

Section 5

Attachments

- A. Proposal Application Checklist
- B. Sample Table of Contents
- C. Performance Pan, OYS Form 4-1
- D. A Crash Course on the Outcomes Framework

Proposal Application Checklist

Applicant: _____

RFP No.: _____

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

Item	Reference in RFP	Format/Instructions Provided	Required by Purchasing Agency	Applicant to place "X" for items included in Proposal
General:				
Proposal Application Identification Form (SPOH-200)	Section 1, RFP	SPO Website*	X	
Proposal Application Checklist	Section 1, RFP	Attachment A	X	
Table of Contents	Section 5, RFP	Section 5, RFP	X	
Proposal Application (SPOH-200A)	Section 3, RFP	SPO Website*	X	
Hawaii Compliance Express Verification Certificate	Section 1, RFP	Hawaii Compliance Express SPO Website*	X	
Cost Proposal (Budget)				
SPO-H-205	Section 3, RFP	SPO Website*	X	
SPO-H-205A	Section 3, RFP	SPO Website* Special Instructions are in Section 5		
SPO-H-205B	Section 3, RFP,	SPO Website* Special Instructions are in Section 5		
SPO-H-206A	Section 3, RFP	SPO Website*	X	
SPO-H-206B	Section 3, RFP	SPO Website*	X	
SPO-H-206C	Section 3, RFP	SPO Website*	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	
Certifications:				
Federal Certifications		Section 5, RFP		
Debarment & Suspension		Section 5, RFP		
Drug Free Workplace		Section 5, RFP		
Lobbying		Section 5, RFP		
Program Fraud Civil Remedies Act		Section 5, RFP		
Environmental Tobacco Smoke		Section 5, RFP		
Program Specific Requirements:				
Performance Plan, Form 4-1			X	

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

**Proposal Application
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 A. Cost Proposal

 SPO-H-205 Proposal Budget

 SPO-H-206A Budget Justification - Personnel: Salaries & Wages

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 and Fringe Benefits

 SPO-H-206C Budget Justification - Travel: Interisland

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 Financial Audit for fiscal year ended June 30, 1996

 C. Organization Chart

 Program

 Organization-wide

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Attachment "C"

D4	Community
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Performance Plan

Instructions:

1. Referencing the Scope of Services, fill in performance target information, including sources of verification (i.e., "Youth Self-Reports", "Grades.")
2. Fill in projections (P) for number of youth expected to achieve each milestone in each quarter. **SUBMIT THIS PLAN TO OYS within thirty days of contract execution.**
3. Each quarter fill in actual (A) number of youth achieving each milestone. **DO NOT SUBMIT TO OYS, BUT KEEP ON FILE.**

P T	Performance Target (& Milestones to Performance Target) Performance Target (Arial Narrow, 8 Point Type) from Scope of Services:	#Carryovers from Previous Budget Period Under this Contract	1st		2nd		3rd		4th		One Year	
			P	A	P	A	P	A	P	A	Year Goal	YTD Actual
	PT Type (See Target Type Codes): Milestones											
	Sources of Verification											
a.	Milestone (Registration):											
b.	Milestone:											
c.	Milestone:											
g	Milestone:											
h.	Milestone (Last Milestone is Achieving the Performance Target):											

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

Attachment "C"

#Carryovers = Numbers of Youth Carried Over from the Previous OYS Budget Period *Under this Contract*.

Attachment "C"

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			#Carryovers from Previous Budget Period Under this Contract	P	A	P	A	P	A	P	A	Year Goal	
	<div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div> Sources of Verification	Milestones											
a.	Milestone (Registration):												
b.	Milestone:												
c.	Milestone:												
g	Milestone:												
h.	Milestone (Last Milestone is Achieving the Performance Target):												

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Attachment "C"

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3	PT Type (See Target Type Codes): <input type="text"/> Milestones Sources of Verification												
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A CRASH COURSE ON THE OUTCOMES FRAMEWORK:

The Basics on
Outcomes, Performance Targets and Milestones

DEVELOPED FOR THE
OFFICE OF YOUTH SERVICES



HAWAII COMMUNITY SERVICES COUNCIL

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The Office of Youth Services Commitment to Results Accountability and the Outcomes Framework

The Office of Youth Services (OYS) continues to support the outcomes framework to guide programmatic efforts to provide effective programs and services for youth; verify that public resources are expended in an effective and accountable manner; procure services that truly impact our youth in a significant and sustained way; and verify that contracted agencies achieve the intended program “outcomes.”

