the employ of the applicant and/or of those likely to be hired

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

Applicant shall also describe all pre-service and in-service training provided to applicant's staff, including number of training hours, and the method(s) used to evaluate the performance of applicant's staff.

B. Project Organization

1. Supervision and Training

The applicant shall reflect the position of each staff and line of responsibility/supervision. (Include position title, name and full time equivalency)

2. Organization Chart

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

3.4 Service Delivery

The applicant shall include a detailed discussion of the applicant's approach to applicable service activities and management requirements from Section 2, Item III. - Scope of Work, including (if indicated) a work plan of all service activities and tasks to be completed, related work assignments/responsibilities and timelines/schedules of supportive services. Applicant shall include a comprehensive description and flow of the services and activities proposed to provide the substance abuse supportive services to male and female parolees on Oahu. This section shall include, at minimum, the following:

- Program philosophy
- Program components
- Admission criteria
- Description of case management services, including record-keeping and and report writing methods
- Description of how the basic services will be provided
- Frequency and duration of the treatment intervention for each
- Maximum number of inmates that will be allowed in each component of supportive service plan
- Discharge criteria for both successful completion and unsuccessful completion

- Procedures for linking parolees with community services

APPLICANT shall also provide a detailed description of its outcome evaluation and measures of effectiveness.

3.5 Financial

A. Pricing Structure

Applicants shall submit a cost proposal utilizing the pricing structure designated by the state-purchasing agency. The cost proposal shall be attached to the POS Proposal Application. Pricing shall be based on a fixed unit of service pricing structure. Proposals shall include the unit of cost for each component, as well as a reasonable estimate of the number of units to be provided. Refer to Section 2.5 Compensation and Method of Payment page 2-30, for specific units of service and unit rate. The pricing shall include all taxes, shall be the all inclusive cost to the State, and no other charges will be honored.

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 POS Proposal Application (may be attached):

- Applicant's current financial statement and any financial audit completed in the last three (3) years

Applicant shall submit to the Contracting Person, a monthly invoice (an original and two copies) for payment of delivered service no later than thirty (30) days after the last supportive service intervention for the month.

B. Other Financial Related Materials

1. Accounting System

To determine the adequacy of the applicant's accounting system as described under the administrative rules, the following documents are requested as part of the Proposal Application (may be attached)

All budget forms, instructions and samples are located on the SPO website (see the POS Proposal Checklist in Section 5 for website address). The following budget forms shall be submitted with the POS Proposal Application:

- SPO-H-205, Budget
- SPO-H-205A, Organization-Wide Budget by Source of Funds
- SPO-H-206A, Budget Justification – Personnel – Salaries and Wages
- SPO-H-206B, Budget Justification – Personnel – Payroll Taxes, Assessments, and Fringe Benefits
- SPO-H-206F, Budget Justification – Contractual Services – Subcontractors
- SPO-H-206I, Budget Justification – Equipment Purchases

3.6 Other

A. Litigation

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

Section 4

Proposal Evaluation

Section 4

Proposal Evaluation

4.1 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.

4.2 Evaluation Process

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

The evaluation will be conducted in three phases as follows:

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

Evaluation Categories and Thresholds

Evaluation Categories

Possible Points

Administrative Requirements

Proposal Application

100 Points

Program Overview	0 points
Background and Summary	10 points
Experience and Capability	20 points
Project Organization and Staffing	10 points
Service Delivery	50 points
Financial	10 Points

TOTAL POSSIBLE POINTS

100 Points

4.3 Evaluation Criteria

A. Phase 1 - Evaluation of Proposal Requirements

1. Administrative Requirements

- a. Application Checklist
- b. Certificate of Liability Insurance

2. POS Proposal Application Requirements

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

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

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

1. Background and Summary (10 Points)

- | | |
|---|------------------------|
| A. The applicant has demonstrated a thorough understanding of the purpose and scope of the service activity | <u>4 points</u> |
| B. The goals and objectives are in alignment with the proposed service activity | <u>3 points</u> |
| C. The applicant has described how the proposed service is designed to meet the pertinent issues and problems related to the service activity | <u>3 points</u> |

2. 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 | <u>4 points</u> |
| <ul style="list-style-type: none"> • Demonstrated skills, abilities, and knowledge relating to the delivery of the proposed services. | <u>2 points</u> |
| <ul style="list-style-type: none"> • The assessment tools and curriculum are identified and strategies for teaching, counseling, and care of parolees are outlined. | <u>2 points</u> |
| B. Experience | <u>4 points</u> |
| <ul style="list-style-type: none"> • Demonstrated experience relating to the delivery of the proposed services. | |

Superior service: **+4 points maximum**
(Superior service to be defined as vendor providing exceptional services per the contract or services beyond the minimum service requirements of the contract.)

Service not yet established **+0 points**
(For providers not yet established working with the correctional population)

Substandard service **-4 points maximum**
(Substandard service defined as notices issued to the provider for corrective action which have not been adequately addressed.)

