

State of Hawaii  
Department of Human Services  
Office of Youth Services

**Request for Proposals**

**HMS 501-11-04**  
**SERVICES FOR THE HAWAII YOUTH**  
**CORRECTIONAL FACILITY (HYCF)**

February 14, 2011

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

February 14, 2011

**REQUEST FOR PROPOSALS**

**SERVICES FOR THE HAWAII YOUTH CORRECTIONAL FACILITY  
RFP No. HMS 501-11-04**

The Department of Human Services, Office of Youth Services (OYS), is requesting proposals from qualified applicants to provide Services for the Hawaii Youth Correctional Facility (HYCF). The contract term will be from September 1, 2011 through August 31, 2013. A single contract will be awarded for In-Facility Substance Abuse services and a single contract will be awarded for Aftercare Monitoring Services for youth incarcerated and released from the HYCF under this request for proposals. Funding is subject to availability of funds and budget execution policies.

Proposals shall be mailed, postmarked by the United States Postal Service on or before April 8, 2011, and received no later than 10 days from the submittal deadline. Hand delivered proposals shall be received no later than 4:30 p.m., Hawaii Standard Time (HST), on April 8, 2011, at the drop-off sites designated on the Proposal Mail-in and Delivery Information Sheet. Deliveries by private mail services such as Federal Express (FedEX) and the United Postal Services (UPS) shall be considered hand deliveries. Proposals postmarked or hand delivered after the submittal deadline shall be considered late and rejected. There are no exceptions to this requirement.

The Office of Youth Services will conduct an orientation on Thursday, February 17, 2011 from 2:30 p.m. to 4:00 p.m. HST, at the following video conferencing locations:

Oahu	Keoni Ana Building 1177 Alakea Street Honolulu
Hawaii	Hilo State Office Building 75 Aupuni Street Hilo
Kauai	Lihue State Office Building 3060 Eiwa Street Lihue
Maui	Wailuku Judiciary Building 2145 Main Street Wailuku

Molokai                    DOE Molokai Complex  
                                  65 Maka'ena Place, Room 102  
                                  Kaunakakai  
                                  (next to the public library)

All prospective applicants are encouraged to attend the orientation.

The deadline for submission of written questions is 4:30 p.m., HST, on February 23, 2011. All written questions will receive a written response from the State which will be posted as an addendum to the RFP on or about March 4, 2011.

Inquiries regarding this RFP should be directed to the RFP contact person, Merton Chinen at 820 Mililani Street (Suite 817), Honolulu, Hawaii 96813, telephone: (808) 587-5712, fax: (808) 587-5734, e-mail: [mchinen@dhs.hawaii.gov](mailto:mchinen@dhs.hawaii.gov)

## PROPOSAL MAIL-IN AND DELIVERY INFORMATION SHEET

**NUMBER OF COPIES TO BE SUBMITTED:  
ONE (1) ORIGINAL AND TWO (2) COPIES OF THE PROPOSAL ARE REQUIRED**

**ALL MAIL-INS SHALL BE POSTMARKED BY THE UNITED STATES POSTAL SERVICE (USPS) NO LATER THAN April 8, 2011 and received by the state purchasing agency no later than 10 days from the submittal deadline.**

### ALL MAIL-INS

State of Hawaii  
Department of Human Services  
Office of Youth Services  
820 Mililani Street, Suite 817  
Honolulu, Hawaii 96813

### OYS RFP COORDINATOR

Merton Chinen  
For further information or inquiries:  
Phone: (808) 587-5712  
Fax: (808) 587-2734  
E-Mail: mchinen@dhs.hawaii.gov

**ALL HAND DELIVERIES SHALL BE ACCEPTED AT THE FOLLOWING SITE UNTIL 4:30 P.M.,  
Hawaii Standard Time (HST), April 8, 2011.**

**STATE OF HAWAII  
DEPARTMENT OF HUMAN SERVICES  
OFFICE OF YOUTH SERVICES  
820 MILILANI STREET, SUITE 817  
HONOLULU, HAWAII 96813**

### BE ADVISED:

Deliveries by private mail services such as FEDEX or UPS shall be considered hand deliveries. Hand deliveries shall not be accepted if received after 4:30 p.m., April 8, 2011.

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# **Section 1**

## **Administrative Overview**

## Section 1 Administrative Overview

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

### I. Procurement Timetable

**Note that the procurement timetable represents the State's best estimated schedule. Contract start dates may be subject to the issuance of a notice to proceed.**

<u>Activity</u>	<u>Scheduled Date</u>
Public notice announcing Request for Proposals (RFP)	2/14/2011
Distribution of RFP	2/14/2011
RFP orientation session	2/17/2011
Closing date for submission of written questions for written responses	2/23/2011
State purchasing agency's response to applicants' written questions	3/4/2011
Discussions with applicant prior to proposal submittal deadline (optional)	4/8/2011
Proposal submittal deadline	4/8/2011
Discussions with applicant after proposal submittal deadline (optional)	
Final revised proposals (optional)	
Proposal evaluation period	4/11- 6/9/2011
Provider selection	6/30/2011
Notice of statement of findings and decision	7/15/2011
Contract start date	9/1/2011

## II. Website Reference

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

	For	Click
1	Procurement of Health and Human Services	"Health and Human Services, Chapter 103F, HRS..."
2	RFP website	"Health and Human Services, Ch. 103F..." and "The RFP Website" (located under Quicklinks)
3	Hawaii Administrative Rules (HAR) for Procurement of Health and Human Services	"Statutes and Rules" and "Procurement of Health and Human Services"
4	Forms	"Health and Human Services, Ch. 103F..." and "For Private Providers" and "Forms"
5	Cost Principles	"Health and Human Services, Ch. 103F..." and "For Private Providers" and "Cost Principles"
6	Standard Contract -General Conditions	"Health and Human Services, Ch. 103F..." "For Private Providers" and "Contract Template – General Conditions"
7	Protest Forms/Procedures	"Health and Human Services, Ch. 103F..." and "For Private Providers" and "Protests"

### Non-SPO websites

(Please note: website addresses may change from time to time. If a link is not active, try the State of Hawaii website at <http://hawaii.gov>)

	For	Go to
8	Tax Clearance Forms (Department of Taxation Website)	<a href="http://hawaii.gov/tax/">http://hawaii.gov/tax/</a> click "Forms"
9	Wages and Labor Law Compliance, Section 103-055, HRS, (Hawaii State Legislature website)	<a href="http://capitol.hawaii.gov/">http://capitol.hawaii.gov/</a> click "Bill Status and Documents" and "Browse the HRS Sections."
10	Department of Commerce and Consumer Affairs, Business Registration	<a href="http://hawaii.gov/dcca">http://hawaii.gov/dcca</a> click "Business Registration"
11	Campaign Spending Commission	<a href="http://hawaii.gov/campaign">http://hawaii.gov/campaign</a>

## III. Authority

This RFP is issued under the provisions of the Hawaii Revised Statutes (HRS) Chapter 103F and its administrative rules. All prospective applicants are charged with presumptive knowledge of all requirements of the cited authorities. Submission of a valid executed proposal by any prospective applicant shall constitute admission of such knowledge on the part of such prospective applicant.

#### IV. RFP Organization

This RFP is organized into five sections:

**Section 1, Administrative Overview:** Provides applicants with an overview of the procurement process.

**Section 2, Service Specifications:** Provides applicants with a general description of the tasks to be performed, delineates provider responsibilities, and defines deliverables (as applicable).

