

State of Hawaii
Department of Health
Child and Adolescent Mental Health Division

Contract Management Section

Request for Proposals

RFP 460-14-04

Outreach Services for Homeless Youth

January 07, 2014

Note: *It is the applicant's responsibility to check the public procurement notice website, the request for proposals website, or to contact the RFP point-of-contact identified in the RFP for any addenda issued to this RFP. The State shall not be responsible for any incomplete proposal submitted as a result of missing addenda, attachments or other information regarding the RFP.*

January 07, 2014

REQUEST FOR PROPOSALS

MENTAL HEALTH SUPPORTS FOR HOMELESS CHILDREN AND FAMILIES

RFP NO. 460-14-04

The Department of Health, Child and Adolescent Mental Health Division, is requesting proposals from qualified applicants to provide outreach services to homeless children and youth. Services may include, but are not limited to extensive outreach to establish rapport and build supportive relationships with homeless children and youth, offer assistance to address immediate needs and services to support emotional health.

The proposed contract term will be from September 1, 2014 through August 31, 2015 and renewable for additional terms. Multiple contracts may be awarded under this request for proposals.

Proposals shall be mailed and postmarked by the United State Postal Service on or before February 18, 2014, or hand delivered no later than 3:30 p.m., Hawaii Standard Time (HST), on February 18, 2014, at the drop-off site designated on the Proposal Mail-in and Delivery Information Sheet. Proposals postmarked or hand delivered after the submittal deadline shall be considered late and rejected. There are no exceptions to this requirement.

The Child and Adolescent Mental Health Division will conduct an orientation on January 14, 2014 from 1:00 p.m. to 3:00 p.m. HST, at 3627 Kilauea Avenue, Room 108, Honolulu, Hawaii. All prospective applicants are encouraged to attend the orientation.

The deadline for submission of written questions is 3:30 p.m., HST, on January 21, 2014. All written questions will receive a written response from the State on or about January 24, 2014.

Inquiries regarding this RFP should be directed to the RFP contact person, Mr. John MacDonald, Contract Management Specialist, at 3627 Kilauea Avenue, Honolulu, Hawaii 96816, telephone: (808) 733-9338, fax: (808) 733-8375, e-mail: john.macdonald@doh.hawaii.gov

PROPOSAL MAIL-IN AND DELIVERY INFORMATION SHEET

NUMBER OF COPIES TO BE SUBMITTED: 1 Original and 3 Copies and 1 CD

ALL MAIL-INS SHALL BE POSTMARKED BY THE UNITED STATES POSTAL SERVICE (USPS) NO LATER THAN **February 18, 2014** and received by the state purchasing agency no later than **10 days from the submittal deadline**.

All Mail-ins

Department of Health
Child and Adolescent Mental Health
Division
3627 Kilauea Avenue, Room 101
Honolulu, Hawaii 96816

DOH RFP COORDINATOR

John MacDonald
Telephone 808 733-9338
Fax 808 733-8375
John.macdonald@doh.hawaii.gov

ALL HAND DELIVERIES SHALL BE ACCEPTED AT THE FOLLOWING SITE UNTIL 3:30 P.M., Hawaii Standard Time (HST), February 18, 2014. Deliveries by private mail services such as FEDEX shall be considered hand deliveries. Hand deliveries shall not be accepted if received after 3:30 p.m., February 18, 2014

Drop-off Sites

Oahu:
Department of Health
Child and Adolescent Mental Health Division
3627 Kilauea Avenue, Room 101
Honolulu, Hawaii 96816

RFP Table of Contents

Section 1 Administrative Overview

1.1	Procurement Timetable.....	1-1
1.2	Website Reference	1-2
1.3	Authority.....	1-2
1.4	RFP Organization	1-3
1.5	Contracting Office	1-3
1.6	RFP Contact Person.....	1-3
1.7	Orientation	1-3
1.8	Submission of Questions	1-4
1.9	Submission of Proposals.....	1-4
1.10	Discussions with Applicants.....	1-6
1.11	Opening of Proposals.....	1-6
1.12	Additional Materials and Documentation.....	1-7
1.13	RFP Amendments.....	1-7
1.14	Final Revised Proposals.....	1-7
1.15	Cancellation of Request for Proposals.....	1-7
1.16	Costs for Proposal Preparation	1-7
1.17	Provider Participation in Planning.....	1-7
1.18	Rejection of Proposals	1-8
1.19	Notice of Award	1-8
1.20	Protests.....	1-8
1.21	Availability of Funds	1-9
1.22	General and Special Conditions of the Contract.....	1-9
1.23	Cost Principles.....	1-9

Section 2 - Service Specifications

2.1.	Introduction	
	A. Overview, Purpose or Need	2-1
	B. Planning activities conducted in preparation for this RFP.....	2-1
	C. Description of the Service Goals	2-1
	D. Description of the Target Population to be Served.....	2-1
	E. Geographic Coverage of Service	2-1
	F. Probable Funding Amounts, Source, and Period of Availability.....	2-1
2.2.	Contract Monitoring and Evaluation	2-2
2.3.	General Requirements.....	2-2
	A. Specific Qualifications or Requirements	2-2
	B. Secondary Purchaser Participation	2-2
	C. Multiple or Alternate Proposals.....	2-2
	D. Single or Multiple Contracts to be Awarded	2-2
	E. Single or Multi-Term Contracts to be Awarded	2-3

2.4.	Scope of Work	2-3
	A. Service Activities	2-3
	B. Management Requirements	2-3
	C. Facilities	2-4
2.5.	Compensation and Method of Payment	2-4

Section 3 - Proposal Application Instructions

	General Instructions for Completing Applications	3-1
3.1.	Program Overview	3-2
3.2.	Experience and Capability	3-2
	A. Necessary Skills	3-2
	B. Experience	3-2
	C. Quality Assurance and Evaluation	3-2
	D. Coordination of Services	3-2
	E. Facilities	3-3
3.3.	Project Organization and Staffing	3-3
	A. Staffing	3-3
	B. Project Organization	3-3
3.4.	Service Delivery	3-4
3.5.	Financial	3-4
	A. Pricing Structure	3-4
	B. Other Financial Related Materials	3-5
3.6.	Other	3-5
	A. Litigation	3-5

Section 4 – Proposal Evaluation

4.1.	Introduction	4-1
4.2.	Evaluation Process	4-1
4.3.	Evaluation Criteria	4-2
	A. Phase 1 – Evaluation of Proposal Requirements	4-2
	B. Phase 2 – Evaluation of Proposal Application	4-2
	C. Phase 3 – Recommendation for Award	4-5

Section 5 – Attachments

Attachment A	Proposal Application Checklist
Attachment B	Sample Proposal Table of Contents
Attachment C	Federal Certifications
Attachment D	Certification for Tobacco Smoke
Attachment E	Guidelines for Organization Wide Audit

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)	<u>January 07, 2014</u>
Distribution of RFP	<u>January 07, 2014</u>
RFP orientation session	<u>January 14, 2014</u>
Closing date for submission of written questions for written responses	<u>January 21, 2014</u>
State purchasing agency's response to applicants' written questions	<u>January 24, 2014</u>
Discussions with applicant prior to proposal submittal deadline (optional)	<u>Jan 14 – Feb 16, 2014</u>
Proposal submittal deadline	<u>February 18, 2014</u>
Discussions with applicant after proposal submittal deadline (optional)	<u>Feb 19 – Feb 27</u>
Final revised proposals (optional)	<u>March 13, 2014</u>
Proposal evaluation period	<u>Mar 17 – Mar 31, 2014</u>
Provider selection	<u>April 04, 2014</u>
Notice of statement of findings and decision	<u>April 07, 2014</u>
Contract start date	<u>September 01, 2014</u>

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:

Department of Health
Child and Adolescent Mental Health Division
Contract Management Section
3627 Kilauea Avenue, Room 101
Honolulu, Hawaii 96816

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.

