

State of Hawaii
Department of Human Services
Benefit, Employment and Support Services Division
Child Care Program Office

Request for Proposals

HMS-302-16-04-S Child Care Provider Registry

March 11, 2016

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.*



STATE OF HAWAII
DEPARTMENT OF HUMAN SERVICES
Benefit, Employment and Support Services Division
820 Mililani Street, Suite 606
Honolulu, Hawaii 96813

March 11, 2016

MEMORANDUM

To: All Interested Applicants

From: Rachael Wong, DrPH, Director

SUBJECT: Child Care Provider Registry Services Request for Proposals
(RFP) HMS-302-16-04-S

The Department of Human Services (DHS), Benefit Employment & Support Services Division (BESSD), Child Care Program Office (CCPO), is requesting proposals from qualified applicants to assist the Department in the following:

- 1) Supporting the DHS child care program through the evaluation and determination of educational and experience qualifications of all staff that are employed in or interested in employment of DHS licensed child care centers that provide care for children up to 5 years of age;
- 2) Provide consistent evaluation of educational and training documents and determination of qualifications;
- 3) Promote professional development of those in the early childhood field by introducing early childhood development and care professionals to the Attitudes, Skills and Knowledge Core Areas (ASK) and Framework for Early Care and Education Practitioners, developed by the Hawaii Careers with Young Children (HCYC), to be used as an assessment tool for staff competencies and to create individualized or program training plans;
- 4) Increase the number of individuals working with children who seek to engage in additional training or obtain higher education;
- 5) Capture data about the education and training of staff in DHS licensed child care facilities that care for children up to 5 years old;
- 6) Provide consistent evaluation of training documents received from staff in DHS licensed child care facilities and operators of registered family child care homes for initial and annual training requirements upon notification by the DHS of implementation of requirements for licensed and registered child care facilities and homes; and
- 7) Capture data about the initial and annual training requirements completed by staff in DHS licensed child care facilities and operators of registered family child care homes

upon notification by the DHS of implementation of requirements for licensed and registered child care facilities and homes;

The initial contract term will be from **July 1, 2016 through June 30, 2017**. The State, at its option, may extend the Agreement in writing, for four (4) additional State fiscal year periods, not to exceed June 30, 2021. The DHS will award one (1) single contract under this RFP.

The RFP provides information to assist applicants in the preparation of a proposal and a budget, including: 1) a description of the services sought; 2) the requirements to be met by the applicant selected to provide the service; 3) the criteria by which qualifying proposals shall be reviewed/rated; and 4) the criteria for monitoring/evaluating the services. Applicants are to address all parts of the RFP. Proposals shall be mailed and postmarked by the United States Postal Service on or before **April 18, 2016**, or hand delivered (including courier mail) no later than 4:30 p.m., Hawaii Standard Time (HST), on **April 18, 2016**, to the DHS-Child Care Program Office at 820 Mililani Street, Suite 606, Honolulu, Hawaii 96813. All mail-ins postmarked after 12:00 midnight or hand delivered (including courier mail) later than 4:30 p.m. HST, on or after the **April 18, 2016** deadline will not be accepted.

The Child Care Program Office will conduct an **orientation on March 21, 2016 from 8:00 a.m. to 9:30 a.m. HST**, at the DHS-CCPO, 820 Mililani Street, Suite 615, Honolulu, Hawaii, 96813.

Additionally, interested persons from the neighbor islands are invited to participate through either video conferencing or telephone conference at the following sites:

East Hawaii:
DHS/BESSD, Central Hilo Unit,
1990 Kinoole Street, Suite 109
Hilo, Hawaii 96720

West Hawaii:
DHS, BESSD, North Kona 2 Unit, Kona Center
75-5722, Hanama Place, Rm. 1105
Kailua-Kona, Hawaii 96740

Kauai:
DHS, BESSD, South Unit, Dynasty Court
4473 Pahee Street, Suite G
Lihue, Hawaii 96766

Maui:
DHS, BESSD, Central Maui Unit
Waiehu Beach Center
270 Waiehu Beach Road, Suite 107
Wailuku, Hawaii 96793

All prospective applicants are encouraged to attend the orientation.

Inquiries regarding this RFP should be directed to the RFP contact person, Ms. Jill Arizumi at 820 Mililani Street, Suite 606, Honolulu, Hawaii 96813, telephone: (808) 586-5240, fax: (808) 586-5744, or e-mail: jarizumi@dhs.hawaii.gov.

PROPOSAL MAIL-IN AND DELIVERY INFORMATION SHEET

NUMBER OF COPIES TO BE SUBMITTED: ONE (1) ORIGINAL AND THREE (3) COPIES

ALL MAIL-INS SHALL BE POSTMARKED BY THE UNITED STATES POSTAL SERVICE (USPS) NO LATER THAN **April 18, 2016** and received by the state purchasing agency no later than **10 days from the submittal deadline**.

All Mail-ins

Department of Human Services
Benefit, Employment and Support Services Division
Child Care Program Office
820 Mililani Street, Suite 606
Honolulu, Hawaii 96813

DHS RFP COORDINATOR

Jill Arizumi
Phone: (808) 586-5240
E-Mail: jarizumi@dhs.hawaii.gov

ALL HAND DELIVERIES SHALL BE ACCEPTED AT THE FOLLOWING SITES UNTIL **4:30 P.M., Hawaii Standard Time (HST), April 18, 2016**. Deliveries by private mail services such as FEDEX shall be considered hand deliveries. Hand deliveries shall not be accepted if received after 4:30 p.m., April 18, 2016.

Drop-off Sites

Department of Human Services
Benefit, Employment and Support Services Division
Child Care Program Office
820 Mililani Street, Suite 606
Honolulu, Hawaii 96813

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Section 1

Administrative Overview

Section 1

Administrative Overview

Applicants are encouraged to read each section of the RFP thoroughly. While sections such as the administrative overview may appear similar among RFPs, state purchasing agencies may add additional information as applicable. It is the responsibility of the applicant to understand the requirements of *each* RFP.

1.1 Procurement Timetable

Note that the procurement timetable represents the State's best estimated schedule. If an activity on this schedule is delayed, the rest of the schedule will likely be shifted by the same number of days. Contract start dates may be subject to the issuance of a notice to proceed.

<u>Activity</u>	<u>Scheduled Date</u>
Public notice announcing Request for Proposals (RFP)	03/11/2016
Distribution of RFP	03/11/2016
RFP orientation session	03/21/2016
Closing date for submission of written questions for written responses	03/29/2016
State purchasing agency's response to applicants' written questions	04/07/2016
Discussions with applicant prior to proposal submittal deadline (optional)	N/A
Proposal submittal deadline	04/18/2016
Discussions with applicant after proposal submittal deadline (optional)	N/A
Final revised proposals (optional)	N/A
Proposal evaluation period	04/19/2016 – 04/29/2016
Provider selection	05/02/2016 – 05/03/2016
Notice of statement of findings and decision	05/04/2016 – 05/06/2016
Contract start date	07/01/2016

1.2 Website Reference

Item	Website
1 Procurement of Health and Human Services	http://spo.hawaii.gov/for-vendors/vendor-guide/methods-of-procurement/health-human-services/competitive-purchase-of-services-procurement-method/cost-principles-table-hrs-chapter-103f-2/
2 RFP website	http://hawaii.gov/spo2/health/rfp103f/
3 Hawaii Revised Statutes (HRS) and Hawaii Administrative Rules (HAR) for Purchases of Health and Human Services	http://spo.hawaii.gov Click on the “References” tab.
4 General Conditions, AG-103F13	http://hawaii.gov/forms/internal/department-of-the-attorney-general/ag-103f13-1/view
5 Forms	http://spo.hawaii.gov Click on the “Forms” tab.
6 Cost Principles	http://spo.hawaii.gov Search: Keywords “Cost Principles”
7 Protest Forms/Procedures	http://spo.hawaii.gov/for-vendors/vendor-guide/protests-for-health-and-human-services/
8 Hawaii Compliance Express (HCE)	http://spo.hawaii.gov/hce/
9 Hawaii Revised Statutes	http://capitol.hawaii.gov/hrscurrent
10 Department of Taxation	http://tax.hawaii.gov
11 Department of Labor and Industrial Relations	http://labor.hawaii.gov
12 Department of Commerce and Consumer Affairs, Business Registration	http://cca.hawaii.gov click “Business Registration”
13 Campaign Spending Commission	http://ags.hawaii.gov/campaign/
14 Internal Revenue Service	http://www.irs.gov/
(Please note: website addresses may change from time to time. If a State link is not active, try the State of Hawaii website at http://hawaii.gov)	

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 Human Services
Benefit, Employment and Support Services Division
Child Care Program Office
820 Mililani Street, Suite 606
Honolulu, Hawaii 96813
Phone: (808) 586-5240 Fax: (808) 586-5744

1.6 RFP Point-of-Contact

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.