**Section 3, Proposal Application Instructions:** Describes the required format and content for the proposal application.

**Section 4, Proposal Evaluation:** Describes how proposals will be evaluated by the state purchasing agency.

**Section 5, Attachments:** Provides applicants with information and forms necessary to complete the application.

#### V. Contracting Office

The Contracting Office is responsible for overseeing the contract(s) resulting from this RFP, including system operations, fiscal agent operations, and monitoring and assessing provider performance. The Contracting Office is:

Department of Human Services  
Office of Youth Services  
820 Mililani Street, Suite 817  
Honolulu, Hawaii 96813  
Phone: (808) 587-5700  
Fax: (808) 587-5734  
E-Mail: [mchinen@dhs.hawaii.gov](mailto:mchinen@dhs.hawaii.gov)

#### VI. Orientation

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

<b>Date:</b>	<u>Thursday, Feb. 17, 2011</u>	<b>Time:</b>	<u>2:30 p.m. to 4:00 p.m.</u>
<b>Locations:</b>	Oahu	Keoni Ana Building	
		1177 Alakea Street	
		Honolulu	
	Hawaii	Hilo State Office Building	
		75 Aupuni Street	
		Hilo	

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Kauai	Lihue State Office Building 3060 Eiwa Street Lihue
Maui	Wailuku Judiciary Building 2145 Main Street Wailuku
Molokai	DOE Molokai Complex 65 Maka'ena Place, Room 102 Kaunakakai (next to the public library)

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Applicants are encouraged to submit written questions prior to the orientation. Impromptu questions will be permitted at the orientation and spontaneous answers provided at the state purchasing agency's discretion. However, answers provided at the orientation are only intended as general direction and may not represent the state purchasing agency's position. Formal official responses will be provided in writing. To ensure a written response, any oral questions should be submitted in writing following the close of the orientation, but no later than the submittal deadline for written questions indicated in the paragraph VII, Submission of Questions.

## VII. Submission of Questions

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

Deadline for submission of written questions:

**Date:** February 23, 2011                      **Time:**                      4:30 p.m. HST

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

**Date:**    March 4, 2011

## A. Submission of Proposals

**Forms/Formats - Forms, with the exception of program specific requirements, may be found on the State Procurement Office website referred to in II. Website Reference. Refer to the Proposal Application Checklist for the location of program specific forms.**

1. **Proposal Application Identification (Form SPO-H-200).** Provides applicant proposal identification.
  2. **Proposal Application Checklist.** Provides applicants with information on where to obtain the required forms; information on program specific requirements; which forms are required and the order in which all components should be assembled and submitted to the state purchasing agency.
  3. **Table of Contents.** A sample table of contents for proposals is located in Section 5, Attachments. This is a sample and meant as a guide. The table of contents may vary depending on the RFP.
  4. **Proposal Application (Form SPO-H-200A).** Applicant shall submit comprehensive narratives that address all of the proposal requirements contained in Section 3 of this RFP, including a cost proposal/budget if required.
- B. **Program Specific Requirements.** Program specific requirements are included in Sections 2, Service Specifications and Section 3, Proposal Application Instructions, as applicable. If required, Federal and/or State certifications are listed on the Proposal Application Checklist located in Section 5.
- C. **Multiple or Alternate Proposals.** Multiple or alternate proposals shall not be accepted unless specifically provided for in Section 2 of this RFP. In the event alternate proposals are not accepted and an applicant submits alternate proposals, but clearly indicates a primary proposal, it shall be considered for award as though it were the only proposal submitted by the applicant.
- D. **Tax Clearance.** Pursuant to HRS Section 103-53, as a prerequisite to entering into contracts of \$25,000 or more, providers shall be required to submit a tax clearance certificate issued by the Hawaii State Department of Taxation (DOTAX) and the Internal Revenue Service (IRS). The certificate shall have an original green certified copy stamp and shall be valid for six (6) months from the most recent approval stamp date on the certificate. Tax clearance applications may be obtained from the

Department of Taxation website. (Refer to this section's part II. Website Reference.)

- E. **Wages and Labor Law Compliance.** If applicable, by submitting a proposal, the applicant certifies that the applicant is in compliance with HRS Section 103-55, Wages, hours, and working conditions of employees of contractors performing services. Refer to HRS Section 103-55, at the Hawaii State Legislature website. (See part II, Website Reference.)
- **Compliance with all Applicable State Business and Employment Laws.** All providers shall comply with all laws governing entities doing business in the State. Prior to contracting, owners of all forms of business doing business in the state except sole proprietorships, charitable organizations unincorporated associations and foreign insurance companies be registered and in good standing with the Department of Commerce and Consumer Affairs (DCCA), Business Registration Division. Foreign insurance companies must register with DCCA, Insurance Division. More information is on the DCCA website. (See part II, Website Reference.)
- F. **Hawaii Compliance Express (HCE).** Providers may register with HCE for online proof of DOTAX and IRS tax clearance Department of Labor and Industrial Relations (DLIR) labor law compliance, and DCCA good standing compliance. There is a nominal annual fee for the service. The "Certificate of Vendor Compliance" issued online through HCE provides the registered provider's current compliance status as of the issuance date, and is accepted for both contracting and final payment purposes. Refer to this section's part II. Website Reference for HCE's website address.
- G. **Campaign Contributions by State and County Contractors.** Providers are hereby notified of the applicability of HRS Section 11-205.5, which states that campaign contributions are prohibited from specified State or county government contractors during the term of the contract if the contractors are paid with funds appropriated by a legislative body. For more information, FAQs are available at the Campaign Spending Commission webpage. (See part II, Website Reference.)
- H. **Confidential Information.** If an applicant believes any portion of a proposal contains information that should be withheld as confidential, the applicant shall request in writing nondisclosure of designated proprietary data to be confidential and provide justification to support confidentiality. Such data shall accompany the proposal, be clearly marked, and shall be readily separable from the proposal to facilitate

eventual public inspection of the non-confidential sections of the proposal.

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

- I. **Confidentiality of Personal Information.** Act 10 relating to personal information was enacted in the 2008 special legislative session. As a result, the Attorney General's General Conditions of Form AG Form 103F, *Confidentiality of Personal Information*, has been amended to include Section 8 regarding protection of the use and disclosure of personal information administered by the agencies and given to third parties.
- J. **Proposal Submittal.** All mail-ins shall be postmarked by the United States Postal System (USPS) and received by the State purchasing agency no later than the submittal deadline indicated on the attached Proposal Mail-in and Delivery Information Sheet. All hand deliveries shall be received by the State purchasing agency by the date and time designated on the Proposal Mail-In and Delivery Information Sheet. Proposals shall be rejected when:
  - Postmarked after the designated date; or
  - Postmarked by the designated date but not received within 10 days from the submittal deadline; or
  - If hand delivered, received after the designated date and time.

The number of copies required is located on the Proposal Mail-In and Delivery Information Sheet. Deliveries by private mail services such as FEDEX shall be considered hand deliveries and shall be rejected if received after the submittal deadline. Dated USPS shipping labels are not considered postmarks.

## VIII. Discussions with Applicants

- A. **Prior to Submittal Deadline.** Discussions may be conducted with potential applicants to promote understanding of the purchasing agency's requirements.
- B. **After Proposal Submittal Deadline -** Discussions may be conducted with applicants whose proposals are determined to be reasonably susceptible of being selected for award, but proposals may be accepted without discussions, in accordance HAR Section 3-143-403.