Contact: John MacDonald Phone: 808-733-9338 Email: john.macdonald@doh.hawaii.gov
--

1.7 Orientation

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

Date: January 14, 2014 **Time:** 1:00 P.M. to 3:00 P.M.
Location: 3627 Kilauea Avenue, Room 108, Honolulu, Hawaii 96816

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: January 21, 2014 **Time:** 3:30 P.M. HST

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

Date: On or about January 24, 2014

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 are strongly encouraged to 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 Clearance and Compliance department website addresses for additional options.
- **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.

Proposals shall follow General Instructions for completing applications as stated in Section 3 Proposal Application Instructions. Include CD with Original Proposal binder.

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: Gary L. Gill	Name: M. Stanton Michels, M.D.
Title: Acting Director of Health	Title: CAMHD Administrator
Mailing Address: P.O. Box 3378 Honolulu, Hawaii 96801	Mailing Address: 3627 Kilauea Avenue, Room 101 Honolulu, Hawaii 96816
Business Address: 1250 Punchbowl Street Honolulu, Hawaii 96813	Business Address: Same as Above

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.

Section 2

Service Specifications

Section 2

Service Specifications

2.1 Introduction

The Hawaii Revised Statutes (321-171-177) require the Child and Adolescent Mental Health Division (CAMHD) to coordinate the effective and efficient delivery of mental health services to children and youth, including services provided by private nonprofit agencies under contract to the Department of Health, and to be responsible for the development and implementation of centralized and highly specialized programs for children and youth.

The Department of Health receives federal block grant funds from the Substance Abuse and Mental Health Services Administration under the Community Mental Health Services (CMHS) Block Grant program. Title II of Public Law 102-321 establishes a Block Grant for Community Mental Health Services administered by CMHS, which permits the allocation of funds to States for the provision of community mental health services. Each year the CAMHD develops, in collaboration with the State Council on Mental Health, a state plan for the provision of children's mental health services as identified in its application for federal block grant funds.

This children's mental health state plan is developed in accordance with federal law (106-310), which requires the submission of an annual plan in order to qualify for federal funding in the area of community mental health services. The focus of the Community Mental Health Services Block Grant program, as administered by the CMHS is the strengthening of state community-based mental health services. The CAMHD's state plan as submitted in application for this grant is consistent with the focus and vision to strengthen state community-based mental health services. The CAMHD's system of care is based on the Hawaii Child and Adolescent Service System Program (CASSP) principles (See Section 5, Attachment D), requiring that the system be family and child-centered, with the delivery of services, programs and placements in the least restrictive setting for the individual and family.

For FY 2014-2015 CAMHD plans to use the block grant funds to support one or more innovative programs that promote the mental health of homeless children and their families.

A. Overview, purpose or need

In the U.S., over one-fourth of the homeless population is children. Forty-two percent of these children are under the age of five. Over the course of a year, as many as 1.4 million children experience homelessness. The literature on the health of homeless children documents learning disabilities, behavior disorders, and emotional problems. Research suggests that persistent homelessness amplifies mental health risks.

The experience of homelessness results in a loss of community, routines, possessions, privacy, and security. For youth, homelessness can create a loss of stability, disruption in education, increased food insecurity, and increased exposure to disease, violence and substance abuse. Anxiety, loss of sleep, frequent illness, and hunger can contribute to learning disabilities. These conditions can trigger or exacerbate emotional problems in children.

Homelessness affects cognitive and emotional development:

- Homeless babies show significantly slower development than other children.
- More than 20% of homeless children between the ages of 3 and 6 have emotional problems serious enough to require professional care
- By the time homeless children are 8 years old, one in three has a major mental disorder
- About half of homeless school-age children have significant mental health problems including anxiety, depression, posttraumatic stress disorder (“PTSD”), suicide ideation and substance abuse disorders
- Less than one-third of homeless children receive mental health treatment

Additionally,

- Homeless children go hungry at twice the rate of other children
- 25% have witnessed acts of violence in their families
- Homeless children experience physical and sexual abuse at two to three times the rate of other children
- Homeless children are separated from their family to be put in foster care at higher rates than other children (12% vs. 1%)

Trauma in the Lives of Homeless Youth

Rates of abuse among homeless youth vary widely across studies, ranging from 17%-35% for sexual abuse and 40%-60% for physical abuse and neglect. Two studies conducted for the U.S. Department of Human Services found 46% of runaway and homeless youth reported being physically abused, 17% reported being sexually exploited, and 38% reported being emotionally abused. The National Center on Family Homelessness estimates that 35% of homeless children have been the subject of a child protection investigation and 24% have witnessed acts of violence within their family.

Youth who take to the streets are vulnerable to further victimization by predatory adults, criminals, pimps and other street youth. They may be exploited or become victims of street violence or members of gangs which provide protection and a sense of family. They may be drawn into criminal activity or illicit sex in order to earn money for food, shelter, clothing and other basic needs. They often drop out of school, forfeiting their opportunities to learn and to become independent, self-sufficient, contributing members of society. In one study, 43% of homeless adolescent males and 39% of adolescent females reported being assaulted with a weapon while living on the

streets. Youth identifying as gay, lesbian, bisexual, transgender or questioning (GLBTQ) will experience 7.4 more acts of sexual violence than other homeless youth. GLBTQ youth are often marginalized, disenfranchised, and have typically encountered discrimination and harassment within traditional service program settings both by the clients and professionals.

The situations for homeless youth can appear hopeless. One survey found that 25% of youth in shelters and 32% of those on the street had attempted suicide. GLBTQ youth are more than twice as likely to attempt suicide as their heterosexual peers. The stresses associated with homelessness can exacerbate other trauma-related difficulties and interfere with trauma recovery.

Homeless children frequently survive with little or no contact with medical professionals, and as a result, their health problems may go untreated and worsen. Their emotional and behavioral health issues are typically not addressed. Without the intervention and support of community institutions, these youth may not acquire the personal and work skills that will enable them to become self-sufficient and independent. The end result for homeless children and youth is that without adequate intervention, supports and services, there may be long term health and emotional/behavioral problems.

Therefore, the CAMHD seeks to support one program to provide outreach services for homeless and at-risk youth on the island of Oahu.

Service Area Options

One proposal will be selected to provide outreach to homeless youth and other youth at risk for mental health challenges. For the purposes of this RFP, at-risk youth include those who are runaway, throwaway, street-identified youth, and gay/lesbian/bisexual/transgender/questioning (GLBTQ) youth.

Outreach to Homeless and At-Risk Youth

The overall purpose of this RFP is to provide emotional and behavioral health services to homeless youth and other youth at risk for mental health difficulties. However, it is recognized that extensive outreach services are necessary to build relationships with these populations before initiating any traditional service programs.

The array of social, emotional and physical health problems faced by homeless/runaway/throwaway/street-identified youth is dramatically compounded by the incidence of sexual exploitation and/or abuse, and alcohol and/or substance abuse. These youth are victimized by strangers as well as by individuals known to the youth, and a significant number of youth are exploited as they participate in survival sex to meet their basic needs for food and shelter. Homeless youth frequently abuse and develop a dependency on alcohol and/or other substance during these times. Because of these issues, these youth may often require intensive services; however, they must be afforded the opportunity to slowly build trust relationships with caring and responsible

adults as the first step to successfully encouraging them to leave their situation. The purpose of the outreach services is to support the development of safe, stable relationships so that homeless and at-risk youth may eventually develop the trust and capacity to accept additional support and services they may require.