It is vital that youth service agencies understand and commit to the application of the outcomes framework (outcomes, performance targets and milestones) in providing services contracted by the OYS. Performance results will continue to be viewed and outlined based on the outcomes framework and provide the foundation on which statewide services supported by the OYS are developed, implemented, maintained, and evaluated.



Definitions of Key Concepts and Terminology

Clarity about key concepts and terminology is essential to effectively using the outcomes framework. Many of these terms are used in our workplaces and by other funders. Unfortunately, there is little consistency in the use of the terminology between different arenas. Therefore, it is essential that you be aware of the potential for variation and be prepared to translate your work accordingly.

The key concepts and terms below are defined in accordance with their application by the Office of Youth Services. To aid in your ability to translate the definition appropriately for your workplace or other funders, we have included alternative terms that are often used to describe the same concept. Please be aware that the alternative list of terms may not be comprehensive.

1 Program Outcome

- Expresses the agency's ideal state: *"All children and youth will lead drug-free lives."*
- Often represents a portion of the agency's over-arching purpose or mission.

Alternative Terms:

- Program Mission
- Program Goal
- Community-Level Outcome



2 Performance Target

- The anticipated amount of *change in the program participants* that occurs as a *consequence of the service provided* by the agency.
- The performance target will address changes in the program participants in one or more of the following areas:

- ✓ Skills & knowledge
- ✓ Behavior
- ✓ Attitude
- ✓ Environment



Example:

40 of the 100 youth participating in the Individualized Educational Counseling Program will reduce their absenteeism by 50% and improve their grade point average by a minimum of .75 within 6 months of entering the program, and maintain or improve on these gains for an additional 6 months.

- In some cases, such as the Office of Youth Services, the performance target has been established by the funder. The performance target may be stated in the Request for Proposal.
- The performance target does not reflect the actions or behaviors of the agency's staff members in the delivery of program services (see *Program Activities*).

Alternative Terms:

- Results
- Outcomes
- Impact
- Product
- Success
- Goal
- Objective

3 Milestones

- *Intermediate actions made by program participants that indicate they are on the path to successfully achieving the performance target.*

Example:

If the *performance target* for an educationally at-risk youth is to graduate high school, *milestones* on the path to graduating might be:



1. *attend school*
 2. *do homework and class work*
 3. *do homework and class work successfully*
 4. *improve grades*
 5. *pass all tests*
- The milestones *do not reflect the actions or behaviors of the agency's staff members in the delivery of program services (see Program Activities).*
 - Milestones *begin at the agency's first point of contact* with program participants and *typically conclude after a follow-up period* is completed after the conclusion of direct services. This may vary by program.
 - *Agencies choose which milestones to track and report*, in agreement with their monitoring bodies or funder, such as the Office of Youth Services, *that most effectively communicate the success of program participants in achieving the performance target.*
 - Agencies need to *think strategically* about which milestones most effectively communicate their success with program participants, and at the same time can be efficiently documented on an ongoing basis. Typically, agencies should not attempt to collect data on all the milestones that occur, as this would be too time consuming and costly.

Alternative Terms:

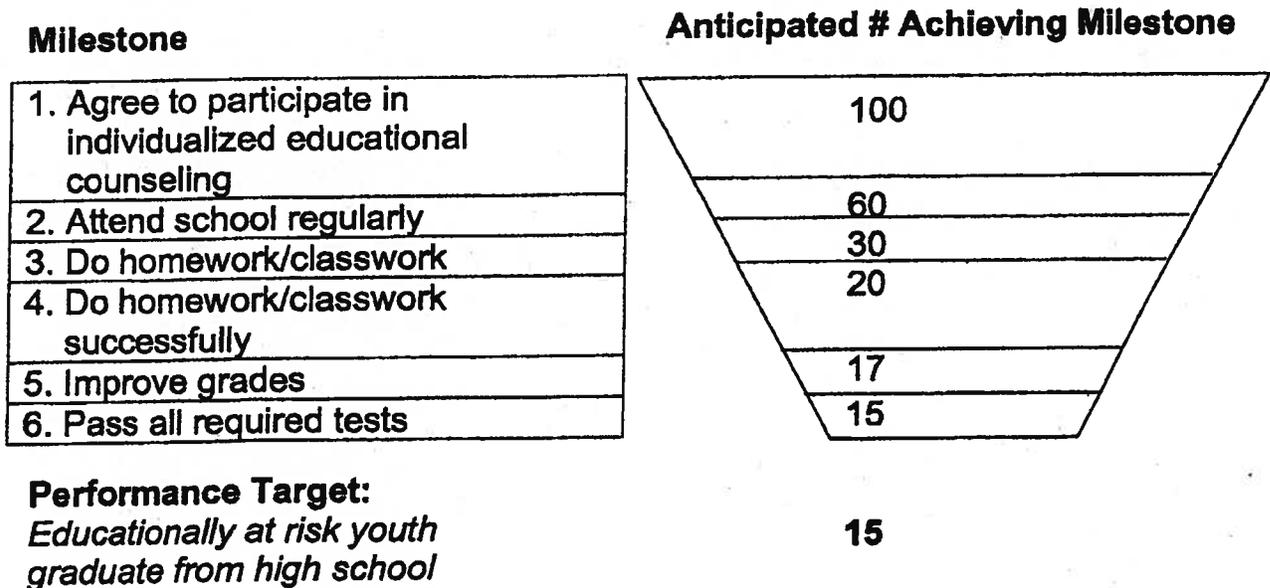
- Mini-outcomes
- Program data on participants' changes
- Objectives



4 Milestone Funnel

- A *method for tracking and reporting participants' achievement of milestones*. This method is used as a means of ensuring accountability. It is used primarily by government funders that have a responsibility for monitoring the effective use of taxpayer dollars invested for the community good.
- The milestone funnel *presumes a linear program structure* where program participants enter the program services and engage in a series of progressively improving changes that ultimately lead to the achievement of the overall performance target. The milestone funnel *may be modified to accommodate non-linear program services*.
- The “funnel” concept represents a belief that many participants will make progress towards the overall performance target, achieving some, but not all of the milestones. Consequently, the reported numbers show the largest amount of participants at the point of entry and decreases over the number of milestones, thus creating the “funnel effect.”

Sample Milestone Funnel:



4 Milestone Funnel continued

- Over time, the *analyzed data of the milestone funnel should lead to insights about how to improve program services to enable more participants to increase their successes* and move further along on their milestones.

Alternative Terms:

- Reporting form
- Program Flow
- Service Flow



5 Indicators

- The *means of verification, through direct or indirect measures, of the successful achievement* of the milestones and/or performance target.
- Regularly *observable* events or behaviors that suggest program participants are making the desired changes leading to the performance target, or that the performance target has been achieved.

Examples:

- ✓ *Self-report*
- ✓ *Report from spouse and friends*
- ✓ *Teacher report*
- ✓ *Staff member observation*
- ✓ *Home visit report*
- ✓ *Disinterested third-party documentation, such as attendance records, report card, employer confirmation, pay stubs, etc.*
- ✓ *Pre-post test*
- ✓ *6 month follow-up phone interview*



Alternative Terms:

- Measures of success

6 Program Activities

- The *work performed by program staff*. The services program staff provide that are intended to help program participants create change in their lives.

Examples:

- ✓ *Outreach*
- ✓ *Intake*
- ✓ *Leadership development workshop*
- ✓ *Individualized counseling*
- ✓ *After school tutoring*



- Health and human service programs, whether nonprofit or public, believe that the provision of quality activities by competent staff members enable program participants to create valuable changes in their lives. Therefore, *program activities are essential to the achievement of the participants' milestones and performance target.*
- Program activities *do not reflect changes in skills & knowledge, behavior, attitude or environment that occur for program participants.*
- The program activities employed by an agency are *a reflection of the theory of change it holds for its participants*, based on its underlying philosophy, assumptions and values.