## IX. Opening of Proposals

Upon receipt of a proposal by a state purchasing agency at a designated location, proposals, modifications to proposals, and withdrawals of proposals

shall be date-stamped, and when possible, time-stamped. All documents so received shall be held in a secure place by the state purchasing agency and not examined for evaluation purposes until the submittal deadline.

Procurement files shall be open to public inspection after a contract has been awarded and executed by all parties.

#### **X. Additional Materials and Documentation**

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

#### **XI. RFP Amendments**

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

#### **XII. Final Revised Proposals**

If requested, final revised proposals shall be submitted in the manner, and by the date and time specified by the state purchasing agency. If a final revised proposal is not submitted, the previous submittal shall be construed as the applicant's best and final offer/proposal. *The applicant shall submit only the section(s) of the proposal that are amended, along with the Proposal Application Identification Form (SPO-H-200).* After final revised proposals are received, final evaluations will be conducted for an award.

#### **XIII. Cancellation of Request for Proposal**

The RFP may be canceled and any or all proposals may be rejected in whole or in part, when it is determined to be in the best interests of the State.

#### **XIV. Costs for Proposal Preparation**

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

#### **XV. Provider Participation in Planning**

Provider participation in a state purchasing agency's efforts to plan for or to purchase health and human services prior to the state purchasing agency's release of a RFP, including the sharing of information on community needs, best practices, and providers' resources, shall not disqualify providers from submitting proposals if conducted in accordance with HAR Sections 3-142-202 and 3-142-203.

## **XVI. Rejection of Proposals**

The State reserves the right to consider as acceptable only those proposals submitted in accordance with all requirements set forth in this RFP and which demonstrate an understanding of the problems involved and comply with the service specifications. Any proposal offering any other set of terms and conditions contradictory to those included in this RFP may be rejected without further notice.

A proposal may be automatically rejected for any one or more of the following reasons:

- (1) Rejection for failure to cooperate or deal in good faith. (HAR Section 3-141-201)
- (2) Rejection for inadequate accounting system. (HAR Section 3-141-202)
- (3) Late proposals (HAR Section 3-143-603)
- (4) Inadequate response to request for proposals (HAR Section 3-143-609)
- (5) Proposal not responsive (HAR Section 3-143-610(a)(1))
- (6) Applicant not responsible (HAR Section 3-143-610(a)(2))

## **XVII. Notice of Award**

A statement of findings and decision shall be provided to all applicants by mail upon completion of the evaluation of competitive purchase of service proposals.

Any agreement arising out of this solicitation is subject to the approval of the Department of the Attorney General as to form, and to all further approvals, including the approval of the Governor, required by statute, regulation, rule, order or other directive.

No work is to be undertaken by the awardee prior to the contract commencement date. The State of Hawaii is not liable for any costs incurred prior to the official starting date.

## **XVIII. Protests**

Any applicant may file a protest against the awarding of the contract. The Notice of Protest form, SPO-H-801, is available on the SPO website. (See paragraph II, Website Reference.) Only the following matters may be protested:

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

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

<b>Head of State Purchasing Agency</b>	<b>Procurement Officer</b>
Name: David Hipp	Name: Kerry Kiyabu
Title: Executive Director	Title: Administrative Services Officer
Mailing Address: 820 Mililani Street, Suite 817 Honolulu, Hawaii 96813	Mailing Address: 820 Mililani Street, Suite 817 Honolulu, Hawaii 96813
Business Address: Same	Business Address: Same

## **XIX. 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.

## **XX. General and Special Conditions of Contract**

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

## **XXI. Cost Principles**

In order to promote uniform purchasing practices among state purchasing agencies procuring health and human services under HRS Chapter 103F, state purchasing agencies will utilize standard cost principles outlined in Form SPO-H-201, which is available on the SPO website (see paragraph II, Website

Reference). Nothing in this section shall be construed to create an exemption from any cost principle arising under federal law.

## **Section 2**

# **Service Specifications**

**IN-FACILITY SUBSTANCE ABUSE SERVICES (HMS 501-11-04-A)**

**AFTERCARE MONITORING SERVICES FOR YOUTH RELEASED  
FROM THE HAWAII YOUTH CORRECTIONAL FACILITY  
(HMS 501-11-04-B)**

**IN-FACILITY SUBSTANCE ABUSE SERVICES (HMS 501-11-04-A)**

## Section 2

# Service Specifications

### I. Introduction

#### Overview, purpose or need

The Department of Human Services (DHS), Office of Youth Services (OYS) is requesting proposals from qualified applicants to provide substance abuse services for youth incarcerated at the Hawaii Youth Correctional Youth Facility (HYCF).

The PROVIDER shall provide adolescent substance abuse screening, assessment, and treatment services to youth committed to the HYCF. Youth will be referred by OYS and the HYCF. The target population for this service is youth whose substance abuse has interfered with their becoming productive members of the community. The primary purpose of this service is to reduce the disabling effects related to alcohol and other drugs use by provide youth with the necessary tools and skills for responsible decision-making, to assist youth to find positive alternative methods of dealing with the pressure and strain of daily life, and to prevent youth from further involvement in the juvenile justice system.

#### A. Planning activities conducted in preparation for this RFP

The Office of Youth Services conducted its Request for Information Process for Fiscal Biennium 2011-2013 through a public notice followed by a series of meetings held from March to April 2010. The public meetings were held in various communities in order to assess the particular needs and conditions in each respective geographic area. A total of 145 individuals from 75 organizations and 23 state and local public agencies participated in the meetings. In addition, written comments were received from individuals in Hawai'i (2), Maui (1), O'ahu (2), and statewide (1).

Information from this RFI is analyzed within the context of the Office of Youth Services Strategic Plan, 2008-2013. This plan emphasizes three areas: planning, policy and capacity building. The strategic goals for these areas are:

- ***Planning for the Continuum of Youth Services*** – strengthen and sustain the continuum of youth services in Hawai'i by providing

effective coordination and support of community-based planning efforts.

- ***Advancing a Youth Policy Agenda*** – develop and advance a youth policy agenda that ensures a strong comprehensive system of support.
- ***Investing Funds & Technical Support In Youth Development*** – make strategic investments of funding and technical support in community-based efforts to strengthen and sustain the spectrum of youth services.

As a result of the RFI meetings, program need areas were identified, organized along the continuum of services categories of prevention, diversion, residential, and transition. Among those program need areas identified was the continued need for substance abuse prevention and treatment services, and transitional services for youth involved in the juvenile justice system.

**B. Description of the goals of the service**

The goal of this service is to reduce the disabling effects related to alcohol and other substance use by providing youth with the necessary tools and skills for responsible decision-making, to assist youth to find positive alternative methods of dealing with the pressure and strain of daily life, and to prevent youth from further involvement in the juvenile justice system.

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

The target groups in order of priority are:

Male and female youth under the jurisdiction of the HYCF referred by the HYCF who have been identified as at high risk of continuing to abuse illegal substances. Identification of high-risk youth will be accomplished by appropriate screening and assessment instruments.

**D. Geographic coverage of service**

Services shall be provided at the Hawaii Youth Correctional Facility (HYCF) grounds located in Kailua on the island of Oahu.