Trauma-Informed Care

Homeless and at-risk youth often struggle to recover from both previous and new traumatic experiences. Strategies to promote trauma-informed and effective treatment of homeless and at-risk youth, include:

- Identify and address agency policies and procedures that could re-traumatize youth by inadvertently having them relive their traumatic experiences before they have the knowledge and skills to cope.
- Offer assistance with no strings attached.
- Consider the youth's behavior in the context of their life experiences, including traumatic life experiences.
- Prioritize youths' immediate needs. Youth with unmet primary needs may have difficulty focusing on forming a trusting relationship with service providers.
- During assessment, determine the youth's strengths and talents, rather than focusing only on problems and deficits.
- Allow homeless youth to make their own choices whenever possible.
- Assess the youth's cognitive abilities so that appropriate language can be used for youth to better understand.
- Offer youth referrals to agencies that are youth-friendly and welcome young people.
- Tailor interactions and services to the individual needs of each youth.
- Recognize that youth may have co-occurring disorders and other mental health problems that need to be addressed.

(see: The National Child Traumatic Stress Network. (2007). Trauma Among Homeless Youth (Culture and Trauma Brief, Volume 2, No. 1). Available at www.NCTSN.org)

B. Planning activities conducted in preparation for this RFP

CAMHD conducted a Request for Information on November 4, 2013

C. Description of the service goals

Homeless Youth Outreach

The goal of the outreach services to homeless and at-risk youth is to establish and build relationships with these youth. According to the National Child Traumatic Stress Network, “Even if a homeless youth never seeks out formal mental health treatment, a strong relationship with an outreach worker, shelter worker, or case manager can make a significant positive difference.”

The intent is to establish safe, caring relationships with youth so that youth may become receptive to participating in educational and pro-social activities, as well as receiving additional health and human service supports.

The services shall include:

- Active outreach to identify youth that meet the target population description.
- Develop and maintain engaging relationships with identified youth.
- Conduct brief risk/needs assessments.
- Program shall provide active assistance to youth in accessing needed services (i.e. mental health services, medical/dental/health services, job skills training, alternative educational programs, and alternative living programs).
- Program shall have a community-based comprehensive listing of referral sources by which youths will be linked to more intensive programs.
- Program shall provide a drop-in center.
- Program shall provide ongoing monitoring of identified youths progress.
- Program shall provide crisis management, as appropriate.
- Program shall conduct community education on the needs of homeless and at-risk youth.
- Program shall provide services in a culturally competent and trauma-informed manner.

D. Description of the target population to be served

Homeless children and youth are defined as any person up to 21 years of age, who lacks a fixed, regular and adequate nighttime residence. These include those who live in motels, hotels, beaches or camping grounds due to the lack of alternative adequate accommodations, are in other temporary living situations, or are sharing the housing of others.

Runaways are youth under 18 who are away from home at least one night without permission of parent or guardian.

Throwaways have been told or forced to leave home or deserted by parents or guardians.

Street youth live for an extended length of time on the streets. Includes long-term runaway, throwaway, or other homeless youth

Transgender Youth - any person 18 years or younger who identifies and lives as a member of the opposite sex

Outreach – professional or volunteer employees conducting street outreach at least three times a week

Basic Needs – food, clothing, school/work supplies, educational toys and other basic needs provided to youth without conditions

Emergency Shelter (less than 160 days) – immediate housing provided on a first-come, first-served basis

Drop-In Center – a place with regular operating hours for youth to meet with professional staff, get their basic needs met, and/or engage in other agency services

Recreation and Support Groups – regularly held groups for the purpose of relationship building and/or mental health support

Medical/Dental/Health Services – Professional medical or health services by a doctor, dentist, dental hygienist, nutritionist or nurse

Transitional Housing (group setting, scattered sites, shared home) – housing for youth or families with supportive services on site.

Skills Training – providing training and counseling in life skills such as budgeting, leasing an apartment, etc.

Independent Living – housing in the community with limited support services for the purpose of creating independence

Alcohol and Other Drug Counseling – professional staff (CSAC) providing AOD services

Mental Health – professional staff (Psychiatrist, Psychologist, Licensed Clinical Social Worker or other Mental Health Professional) providing mental health services

Crisis Management – Immediate problem solving approaches to handle urgent or dangerous events; provision of intervention or guidance to diffuse a crisis, or summoning emergency medical services. Support, consultation and referral is provided until it is ascertained that there is sufficient natural supports for youth to remain safe in the community.

E. Geographic coverage of service

Homeless Outreach

For the purposes of this RFP, outreach services for homeless youth are sought specifically for Oahu.

F. Probable funding amounts, source, period of availability

Funding Source:	Federal Funds
Period of Availability:	September 1, 2014– August 31, 2015
Anticipated Total Available Funding:	\$90,000.00
Estimated Award Amount:	\$45,000.00 - \$90,000.00
Estimated Number of Awards:	One

Annual continuation awards will depend on the availability of federal funds, progress in meeting project goals and objectives, timely submission of data and reports and compliance with all terms and conditions of the contract.

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. Cost Principles Compliance

The provider will comply with the Chapter 103F, HRS Cost Principles for Purchases of Health and Human Services identified in SPO-H-201 (Effective 10/1/98), which can be found in the POS Manual.

2. Other Applicable Requirements

The provider shall complete, execute and submit to the state purchasing agency a certification regarding the following:

- a. Federal Certifications - Attachment C
- b. Form W-9 Request for Taxpayer Identification Number - Attachment F

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

After-the-fact secondary purchases will be allowed.

Planned secondary purchases

NONE

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:

NONE

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:

Initial term of contract	September 1, 2014 – August 31, 2015
Length of each extension	Twelve (12) months
Number of possible extensions	Five (5) twelve (12) months periods
Maximum length of contract	Six (6) years
The initial period shall commence on the contract start date or Notice to proceed, whichever is later	*****

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)

Outreach to Homeless Youth

Outreach Engagement At least three times a week, and at times conducive toward the identification of the target population, the provider would actively search for homeless, runaway, throwaway and at-risk youth and young adults, including gay, lesbian, bisexual, transgender and questioning (GLBTQ) youth, who have or are at risk for mental health issues. Outreach workers would locate and engage the youth to encourage acceptance of and participation in services that can help them.

Sensitivity The provider would provide sensitive, culturally appropriate and nonjudgmental responses to runaway, homeless and at-risk youth, including special populations such as GLBTQ youth.

Brief Needs Assessment The provider would assess the needs of new contacts, work with the youth to identify achievable outcomes, and monitor progress.

Support and Referral Services The provider would provide youth with support, guidance, and referrals to services. The services and supports would be individualized to the needs and goals of the youth, and may include assistance with family reunification, long-term stabilization planning, life skills training, counseling, encouragement to resume/maintain school attendance, and referrals to health, mental health and other services. The provider would provide materials to promote healthy behaviors and prevent or reduce unsafe and risky behaviors. The program shall work to empower youth and shall offer choices rather than advice.

Crisis Management As appropriate, the provider would identify and provide crisis intervention and counseling, offering information about resources and, when youth are willing to accept assistance, helping them access services.

Drop-in Services The provider would provide youth with a drop-in center two times a week. The provider would provide such services such as meals, clothing, medical assistance and referral, counseling and guidance services, shower, laundry, and limited storage facilities, access to office equipment and email, and access to information on housing and educational and vocational opportunities. The program shall assure that policies and procedures are established and enforced to ensure the safety of program staff and participants.

Community Linkages The provider would establish collaborative relationships with other agencies in the community to share resources and jointly serve the homeless youth population.

Community Education The provider would conduct at least four community

presentations per year about homelessness and the agency's services

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

1. Personnel

The provider shall recruit individuals with experience working with the target population or individuals who have previously been homeless. The provider must detail if using an employment or personnel subcontract model. The provider shall describe efforts to recruit volunteers and community members in providing services to this population.