Alternative Terms:

- Outputs (the activity and volume at which it occurs)
- Methodology
- Program service delivery
- Process



6 Program Activities continued

Example:

Program Actions: What Program Staff Do	Participant Expected Actions: What Participants Do as a Result (Milestones)	Anticipated Results: # Expected to Achieve Milestone
Outreach and intake	1. Agree to participate in individualized educational counseling	100
Wake up call/Transportation	2. Attend school regularly	60
After school tutoring	3. Do homework/classwork	30
After school tutoring	4. Do homework/classwork Successfully	20
Test taking coaching	5. Improve grades	17
Test taking coaching	6. Pass all required tests	15
	Performance Target: Educationally at risk youth graduate from high school	15





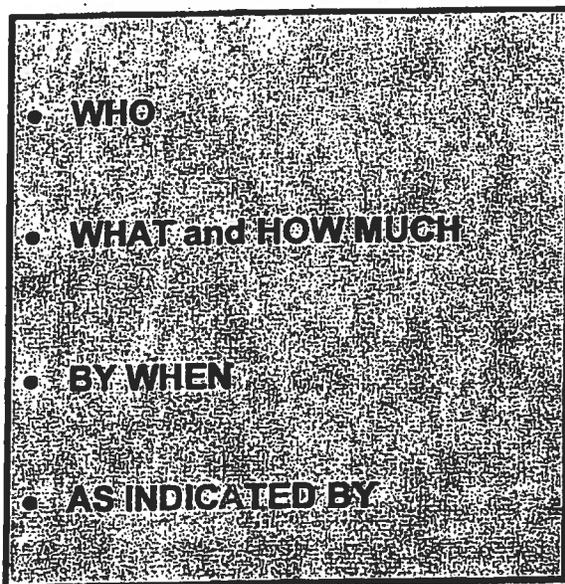
Establishing a Performance Target

Now that we have a firm handle on the key terms involved in the outcomes framework, we turn our attention to the process of developing a performance target. *A well articulated performance target has the following elements clearly identified:*

- **WHO** is being served in the program (the target population)
- **WHAT** change is expected for the program participants (in skills & knowledge, behavior, attitude and/or environment)
- **HOW MUCH** change is expected for the program participants
- **BY WHEN** the change is expected for occur for the program participants
- **AS INDICATED BY** regularly observable and verifiable signs that desired changes have occurred

Succinctly put, a performance target answers the question, "What is success?"

Sample Performance Target:



For the program year 2004-05,

of the 100 educationally at-risk youth registered in the individualized educational counseling program,

40 will reduce their absenteeism by 50% and improve their grade point average by a minimum of .75

within 6 months of entering the program and maintain or improve on these gains for an additional 6 months

as indicated by their attendance record, quarterly report cards, and teacher reports.





Identifying Milestones

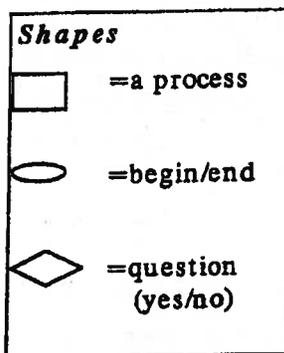
Identifying milestones leading to the achievement of the performance target is essential to the outcomes framework. It requires an understanding of both program activities and the changes occurring for the program participants. We need to understand when the cumulative efforts of program activities can be expected to result in observable change among program participants.

If we try to generate milestones by brainstorming a list of observable changes among program participants, it is likely the list will be incomplete, in random order and include many program activities. There is a tool called *process mapping*, or flow charting, that is very helpful in identifying, in detail and in order of occurrence, both program activities and the milestones leading to the achievement of the performance target.

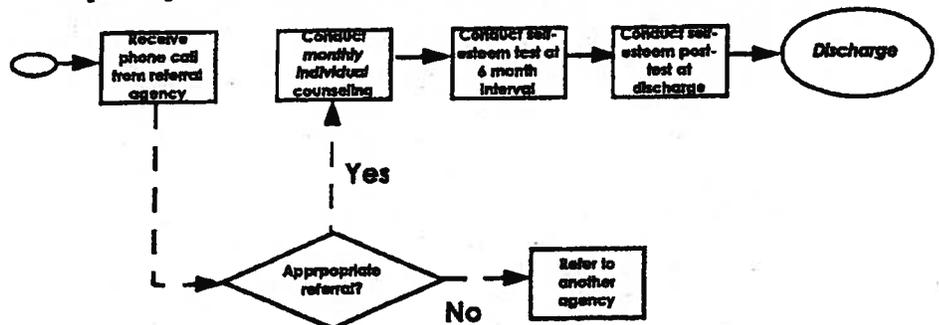
Process maps can be very general, using a few broad steps to indicate major process areas. Or they can be very detailed, breaking out each single step in the process. Although the latter option can be a bit tedious in the development, this detailed view of program service delivery, outlining both staff and participant actions, is extremely useful in developing a common understanding of the program and aids in the design of the milestone funnel.