**E. Probable funding amounts, source, and period of availability**

1. **Funding Period:** September 1, 2011 to August 31, 2013
2. **Approximate Total Amount of General Funds:** \$100,000 per year

*NOTE: Funds have not yet been appropriated for this service.*

3. The OYS anticipates funds to be awarded for one 24-month period, subject to the availability of funds and quality of program services. There may be a possibility for the extension of the initial award period to up to one additional 24-month period should funds become available. The award of a contract and any allowed renewal or extension thereof is subject to allotments to be made by the Director of Finance, State of Hawaii, pursuant to Chapter 37, Hawaii Revised Statutes, and subject to the availability of funds and the quality of program services.
4. OYS anticipates one award to be granted for these services. While no exact funding amounts have been pre-determined, the OYS anticipates the award to be approximately \$100,000/year.
5. The OYS reserves the right to make modifications to the scope of services and in the funding amounts that it is unable to anticipate now. There may be modifications made to continue or to improve the services. Additionally, should funding be increased or decreased, the OYS reserves the right to add in additional funds or decrease funds at its discretion.

## II. General Requirements

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

The Contractor shall comply with the Chapter 103F, HRS, Cost Principles for Purchases of Health and Human Services identified in SPO-H-201, which can be found on the SPO website (see Section 5, POS Proposal Checklist, for the website address).

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.

The Contractor 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 Contractor shall provide the following limit(s) and coverage:

#### Coverage

#### Limits

**Commercial General Liability** \$2,000,000 combined single limit

<b>(Occurrence form)</b>	<u>per occurrence</u> for bodily injury and property damage
<b>Automobile</b>	Bodily injury \$1,000,000/ <u>person</u> \$1,000,000/ <u>occurrence</u> Property damage \$1,000,000/ <u>accident</u>
<b>Professional Liability, if applicable</b>	\$1,000,000/ <u>claim</u> \$2,000,000 <u>annual aggregate</u>

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 Contractor's employees who use their own vehicles in the course of their employment.

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

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

The procuring of such required policy or policies of insurance shall not be construed to limit Contractor's liability hereunder nor to fulfill the indemnification provisions and requirements of this contract.

Notwithstanding said policy or policies of insurance, Contractor shall be obliged for the full and total amount of any damage, injury, or loss caused by negligence or neglect connected with this contract.

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

**B. Secondary purchaser participation**

(Refer to HAR Section 3-143-608)

After-the-fact secondary purchases will be allowed.

Planned secondary purchases. None.

**C. Multiple or alternate proposals**

(Refer to HAR Section 3-143-605)

Allowed  Unallowed

**D. Single or multiple contracts to be awarded**

(Refer to HAR Section 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 Section 3-149-302)

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

**Contract terms:** The initial term of the contract shall commence on or after September 1, 2011 and continue through August 31, 2013. Services are not to begin until a notice to proceed is issued by the OYS. There may be a possibility for extension of the initial award period for one additional 24-month period should funds become available. The maximum length of the contract shall be forty-eight (48) months. The conditions for extension must be in writing and any

extension must be executed prior to the expiration of the initial term of the contract and any subsequent extension. The award of a contract and any allowed renewal or extension thereof is subject to allotments to be made by the Director of Finance, State of Hawaii, pursuant to Chapter 37, Hawaii Revised Statutes, and subject to the availability of funds and the quality of program services.

**F. RFP contact person**

The individual listed below is the sole point of contact from the date of release of this RFP until the selection of the successful provider(s). Written questions should be submitted to the RFP contact person and received by the day and time specified in Section 1, paragraph I (Procurement Timetable) of this RFP.

RFP Contact      Merton Chinen  
                          Office of Youth Services  
                          820 Mililani Street, Suite 817  
                          Honolulu, Hawaii 96813  
                          Phone: 587-5712  
                          Fax: 587-5734  
                          E-Mail: [mchinen@dhs.hawaii.gov](mailto:mchinen@dhs.hawaii.gov)

**III. Scope of Work**

The scope of work encompasses the following tasks and responsibilities:

**A. Service Framework**

In-Facility Substance abuse services shall be provided incorporating a trauma-informed care approach. Studies have indicated the prevalence of histories of trauma among those with alcohol and substance abuse problems. It is estimated that between 75-93 percent of youth entering the juvenile justice system annually have experienced some degree of traumatic victimization. It is vital that intervention services addressing alcohol and substance abuse be designed to work effectively with youth with histories of trauma, recognizing the presence of trauma symptoms and acknowledging the role that trauma has played in their usage of alcohol and illegal substances.

**B. Service Activities**

(Minimum and/or mandatory tasks and responsibilities)

The PROVIDER shall provide the following program activities for youth:

1. Conduct a substance abuse and drug screening for all youth committed greater than 30 days to determine if the youth has a

substance and drug problem and will need a further substance and drug use assessment.

2. Conduct a substance and drug assessment, if first screening determines necessary, of needs to determine the type of substance abuse services required and complete additional assessments and consultative services with recommendations in determining the level and intensity of services required by youth.
3. Conduct additional assessments as requested by the HYCF and the Courts.
4. Provide Substance Abuse education and prevention services on a scheduled basis in-facility for incarcerated youth with substance abuse problems. Utilize an evidenced-based written curriculum (e.g., Seven Challenges, etc.) or manual that includes service activities, objectives, and strategies.
5. For youth assessed to be in need of substance abuse treatment, provide substance abuse treatment services. Substance abuse treatment shall include the following:
  - a. Between one (1) and eight (8) hours per client per week of face-to-face treatment and one (1) hour of scheduled individual counseling per client per month (or one (1) hour per client per week of individual counseling when clinically indicated).
  - b. Face-to-face activities shall include, but are not limited to: assessment services; individual, family and group counseling; activity therapies; skills development; alcoholism and other drug addiction education.
6. Provide services to incarcerated youth after school hours, evenings, and on weekends. Dates and times of services shall be coordinated with the HYCF.
7. Provide cognitive restructuring approach to the youth with an understanding and awareness of the cognitive processes that lead to anti-social behavior and methods to change this pattern of behavior. Methods other than the cognitive behavioral approach may be utilized if an alternative approach has been determined to be more effective in addressing the needs of youth.
8. Develop a relapse prevention program to appropriate youth that includes the purpose and objectives of the program; activities to achieve the objectives of the program; and method of measuring the objectives of the program.

9. Coordinate a smooth transition of youth into the community by collaborating and linking youth with the HYCF transitional aftercare program staff prior to the release of youth and monitoring referrals to appropriate community-based services to assure a seamless continuation of substance abuse services.
10. Participate in meetings with representatives of the HYCF, Family Court (FC), Department of Education (DOE), Department of Health (DOH), and other pertinent agencies to update the agencies on issues, concerns, progress, and problems relating to the provision of services to youth.
11. Conduct follow-up phone, personal, and/or collateral contacts with youth or the youth's support system (guardian, school, mentor, etc.) for up to six months post-program discharge to determine the progress and stability of youth in the community.