Jill Arizumi
Phone: (808) 586-5240
Email: jarizumi@dhs.hawaii.gov

1.7 Orientation

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

Date: March 21, 2016 **Time:** 8:00 a.m. HST
Location: DHS, BESSD, Child Care Program Office,
820 Mililani Street, #615, Honolulu, Hawaii 96813

Additionally, interested persons from the neighbor islands are invited to participate through either video conferencing or telephone conference at the following sites:

East Hawaii:
DHS, BESSD, Central Hilo Unit,
1990 Kinooole Street, Suite 109,
Hilo, Hawaii 96720

West Hawaii:
DHS, BESSD, North Kona 2 Unit, Kona Center,
75-5722 Hanama Place, Rm. 1105,
Kailua-Kona, Hawaii 96740

Kauai:
DHS, BESSD, South Unit, Dynasty Court,
4473 Pahee Street, Suite G,
Lihue, Hawaii 96766

Maui:
DHS, BESSD, Central Maui Unit: Waiehu Beach Center,
270 Waiehu Beach Road, Suite 107,
Wailuku, Hawaii 96793

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 point-of-contact 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: March 29, 2016 **Time:** 4:30 p.m. HST

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

Date: April 7, 2016

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 Section 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. **Provider Compliance**. All providers shall comply with all laws governing entities doing business in the State.
- **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 the Hawaii State Department of Taxation (DOTAX) and the Internal Revenue Service (IRS). Refer to Section 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. Refer to Section 1.2, Website Reference for the Department of Labor and Industrial Relations (DLIR) website address.

- **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 Department of Commerce and Consumer Affairs (DCCA), Business Registration Division. Foreign insurance companies must register with DCCA, Insurance Division. More information is on the DCCA website. Refer to Section 1.2, Website Reference for DCCA website address.

Providers may register with Hawaii Compliance Express (HCE) for online compliance verification from the DOTAX, IRS, DLIR, and 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 Section 1.2, Website Reference, for HCE's website address.

Providers not utilizing the HCE to demonstrate compliance shall provide paper certificates to the purchasing agency. All applications for applicable clearances are the responsibility of the providers. All certificates must be valid on the date it is received by the purchasing agency. The tax clearance certificate shall have an original green certified copy stamp and shall be valid for six months from the most recent approval stamp date on the certificate. The DLIR certificate is valid for six months from the date of issue. The DCCA certificate of good standing is valid for six months from date of issue.

- 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 Section 1.2, Website Reference for statutes and 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 Section 1.2, Website Reference for statutes and 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 submitted via facsimile transmissions, electronic mail, website, other electronic means, or on diskette/CD are not permitted.

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. Refer to Section 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: Rachael Wong, DrPH	Name: Scott Nakasone
Title: Director	Title: Acting Division Administrator
Mailing Address:	Mailing Address:

P.O. Box 339 Honolulu, Hawaii 96809-0339	820 Mililani Street, Ste. 606, Honolulu, Hawaii 96813
Business Address: 1390 Miller Street Honolulu, Hawaii 96813	Business Address: 820 Mililani Street, Ste. 606, Honolulu, Hawaii 96813

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. 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 as outlined on the SPO website. Refer to Section 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

A. Overview, purpose or need

The Department of Human Services (DHS) is the State’s lead agency for the Federal Child Care and Development Fund. The purpose of this federal grant is to increase the availability, affordability and quality of early childhood development and care programs.

Nationally, there is an increase in the focus on the professional development of staff in the early childhood field. Also, through federal funding, organizations are provided grants to research the education and training requirements for staff at licensed child care facilities for each state in order to do a comparison and offer guidelines about ideal requirements.

Higher education qualifications and training standards for staff who work with young children has been identified as an indicator of increased quality in child care settings. The DHS will contract with a private organization to establish and maintain a Child Care Provider Registry (“Registry”) that: 1) standardizes how credentials are reviewed within our state for DHS child care licensing purposes; 2) promotes professional development by encouraging early childhood practitioners to continue with their education and training; and 3) captures data about the qualifications of early childhood practitioners within our State. Capturing this information will assist the State in providing data for national surveys as well as to evaluate the progress of professional development efforts in our State.

B. Planning activities conducted in preparation for this RFP

Planning for this service included an assessment of the existing State contract and comments received through the formal “Request for Information” (RFI) process. The RFI was posted on the SPO website on November 17, 2015.

C. Description of the service goals

The goals of this service are to:

1. Support the DHS child care licensing program through evaluation and determination of educational and experience qualifications of all staff that are employed, or interested in employment, at a DHS licensed child care center that provides care for children up to 5 years old and who are or will be included in the staff-child ratios at the center.

2. Provide consistent evaluation of educational and training documents and determination of qualifications.
3. Promote professional development of those in the early childhood field by introducing early childhood development and care professionals to the Attitudes, Skills and Knowledge Core Areas (ASK) and Framework for Early Care and Education Practitioners developed by the Hawaii Careers with Young Children (HCYC) to be used as an assessment tool for staff competencies and to create individualized or program training plans. Refer to Section 5, Attachment E, Attitudes, Skills and Knowledge Core Areas (ASK) and Attachment F, Framework for Early Care and Education Practitioners.
4. Increase the number of individuals working with children who seek to engage in additional training or obtain higher education.
5. Capture data about the education and training of staff in DHS licensed child care facilities that care for children up to 5 years old.
6. Provide consistent evaluation of training documents received from staff in DHS licensed child care facilities and operators of registered family child care homes for initial and annual training requirements upon notification by the DHS of implementation of requirements for licensed and registered child care facilities and homes.
7. Capture data about the initial and annual training requirements completed by staff in DHS licensed child care facilities and operators of registered family child care homes upon notification by the DHS of implementation of requirements for licensed and registered child care facilities and homes.

D. Description of the target population to be served

Services will be provided to all individuals who are employed at, or considering employment with, a DHS licensed child care center that cares for children up to 5 years old.

E. Geographic coverage of service

The service shall be made available on a statewide basis to all staff employed or who will be employed at licensed child care group homes and centers serving children ages birth to five years old and counted in the staff child ratio. The service shall be made available on a statewide basis upon notification by the DHS of implementation of requirements for initial and annual training for all operators of and caregivers in registered family child care homes and staff working with children at licensed child care facilities.

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

A maximum amount of \$280,000 in total funding from federal funds is allocated for the initial contract period of July 1, 2016 to June 30, 2017. A maximum of \$350,000 per year is allocated for 4 additional 12-month periods, not to exceed June 30, 2021, subject to DHS implementation of the initial and annual training requirements for licensed and registered child care facilities and homes. The total allocation of funds is subject to a determination of satisfactory performance and the appropriation and availability of funds and may be terminated without liability to either the purchasing agency or the Provider in the event funds are not appropriated or available.