The provider shall ensure that program staff and volunteers receive adequate support, training and supervision. The training shall include safety and emergency procedures, confidentiality, child and youth development, child abuse reporting, suicide prevention, cultural competence, GLBTQ sensitivity, sexual exploitation, domestic violence, substance abuse, and STD/AIDS awareness.

At a minimum, outreach workers must have a high school diploma and two (2) years experience working informally or formally in human services, and demonstrates the appropriate attitude and aptitude in working with people, including hard-to-engage populations. College education may substitute for work experience on a year-for-year basis.

Prior to providing youth outreach services, outreach workers must receive at least twenty-four (24) hours of orientation training, including, but not limited to, topics such as crisis assessment and intervention, suicide assessment, homicide assessment, clinical protocols, proper documentation, and knowledge of community resources.

Outreach workers shall receive individual guidance by a supervisor with experience in outreach and crisis intervention.

2. Administrative

The provider is required to provide all necessary administrative and managerial infrastructures to support the provision of services.

The provider must detail the agency organizational and management structure. The provider must detail the supervisory structure and its supervisory practices.

The provider shall demonstrate its ability to assess, plan and provide staff development opportunities for its volunteers and staff.

3. Quality assurance and evaluation specifications

All contracts will be required to establish written policies and standard operating procedures to ensure policies and procedures are implemented uniformly and consistently across the organization. The policies and procedures shall allow for flexibility to account for individualized approaches and needs.

All providers are required to have written policies and procedures regarding safety and emergency procedures, confidentiality, child abuse reporting, crisis intervention and suicide prevention. The provider shall assure that policies and procedures will be trauma-informed and culturally competent.

All providers are required to participate in State Council on Mental Health reviews and CAMHD contract monitoring, which includes the administrative, fiscal, and programmatic reviews. Monitoring will be conducted annually and/or on an as needed basis.

4. Output and performance/outcome measurements

Outcome results and encounter data will serve as measures of the program's performance and shall be reported to CAMHD on a quarterly basis, due thirty (30) days after the end of the quarter. An annual cumulative report shall be due thirty (30) days after the end of each year.

Youth Outreach

Program report shall include, but not be limited to, data on:

- a. number of youth outreach contacts, including contacts with GLBTQ youth
- b. description and quantities of the basic needs provided to the youth
- c. number of youth who maintained or resumed school attendance
- d. number of youth provided counseling, support or guidance services
- e. number of youth provided crisis intervention
- f. number of youth who accessed mental health services
- g. number of community presentations
- h. description of community collaborations during the reporting period
- i. description of the staff training provided during the reporting period

5. Experience

The provider shall demonstrate that it has the necessary skills, abilities, knowledge of, and experience relating to the delivery of the proposed services to homeless populations. The provider shall also provide a listing of verifiable experience with projects or contracts that is pertinent to the proposed services. **CAMHD reserves the right to contact references to verify experience.**

6. Coordination of services

The provider shall demonstrate its experience collaborating with community partners, including those agencies with services that are relevant to the homeless population.

7. Reporting requirements for program and fiscal data

The Provider shall submit narrative program reports and expenditure reports within 30 days after the end of the quarter in a format prescribed by the CAMHD. The narrative reports shall include a reporting of the numbers served, a description of the quarter's activities, and a reporting of outcome measures achieved.

The Provider shall submit an annual cumulative narrative report and final expenditure report within 30 days after the end of the budget period. The annual narrative report shall be a cumulative report summarizing the entire budget period and shall include a reporting of the total number served, a description of the highlights and successes of the program, a description of any challenges encountered and the measures to address the problems, and a cumulative summary of outcome measures achieved.

The Provider shall submit a single page document listing the total of federal funds received from all sources stating whether they exceed \$500,000 or more annually.

Audit Requirements

- a. Nonprofit organizations that expend \$500,000 or more in a year of federal funds from any source shall have a single audit conducted for that year in accordance with the Single Audit Act Amendments of 1996, Public Law 104-156. The audit shall adhere to the Guidelines for Organization-Wide Audits. Attachment E
- b. If the preceding condition applies, PROVIDER shall conduct a financial and compliance audit in accordance with the Single Audit Act Amendments of 1996 guidelines. Failure to comply may result in the withholding of payments to the provider.
- c. Nonprofit organizations that expend less than \$500,000 a year in federal funds are exempt from federal audit requirements for that year, however, records shall be available for review or audit by appropriate officials of the federal awarding agency, the State or General Accounting Office.
- d. If PROVIDER is exempt from federal audit requirements in accordance with subparagraph (c) above, the cost of any audit conducted on behalf of the provider shall not be charged to the federal portion of this contract

C. Facilities

Drop-In Center

The provider would provide youth with a drop-in center two times a week. The provider shall provide such services such as meals, clothing, medical assistance and referral, counseling and guidance services, shower, laundry and limited storage facilities, access to office equipment and email, access to information on housing and educational, and vocational opportunities. The program shall assure that policies and procedures are established and enforced to ensure the safety of program staff and participants.

2.5 COMPENSATION AND METHOD OF PAYMENT

A. Fixed Price

In this pricing structure, one price for the entire program is set in the RFP by the purchasing agency. The provider furnishes a reasonable estimate of services it can provide for which there is sufficient operating capacity (adequate, planned and budgeted space, equipment and staff).

B. Units of service and unit rate

Not Applicable.

C. Method of compensation and payment

Payment shall be made monthly upon submission of invoices. Invoices shall be submitted in triplicate with supporting documents. At the end of the budget period, the state may withhold the final quarter payment for the provider's failure to perform and insufficient fiscal documentation.

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 shall be submitted in a three ring binder*
- *Tabbing of sections (Required).*
- *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 that it has the necessary skills, abilities, and knowledge relating to the delivery of the proposed services.

B. Experience

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

C. Quality Assurance and Evaluation

The applicant shall describe its own plans for quality assurance and evaluation for the proposed services, including methodology.

D. Coordination of Services

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

E. Facilities

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

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)

B. Project Organization

1. Supervision and Training

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

2. Organization Chart

The applicant shall reflect the position of each staff and line of responsibility/supervision. (Include position title, name, and full time equivalency). Both the “Organization-wide” and “Program” organization charts shall be attached to the Proposal Application.

3.4 Service Delivery

Applicant shall provide a statement of need documenting the size, location, and characteristics of the target population, and the mental health needs of the target population. If available, applicants should cite references, such as published literature, newspaper articles, published surveys, agency reports, and community meetings.

The applicant shall describe in detail how the organization will provide the proposed services and how the organization will maintain sufficient capacity to ensure the level of services proposed. The applicant shall describe how the organization will ensure the provision of services in the most accessible and convenient location(s) for homeless children and youth and their families.

The applicant shall describe the organization’s efforts to support homeless youth and/or families during times of crisis, and efforts to ensure linkages to crisis support services.

3.5 Financial

A. Pricing Structure

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

All budget forms, instructions and samples are located on the SPO website. (See subsection 1.2, Websites References for website address). The following budget form(s) shall be submitted with the Proposal Application:

SPO-H-205 Budget

- SPO-H-205A Organization-wide Budget by Source of Funds

- ◆ SPO-H-205B Organization-wide Budget by Programs
- ◆ SPO-H-206A Personnel Salaries and Wages
- ◆ SPO-H-206B Personnel Payroll Taxes, Assessments & Fringe
- ◆ SPO-H-206C Travel Inter-Island
- ◆ SPO-H-206E Contractual Services - Admin
- ◆ SPO-H-206F Contractual Services - Subcontractors
- ◆ SPO-H-206G Depreciation
- ◆ SPO-H-206H Program Activities
- ◆ SPO-H-206I Budget Justification – Equipment Purchase

B. Other Financial Related Materials

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):

The agency's most recent financial audit is requested as part of the Proposal Application.