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

**1. Personnel**

- a. Staff providing substance abuse education and prevention services shall have a minimum of three (3) months experience in providing cognitive restructuring and cognitive skill-building services to youth and shall have completed formal training in facilitating this process. The applicant may establish higher minimum qualifications for the aforementioned position(s).
- b. Staff performing the following function shall be Hawaii State certified substance abuse counselors (CSACs) pursuant to **321-193 (10), Hawaii Revised Statutes (HRS)**, or hold an advanced degree in behavioral health sciences:

- Clinical supervision

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

- Clinical evaluation
- Treatment planning

- Individual, group, and family counseling

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

- c. The Applicant shall ensure that employees do not have a criminal history or background which poses a risk to youth. The applicant shall conduct employment and reference checks on all employment applicants. In addition, prior to providing direct services to youth, criminal history record checks (State and FBI Criminal History Check, Sex Offender Registry, and the Child Abuse and Neglect Registry Clearance), shall be conducted, as allowed by statutes or rules, for any person who is employed or volunteers in a position which necessitates close proximity to children or adolescents. Documentation of criminal history record checks shall be maintained in the employee's or volunteer's personnel file and shall be available for review. Criminal history records checks, except for the FBI fingerprint check, shall be conducted annually.
- d. Staff shall be sufficiently trained and knowledgeable in working with and understanding the programmatic and security issues and concerns regarding the targeted youth population prior to providing direct services to youth. A training plan shall be developed and submitted to the OYS with the proposal. The training plan shall include, but not be limited to, applicant philosophy and goals; policies and procedures regarding confidentiality, client rights, emergency procedures, grievances, record-keeping, reporting child maltreatment, behavior management and treatment philosophy (including how a trauma informed care approach is integrated), de-escalation techniques and practices, and the recognition of the side effects of drugs and medications on youth. The training plan shall identify who will provide training and their qualifications.

- e. The Applicant shall maintain a plan for recruitment and retention of staff, and maintain staffing level ratios that specifically addresses handling of vacancies and absences.
- f. The Applicant shall develop policies that describe the grounds and circumstances for denial of employment or termination of current employees who have been found to have convictions or pending charges upon completion of any criminal history check or other investigation.
- g. The Applicant shall have written personnel policies covering selection of staff, salaries, fringe benefits, leaves, job descriptions, and minimum qualifications of each position. Staff salaries shall be sufficiently competitive to recruit and retain qualified staff.
- h. For out-of state applicants, there shall be established, prior to the provision of direct services to youth, a Hawaii-based staff or designee who shall assume the day-to-day responsibilities of establishing and implementing all necessary collaborations, programs, services, and requirements of the agreement.

## **2. Administrative**

- a. The Applicant is required to meet with the State upon execution of the contract to discuss all aspects of the program.
- b. The Applicant is required to maintain detailed records of youth, program activities, and personnel in addition to maintaining an accounting system and financial records to accurately account for funds awarded. Funds shall be budgeted and expended in accordance with applicable State and/or Federal cost principles.
- c. The Applicant shall also be required to comply with applicable provisions and mandates of the Health Insurance Portability and Accountability Act (HIPAA) of 1996. The HIPAA regulates how individually identifiable health (medical and mental health) information is handled to ensure confidentiality.
- d. The OYS reserves the right to make modifications to the scope of the services and in the funding amounts that it is currently unable to anticipate. There may be unique circumstances, not limited to directives and decrees from State and Federal agencies that require these modifications be made to continue or improve services. Additionally should funding be increased

or decreased, the OYS reserves the right to add in additional or decrease funds at its discretion.

- e. The Applicant shall not utilize youth for any agency solicitation or political campaign purposes.
- f. The Applicant may not charge youth and/or their families more than a token amount for program services.
- g. Subcontracting arrangements may be allowed if the Applicant is unable to provide components of the requested services directly. All subcontracts must follow the pricing structure and all other requirements of this RFP.
- h. Memoranda of Agreements and working agreements with other agencies for services resulting from awards and contracts of this RFP shall be submitted to the OYS for review for appropriateness and relevancy.
- i. The successful Applicant will be required to enter into a formal written Contract with the Office of Youth Services in accordance with the laws, rules and regulations of the State of Hawaii. The RFP and Applicant's proposal shall be incorporated in the Contract by reference.

The stated requirements appearing elsewhere in this RFP shall become part of the terms and conditions of the resulting Contract. Any deviations thereof must be specifically defined by the Applicant in its proposal which, if successful, will become part of the Contract.

The funds available for this project are limited. The OYS reserves the rights to contract for only those services which appear to be in the best interests of the OYS.

Upon award, the OYS will forward the formal Contract to the successful Applicant for execution. The Contract shall be signed by the successful Applicant and returned, together with required insurance documents (including indemnification), and other supporting documents, within ten (10) calendar days after receipt by the Applicant, or within such further time as the Executive Director may allow.

No such Contract shall be binding upon the OYS until the Contract has been fully and properly executed by all the parties thereto and the State Comptroller has, in accordance

with Section 103-39, Hawaii Revised Statutes, endorsed thereon his certificate that there is an appropriation or balance of an appropriation over and above all outstanding contracts, sufficient to cover the amount required by the Contract during the fiscal year. Further, the Contract shall not be considered to be fully executed until the Department of the Attorney General of the State of Hawaii has approved the Contract as to form.

The OYS reserves the right to cancel the Contract without cause and to request new proposals for the work.

- j. No Supplementary Agreement shall be binding upon the OYS until the Agreement has been fully and properly executed by all parties thereto prior to the start date of Agreement. The PROVIDER shall not provide any services until the Agreement is fully and properly executed.

Any work performed by the successful Applicant prior to receipt of a Notice to Proceed shall be at the Applicant's own risk and expense. The State of Hawaii and the OYS are not and will not be liable for any work, contract costs, expenses, loss of profits or damages whatsoever incurred by the successful Applicant prior to the receipt of a Notice to Proceed.

The Provider is responsible to purchase or lease, with available funding, all the necessary supplies and equipment needed to perform the services. Prior approval must be obtained from the OYS for the initial purchase of equipment, furniture, supplies, etc. which are required for this Contract. Subsequent purchases of equipment above \$250 (that has a useful life of more than one year) shall require prior approval.

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

- a. All contracts shall be monitored by the OYS in accordance with requirements set forth by Chapter 103F, Hawaii Revised Statutes. Contract monitoring shall include but may not be limited to:
  - 1) The review of amendments and approvals, deemed appropriate by the OYS, of the contract's program items, especially the outcomes plan, the performance targets and milestones, the assurance of collaboration, quarterly program reports, and other documents submitted to the OYS.

- 2) Periodic site visits, scheduled and unscheduled, with comprehensive written evaluation of the major program service areas, such as:
  - i. Staff qualification, organization, and effectiveness.
  - ii. Outcomes planning, implementation, and evaluation.
  - iii. Collaboration (Informal and formal agreements and subcontracts).
  - iv. File maintenance and record keeping.
  - v. Facility accessibility, suitability, and safety.
  - vi. Transportation and other liability issues.
  - vii. Consumer satisfaction.
- 3) The Applicant shall allow the OYS access to all materials, files, and documents relating to the provision of services. In addition, the OYS may, at its discretion, observe individual, group, and educational sessions conducted by the Applicant.
- b. The Applicant must maintain for the term of the contract the system of evaluation developed by the OYS, including the use of evaluation tools and reporting forms. In addition, the Applicant must take corrective actions the OYS deems necessary in light of the evaluation data.

#### 4. Performance Plan

The Applicant shall consult with the OYS concerning performance targets and milestones and, within 30 days of contract execution, submit a Performance Plan utilizing the outcomes framework, through the completion of OYS Form 4-1 which is attached to this RFP. To assist the Applicant in completing Form 4-1, A Crash Course in the Outcomes Framework (August 2003) is also attached.