2.2 Contract Monitoring and Evaluation

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

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

2.3 General Requirements

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

- 1. The applicant selected to provide the service (Provider) shall comply with the Chapter 103F, HRS Cost Principles for Purchases of Health and Human Services, which can be found in the Hawaii State Procurement Office (SPO) website. Refer to Section 1.2, Website Reference, for Cost Principles website address.
- 2. The Provider must keep separate and not co-mingle, cost share, or leverage any services provided under this Agreement with any other services the organization offers that may generate additional private revenues for the benefit of organization.
- 3. The Provider must assure and be responsible for the continuity of service activities in the event of staff illness, medical emergencies, vacancies, or other situations that result in program resources that are less than proposed and contracted for. The Provider must not require nor depend on the State agency's staff to provide service activities in the event that program resources are not available due to the above situations.

4. When a disagreement arises between the Provider and the State regarding the performance of specific service activities within contracted specifications, the wishes of the State shall prevail. Failure on the part of the Provider to comply shall be deemed cause for corrective action and subject to contractual remedies.

B. Secondary purchaser participation

(Refer to HAR §3-143-608)

After-the-fact secondary purchases will be allowed subject to approval by the primary purchaser and the State's Chief Procurement Officer.

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: Not applicable.

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: July 1, 2016 through June 30, 2017

Length of each extension: Twelve (12) months

Number of possible extensions: Four (4)

Maximum length of contract: Five (5) years not exceed June 30, 2021

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

Conditions for contract extensions: The contract for the proposed services may be extended without the necessity of re-bidding, subject to appropriation and availability of funds to DHS, community need, and the State's determination of satisfactory performance of the Provider, or unless this Agreement is terminated.

The option to extend the service will be offered in writing by the DHS, at least sixty (60) days prior to the expiration of the contract. No supplementary agreement shall be binding upon the DHS until the agreement has been fully and properly executed by all parties thereto prior to the start date of the agreement. The Provider shall not provide any services until the agreement is fully and properly executed.

When a disagreement arises between the Provider and the State regarding the performance of specific provider activities within the contract specification, the wishes of the State shall prevail. Failure on the part of the Provider to comply shall be deemed cause for corrective action and subject to contractual remedies.

2.4 Scope of Work

The scope of work encompasses the following tasks and responsibilities:

The Child Care Provider Registry is a service that is currently provided to all individuals who are currently employed at, or interested in employment at, DHS licensed preschools or infant and toddler centers. All staff who are used to meet the staff-child ratios in DHS licensed preschools and infant/toddler centers shall be required to submit their education and training information to the Child Care Provider Registry for determination of the position(s) the individual qualifies for according to the Hawaii Administrative Rules (HAR) §17-892.1 and/or §17-895, or any subsequent rules revised or adopted.

Applicants for the Child Care Provider Registry can also voluntarily choose to have the Child Care Provider Registry evaluate their education and training in order to determine what framework level they qualify for. The Hawaii Careers with Young Children, comprised of representatives from public and private organizations that have an interest in supporting and promoting the quality of early childhood development and care, created a “Framework for Early Care and Education Practitioners” which assigns different levels based on an individual’s education and training, and “ASK Core Areas” which is used to determine an individual’s training needs. This framework can be used to mark the progress of an individual toward their own personal goals within the early childhood field. Refer to Section 5, Attachment E, Attitudes, Skills and Knowledge Core Areas (ASK) and Attachment F, Framework for Early Care and Education Practitioners.

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

The Provider shall:

1. Create and disseminate materials for the Child Care Provider Registry.
 - a. Provide all individuals who apply with the Child Care Provider Registry, upon request, with a copy of the “Framework for Early Care and Education Practitioners” and “ASK Core Areas”. Refer to Section 5, Attachment E, Attitudes, Skills and Knowledge Core

Areas (ASK) and Attachment F, Framework for Early Care and Education Practitioners.

- b. Consult with DHS when creating documents and forms for the Child Care Provider Registry.
2. Review, evaluate, and make determinations about educational, training, and experience qualifications for all individuals applying for the Registry in a timely manner.
- a. Establish written policies and procedures for the Provider for the review, evaluation, and determination of education, training, and experience qualifications to standardize the process.
 - b. Complete a determination of the position(s) that an individual is eligible to hold in a DHS licensed child care center, in accordance with the HAR §17-892.1 and §17-895, or any subsequent rules revised or adopted, based on the documents submitted by the individual applying with the Registry.
 - c. Utilize the “Framework for Early Care and Education Practitioners” to make a determination of the framework level that an individual qualifies for. Any amendments to the framework document shall be shared with the Child Care Provider Registry by the DHS and shall be implemented by the Provider in the evaluation for purposes of assigning a framework level. Refer to Section 5, Attachment F, Framework for Early Care and Education Practitioners.
 - d. Form a Registry Approval Panel that will review documentation submitted by individuals applying with the Registry in order to make recommendations about what position an individual qualifies for and for determination of framework levels, when there is information provided that cannot be easily processed and evaluated, or the individual applying with the Registry requests an appeal of the Registry determination of their information.
 - i. The Registry Approval Panel shall consist of at least 3 individuals, one from DHS and two individuals recommended by the DHS Child Care Advisory Committee membership or through a DHS Child Care Advisory Committee meeting for which the Registry Approval Panel membership is an agenda item.
 - ii. The DHS reserves the right to issue final approval of the Registry Approval Panel members.

- iii. The DHS shall determine the length of time that Panel members shall serve on the Registry Approval Panel.
 - iv. The Provider shall establish written policies and procedures for the convening of the Registry Approval Panel, the notification process to individuals of the Panel's determination, and resolution of disputes from individuals of the Panel's findings.
 - e. The DHS reserves the right to issue final decisions on all evaluations made for the purpose of determining qualifications for positions in DHS licensed child care centers.
 - f. A Registry Certificate of Qualifications shall be issued to all new individuals included in the Registry as well as those individuals who have completed additional coursework, credential, or post-secondary degrees and who may qualify for different positions, according to the DHS child care licensing rules and the framework levels. The Registry Certificate shall include expiration dates only for individuals who possess a Child Development Associate (CDA) credential and those employed at infant and toddler centers and have additional training requirements to fulfill.
- 3. Provide consultation to all individuals applying for the Registry.
 - a. Provide consultation to all individuals applying for the Registry for the purpose of supporting individuals to complete additional education and/or training that may provide career advancement opportunities in the early childhood field.
 - b. Utilize the "Framework for Early Care and Education Practitioners" and "ASK Core Areas" as resources to provide consultation to individuals about their training needs and professional goals to assist in developing individualized training plans. Refer to Section 5, Attachment E, Attitudes, Skills and Knowledge Core Areas (ASK) and Attachment F, Framework for Early Care and Education Practitioners.
- 4. Evaluate completion of the DHS' initial and annual training requirements for all staff in DHS licensed child care facilities and operators of and caregivers in registered family child care homes.
 - a. Provide consistent evaluation of training documents received from all staff in DHS licensed child care facilities and operators of and caregivers in registered family child care

homes for initial and annual training requirements upon notification by the DHS of implementation of requirements for licensed and registered child care facilities and homes.

- b. Establish written policies and procedures for the Provider for the review, evaluation, and determination of completion of initial and annual training to standardize the process.
5. Maintain the established Registry database.
- a. Utilize the DHS electronic data system (i.e. Hawaii Automated Network for Assistance - HANA) that currently houses information on all staff at DHS licensed child care centers for the Child Care Provider Registry and all registered family child care providers. The DHS will provide training to the Provider for the DHS data system (i.e. HANA) in order to continue to capture pertinent information on all applicants.
 - b. The database includes the following information:
 - i. The Registry applicant's name and other identifying information;
 - ii. The Registry applicant's educational information (i.e. the university or college attended, the date the degree was awarded, the type of degree obtained, and the specific credits used to meet the early childhood education criteria specified in the licensing rules);
 - iii. The Registry applicant's training received through workshops, classes, etc.;
 - iv. The name of the facility the Registry applicant is employed at and type of care that the employer provides;
 - v. The position the Registry applicant qualifies for as determined by the Child Care Provider Registry;
 - vi. The position the Registry applicant currently holds at the DHS licensed child care facility;
 - vii. The Registry applicant's framework level; and
 - viii. For all staff in DHS licensed child care facilities and operators of and caregivers in registered family child care homes, regardless whether they have a Registry record, record the date of completion of initial and annual training requirements and type of training completed upon notification by DHS of implementation of requirements for licensed and registered child care facilities and homes.