3.6 Other

Litigation

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

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

<u>Evaluation Categories</u>	<u>Possible Points</u>
<i>Administrative Requirements</i>	
<i>Proposal Application</i>	
Program Overview	0 points
Experience and Capability	30 points
Project Organization and Staffing	20 points
Service Delivery	40 points
Financial	10 Points
TOTAL POSSIBLE POINTS	100 Points

4.3 Evaluation Criteria

A. Phase 1 - Evaluation of Proposal Requirements

1. Administrative Requirements

Certificate of Vendor Compliance-Compliant
Federal Certifications
Form W-9 Taxpayer Identification

2. 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. Experience and Capability (30 Points)

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

A. Necessary Skills

- Demonstrates the applicant’s ability to provide and manage the proposed services in accordance with contractual obligations. [5 points]
- Demonstrates the skills, abilities, and knowledge relating to the delivery of the proposed services for the specific population. [5 points]

B. Experience

- Thoroughly describes the history and relevant background of staff, illustrating a strong commitment to community-based care and cultural competency. [3 points]
- Demonstrates the skills, abilities, and knowledge relating to the delivery of the proposed services for the specific population. [3 points]

C. Quality Assurance and Evaluation

- Sufficiency of quality assurance and evaluation plans for the proposed services, including methodology. [3 point]
- Demonstrates commitment to assuring that the policies and procedures of the program will be trauma-informed and culturally competent. [3 points]

D. Coordination of Services

- Demonstrated capability to coordinate services with other agencies and resources in the community. [3 points]

E. Facilities

- Adequacy of facilities relative to the proposed services. [5 points]

2. Project Organization and Staffing (20 Points)

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

A. Staffing

- Proposed Staffing: That the proposed staffing pattern, client/staff ratio, and proposed caseload capacity is reasonable to insure viability of the services. [5 points]
- Demonstrates commitment to recruit individuals with experience working with the target population or individuals who are or have been homeless. [5 points]
- Demonstrates commitment to ensure staff and volunteers receive adequate support, training and supervision. [5 points]

B. Project Organization

- Supervision and Training: Demonstrated ability to support, supervise, train and provide direction to staff relative to the delivery of the proposed services. [3 points]
- Organization Chart: Approach and rationale for the structure, functions, and staffing of the proposed organization for the overall service activity and tasks. [2 points]

3. Service Delivery (40) Points

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

- Demonstrates the applicant’s ability to provide and manage the proposed services in accordance with this RFP. [5 points]
- Demonstrates the applicant’s understanding of cultural needs of the population and community to be served, including unique factors and supports within the proposed geographic region(s). [5 points]
- The proposed services are designed to address the health and mental health needs of the target population. [5 points]
- The proposed services are designed to support youth by considering the developmental stage of the proposed population, and general life skills strategies to support their growth and development. [5 points]
- The proposed services are designed to support youth whose life experiences include traumatic experiences, and will be provided in a trauma-informed manner. [5 points]
- Demonstrates applicant’s commitment and ability to coordinate with other resources in the community to meet the comprehensive needs of the target population. [5 points]
- The quantity and frequency of the proposed services are adequate to meet the needs of the target population. [5 points]
- The goals and outcomes of the program appear reasonable and achievable based on the budget, program resources, and timeline. [5 points]

5. Financial (10 Points)

- Proposal budget is reasonable, given program resources and operational capacity. [5 points]

- Applicant's accounting system is consistent with acceptable accounting standards and is adequate.
[5 points]

A. 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.** Federal Certifications
- D.** Hawaii Child & Adolescent Service System Program Principles
- E.** Guidelines For Organization-Wide Audits

Attachment A

Proposal Application Checklist

Proposal Application Checklist

Applicant: _____ RFP No.: _____

The applicant's proposal must contain the following components in the order shown below. 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)			X	
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	X	
SPO-H-206A	Section 3, RFP	SPO Website*	X	
SPO-H-206B	Section 3, RFP	SPO Website*	X	
SPO-H-206C	Section 3, RFP	SPO Website*	X	
SPO-H-206D	Section 3, RFP	SPO Website*	X	
SPO-H-206E	Section 3, RFP	SPO Website*	X	
SPO-H-206F	Section 3, RFP	SPO Website*	X	
SPO-H-206G	Section 3, RFP	SPO Website*	X	
SPO-H-206H	Section 3, RFP	SPO Website*	X	
SPO-H-206I	Section 3, RFP	SPO Website*	X	
SPO-H-206J	Section 3, RFP	SPO Website*	X	
Certifications:				
Federal Certifications				
Debarment & Suspension	Section 5, RFP	Attachment C	X	
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:				
CASSP		Attachment D	X	
Guidelines for Organization-Wide Audits		Attachment E	X	
Form W-9 Taxpayer Identification		Attachment F	X	

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

Attachment B

Sample Table of Contents

Sample

Proposal Application Table of Contents

1.0	Program Overview	1
2.0	Experience and Capability	1
	A. Necessary Skills	2
	B. Experience	4
	C. Quality Assurance and Evaluation	5
	D. Coordination of Services	6
	E. Facilities	6
3.0	Project Organization and Staffing	7
	A. Staffing	7
	1. Proposed Staffing	7
	2. Staff Qualifications	9
	B. Project Organization	10
	1. Supervision and Training	10
	2. Organization Chart (Program & Organization-wide) (See Attachments for Organization Charts)	
4.0	Service Delivery	12
5.0	Financial	20
	See Attachments for Cost Proposal	
6.0	Litigation	20
7.0	Attachments	
	A. Cost Proposal	
	SPO-H-205 Proposal Budget	
	SPO-H-206A Budget Justification - Personnel: Salaries & Wages	
	SPO-H-206B Budget Justification - Personnel: Payroll Taxes and Assessments, and Fringe Benefits	
	SPO-H-206C Budget Justification - Travel: Interisland	
	SPO-H-206E Budget Justification - Contractual Services – Administrative	
	B. Other Financial Related Materials	
	Financial Audit for fiscal year ended June 30, 1996	
	C. Organization Chart	
	Program	
	Organization-wide	
	D. Performance and Output Measurement Tables	
	Table A	
	Table B	
	Table C	
	E. Program Specific Requirements	

Attachment C

Federal Certifications

1.CERTIFICATION REGARDING DEBARMENT AND SUSPENSION

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

(a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal Department or agency;

(b) have not within a 3-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) are not presently indicted or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and

(d) have not within a 3-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.

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

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

2.CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

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

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's work-place and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an ongoing drug-free awareness program to inform employees about--

- (1) The dangers of drug abuse in the workplace;
- (2) The grantee's policy of maintaining a drug-free workplace;
- (3) Any available drug counseling, rehabilitation, and employee assistance programs;

and

- (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a) above;

(d) Notifying the employee in the statement required by paragraph (a), above, that, as a condition of employment under the grant, the employee will--

- (1) Abide by the terms of the statement; and
- (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency in writing within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central

point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d) (2), with respect to any employee who is so convicted--

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

For purposes of paragraph (e) regarding agency notification of criminal drug convictions, the DHHS has designated the following central point for receipt of such notices:

Office of Grants and Acquisition Management
Office of Grants Management
Office of the Assistant Secretary for Management and Budget
Department of Health and Human Services
200 Independence Avenue, S.W., Room 517-D
Washington, D.C. 20201

3. CERTIFICATION REGARDING LOBBYING

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

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

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the under-

signed, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federally appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. (If needed, Standard Form-LLL, "Disclosure of Lobbying Activities," its instructions, and continuation sheet are included at the end of this application form.)