- a. An **Outcomes Framework** (outcomes, performance targets, and milestones) will be used for monitoring and results reporting. The Outcomes Framework (OF) for this service will focus on specific achievements and specific changes in youth and family conditions, skills, attitudes, and/or behaviors.
  - 1) Performance targets describe the anticipated change in program participants that occurs as a consequence of the service provided. The performance target does not reflect the actions or behaviors of the agency or the staff in the delivery of the program services. In response to the RFP,

applicants must propose and commit to performance targets directly related to the initiatives described in this RFP.

- 2) Milestones describe the sequential actions made by the program participants to indicate they are successfully progressing toward achieving the performance target. Applicants should identify the milestones that will most effectively communicate (track and report) the success of program participants and at the same time can be efficiently documented on an ongoing basis.
- 3) The successful achievement of milestones and performance targets should be verifiable by direct and indirect measures, observable events or behaviors, or indicators identified by the applicant.

b. Within this OF, applicants must:

- 1) Base program activities on an assessment of objective data about the relevant risk and protective factors for the target population and communities the applicants propose to service.
- 2) Design and implement programs and activities for youth based on research or evaluation that provides evidence that the programs used impact knowledge, behavior and/or competencies of the youth involved or contribute to preventing/reducing risk factors and establishing/strengthening protective factors related to healthy youth development.
- 3) Commit to the performance targets finalized with the OYS as part of the applicants' contractual responsibility and track and report progress through a standard outcomes reporting format and meet periodically with the OYS to review progress and results and to make necessary modifications and corrections.
- 4) Evaluate programs to assess programs' ability to impact elements of youth development and the desired outcomes. Applicants must also assess progress toward achieving the proposed outcomes, performance targets, and milestones. Furthermore, such evaluation shall be used to improve and strengthen the programs, to revise timelines, to refine the performance targets and milestones, and to make informed

decisions regarding future program directions.

- 5) Use appropriate computer hardware and Microsoft software to record, monitor, and report various data.
- c. Applicants should propose up to 3 performance targets, including numeric projections of achievement as the number of or percent of program participants that will demonstrate an increase or reduction related to achievements made as a result of program participation.
- d. In order to facilitate the implementation of the OF and enhanced services, the OYS will:
  - 1) Provide technical assistance in developing and refining outcomes, performance targets, and milestones during the term of the contract.
  - 2) Provide technical assistance in using hardware and software to evaluate the progress of the programs.

#### **5. Experience**

The Applicant must demonstrate a thorough understanding of the purpose and scope of the service activities, as well as the necessary skills, abilities, and at least three (3) years experience actually delivering the types of services proposed herein in response to this RFP. Experience with youth involved with the juvenile justice system is preferred but not essential.

#### **6. Coordination of services**

Funded programs shall coordinate with related Federal, State, school, and community efforts and resources to foster interactions and environments that promote positive youth development and healthy behaviors for youth.

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

Contracts are programmatically and fiscally monitored by the OYS. Monitoring includes the review of program reports and services; budgets and revisions (as approved by the OYS); invoices and expenditure reports; and any issues applicable to services provided. Monitoring will take place at a variety of locations including the Applicant's administrative office and the site(s) of service delivery.

Timely program reports as specified by the OYS will be due quarterly and at the end of each budget period.

A monthly invoice for operational costs shall be prepared and submitted to the OYS by the 10<sup>th</sup> of each month in accordance with the agreed upon Compensation and Payment Schedule. Additionally, the PROVIDER shall submit a final invoice upon termination of the contract.

**C. Facilities**

Applicants shall assure the adequacy of the facilities that will be used to conduct the proposed service to ensure the safety and well-being of the target population

**IV. COMPENSATION AND METHOD OF PAYMENT**

**Cost Reimbursement**

The OYS shall consider cost proposals on a cost reimbursement pricing structure. The cost reimbursement pricing structure reflects a purchase arrangement in which the purchasing agency pays the provider for budgeted agreed-upon costs that are actually incurred in delivering the services specified in the contract, up to a stated maximum obligation.

Payments shall be made monthly upon submission of an original invoice reflecting the cost of services provided during a specific month.

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

SPO-H-205	Budget
SPO-H-206A	Personnel - Salaries & Wages
SPO-H-206B	Personnel - Payroll Taxes and Fringe Benefits
SPO-H-206C	Travel - Inter-Island*
SPO-H-206D	Travel - Out-of-State*
SPO-H-206E	Contractual Services-Administration
SPO-H-206F	Contractual Services-Subcontracts
SPO-H-206G	Depreciation
SPO-H-206H	Program Costs
SPO-H-206I	Equipment Purchases*

\*Expenditures require justification and prior approval.

If any one of the above forms is not applicable, please note as "N/A" on the form.

**AFTERCARE MONITORING SERVICES FOR YOUTH RELEASED  
FROM THE HAWAII YOUTH CORRECTIONAL FACILITY  
(HMS 501-11-04-B)**

## Section 2

# Service Specifications

### IV. Introduction

#### Overview, purpose or need

The Department of Human Services (DHS), Office of Youth Services (OYS) is requesting proposals from qualified applicants to provide Aftercare Monitoring Services (AMS) for youth incarcerated at the Hawaii Youth Correctional Youth Facility (HYCF).

Research has demonstrated that higher-risk youth are more likely than lower-risk youth to commit additional criminal acts upon their release into the community. Research has also demonstrated that providing appropriate services to higher-risk youth can reduce the probability of youth committing additional criminal and anti-social behaviors. The purpose of the requested service is to support higher-risk youth released from the Hawaii Youth Correctional Facility (HYCF) successfully transition back in the community and help prevent them from re-entering back into the juvenile justice system.

#### A. Planning activities conducted in preparation for this RFP

The Office of Youth Services conducted its Request for Information Process for Fiscal Biennium 2011-2013 through a public notice followed by a series of meetings held from March to April 2010. The public meetings were held in various communities in order to assess the particular needs and conditions in each respective geographic area. A total of 145 individuals from 75 organizations and 23 state and local public agencies participated in the meetings. In addition, written comments were received from individuals in Hawai'i (2), Maui (1), O'ahu (2), and statewide (1).

Information from this RFI is analyzed within the context of the Office of Youth Services Strategic Plan, 2008-2013. This plan emphasizes three areas: planning, policy and capacity building. The strategic goals for these areas are:

- ***Planning for the Continuum of Youth Services*** – strengthen and sustain the continuum of youth services in Hawai'i by providing effective coordination and support of community-based planning efforts.
- ***Advancing a Youth Policy Agenda*** – develop and advance a youth policy agenda that ensures a strong comprehensive system of support.
- ***Investing Funds & Technical Support In Youth Development*** – make strategic investments of funding and technical support in community-based efforts to strengthen and sustain the spectrum of youth services.

As a result of the RFI meetings, program need areas were identified,

organized along the continuum of services categories of prevention, diversion, residential, and transition. Among those program need areas identified was the continued need for substance abuse prevention and treatment services, and transitional services for youth involved in the juvenile justice system.

**B. Description of the goals of the service**

The requested service shall seek to reduce those risk factors that contribute to the probability of youth committing criminal or anti-social acts, assist youth to maintain relationships with positive individuals and resources in the community, and provide supportive aftercare services for a smooth and seamless transition into the community. Services shall begin prior to the release of youth from the HYCF and continue with the residency of youth in the community.