6. Responsible for the maintenance of case records.
 - a. Maintain those existing case records for all who are in the existing Registry database and create new case records for new individuals applying for the Registry. All records shall be kept in a manner that ensures confidentiality, in accordance with written policies and procedures established by the Provider.
 - b. Establish a case record for each individual applying for the Registry that shall minimally include: the completed Child Care Provider Registry application, supporting documents of education and training, how the determination was made as to the position the individual qualifies for according to the DHS child care licensing rules, and documentation of decisions made by the Registry Approval Panel.
 - c. Digital imaging of hard copy case record documents is allowed. The applicant shall propose procedures on how electronic files will be maintained and secured and how the files will be returned to DHS once the contracted services end. However, the DHS reserves the right to require the Provider to utilize the Department's electronic filing management system (i.e. Electronic Case Folder – ECF). The DHS will provide any training needed and required equipment to implement the DHS electronic filing management system will be allowable costs under this Agreement.
7. Be prohibited from charging additional fees for any Registry services, even if the Registry service being offered is not covered under the Service Specifications of this Agreement.
8. Be prohibited from enhancing private revenue for the Provider by leveraging the market served and services under this Agreement, including through cost-shared activities, services, staffing, websites, newsletters, or other expenditures charged to this Agreement.
9. Be prohibited from disseminating information or promoting any additional services that may be provided by the Provider that enhances the Provider's private revenues under outreach and marketing for services under this Agreement, if similar services by other community organizations are not also included and promoted.

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

1. Personnel

An organizational chart showing clear lines of authority for each person performing services under this project must be provided.

The Provider shall recruit, hire, train, and supervise the necessary staff to operate the Child Care Provider Registry. The Provider shall also have written position descriptions, requirements and qualifications, policies and procedures for all employees to assure they are qualified to perform the work they are assigned and are properly supervised.

The applicant must provide a detailed plan to assure and be responsible for the continuity of service activities in the event of staff illness, medical emergencies, vacancies, or other situations that result in program resources that are less than proposed and contracted for. Any change in personnel shall not result in increased personnel cost unless prior approval is received by the Department.

The Provider must not require nor depend on the State agency's staff to provide service activities in the event that program resources are not available due to the above situations.

The Provider shall not discriminate against any individual in hiring, training, promotion, retention, discipline, or any other terms or conditions of a person's employment, services under this Agreement or status as an applicant for services under this Agreement.

The Provider and its employees are responsible for creating and maintaining a work environment that is free of all discriminatory practices including harassment, bullying and/or retaliation for having filed a complaint. If the Provider or its employees have been determined to have engaged in discriminatory conduct under services of this Agreement, the Department shall take action through contractual remedies allowed under this Agreement.

2. Administrative

Equipment. The Provider shall be responsible to purchase or lease, with the available funding, all necessary furniture and equipment needed to perform the services. Allowed purchases or leases may include chairs, file cabinets, copiers, facsimile machines, mail meter, and desk telephones for the staff.

All equipment purchased with contract funds under this Agreement including items of personal property, as distinguished from real property, that has an acquisition cost of \$250 or more per item and with an expected life of more than one year, shall remain the property of the DHS. All equipment purchased with contract funds must

have prior approval from the DHS before purchase to be allowable. Following the final Agreement period, all equipment shall be reported in the final report to the DHS and the organization selected to provide the service shall transfer possession of equipment under this agreement to the DHS.

Computers may also be purchased, but must meet the DHS specifications should the contract end and the computers are to be returned to DHS.

Note: Individual equipment items that cost \$250 or more require three bids with justification on specified forms and DHS approval before purchase.

The DHS shall provide access to the electronic data system (i.e. HANA) on the Department's secured network via Virtual Private Network (VPN) through the Provider's own browser. The computer must meet the DHS specifications and be imaged through the DHS in order to accommodate this.

Other costs. Funding is also available for office supplies, office space rent, telephone installation, and repair and maintenance of equipment.

Allowable costs. The organization selected to provide the service staff costs shall include salaries and fringe benefits attributable to the operation of this project. "Cost Principles" from the SPO are to be used as a guide for projected expenses and are found on the SPO website. Refer to Section 1.2, Website Reference for the website address. These represent guidelines in determining which types of expenditures will be reimbursed, payment dollar limits, payment policy constraints, and reimbursements requiring verification and documentation.

The Provider shall refund to the Department any funds unexpended or expended inappropriately.

Staffing. The Provider shall be responsible to ensure appropriate staffing to meet the public's needs.

Meetings with DHS staff. The Provider, upon request of the DHS, shall meet with representatives of the DHS to discuss the progress of the service. The purpose of these visits will be to:

- Observe the program operations;
- Examine materials ordered for the service;
- Inspect renovations made to the facility, if applicable;
- Examine record keeping procedures; and
- Evaluate/improve performance outcomes.

Audit report. The Provider shall be required to provide an annual internal financial audit report following the A-133 requirements.

Disagreements. When a disagreement between the Provider and DHS arises in regards to the service provided, the wishes of DHS shall prevail. Failure to comply on the part of the Provider shall be deemed cause for corrective action and is subject to contractual remedies.

3. **Quality assurance and evaluation specifications**

Records. The Provider shall be responsible for keeping comprehensive records of all expenditures, available for monitoring by DHS staff or designee. These records shall include, but are not limited to:

- Copies of approved purchase orders signed by the appropriate authority;
- Copies of invoices, packing slips, receipts, credit/debit memos and other vendor documents; and
- Other appropriate internal accounting statements and reconciliation schedules.

Program records. The Provider shall be responsible for keeping comprehensive program records, available for monitoring by DHS staff or its designee. Monitoring will consist of comparing reported data with the organization selected to provide the service's documents used to summarize data. These records shall include, but are not limited to:

- Agency files such as personnel files;
- Notes of staff meeting/minutes and training;
- Documentation of service activities including collaboration with community agencies and organizations, and
- Accounting practices.

Evaluation will consist of comparing projected program objectives with outcome performance, and analyzing factors that produced those results.

Quality assurance plan. The Provider shall have a written quality assurance plan that includes the following:

- a) Procedures to monitor administrative and program operations;
- b) Appropriate determinations by the Provider of an individual's qualifications for position(s) at licensed child care centers;
- c) Fiscal administration, and costs for compliance with all requirements;
- d) Procedures to determine whether the target group receives consistent, high quality services; and
- e) Identification of the roles and responsibilities for on-going monitoring of the overall service provided.

Evaluation of performance. The Provider shall have a written plan for evaluation of performance in providing the required service, including procedures and methodology to measure, monitor and collect data on outputs and outcomes, and to evaluate the outcomes and other results of its services. The evaluation plan should also include procedures to identify and resolve problems, and make improvements to the program as needed. The evaluation plan should identify roles and responsibilities for assuring on-going implementation.

Contract monitoring. Annual contract monitoring by the DHS may include site visits with comprehensive evaluation of several areas of performance. These may include review of conformance with standard contractual requirements, agency files, accounting practices, and case record keeping. In addition, on-going contract monitoring shall include a review of required progress reports as required by the DHS, and periodic assessment of the program effectiveness.

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

The applicant shall provide a written description of the process that will be used to measure the effectiveness of the project. The following projected outcomes shall be measured and reported at the end of each fiscal year::

- a) The number of staff in licensed child care facilities that have their information captured in the Registry database;
- b) The number of individuals who have contacted the Registry;
- c) The number of individuals who call and receive professional development consultation, and
- d) The number of individuals that obtain additional education or training as a result of the consultation received.
- e) The number of staff in DHS licensed child care facilities and operators of and caregivers in registered family child care homes that have had the Provider review and record completion of initial and annual training requirements.

The measure of success includes but is not limited to:

- a) At least 95% of the total numbers of staff in licensed child care facilities that have their information captured in the database;
- b) At least 95% of individuals who called and requested information to further their professional development received appropriate information;
- c) At least 60% of individuals who received consultation increased their education or training, and
- d) At least 20% of individuals who received consultation increased their education or training and received a promotion.