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

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

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

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

5. CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE

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

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

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

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

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

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED

Attachment D

Hawaii Child & Adolescent Service System Program (CASSP) Principles

Hawaii Child and Adolescent Service System Program

1. The system of care will be child and family centered and culturally sensitive, with the needs of the child and family determining the types and mix of services provided.
2. Access will be to a comprehensive array of services that addresses the child's physical, emotional, educational, recreational and developmental needs.
3. Family preservation and strengthening along with the promotion of physical and emotional well-being shall be the primary focus of the system of care.
4. Services will be provided within the least restrictive, most natural environment that is appropriate to individual needs.
5. Services which require the removal of a child from his/her home will be considered only when all other options have been exhausted, and services aimed at returning the child to his/her family or other permanent placement are an integral consideration at the time of removal.
6. The system of care will include effective mechanisms to ensure that services are delivered in a coordinated and therapeutic manner, and that each child can move throughout the system in accordance with his/her changing needs, regardless of points of entry.
7. Families or surrogate families will be full participants in all aspects of the planning and delivery of services.
8. As children reach maturity, they will be full participants in all aspects of the planning and delivery of services.
9. Early identification of social, emotional, physical and educational needs will be promoted in order to enhance the likelihood of successful early interventions and lessen the need for more intensive and restrictive services.
10. The rights of children will be protected and effective advocacy efforts for children will be promoted.

Developed by the Hawaii Task Force, 1993.

(Adapted from Stroul, Beth A. and Robert M. Friedman, R.M. (1986) *A System of Care for Children & Youth with Severe Emotional Disturbances*. (Revised Edition) Washington, DC: Georgetown University Child Development Center, CASSP Technical Assistance Center.)

Attachment E

Guidelines for Organization-Wide Audits

GUIDELINES FOR ORGANIZATION-WIDE AUDITS

Pursuant to the Single Audit Act Amendments of 1996, Public Law 104-156, the STATE is requiring A-133 audits from subrecipients who expend \$500,000 or more of federal funds in a year.

The audits must be conducted in accordance with the following standards:

1. Generally accepted auditing standards issued by the American Institute of Certified Public Accountants.
2. Government Auditing Standards issued by the Comptroller General of the United States.
3. Office of Management and Budget (OMB) Circular A-133, "Audits of states, local governments, and nonprofit organizations," dated June 30, 1997.

The audits must be conducted on an annual basis and submitted to the STATE within nine (9) months after the end of the audit period.

The audit report shall include the following:

1. The organization-wide financial statements prepared in accordance with generally accepted accounting principles or other comprehensive basis of accounting.
2. A schedule of federal financial assistance in the format prescribed by the OMB Circular A-133.
3. A schedule of the STATE's federal and state contracts received by the organization for the period covered by the financial statements. This schedule shall contain the:
 - a. ASO Log Number.
 - b. Contract amount for the contract period.
 - c. Expenditures charged against the contract during the current audit period and the prior audit periods for expenditure-reimbursement contracts; or amounts of units billed against the contract during the current audit period and the prior audit periods for unit-cost contracts since inception.
4. Auditor's reports on the organization's financial statements, supplemental schedule of expenditures of federal awards, and supplemental schedule of federal and state contracts received by the organization from the STATE.
5. Report on Compliance and on Internal Control over Financial Reporting Based on an Audit of Financial Statements Performed in Accordance with Government Auditing Standards.
6. Report on Compliance with Requirements Applicable to each Major Program and Internal Control over Compliance in Accordance with OMB Circular A-133.
7. Schedule of findings and questioned costs in the format prescribed in OMB Circular A-133.
8. Comments regarding prior year's findings.

Attachment F

Form W-9

Request for Taxpayer Identification Number

www.irs.gov/pub/irs-pdf/fw9.pdf

Request for Taxpayer Identification Number and Certification

**Give Form to the
 requester. Do not
 send to the IRS.**

Print or type See Specific Instructions on page 2.	Name (as shown on your income tax return)	
	Business name/disregarded entity name, if different from above	
	Check appropriate box for federal tax classification: <input type="checkbox"/> Individual/sole proprietor <input type="checkbox"/> C Corporation <input type="checkbox"/> S Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/estate <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) ▶ _____ <input type="checkbox"/> Other (see instructions) ▶ _____	Exemptions (see instructions): Exempt payee code (if any) _____ Exemption from FATCA reporting code (if any) _____
	Address (number, street, and apt. or suite no.)	Requester's name and address (optional)
	City, state, and ZIP code	
List account number(s) here (optional)		

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on the "Name" line to avoid backup withholding. For individuals, this is your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

Social security number									

Note. If the account is in more than one name, see the chart on page 4 for guidelines on whose number to enter.

Employer identification number									

Part II Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
3. I am a U.S. citizen or other U.S. person (defined below), and
4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions on page 3.

Sign Here	Signature of U.S. person ▶	Date ▶
------------------	----------------------------	--------

General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.
Future developments. The IRS has created a page on www.irs.gov/w9 for information about Form W-9, at www.irs.gov/w9. Information about any future developments affecting Form W-9 (such as legislation enacted after we release it) will be posted on that page.

Purpose of Form

A person who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) to report, for example, income paid to you, payments made to you in settlement of payment card and third party network transactions, real estate transactions, mortgage interest you paid, acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA.

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN to the person requesting it (the requester) and, when applicable, to:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the

withholding tax on foreign partners' share of effectively connected income, and
 4. Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct.

Note. If you are a U.S. person and a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

Definition of a U.S. person. For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien,
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States,
- An estate (other than a foreign estate), or
- A domestic trust (as defined in Regulations section 301.7701-7).

Special rules for partnerships. Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax under section 1446 on any foreign partners' share of effectively connected taxable income from such business. Further, in certain cases where a Form W-9 has not been received, the rules under section 1446 require a partnership to presume that a partner is a foreign person, and pay the section 1446 withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid section 1446 withholding on your share of partnership income.

In the cases below, the following person must give Form W-9 to the partnership for purposes of establishing its U.S. status and avoiding withholding on its allocable share of net income from the partnership conducting a trade or business in the United States:

- In the case of a disregarded entity with a U.S. owner, the U.S. owner of the disregarded entity and not the entity,
- In the case of a grantor trust with a U.S. grantor or other U.S. owner, generally, the U.S. grantor or other U.S. owner of the grantor trust and not the trust, and
- In the case of a U.S. trust (other than a grantor trust), the U.S. trust (other than a grantor trust) and not the beneficiaries of the trust.

Foreign person. If you are a foreign person or the U.S. branch of a foreign bank that has elected to be treated as a U.S. person, do not use Form W-9. Instead, use the appropriate Form W-8 or Form 8233 (see Publication 515, Withholding of Tax on Nonresident Aliens and Foreign Entities).

Nonresident alien who becomes a resident alien. Generally, only a nonresident alien individual may use the terms of a tax treaty to reduce or eliminate U.S. tax on certain types of income. However, most tax treaties contain a provision known as a "saving clause." Exceptions specified in the saving clause may permit an exemption from tax to continue for certain types of income even after the payee has otherwise become a U.S. resident alien for tax purposes.

If you are a U.S. resident alien who is relying on an exception contained in the saving clause of a tax treaty to claim an exemption from U.S. tax on certain types of income, you must attach a statement to Form W-9 that specifies the following five items:

1. The treaty country. Generally, this must be the same treaty under which you claimed exemption from tax as a nonresident alien.
2. The treaty article addressing the income.
3. The article number (or location) in the tax treaty that contains the saving clause and its exceptions.
4. The type and amount of income that qualifies for the exemption from tax.
5. Sufficient facts to justify the exemption from tax under the terms of the treaty article.