Although many examples of process maps are drawn in a linear fashion, they do not need to be limited in that manner. In fact, process maps are very useful in showing how some services loop back to other services, or how many pathways lead to a common change or activity later on.

Sample Process Map



Example: A *process map* for a health and social service program.



Tips for Process Mapping

1. Suggested materials:

- Large sheet of paper
- 3 x 5 in. post-its or colored markers
- A general or detailed understanding of the program services

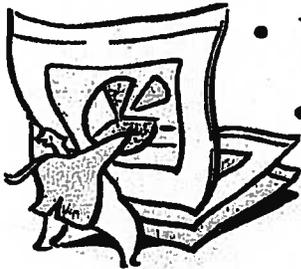


2. **Optional:** Utilize three shapes to help indicate the type of activity occurring. An oval indicates the beginning and the end of a series of process steps. A square indicates a step in the process. A diamond indicates a yes/no question, for example, "Is the participant eligible for services?" Arrows are used to connect the shapes and show the direction of action. If this feels too complicated, just use the squares and arrows. Using post-its allows flexibility in adding items or changing the order.
3. Come to the process map from the perspective of a program participant.
4. Begin with how the program participant enters into the program services. (self-referred, referred by others, make a phone call, receive a flyer, etc.). Make sure you list all the avenues by which participants may enter the program.
5. Once participants have entered the program, map the actions that occur. Try saying, "First we (staff) do this. Then what happens? Do participants do something in response? Is there another staff action that must occur next?" Keep in mind that staff actions will be more numerous than program participant actions, but you want to capture both.
6. **NOTE:** Program participant actions represent milestones on the participant's pathway to successfully achieving the performance target.
7. Map all the variations that occur following any yes/no questions. "If this happens, then what?"
8. Map all the ways in which program participants depart the program. This includes the ideal scenario of successful completion of the performance target and intermediate junctures when participants leave without completing the entire program.



Using the Process Map to Create Your Milestone Funnel

- Use the process map to *identify program participant milestones*. Write them down, in order, on the milestone funnel (see Milestone Worksheet on next page).
- You may have more milestones than you want or can afford to track properly for monitoring purposes. *Select the most critical milestones that can be verified and that clearly relate to the achievement of the performance target.*
- You should *seek agreement* with your funder that the milestones you have outlined to achieve the desired performance target will satisfy their reporting requirements.



- Your next step is to *implement data collection*.
- All this process mapping, milestone funneling and data collection is a lot of work if you use it for reporting purposes only. *Analyze the data and look for information that will help you improve your program services* and increase the number of program participants who achieve the desired performance target.

Great Ways to Use the Process Map

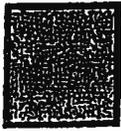
- Sitting back and looking at the completed picture after you have drafted the process map, then writing down your *observations for improvements*. Once the map is outside of our heads we often see *great opportunities for streamlining or improving the process*.
- Ensuring all *staff members share a common understanding of the work* they are engaged in and *have appropriate expectations for program participants*.
- *Training and orientation* for new staff.
- *Educating board members*, particularly those on the Program Committee.



Participant Steps: MILESTONES Worksheet

Program Actions: What PROGRAM STAFF Do	Expected Participant Actions: What PARTICIPANTS Do As a Result	Anticipated Results: Number Expected to Achieve	Verification: How You Know Participants Achieved
1.	1.	1.	1.
2.	2.	2.	2.
3.	3.	3.	3.
4.	4.	4.	4.
5.	5.	5.	5.
6.	6.	6.	6.
7.	7.	7.	7.
8.	8.	8.	8.
9.	9.	9.	9.
10.	10.	10.	10.
Performance Target Statement:		Anticipated Level of Achievement:	Verification of Performance Target:





Critiquing a Milestone Funnel

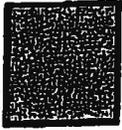
Below is a suggested process for reviewing a milestone funnel and assessing whether or not it meets the quality required.