- e) At least 90% of the total numbers of staff in licensed child care facilities and operators of and caregivers in registered family child care homes that have submitted their initial and annual training information have it captured in the DHS electronic data system (i.e. HANA).

In addition, the reports shall also include projections of activities planned for the next quarter, which shall include a narrative description explaining planned activities. Quarterly reports shall discuss significant achievements of the program, problem areas and the corrective action taken, and any other pertinent additional comments for each month.

5. **Experience**

The applicant shall be responsible for the coordination and collaboration of the Child Care Provider Registry service with the DHS child care licensing staff and demonstrate a thorough understanding of the purpose and scope of this service, as well as demonstrate the necessary knowledge, skills, abilities, and experience relating to the delivery of the proposed services. Additional types of pertinent experience may include data entry and knowledge of data integrity, provision of consultation services, and the ability to communicate effectively with the public.

6. **Coordination of services**

The Provider shall be responsible for coordination and collaboration of the Child Care Provider Registry services with the DHS child care licensing staff, members of the child care community, other State and community agencies, and DHS licensed facilities, including group child care homes, preschools, infant/toddler centers, and before- and after-school care programs, as well as registered family child care providers.

7. **Reporting requirements for program and fiscal data**

Monthly expenditure reports. Monthly expenditure reports of the contract expenditures-to-date for the operation of the program that will serve as invoices for reimbursement shall be submitted to the DHS. The “Subgrantee’s Invoice and Expenditure Report” (SIER) shall be the official form used for the organization selected to provide the service to request funds for the operation of the service.

Quarterly program progress. The organization selected shall submit written quarterly program progress reports to the DHS no later than thirty (30) days after the end of each calendar quarter, describing the efficiency and effectiveness of this service. See Section 5, Attachment D for the Quarterly Activity Report. Quarterly reports shall minimally include the following:

- a) An unduplicated count of individuals added to the Registry database;

- b) An unduplicated count of individuals applying for the Registry that received professional development consultation;
- c) An unduplicated count of individuals applying for the Registry that provide documentation to be evaluated for the Framework level;
- d) An unduplicated count of individuals who update their Registry information;
- e) An unduplicated count of staff in licensed child care facilities and operators of and caregivers in registered family child care homes that have submitted their initial and annual training information to the Registry;
- f) Problems encountered while provide the service; and
- g) Any other information upon the DHS' request.

Final report. The Provider shall submit a final written summary report of the fiscal year activities to the DHS no later than 45 calendar days after the end of the State fiscal year. This report shall include cumulative data by geographic location, a narrative summarizing the success of project activities, and recommendations to improve services for the next fiscal year.

The annual written summary shall include cumulative data for the contract period as follows:

- a) An unduplicated count of individuals added to the Registry database;
- b) An unduplicated count of individuals applying for the Registry that received professional development consultation;
- c) An unduplicated count of individuals applying for the Registry that provide documentation to be evaluated for the Framework level;
- d) An unduplicated count of individuals who update their Registry information;
- e) An unduplicated count of staff in licensed child care facilities and operators of and caregivers in registered family child care homes that have submitted their initial and annual training information to the Registry;
- f) Problems encountered while provide the service; and
- g) Any other information upon the DHS' request.

The Provider shall comply with instructions from the State to generate or change any Quarterly (e.g.: Quarterly Activity Report (QAR)), Monthly, or additional reports based on reporting requirements related to this Agreement.

C. Facilities

The Provider shall have the responsibility to seek, lease, and furnish suitable facilities for the operation of the service. The service shall (minimally) be provided in a centralized location on each island and must be responsive to the needs of the public. Also describe

how the facilities shall meet ADA requirements, as applicable and special equipment that may be required for the services.

2.5 COMPENSATION AND METHOD OF PAYMENT

Pricing structure or pricing methodology to be used

The cost reimbursement pricing structure will be used. It reflects a purchase arrangement in which the State pays the organization selected to provide the services for the budgeted costs that are actually incurred in delivering the services specified in the Agreement, up to the stated maximum obligation. The budget amount for the operation of the services must not exceed the amount stated in the RFP. The SPO budget forms for the services must not exceed the amount stated in the RFP. The SPO budget forms are to be used in preparing a proposal, and are available on the SPO website. Refer to Section 5, Proposal Application Checklist, for form numbers and Section 1.2 Website Reference for the website address.

The Provider shall comply with the Chapter 103F, HRS Cost Principles for Purchase of Health and Human Services which can be found on the SPO website. Refer to Section 1.2 Website Reference for the website address. The Cost Principles represent guidelines in determining which types of expenditures will be reimbursed, payment dollar limits, payment policy constraints, and requirements for verification and documentation. Allowable costs to operate the program are reimbursable on a monthly basis after services are rendered.

The Provider shall abide by all the Federal regulations as legislated by Public Law 101-508, Omnibus Budget Reconciliation Act of 1990. Title VI of the Personal Responsibility and Work Opportunity Reconciliation Act (PRWORA) of 1996, P.L. 104-193, effective October 1, 1996, requires that any expenditure made or authorized by the Provider that is subsequently determined by the Federal government to be unallowable shall be repaid to the State or offset against any other funds to which the Provider is entitled.

No more than 5 percent of the aggregate amount of funds available may be expended for administrative costs or “indirect costs” in each fiscal year. Note that the term “administrative costs” do not include the costs of providing direct services.

The increased maximum amount specified in the RFP for possible annual renewals from July 1, 2017 not to exceed June 30, 2021 is at the discretion of the Department and subject to availability of funding and the DHS implementation of the initial and annual training requirements for licensed and registered child care facilities and homes.

Units of service and unit rate

Not applicable.

Method of compensation and payment

The Provider shall submit monthly expenditure reports of the contract expenditures-to-date for the operation of the program that will serve as invoices for reimbursement. The “Subgrantee’s Invoice and Expenditure Report” (SIER) shall be the official form used by the Provider to request funds for the operation of the service.

Allowable expenditures, in accordance with HRS 103F Cost Principles, incurred prior to the start of the contract period (July 1, 2016 or later), in order for services to start at the beginning of the contract period, may be included in first month’s monthly invoice. No request shall be made or authorized for “start-up or advance payment” prior to first month’s invoice for services delivered.

Monthly payments after the first calendar quarter are conditional upon the receipt and preliminary approval by the STATE of the Quarterly Activity Reports (QAR) due no later than 30 days after the end of the previous calendar quarter and each subsequent monthly program report.

The STATE’s preliminary determination of appropriateness and permissibility of the reported expenditures shall be subject to later verification and subsequent audit.

Section 3

Proposal Application Instructions

Section 3

Proposal Application Instructions

General instructions for completing applications:

- *Proposal Applications shall be submitted to the state purchasing agency using the prescribed format outlined in this section.*
- *The numerical outline for the application, the titles/subtitles, and the applicant organization and RFP identification information on the top right hand corner of each page should be retained. The instructions for each section however may be omitted.*
- *Page numbering of the Proposal Application should be consecutive, beginning with page one and continuing through for each section. See sample table of contents in Section 5.*
- *Proposals may be submitted in a three ring binder (Optional).*
- *Tabbing of sections (Recommended).*
- *Applicants must also include a Table of Contents with the Proposal Application. A sample format is reflected in Section 5, Attachment B of this RFP.*
- *A written response is required for **each** item unless indicated otherwise. Failure to answer any of the items will impact upon an applicant's score.*
- *Applicants are **strongly** encouraged to review evaluation criteria in Section 4, Proposal Evaluation when completing the proposal.*
- *This form (SPOH-200A) is available on the SPO website (Refer to Section 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. This section shall clearly and concisely summarize and highlight the contents of the proposal in such a way as to provide the DHS with a broad understanding of the entire proposal. Include a brief description of the applicant's organization, the goals and objectives related to the service activity, and how the proposed service is designed to meet the need identified in the service specifications.