Example. Article 20 of the U.S.-China income tax treaty allows an exemption from tax for scholarship income received by a Chinese student temporarily present in the United States. Under U.S. law, this student will become a resident alien for tax purposes if his or her stay in the United States exceeds 5 calendar years. However, paragraph 2 of the first Protocol to the U.S.-China treaty (dated April 30, 1984) allows the provisions of Article 20 to continue to apply even after the Chinese student becomes a resident alien of the United States. A Chinese student who qualifies for this exception (under paragraph 2 of the first protocol) and is relying on this exception to claim an exemption from tax on his or her scholarship or fellowship income would attach to Form W-9 a statement that includes the information described above to support that exemption.

If you are a nonresident alien or a foreign entity, give the requester the appropriate completed Form W-8 or Form 8233.

What is backup withholding? Persons making certain payments to you must under certain conditions withhold and pay to the IRS a percentage of such payments. This is called "backup withholding." Payments that may be subject to backup withholding include interest, tax-exempt interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, payments made in settlement of payment card and third party network transactions, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

You will not be subject to backup withholding on payments you receive if you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return.

Payments you receive will be subject to backup withholding if:

1. You do not furnish your TIN to the requester,
2. You do not certify your TIN when required (see the Part II instructions on page 3 for details),
3. The IRS tells the requester that you furnished an incorrect TIN,
4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or
5. You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See *Exempt payee code* on page 3 and the separate Instructions for the Requester of Form W-9 for more information.

Also see *Special rules for partnerships* on page 1.

What is FATCA reporting? The Foreign Account Tax Compliance Act (FATCA) requires a participating foreign financial institution to report all United States account holders that are specified United States persons. Certain payees are exempt from FATCA reporting. See *Exemption from FATCA reporting code* on page 3 and the Instructions for the Requester of Form W-9 for more information.

Updating Your Information

You must provide updated information to any person to whom you claimed to be an exempt payee if you are no longer an exempt payee and anticipate receiving reportable payments in the future from this person. For example, you may need to provide updated information if you are a C corporation that elects to be an S corporation, or if you no longer are tax exempt. In addition, you must furnish a new Form W-9 if the name or TIN changes for the account, for example, if the grantor of a grantor trust dies.

Penalties

Failure to furnish TIN. If you fail to furnish your correct TIN to a requester, you are subject to a penalty of \$50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.

Civil penalty for false information with respect to withholding. If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a \$500 penalty.

Criminal penalty for falsifying information. Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

Misuse of TINs. If the requester discloses or uses TINs in violation of federal law, the requester may be subject to civil and criminal penalties.

Specific Instructions

Name

If you are an individual, you must generally enter the name shown on your income tax return. However, if you have changed your last name, for instance, due to marriage without informing the Social Security Administration of the name change, enter your first name, the last name shown on your social security card, and your new last name.

If the account is in joint names, list first, and then circle, the name of the person or entity whose number you entered in Part I of the form.

Sole proprietor. Enter your individual name as shown on your income tax return on the "Name" line. You may enter your business, trade, or "doing business as (DBA)" name on the "Business name/disregarded entity name" line.

Partnership, C Corporation, or S Corporation. Enter the entity's name on the "Name" line and any business, trade, or "doing business as (DBA)" name on the "Business name/disregarded entity name" line.

Disregarded entity. For U.S. federal tax purposes, an entity that is disregarded as an entity separate from its owner is treated as a "disregarded entity." See Regulation section 301.7701-2(c)(2)(ii). Enter the owner's name on the "Name" line. The name of the entity entered on the "Name" line should never be a disregarded entity. The name on the "Name" line must be the name shown on the income tax return on which the income should be reported. For example, if a foreign LLC that is treated as a disregarded entity for U.S. federal tax purposes has a single owner that is a U.S. person, the U.S. owner's name is required to be provided on the "Name" line. If the direct owner of the entity is also a disregarded entity, enter the first owner that is not disregarded for federal tax purposes. Enter the disregarded entity's name on the "Business name/disregarded entity name" line. If the owner of the disregarded entity is a foreign person, the owner must complete an appropriate Form W-8 instead of a Form W-9. This is the case even if the foreign person has a U.S. TIN.

Note. Check the appropriate box for the U.S. federal tax classification of the person whose name is entered on the "Name" line (Individual/sole proprietor, Partnership, C Corporation, S Corporation, Trust/estate).

Limited Liability Company (LLC). If the person identified on the "Name" line is an LLC, check the "Limited liability company" box only and enter the appropriate code for the U.S. federal tax classification in the space provided. If you are an LLC that is treated as a partnership for U.S. federal tax purposes, enter "P" for partnership. If you are an LLC that has filed a Form 8832 or a Form 2553 to be taxed as a corporation, enter "C" for C corporation or "S" for S corporation, as appropriate. If you are an LLC that is disregarded as an entity separate from its owner under Regulation section 301.7701-3 (except for employment and excise tax), do not check the LLC box unless the owner of the LLC (required to be identified on the "Name" line) is another LLC that is not disregarded for U.S. federal tax purposes. If the LLC is disregarded as an entity separate from its owner, enter the appropriate tax classification of the owner identified on the "Name" line.

Other entities. Enter your business name as shown on required U.S. federal tax documents on the "Name" line. This name should match the name shown on the charter or other legal document creating the entity. You may enter any business, trade, or DBA name on the "Business name/disregarded entity name" line.

Exemptions

If you are exempt from backup withholding and/or FATCA reporting, enter in the *Exemptions* box, any code(s) that may apply to you. See *Exempt payee code* and *Exemption from FATCA reporting code* on page 3.

Exempt payee code. Generally, individuals (including sole proprietors) are not exempt from backup withholding. Corporations are exempt from backup withholding for certain payments, such as interest and dividends. Corporations are not exempt from backup withholding for payments made in settlement of payment card or third party network transactions.

Note. If you are exempt from backup withholding, you should still complete this form to avoid possible erroneous backup withholding.

The following codes identify payees that are exempt from backup withholding:

- 1—An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2)
- 2—The United States or any of its agencies or instrumentalities
- 3—A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities
- 4—A foreign government or any of its political subdivisions, agencies, or instrumentalities
- 5—A corporation
- 6—A dealer in securities or commodities required to register in the United States, the District of Columbia, or a possession of the United States
- 7—A futures commission merchant registered with the Commodity Futures Trading Commission
- 8—A real estate investment trust
- 9—An entity registered at all times during the tax year under the Investment Company Act of 1940
- 10—A common trust fund operated by a bank under section 584(a)
- 11—A financial institution
- 12—A middleman known in the investment community as a nominee or custodian
- 13—A trust exempt from tax under section 664 or described in section 4947

The following chart shows types of payments that may be exempt from backup withholding. The chart applies to the exempt payees listed above, 1 through 13.

IF the payment is for . . .	THEN the payment is exempt for . . .
Interest and dividend payments	All exempt payees except for 7
Broker transactions	Exempt payees 1 through 4 and 6 through 11 and all C corporations. S corporations must not enter an exempt payee code because they are exempt only for sales of noncovered securities acquired prior to 2012.
Barter exchange transactions and patronage dividends	Exempt payees 1 through 4
Payments over \$600 required to be reported and direct sales over \$5,000 ¹	Generally, exempt payees 1 through 5 ²
Payments made in settlement of payment card or third party network transactions	Exempt payees 1 through 4

¹ See Form 1099-MISC, Miscellaneous Income, and its instructions.

² However, the following payments made to a corporation and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorneys' fees, gross proceeds paid to an attorney, and payments for services paid by a federal executive agency.