- | | |
|---|------------------------|
| D. Quality Assurance and Evaluation | <u>4 points</u> |
| <ul style="list-style-type: none"> • Sufficiency of quality assurance and evaluation plans for the proposed services, including methodology. | _____ |
| E. Coordination of Services | <u>4 points</u> |
| <ul style="list-style-type: none"> • Demonstrated capability to coordinate services with other agencies and resources in the community. | _____ |
| F. Facilities | <u>4 points</u> |
| <ul style="list-style-type: none"> • Adequacy of facilities relative to the proposed services. | <u>2 points</u> |
| <ul style="list-style-type: none"> • The facility plan meets all ADA requirements. | <u>2 points</u> |

2. Project Organization and Staffing (10 Points)

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

- | | |
|--|------------------------|
| A. Staffing | <u>6 points</u> |
| <ul style="list-style-type: none"> • <u>Proposed Staffing</u>: That the proposed staffing pattern, client/staff ratio, and proposed caseload capacity is reasonable to insure viability of the services. | <u>3 points</u> |
| <ul style="list-style-type: none"> • <u>Staff Qualifications</u>: Minimum qualifications (including experience) for staff assigned to the program. | <u>3 points</u> |
| B. Project Organization | <u>4 points</u> |
| <ul style="list-style-type: none"> • <u>Supervision and Training</u>: Demonstrated ability to supervise, train and provide administrative direction to staff relative to the delivery of the proposed services. | <u>2 points</u> |
| <ul style="list-style-type: none"> • <u>Organization Chart</u>: Approach and rationale for the structure, functions, and staffing of the proposed organization for the overall service activity and tasks. | <u>2 points</u> |

3. Service Delivery (50 Points)

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

The evaluation criteria may also include an assessment of the logic of the work plan for the major service activities and tasks to be completed, including clarity in work assignments and responsibilities, and the realism of the timelines and schedules, as applicable.

- | | |
|--|-------------------------|
| A. Program philosophy | <u>5 points</u> |
| B. Program components | <u>15 points</u> |
| C. Admission Criteria | <u>2 points</u> |
| D. Case management services | <u>10 points</u> |
| E. Description of basic services | <u>10 points</u> |
| F. Frequency & duration of the supportive service intervention | <u>2 points</u> |

- | | |
|--|-----------------|
| G. Maximum number of parolees that will be allowed in each component of supportive service plan | <u>2 points</u> |
| H. Discharge criteria for both successful completion and unsuccessful completion | <u>2 points</u> |
| I. Procedures for linking parolees with community services | <u>2 points</u> |
-

5. Financial (10 Points)

- | | |
|--|-----------------|
| • Applicants proposal budget is reasonable, given program resources and operational capacity | <u>5 points</u> |
| • Adequacy of accounting system | <u>5 points</u> |
-

B. 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 Table of Contents
- C. Questions and Answers

Proposal Application Checklist

Applicant: _____ RFP No.: _____

The applicant's proposal must contain the following components in the order shown below. Return this checklist to the purchasing agency as part of the Proposal Application. SPOH forms are on the SPO website.

Item	Reference in RFP	Format/Instructions Provided	Required by Purchasing Agency	Applicant to place "X" for items included in Proposal
General:				
Proposal Application Identification Form (SPOH-200)	Section 1, RFP	SPO Website*	X	
Proposal Application Checklist	Section 1, RFP	Attachment A	X	
Table of Contents	Section 5, RFP	Section 5, RFP	X	
Proposal Application (SPOH-200A)	Section 3, RFP	SPO Website*	X	
Hawaii Compliance Express Verification Certificate	Section 1, RFP	Hawaii Compliance Express SPO Website*	X	
Cost Proposal (Budget)				
SPO-H-205	Section 3, RFP	SPO Website*	X	
SPO-H-205A	Section 3, RFP	SPO Website* Special Instructions are in Section 5	X	
SPO-H-205B	Section 3, RFP,	SPO Website* Special Instructions are in Section 5		
SPO-H-206A	Section 3, RFP	SPO Website*	X	
SPO-H-206B	Section 3, RFP	SPO Website*	X	
SPO-H-206C	Section 3, RFP	SPO Website*		
SPO-H-206D	Section 3, RFP	SPO Website*		
SPO-H-206E	Section 3, RFP	SPO Website*		
SPO-H-206F	Section 3, RFP	SPO Website*	X	
SPO-H-206G	Section 3, RFP	SPO Website*		
SPO-H-206H	Section 3, RFP	SPO Website*		
SPO-H-206I	Section 3, RFP	SPO Website*	X	
SPO-H-206J	Section 3, RFP	SPO Website*		
Certifications:				
Federal Certifications				
Debarment & Suspension		Section 5, RFP		
Drug Free Workplace		Section 5, RFP		
Lobbying		Section 5, RFP		
Program Fraud Civil Remedies Act		Section 5, RFP		
Environmental Tobacco Smoke		Section 5, RFP		
Program Specific Requirements:				
Substance Abuse Counselor Certificate			X	
Certificate of Liability Insurance		With proposal, or Upon Award		
DOH-OHCA (TLP)			X	

*Refer to subsection 1.2, Website Reference for website address.

Sample

Organization: _____
RFP No: _____

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