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. The applicant shall include all available contact information for this listing which should include project/contract identifying information as well as names, titles, addresses, telephone numbers, e-mail addresses, etc., of those individuals the DHS can contact for verification purposes.

C. Quality Assurance and Evaluation

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

The applicant shall include a written quality assurance plan that includes procedures to monitor administrative and program operations, appropriate determinations of Registry applicants' qualifications, fiscal administration and costs for compliance with all requirements. The quality assurance plan shall also provide for procedures to determine whether the target group receives consistent, high quality services and identify roles and responsibilities for on-going monitoring.

The applicant shall also include a written plan for evaluation of performance in providing the required service, including procedures and methodology to measure, monitor and collect data on outputs and outcomes, and to evaluate the outcomes and other results of its services. The evaluation plan should include procedures to identify and resolve problems and make improvements to the program as needed. The evaluation plan should identify roles and responsibilities for assuring on-going implementation.

D. Coordination of Services

The applicant shall demonstrate the capability to coordinate services with other agencies and resources in the community by describing in detail a plan for the coordination and collaboration of the Child Care Provider Registry services with the DHS child care licensing staff, community groups that support the professional development and continued education of the early childhood workforce, and staff at the DHS licensed preschools and infant/toddler centers.

The applicant shall include information about collaboration and coordination of activities with agencies and organizations relevant to the service. The following information shall be included:

1. Name and contact information for the agency;
2. Nature of the coordination activities; and
3. How this relationship is relevant to the proposed services in this RFP.

The State reserves the right to contact each agency named to confirm the information presented.

E. Facilities

The applicant shall provide a description of its facilities and demonstrate its adequacy in relation to the proposed services. The service shall (minimally) be provided in a centralized location on each island, or from a central location on Oahu, and must be responsive to the needs of the public. Also describe how the facilities meet ADA requirements, as applicable, and the special equipment that may be required for the services.

3.3 Project Organization and Staffing

A. Staffing

1. Proposed Staffing

The applicant shall describe the proposed staffing pattern, client/staff ratio and proposed caseload capacity appropriate for the viability of the services. (Refer to the personnel requirements in Section 2, Service Specifications, as applicable.)

The applicant shall describe plans for continuity of service activities in the event of staff illness, medical emergencies, vacancies or other situations that result in program resources that are less than proposed and contracted for.

Also, the applicant shall describe their plan to deliver the service statewide and ensure that it is available daily, including non-traditional hours.

2. Staff Qualifications

The applicant shall provide the minimum qualifications (including experience) for staff assigned to the program. The applicant shall also provide written position descriptions, requirements and qualifications, and policies and procedures for all employees to assure they are qualified to perform the work they are assigned and are properly supervised.

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 include a detailed discussion of the applicant’s approach to applicable service activities and management requirements from Section 2.1, Scope of Work, including (if indicated) a work plan of all service activities and tasks to be completed, related work assignments/responsibilities and timelines/schedules.

The applicant shall include a detailed description of their plans to implement the primary services and activities listed in Section 2, Service Specifications.

3.5 Financial

A. Pricing Structure

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

The cost reimbursement pricing structure will be used. It reflects a purchase arrangement in which the State pays the organization selected to provide the services for the budgeted costs that are actually incurred in delivering the services specified in the contract, up to the stated maximum obligation.

The DHS shall consider cost proposals based on “cost type” or “pure reimbursement” pricing structure from the applicants who are non-profit organizations licensed to do business in the State of Hawaii. “Cost type” involves payment of all incurred costs within a predetermined total estimated cost.

The DHS shall also consider cost proposals based on “cost-plus-fixed-fee” from the applicants who are for-profit organizations licensed to do so in the State of Hawaii. “Cost-plus-fixed-fee” allows for payment of all incurred costs within a predetermined amount plus an agreed upon fee which will not change. We anticipate these fees to be limited to 10% or less of the contract award. Also, these fees need to be built within the contract ceiling. Please note, however, that the DHS reserves the right to negotiate the final amount of fixed fee within the limits discussed above.

No more than 5 percent of the aggregate amount of funds available may be expended for administrative costs or indirect costs in each fiscal year in accordance with Public Law 104-193, the federal law governing the Child Care Development Fund. Note that the term “administrative costs” do not include the costs of providing direct services

The DHS shall select the applicable cost proposals subject to the legal standing of the applicant organization, e.g., non-profit or for-profit, and that are in the best interest of the State.

All budget forms, instructions and samples are located on the SPO website (see Section 1.2, Website Reference in this RFP.) Special Instructions for Forms SPO-H-205A and SPO-H 205B are located in Section 5, Attachments. The following budget forms 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	Budget Justification – Personnel: Salaries & Wages
SPO-H-206B	Budget Justification – Personnel: Payroll Taxes, Assessment & Fringe Benefits
SPO-H-206C	Budget Justification – Travel: Inter-island
SPO-H-206E	Budget Justification – Contractual Services: Administrative
SPO-H-206F	Budget Justification – Contractual Services: Sub-contracts
SPO-H-206G	Budget Justification – Depreciation
SPO-H-206H	Budget Justification – Program Activities
SPO-H-206I	Budget Justification – Equipment Purchases*

*Expenditures require justification and prior approval from the state.

B. Other Financial Related Materials

1. Accounting System

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

- a. The applicant shall submit the organization's most recent financial audit.
- b. The applicant shall submit a copy of the organization's financial policies that relate to the expenditure of funds for this project.

3.6 Other

A. 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	20 points
Project Organization and Staffing	15 points
Service Delivery	55 points
Financial	10 Points
TOTAL POSSIBLE POINTS	100 Points

4.3 Evaluation Criteria

A. Phase 1 - Evaluation of Proposal Requirements

Final proposals submitted shall include all of the following documents to be accepted for consideration for this RFP.

Exclusion of any of the required documents below as part of the submitted final proposal shall disqualify the applicant from selection consideration.

1. Administrative Requirements

	Meets	
	Yes	No
Application Checklist	<input type="checkbox"/>	<input type="checkbox"/>
Hawaii Compliance Express Certificate of Vendor Compliance	<input type="checkbox"/>	<input type="checkbox"/>

2. Proposal Application Requirements

	Meets	
	Yes	No
• Proposal Application Identification Form (Form SPOH-200)	<input type="checkbox"/>	<input type="checkbox"/>
• Table of Contents	<input type="checkbox"/>	<input type="checkbox"/>
• Program Overview	<input type="checkbox"/>	<input type="checkbox"/>
• Experience and Capability	<input type="checkbox"/>	<input type="checkbox"/>
• Project Organization and Staffing	<input type="checkbox"/>	<input type="checkbox"/>
• Service Delivery	<input type="checkbox"/>	<input type="checkbox"/>
• Financial (All required forms and documents)		
a. SPO-H-205 Budget	<input type="checkbox"/>	<input type="checkbox"/>
b. SPO-H-205A Organization-Wide Budget by Source of Funds	<input type="checkbox"/>	<input type="checkbox"/>
c. SPO-H-205B Organization-Wide Budget by Programs	<input type="checkbox"/>	<input type="checkbox"/>
d. SPO-H-206A Budget Justification - Personnel: Salaries & Wages	<input type="checkbox"/>	<input type="checkbox"/>
e. SPO-H-206B Budget Justification - Personnel: Payroll Taxes, Assessment & Fringe Benefits	<input type="checkbox"/>	<input type="checkbox"/>
f. SPO-H-206C Budget Justification - Travel – Inter-island	<input type="checkbox"/>	<input type="checkbox"/>
g. SPO-H-206E Budget Justification - Contractual – Administrative	<input type="checkbox"/>	<input type="checkbox"/>
h. SPO-H-206F Budget Justification - Contractual – Sub-contract	<input type="checkbox"/>	<input type="checkbox"/>
i. SPO-H-206G Budget Justification – Depreciation	<input type="checkbox"/>	<input type="checkbox"/>
j. SPO-H-206H Budget Justification - Program Activities	<input type="checkbox"/>	<input type="checkbox"/>
k. SPO-H-206I Budget Justification - Equipment Purchases*	<input type="checkbox"/>	<input type="checkbox"/>

*Expenditures require justification and prior approval from the state.