Exemption from FATCA reporting code. The following codes identify payees that are exempt from reporting under FATCA. These codes apply to persons submitting this form for accounts maintained outside of the United States by certain foreign financial institutions. Therefore, if you are only submitting this form for an account you hold in the United States, you may leave this field blank. Consult with the person requesting this form if you are uncertain if the financial institution is subject to these requirements.

- A—An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)
- B—The United States or any of its agencies or instrumentalities
- C—A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities
- D—A corporation the stock of which is regularly traded on one or more established securities markets, as described in Reg. section 1.1472-1(c)(1)(i)
- E—A corporation that is a member of the same expanded affiliated group as a corporation described in Reg. section 1.1472-1(c)(1)(i)
- F—A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state

- G—A real estate investment trust
- H—A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940
- I—A common trust fund as defined in section 584(a)
- J—A bank as defined in section 581
- K—A broker
- L—A trust exempt from tax under section 664 or described in section 4947(a)(1)
- M—A tax exempt trust under a section 403(b) plan or section 457(g) plan

Part I. Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. If you are a resident alien and you do not have and are not eligible to get an SSN, your TIN is your IRS individual taxpayer identification number (ITIN). Enter it in the social security number box. If you do not have an ITIN, see *How to get a TIN* below.

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN. However, the IRS prefers that you use your SSN.

If you are a single-member LLC that is disregarded as an entity separate from its owner (see *Limited Liability Company (LLC)* on page 2), enter the owner's SSN (or EIN, if the owner has one). Do not enter the disregarded entity's EIN. If the LLC is classified as a corporation or partnership, enter the entity's EIN.

Note. See the chart on page 4 for further clarification of name and TIN combinations.

How to get a TIN. If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local Social Security Administration office or get this form online at www.ssa.gov. You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at www.irs.gov/businesses and clicking on Employer Identification Number (EIN) under Starting a Business. You can get Forms W-7 and SS-4 from the IRS by visiting IRS.gov or by calling 1-800-TAX-FORM (1-800-829-3676).

If you are asked to complete Form W-9 but do not have a TIN, apply for a TIN and write "Applied For" in the space for the TIN, sign and date the form, and give it to the requester. For interest and dividend payments, and certain payments made with respect to readily tradable instruments, generally you will have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all such payments until you provide your TIN to the requester.

Note. Entering "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon.

Caution: A disregarded U.S. entity that has a foreign owner must use the appropriate Form W-8.

Part II. Certification

To establish to the withholding agent that you are a U.S. person, or resident alien, sign Form W-9. You may be requested to sign by the withholding agent even if items 1, 4, or 5 below indicate otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). In the case of a disregarded entity, the person identified on the "Name" line must sign. Exempt payees, see *Exempt payee code* earlier.

Signature requirements. Complete the certification as indicated in items 1 through 5 below.

1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983. You must give your correct TIN, but you do not have to sign the certification.

2. Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983. You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.

3. Real estate transactions. You must sign the certification. You may cross out item 2 of the certification.

4. Other payments. You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments made in settlement of payment card and third party network transactions, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).

5. Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified tuition program payments (under section 529), IRA, Coverdell ESA, Archer MSA or HSA contributions or distributions, and pension distributions. You must give your correct TIN, but you do not have to sign the certification.

What Name and Number To Give the Requester

For this type of account:	Give name and SSN of:
1. Individual	The individual
2. Two or more individuals (joint account)	The actual owner of the account or, if combined funds, the first individual on the account ¹
3. Custodian account of a minor (Uniform Gift to Minors Act)	The minor ²
4. a. The usual revocable savings trust (grantor is also trustee) b. So-called trust account that is not a legal or valid trust under state law	The grantor-trustee ¹ The actual owner ¹
5. Sole proprietorship or disregarded entity owned by an individual	The owner ³
6. Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulation section 1.671-4(b)(2)(i)(A))	The grantor [*]
For this type of account:	Give name and EIN of:
7. Disregarded entity not owned by an individual	The owner
8. A valid trust, estate, or pension trust	Legal entity ⁴
9. Corporation or LLC electing corporate status on Form 8832 or Form 2553	The corporation
10. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
11. Partnership or multi-member LLC	The partnership
12. A broker or registered nominee	The broker or nominee
13. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments	The public entity
14. Grantor trust filing under the Form 1041 Filing Method or the Optional Form 1099 Filing Method 2 (see Regulation section 1.671-4(b)(2)(i)(B))	The trust

¹ List first and circle the name of the person whose number you furnish. If only one person on a joint account has an SSN, that person's number must be furnished.

² Circle the minor's name and furnish the minor's SSN.

³ You must show your individual name and you may also enter your business or "DBA" name on the "Business name/disregarded entity" name line. You may use either your SSN or EIN (if you have one), but the IRS encourages you to use your SSN.

⁴ List first and circle the name of the trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.) Also see *Special rules for partnerships* on page 1.

*Note. Grantor also must provide a Form W-9 to trustee of trust.

Note. If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

Secure Your Tax Records from Identity Theft

Identity theft occurs when someone uses your personal information such as your name, social security number (SSN), or other identifying information, without your permission, to commit fraud or other crimes. An identity thief may use your SSN to get a job or may file a tax return using your SSN to receive a refund.

To reduce your risk:

- Protect your SSN,
- Ensure your employer is protecting your SSN, and
- Be careful when choosing a tax preparer.

If your tax records are affected by identity theft and you receive a notice from the IRS, respond right away to the name and phone number printed on the IRS notice or letter.

If your tax records are not currently affected by identity theft but you think you are at risk due to a lost or stolen purse or wallet, questionable credit card activity or credit report, contact the IRS Identity Theft Hotline at 1-800-908-4490 or submit Form 14039.

For more information, see Publication 4535, Identity Theft Prevention and Victim Assistance.

Victims of identity theft who are experiencing economic harm or a system problem, or are seeking help in resolving tax problems that have not been resolved through normal channels, may be eligible for Taxpayer Advocate Service (TAS) assistance. You can reach TAS by calling the TAS toll-free case intake line at 1-877-777-4778 or TTY/TDD 1-800-829-4059.

Protect yourself from suspicious emails or phishing schemes. Phishing is the creation and use of email and websites designed to mimic legitimate business emails and websites. The most common act is sending an email to a user falsely claiming to be an established legitimate enterprise in an attempt to scam the user into surrendering private information that will be used for identity theft.

The IRS does not initiate contacts with taxpayers via emails. Also, the IRS does not request personal detailed information through email or ask taxpayers for the PIN numbers, passwords, or similar secret access information for their credit card, bank, or other financial accounts.

If you receive an unsolicited email claiming to be from the IRS, forward this message to phishing@irs.gov. You may also report misuse of the IRS name, logo, or other IRS property to the Treasury Inspector General for Tax Administration at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at: spam@uce.gov or contact them at www.ftc.gov/idtheft or 1-877-IDTHEFT (1-877-438-4338).

Visit IRS.gov to learn more about identity theft and how to reduce your risk.

Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons (including federal agencies) who are required to file information returns with the IRS to report interest, dividends, or certain other income paid to you; mortgage interest you paid; the acquisition or abandonment of secured property; the cancellation of debt; or contributions you made to an IRA, Archer MSA, or HSA. The person collecting this form uses the information on the form to file information returns with the IRS, reporting the above information. Routine uses of this information include giving it to the Department of Justice for civil and criminal litigation and to cities, states, the District of Columbia, and U.S. commonwealths and possessions for use in administering their laws. The information also may be disclosed to other countries under a treaty, to federal and state agencies to enforce civil and criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism. You must provide your TIN whether or not you are required to file a tax return. Under section 3406, payers must generally withhold a percentage of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to the payer. Certain penalties may also apply for providing false or fraudulent information.