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

1. The target population for the services, in order of priority, includes:

- a. Male and female youth under the jurisdiction of the HYCF referred by the HYCF or agency responsible for the care and custody of incarcerated youth who have been identified as individuals whose overall risk score places youth at high risk of recidivating. Identification of high-risk youth will be accomplished by the completion of an objective risk and needs assessment instrument by the HYCF or agency responsible for the care and custody of incarcerated youth. Applicant will be required to identify high-risk youth by completing an objective risk and needs assessment instrument, should such an instrument not be completed by the HYCF or agency responsible for the care and custody of incarcerated youth.
- b. Youth under the jurisdiction of the HYCF referred by the HYCF or agency responsible for the care and custody of incarcerated youth who have been assessed and identified as in need of transitional services and who would benefit from participating in these services.

2. Aftercare Monitoring Services shall be provided for approximately 150 youth annually on the following islands: Kauai, 8 ;Oahu,75 youth; Maui, 30 youth; and Hawaii, 37 youth.

**D. Geographic coverage of service**

The Monitoring services shall be provided on the islands of Kauai, Oahu, Maui, and Hawaii. Monitoring services may also be provided on the islands of Lanai and Molokai if adequate applicant resources are available.

**E. Probable funding amounts, source, and period of availability**

1. Funding Period: September 1, 2011 to August 31, 2013
2. Approximate Total Amount of General Funds: \$550,000 per year  
*NOTE: Funds have not yet been appropriated for this service.*
3. The OYS anticipates funds to be awarded for one 24-month period, subject to the availability of funds and quality of program services. There may be a possibility for the extension of the initial award period to up to one additional 24-month periods should funds become available. The award of a contract and any allowed renewal or extension thereof is subject to allotments to be made by the Director of Finance, State of Hawaii, pursuant to Chapter 37, Hawaii Revised Statutes, and subject to the availability of funds and the quality of program services.
4. There will be one award granted.
5. The OYS reserves the right to make modifications to the scope of services and in the funding amounts that it is unable to anticipate now. There may be modifications made to continue or to improve the services. Additionally, should funding be increased or decreased, the OYS reserves the right to add in additional funds or decrease funds at its discretion.

**V. General Requirements****A. Specific qualifications or requirements, including but not limited to licensure or accreditation**

The Contractor shall comply with the Chapter 103F, HRS, Cost Principles for Purchases of Health and Human Services identified in SPO-H-201, which can be found on the SPO website (see Section 5, POS Proposal Checklist, for the website address).

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.

The Contractor 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 Contractor shall provide the following limit(s) and coverage:

**Coverage****Limits**

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

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 Contractor's employees who use their own vehicles in the course of their employment.

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

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

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

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

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

After-the-fact secondary purchases will be allowed.

Planned secondary purchases. None.

**C. Multiple or alternate proposals**  
(Refer to HAR Section 3-143-605)

Allowed  Unallowed

**D. Single or multiple contracts to be awarded**  
(Refer to HAR Section 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 Section 3-149-302)

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

**Contract terms:** The initial term of the contract shall commence on or after September 1, 2011 and continue through August 31, 2013. Services are not to begin until a notice to proceed is issued by the OYS. There may be a possibility for extension of the initial award period for one additional 24-month period should funds become available. The maximum length of the contract shall be forty-eight (48) months. The conditions for extension must be in writing and any extension must be executed prior to the expiration of the initial term of the contract and any subsequent extension. The award of a contract and any allowed renewal or extension thereof is subject to allotments

to be made by the Director of Finance, State of Hawaii, pursuant to Chapter 37, Hawaii Revised Statutes, and subject to the availability of funds and the quality of program services.

**F. RFP contact person**

The individual listed below is the sole point of contact from the date of release of this RFP until the selection of the successful provider(s). Written questions should be submitted to the RFP contact person and received by the day and time specified in Section 1, paragraph I (Procurement Timetable) of this RFP.

RFP Contact      Merton Chinen  
                          Office of Youth Services  
                          820 Mililani Street, Suite 817  
                          Honolulu, Hawaii 96813  
                          Phone: 587-5712  
                          Fax: 587-5734  
                          E-Mail: [mchinen@dhs.hawaii.gov](mailto:mchinen@dhs.hawaii.gov)

**VI. Scope of Work**

The scope of work encompasses the following tasks and responsibilities:

**A. Service Framework**

Aftercare services shall be provided incorporating a trauma-informed care approach. Studies have indicated the prevalence of histories of trauma among youth who are incarcerated. It is estimated that between 75-93 percent of youth entering the juvenile justice system annually have experienced some degree of traumatic victimization. It is vital that intervention services addressing youth problem behaviors be designed to work effectively with youth with histories of trauma, recognizing the presence of trauma symptoms and acknowledging the role that trauma has played in their usage of alcohol and illegal substances.

**B. Service Activities**

(Minimum and/or mandatory tasks and responsibilities)

1. Services provided to youth shall be evidenced-based and demonstrated to be effective in identifying and reducing needs and risk factors, increasing assets, and reducing recidivism or anti-social behaviors in high-risk juvenile offenders. Proposals shall describe the overall program model and theory and provide data or information on research and studies that support the proposed service for the target population.

Aftercare services shall begin at least one month prior to the release of youth from incarceration and shall continue through the residency of youth in the community until the youth completes the program, or is discharged

from HYCF. Aftercare services are primarily focused on providing and/or continuing positive connections between youth, families, and community resources, supporting and strengthening pro-social decision-making skill and techniques, providing life skill-building activities, assuring that youth continue all programs and services recommended in their transition plan, and providing supervision and advocacy services to youth. Service components shall be provided in a manner that addresses the differing culture, ethnic, racial and gender-specific needs of youth.

2. The proposal shall describe how each of the following activities will be addressed and provided to youth:
  - a. Aftercare Services. The applicant shall provide aftercare services for a minimum of four (4) months after the release of youth from incarceration or discharge of youth from the jurisdiction of the HYCF. Aftercare services shall include, but not be limited to, the following activities:
    - 1) Provide a weekly transitional group service activity for youth at least 90 days prior to discharge from HYCF. The focus of the group shall be to identify and address any issues, problems, concerns and expectations affecting the youth in making a positive transition back into the community. Group activities such as cognitive behavioral skill-building, anger management, forgiveness, and relapse prevention may be addressed during the weekly sessions.
    - 2) At least one month prior to the scheduled parole from HYCF, begin meeting with the youth to plan for a successful reintegration back to the community. Assist youth in identifying goals and methods to assist youth achieve established goals.
    - 3) Assist with development of a transition plan with parole staff and management. The transition plan shall address reducing risk factors, as indicated by the use of an objective risk and needs assessment process, which contribute to the inability of youth to function in a pro-social manner. The transition plan shall also focus on increasing protective factors in the various domains of the youth. The transition plan shall also include a relapse prevention plan.
    - 4) Prior to the youth's discharge from HYCF, assist youth in maintaining positive relationships with their families and other members of the community by:
      - a) Communicating with family members regarding progress of youth.