“Cost-plus-fixed-fee” not to exceed 10% (may be less)

Administrative costs and indirect costs not to exceed 5%

- | | | | | | | | |
|--|--|------------|-----------|--------------------------|--------------------------|--------------------------|--------------------------|
| <ul style="list-style-type: none"> • Program Specific Requirements <li style="margin-left: 20px;">a. Organizational Chart(s) <li style="margin-left: 20px;">b. Financial Policies | <table border="0"> <tr> <td style="padding-right: 20px;">Yes</td> <td>No</td> </tr> <tr> <td style="padding-right: 20px;"><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td style="padding-right: 20px;"><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> </table> | Yes | No | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Yes | No | | | | | | |
| <input type="checkbox"/> | <input type="checkbox"/> | | | | | | |
| <input type="checkbox"/> | <input type="checkbox"/> | | | | | | |

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

Scoring for each bulleted item identified below is assigned a value of 0 through 5 points. The following is an explanation of the point assignments:

5 = Very Satisfactory. Fully addresses the criteria succinctly that provides the basis and explanation for the response, and demonstrates benefits to the State.

4 = More than satisfactory. Fully addresses the criteria but tends to be lengthy or does not fully provide basis or explanation for the response or benefits to the State.

3 = Satisfactory. Minimally addresses the criteria by listing or affirming meeting the criteria through paraphrasing the criteria. May provide some basis and explanation for responses.

2 = Less than satisfactory. May address parts of the criteria, but not the criteria as a whole.

1 = Unsatisfactory. Provides responses for the criteria but does not address the criteria.

0 = Not addressed. Does not provide a response to the criteria.

Each section listed below shall be evaluated using the following criteria:

Weighted point (0-5) for each sub-area will be given. The sum of weighted points given by the evaluators in all areas of each section will be divided by the maximum weighted points that could be allotted for that area. This quotient will be multiplied by the points assigned to each area, which is noted in parenthesis. The product will be the score for that area.

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 (20 Points)

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

A. Necessary Skills

- Demonstrated skills, abilities, and knowledge relating to the delivery of the proposed services. _____
- Demonstrated abilities relating to the delivery of the proposed services. _____
- Demonstrated knowledge relating to the delivery of the proposed services. _____

B. Experience

- Demonstrated experience related to the delivery of the service _____
- Describe projects/contracts implemented in the past 5 years that are pertinent to the proposed service _____
- Demonstrated experience in gathering and reporting of significant data _____
- Demonstrated the ability to provide providers information with the resources available _____

C. Quality Assurance and Evaluation

- Sufficiency of quality assurance and evaluation plans for the proposed services, including methodology, and conducting reviews of determinations of qualifications for individuals applying to the Registry. _____
- Describe how policies and procedures are being followed to ensure that service objectives are being met. _____

D. Coordination of Services

- Demonstrated a plan to coordinate and collaborate with DHS licensing staff. _____
- Describe how collaboration and coordinate with other community agencies, organizations, or groups identified would result in the delivery of satisfactory services. _____
- Demonstrated a plan to coordinate and collaborate with licensed preschools and infant and toddler centers. _____

- Demonstrated a plan to coordinate and collaborate with community groups that support the professional development and continued education of the early childhood workforce.

E. Facilities

- Adequacy of facilities relative to the proposed services.
- Demonstrated a plan for the location of the facilities.
- Describes a plan on how the facilities shall meet ADA requirements, as applicable and special equipment that may be required for the services.

2. Project Organization and Staffing (15 Points)

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

A. Staffing

- Proposed Staffing: That the proposed staffing pattern, client/staff ratio, and proposed caseload capacity is reasonable to insure viability of the services.
- Staff Qualifications: Minimum qualifications (including experience) for staff assigned to the program.
- Describes a clear and detailed plan for staff coverage in situations when assigned staff are unavailable.
- Describes a clear and detailed plan to ensure the continuity of services during times of emergency/disasters
- Describes in detail a plan for providing supervision and administrative direction to staff relative to the delivery of the proposed services.

B. Project Organization

- Describes in detail a plan for training of staff relative to the delivery of the proposed services. _____
- Organization Chart: Approach and rationale for the structure, functions, and staffing of the proposed organization for the overall service activity and tasks. _____

3. Service Delivery (55 Points)

Evaluation criteria for this section will assess the applicant’s approach to the service activities and management requirements outlined in the Proposal Application. *The evaluation criteria may also include an assessment of the logic of the work plan for the major service activities and tasks to be completed, including clarity of work assignments and responsibilities, carrying out the management requirements, and the realism of the timelines and schedules, as applicable. They include the extent to which the proposal:*

- Describes in detail describes the services throughout the contract period. _____
- Demonstrate a detailed plan to process Registry applicants in a timely manner. _____
- Describes a plan for evaluation of documentation submitted by Registry applicants _____
- Describes in detail how provider encourages in practitioners to participate voluntarily in the Registry _____
- Demonstrates a clear understanding of the Framework for Early and Education Practitioners and Attitudes, Skills and Knowledge Core Areas and their use in providing consultation to assist in assessing training needs and professional goals and the development of individualized training plans for the target group. _____
- Demonstrate the ability to provide detailed plan to determine that each Registry applicant was provided with the correct and appropriate consultation for professional development plans. _____
- Describes in detail how the services will be offered statewide basis. _____
- Describes in detail how information about the Registry services and resource information will be disseminated. _____

5. Financial (10 Points)

- Describes how Personnel costs are reasonable and comparable to positions in the community. _____
- Describes how Non-personnel costs are reasonable and adequately justified. _____
- Describes how The budget fully supports the scope of service and requirements of the Request for Proposal. _____
- Provides an accounting system that is adequate (as indicated in most recent audit report). _____
- Provides financial policies for the use of funds for this service that is clearly presented. _____

B. Phase 3 - Recommendation for Award

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

Section 5

Attachments

- A. Proposal Application Checklist
- B. Sample Table of Contents
- C. Special Conditions
- D. Quarterly Activity Report
- E. Attitudes, Skills and Knowledge (ASK) Core Areas
- F. Framework for Early Care and Education Practitioners

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	
Provider Compliance	Section 1, RFP	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*		
Certifications:				
<i>Federal Certifications</i>		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:				
Organizational Chart			X	
Financial Policies			X	

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

ATTACHMENT B

Table of Contents

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

Special Conditions

SPECIAL CONDITIONS

1. **Insurance.** In addition to Paragraph 1.4, Insurance Requirements, General Conditions, the PROVIDER further agrees to the following:

The Provider shall maintain insurance acceptable to the State in full force and effect throughout the term of this contract, until the State certifies that the Contractor's work has been completed satisfactorily.

The policy or policies of insurance maintained by the Provider shall provide the following limit(s) and coverage:

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

The type of insurance policy shall be on an occurrence basis, rather than claims made.

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

1. *“The State of Hawaii is added as an additional insured with respect to operations performed for the State of Hawaii.”*
2. *“It is agreed that any insurance maintained by the State of Hawaii shall apply in excess of, and not contribute with, insurance provided by this policy.”*

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

Automobile liability insurance shall include excess coverage for the Provider's employees who use their own vehicles in the course of their employment.

The Provider agrees to deposit with the State of Hawaii, on or before the effective date of this contract, certificate(s) of insurance necessary to satisfy the State that the insurance provisions of this contract have been complied with and to keep such insurance in effect and the certificate(s) therefore on deposit with the State during the entire term of this contract. Upon request by the State, Provider shall furnish a copy of the policy or policies.

The Provider shall immediately provide written notice to the contracting department or agency should any of the insurance policies be cancelled, limited in scope, or not be renewed upon expiration.