1. Read the performance target.
2. Read the milestones.
3. Do the milestones seem connected to the performance target?
4. Do the milestones appear to be in a logical order?
5. Are there any significant gaps in milestones? *(Keep in mind that you have been advised not to track everything, and to only track actions that can be verified.)*
6. Do the milestones represent changes in the participants *(not agency staff activity)*?
7. Do these milestones logically lead the achievement of the performance target?



8. Read the numbers.
9. Do they add up properly?
10. Do they funnel?
11. How has the carry forward of program participants from the proceeding year been handled?
12. How are you documenting the achievement of milestones and the performance target?
13. This is a reporting form of selected measures – do the milestones represent critical steps or are they trying to do too much?





Common Mistakes

1 Confusing Program Activities for Milestones

The most common mistake in identifying performance targets and milestones is the misidentification of program activities or services as the change occurring for program participants. While it is true that the program services assist participants in creating change in their lives, they represent the process by which agencies guide change, not the change itself.



Here is an easy test that will allow you to distinguish performance targets and milestones from activities and outputs. When considering the item, ask yourself whose behavior the item refers to. For example:

- If you find yourself saying, “WE do this activity,” you are *describing program activities and outputs* - the work staff performs.
- If you find yourself saying, “THEY do this activity” or “THEY take this action”, you are describing *milestones or performance targets* - the observable changes made by program participants.

Example:

Program Activities and Outputs for Youth Employment Training Program (Annual Figures)

- *We provide # of orientations*
- *We provide # of Positive Lifestyle workshops*
- *We provide # of leadership/team-building events*
- *We provide # of employment skills development workshops*
- *We provide # of follow-up assessments*

Performance Target for Youth Employment Training Program

Of 40 high school youths, 24 will have obtained one or more of the following within 1 semester of program participation:

- *They will perform 10 hours of job shadowing and/or volunteer opportunities*
- *They will do an internship*
- *They will have an interview with a prospective employer*
- *They will demonstrate job skills (such as commitment, career interest attitude, importance of appearance and presentation)*
- *They will gain employment*



2 Milestone Funnels that Don't Funnel

Milestone funnels that don't funnel are an extremely common occurrence. Check your process map to see if you have dis-ordered the steps that lead to the next logical step in the change process for the majority of program participants.

Remember, the milestone funnel presumes a linear program structure. If your program services are not linear, then it is likely that your milestone funnel isn't funneling clearly. If you have a non-linear process map and have difficulty translating it into the milestone funnel, don't despair. You have several alternatives.

- a. Keep in mind that your job is to **fairly represent the real changes** program participants are making through your services. *Do not attempt to represent your entire program service capabilities through the milestone funnel.* Odds are it won't work. Think of it as a snapshot.
- b. Talk to your funder. Seek advice.
- c. Ask for technical assistance.



About HAWAI'I COMMUNITY SERVICES COUNCIL

Our Mission

Hawai'i Community Services Council strengthens the community and builds for the future through cross-sector planning and technical assistance.



Our Vision

To be a bridge-builder, community connector, needs identifier, solution initiator and capacity-builder.

Our Purpose

For more than a century, HAWAI'I COMMUNITY SERVICES COUNCIL (HCSC) has worked to improve our community. Today, HCSC's focus is to lead systemic change and to help nonprofits to be more efficient and effective.

The Council convenes public and private stakeholders to develop shared visions and seek innovative, collaborative solutions that effectively manage community resources. We work to identify community needs and create plans to meet them. We are a listener, planner, researcher and facilitator. We help to connect funders and service providers.

How we can help you

If you have specific questions about the material in this manual, please call us at 808-529-0453.

HCSC delivers technical assistance and capacity-building training for nonprofits focused in 4 major areas:

- Strategic Planning
- Outcomes Design & Implementation
- Board Governance
- Nonprofit Leadership & Management

The Council also provides facilitation and consulting services related to strategic planning and evaluation.

For more information about how we can work with your nonprofit or community group, please call us at 808-529-0466 or visit our website at www.hcsc-hawaii.org.