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

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

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

2. Confidential Information. In addition to Paragraph 2.1, Confidentiality of Material, General Conditions, the Provider further agrees to the following:

All information and records about or for the clients served, secured from clients, the STATE, or any other individuals or agencies by the Provider, or prepared by the Provider for the STATE, in satisfaction of this Agreement, shall be confidential and shall not be made available to any individual or organization by the Provider without prior written approval of the STATE, subject to provisions of applicable State of Hawaii and Federal statutes, and State of Hawaii Administrative Rules. To ensure the confidentiality of all such information and records, the Provider shall immediately notify the STATE when inquiries for information, including subpoenas are made to the Provider. The Provider shall submit copies of all written requests for information, as well as subpoenas, to the STATE.

3. Maintain Records. In addition to Paragraph 2.3, Records Retention, General Conditions, The Provider further agrees as follows:

The Provider shall maintain statistical, clinical, and administrative records pertaining to services of this Agreement. The records shall be subject at all reasonable times to inspection or review by the STATE or Federal representatives directly connected with the program area under this Agreement. All records shall be retained and made accessible for a minimum of six years after the date of submission of the Provider's final report to the STATE; provided that, in the event any litigation, claim, negotiation, investigation, audit, or other action involving the records has been started before the expiration of the 6-year period, the Provider shall retain the records until completion of the action and resolution of all issues that arise from it or until the end of the regular 6-year retention period, whichever occurs later.

4. Modification and Termination of Agreement

- a. Paragraph 4.2, Termination in General, General Conditions, is modified to read as follows:

This Agreement may be terminated in whole or in part because of a reduction of funds available to pay the Provider, or when, in its sole discretion, the STATE determines (i) that there has been a change in the conditions upon which the need for the Required Services was based, or (ii) that the Provider has failed to provide the Required Services adequately or satisfactorily, or (iii) that other good cause for the whole or partial termination of this Contract exists. Termination under this section shall be made by a written notice sent to the Provider thirty (30) days prior to the termination date that includes a brief

statement of the reason for the termination. If the Agreement is terminated under this paragraph, the Provider shall cooperate with the STATE to effect an orderly transition of services to clients.

- b. Paragraph 4.3, Termination for Necessity or Convenience, General Conditions, is modified to read as follows:

If the STATE determines, in its sole discretion, that it is necessary or convenient, this Agreement may be terminated in whole or in part at the option of the STATE upon thirty (30) days' written notice to the Provider. If the STATE elects to terminate under this paragraph, the Provider shall be entitled to reasonable payment as determined by the STATE for satisfactory services rendered under this Agreement up to the time of termination. If the STATE elects to terminate under this section, the Provider shall cooperate with the STATE to effect an orderly transition of services to clients.

5. Equipment

All equipment purchased with contract funds under this Agreement including items of personal property, as distinguished from real property, that has an acquisition cost of \$250.00 or more per item and with an expected life of more than one year, shall remain the property of the STATE. All equipment purchased with contract funds must have prior approval from the STATE before purchase to be allowable. Following the Agreement period, all equipment shall be reported in the final fiscal report to the STATE. Disposition of said equipment shall be prescribed by the STATE.

6. Federal Audit Requirement

The Provider, when required, shall have an independent certified public accountant conduct a financial and compliance audit in accordance with the guidelines of the Office of Management and Budget (OMB) Circular No. A-133, "Revised, Audit Requirements for the State, Local Governments, and Non-Profit Organizations."

Attachment D

Quarterly Activity Report

QUARTERLY ACTIVITY REPORT

Department of Human Services
Benefit, Employment & Support Services Division
Child Care Program Office

Reporting Quarter: _____ 1st; _____ 2nd; _____ 3rd; _____ 4th. Fiscal Year: _____ 2017

Provider: _____ Contract No: _____

Program Name: CHILD CARE PROVIDER REGISTRY

Geographic Region (Statewide, Oahu, Kauai, East Hawaii, West Hawaii, Maui County): _____

I. SERVICES PURCHASED

PROVIDERS AND GENERAL PUBLIC SERVED	Annual Goal	SERVICE UNITS DELIVERED DURING THE QUARTER			
		1st	2nd Month	3rd Month	YTD Total
Number of active individuals in the Child Care Registry					
Number of new child care individuals added to Registry					
a. Director qualified					
b. Teacher qualified					
c. Assistant Teacher qualified					
d. Aide qualified					
Number of individuals requesting information on the Child Care Registry services					
Number of Registry Approval Panel determinations completed					
Number of staff from licensed child care facilities and homes and operators of or caregivers in registered family child care homes who had initial training reviewed by the Registry and met the requirements					
Number of staff from licensed child care facilities and homes and operators of or caregivers in registered family child care homes who had annual training reviewed by the Registry and met the requirements					

II. PEOPLE TO BE SERVED

PEOPLE TO BE SERVED	Annual Goal Proposed to be served for contract year (unduplicated).	Actual # of persons (unduplicated)*	
		This Quarter*	Cumulative YTD**
Number of individuals (Family Child Care) seeking to voluntarily participate in the Child Care Registry			
Number of individuals seeking professional development consultation from the Child Care Registry			
Number of teachers in Group Child Care Centers			
Number of teachers in Group Child Care Homes			
Number of individuals that have contacted the Registry			
Number of individuals that have obtained additional education or training as a result of the assistance received			
Number of staff from licensed child care facilities and homes and operators of or caregivers in registered family child care homes who had initial training reviewed by the Registry and met the requirements			
Number of staff from licensed child care facilities and homes and operators of or caregivers in registered family child care homes who had annual training reviewed by the Registry and met the requirements			

* Unduplicated means that this is the first time the individual is being counted in the contract period.

** Cumulative YTD means the total number served from the beginning of the contract period.

1. Provide a description of outreach activities that are conducted statewide:

2. For this quarter, report evaluation findings and any plans or changes to: outreach efforts, or professional development consultation services, and methodology and results of quality assurance reviews completed.

III. OUTCOMES

OUTCOMES	ACHIEVEMENT OF PROPOSED OUTCOMES				
	Proposed Annual	This Quarter		Cumulative YTD	
	% Achieved	% Achieved	# of Clients	%	#
Number of individuals in licensed child care facilities that are in the Registry	95%				
Number of individuals who received appropriate information regarding the Registry	95%				
Number of individuals who increased their education or training after consultation with the Registry	60%				
Number of staff from licensed child care facilities and homes and operators of or caregivers in registered family child care homes who had initial training reviewed by the Registry and met the requirements	90%				
Number of staff from licensed child care facilities and homes and operators of or caregivers in registered family child care homes who had annual training reviewed by the Registry and met the requirements	90%				
Number of teachers in Child Care Centers who received a CDA, Associates, Bachelors or Advanced Degree after receiving professional development consultation from the Registry					

IV. MAJOR ACCOMPLISHMENTS DURING THIS QUARTER

(Use additional sheets, if necessary.)

V. **PROBLEMS ENCOUNTERED DURING QUARTER AND CORRECTIVE ACTION TAKEN**
(Use additional sheets, if necessary.)

VI. **STAFF CHANGES DURING QUARTER**
Attach Quarterly Staffing Changes (Form OSC 1)

VII. **PLANS FOR NEXT QUARTER**
Plans include anything new that provider will incorporate into the program.
(Use additional sheets, if necessary.)

Report prepared/submitted by:

Print Name

Title

Signature

Date

QUARTERLY STAFFING CHANGES

Attach a copy to the Quarterly Activity Report (DHS Form QAR 1)

1) Fiscal Year: 20__-20__	2) Quarter: __ 1 st __ 2 nd __ 3 rd __ 4 th
3) Provider Name:	
4) Program Name: Infant & Toddler Training	
5) Funding Dept:	6) Contract #:

STAFFING CHANGES FROM CONTRACT (new hires, terminations, changes in salary)					
0A. Employee Name	0B. Title or Position	C. Previous Salary	D. New Salary	E. Effective Date	1F. Reason for Change

Attachment E

Attitudes, Skills and Knowledge (ASK) Core Areas

Refer to website:

<http://www.patchhawaii.org/assets/content/providers/center/careers/ASK-Booklet.pdf?1416515464>

Attachment F

Framework for Early Care and Education Practitioners

Refer to website:

<http://www.patchhawaii.org/assets/content/providers/center/careers/Framework.pdf?1416509744>