- b) Arranging for family visitations, if appropriate, to establish or maintain positive bonds. As the discharge date approaches, a family group conferencing model and/or circle of support approach may be utilized to help plan for the youth's transition back to the family and community.
  - c) Linking youth with positive role models in the community.
  - d) Maintaining communication with community resources that will support and assist youth upon their return into the community.
- 5) After discharge from HYCF, provide assistance to youth in maintaining positive relationships with family, peers, members of the community, and other community-based services. Provide support and counseling as appropriate for the youth, family and other significant persons in the youth's life. If a higher level of intervention is indicated, coordinate referrals to appropriate resources such as family therapy.
- 6) Provide intensive supervision and monitoring of youth in the community, with 24-hour availability to respond to crisis situations. Implement a process with HYCF staff to determine the level and intensity of supervision required by youth to assure compliance with the terms and conditions of their release. Intensive supervision services shall include face-to-face contact, indirect surveillance via unannounced, 24 hour in-person visits, telephone calls, and collateral contacts.
- a) Contacts shall be made at random time-frames, the initial contact made within 24 hours of the youth's official release into the community. Contact shall be made in a variety of locations (home, school, work, and program service settings). Both announced and unannounced contacts shall be conducted, so that youth are supported to engage and comply with services and resources identified in the implementation, and not to try to deviate from the daily schedules and curfews. Supervision shall emphasize monitoring of the youth's progress and appraising on-going needs and risks.
  - b) The schedule of contacts shall begin with frequent in-person face-to-face visits and telephone calls, and gradually decrease in intensity and type of service, as the youth demonstrates compliance with the disposition and terms and conditions of the parole. The following schedule of contacts outlines the intensive supervision process:

- i. Week one (1). Following initial placement into the program, a minimum of seven (7) face-to-face contacts with the youth, and two (2) face-to-face contacts with the parents/legal guardians. Additionally, three (3) telephone calls per day are expected from the youth to the monitor.
  - ii. Week two (2). A minimum of five (5) face-to-face contacts with the youth, and one (1) face-to-face contact with the parents/legal guardians. Collateral contacts with all service resources who are providing the youth with services. Additionally, three (3) telephone calls per day are expected from the youth to the monitor.
  - iii. Week three (3). A minimum of three (3) face-to-face contacts with the youth, and one (1) face-to-face contact with the parents/legal guardians. Collateral contacts with at least two (2) identified resources who are providing the youth with services. Additionally, three (3) telephone calls per day are expected from the youth to the monitor.
  - iv. Week four (4) and beyond. A minimum of three (3) face-to-face contacts with the youth, and one (1) face-to-face contact with the parents/legal guardians. Collateral contacts with at least two (2) identified resources who are providing the youth with services. Additionally, two (2) telephone calls per day are expected from the youth to the monitor.
- 7) Engage, motivate, and empower the youth and family to strengthen their support systems and enhance their capacity to resolve their problems and to mediate crisis, and to act on their own behalf. Provide 24-hour availability to respond to crisis situations to assist in stabilizing the situation and make referrals to other services, as appropriate.
  - 8) Support youth in their efforts to maintain educational, vocational, and work-related goals. Work with local schools to assist with re-enrollment; or develop alternative plans for continuing education. Assist youth with applying for employment and vocational-related services.
  - 9) Provide cognitive, social, and independent living skill-building activities. Assist youth with continuing Seven Challenges curriculum, Cage the Rage, and any other programming initiated at HYCF.

- 10) Assist in the implementation of the transition plan. Coordinate referrals to services (e.g., mental health counseling, substance abuse treatment, anger management, employment skills training, tutoring, etc.) and follow up to ensure that youth are engaged with services. Advocate on the youth or family's behalf to secure resources necessary to achieve their goals.
- 11) Communicate regularly with HYCF parole staff to ensure compliance with conditions of parole/court order/etc. Submit detailed monthly reports (individual to each youth served) to HYCF, outlining services provided, incidents, etc. Reports are due on the 10<sup>th</sup> working day following each month of service.
- 12) Recommend, coordinate, and arrange for additional assessment and consultative services as appropriate and as approved by the HYCF. Refer youth to other appropriate community-based programs and agencies for services.
- 13) Provided positive activities/outings that offer opportunities to learn and connect with the community, including service learning projects. These activities/outings may be offered with other youth in a group outing.
- 14) Participate in meetings with representatives of the HYCF (including Multi-Disciplinarian Team Meetings), Family Court, Department of Human Services, Department of Education, Department of Health, and other pertinent agencies. The purpose of these meetings is to update the agencies on issues, concerns, progress, and problems relating to the provision of services to youth.

b. Transportation Services

It is anticipated that youth will experience significant transportation needs to meet the terms and conditions of parole, such as meetings with the parole officer, attendance at school/educational activities, and participation in services with community-based agencies. Transportation options may include transporting the youth in an agency or personal vehicle, the provision of bus passes, and/or subcontracting for transportation services.

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

**1. Personnel**

- a. The Applicant will provide all personnel necessary for the effective completion of the requested services. This shall include but not be limited to:
- 1) The Program Director and other staff who provide higher level direct services (e.g., family counseling, cognitive behavioral groups, etc.) shall at minimum possess a Bachelor's degree from an accredited college or university, and two years of experience working with youth and families. The Program Director shall have a minimum of one-year supervisory/management experience.
  - 2) Staff providing aftercare monitoring services to youth shall be at least 21 years of age and possess a Bachelor's degree, an Associate's degree with two years of experience working with youth or four years experience working with youth. A combination of education and appropriate experience shall meet this qualification. Degrees must be conferred from an accredited college or university. Documentation of compliance with this section shall be maintained in the employee's file.
- b. The Applicant shall ensure that employees do not have a criminal history or background which poses a risk to youth. The applicant shall conduct employment and reference checks on all employment applicants. In addition, prior to providing direct services to youth, criminal history record checks (State and FBI Criminal History Check, Sex Offender Registry, and the Child Abuse and Neglect Registry Clearance), shall be conducted, as allowed by statutes or rules, for any person who is employed or volunteers in a position which necessitates close proximity to children or adolescents. Documentation of criminal history record checks shall be maintained in the employee's or volunteer's personnel file and shall be available for review. Criminal history records checks, except for the FBI fingerprint check, shall be conducted annually.
- c. Staff shall be sufficiently trained and knowledgeable in working with and understanding the programmatic and security issues and concerns regarding the targeted youth population prior to providing direct services to youth. A training plan shall be developed and submitted to the OYS with the proposal. The training plan shall include, but not be limited to, applicant philosophy and goals; policies and procedures regarding confidentiality, client rights, emergency procedures, grievances, record-keeping, reporting child maltreatment, behavior management and treatment philosophy (including how a trauma informed care approach is integrated), de-escalation techniques and practices, and the recognition of the side effects of drugs and medications on youth. The training plan shall identify who will provide training and their qualifications.

- d. The Applicant shall maintain a plan for recruitment and retention of staff, and maintain staffing level ratios that specifically addresses handling of vacancies and absences.
- e. The Applicant shall develop policies that describe the grounds and circumstances for denial of employment or termination of current employees who have been found to have convictions or pending charges upon completion of any criminal history check or other investigation.
- f. The Applicant shall have written personnel policies covering selection of staff, salaries, fringe benefits, leaves, job descriptions, and minimum qualifications of each position. Staff salaries shall be sufficiently competitive to recruit and retain qualified staff.
- g. For out-of state applicants, there shall be established, prior to the provision of direct services to youth, a Hawaii-based staff or designee who shall assume the day-to-day responsibilities of establishing and implementing all necessary collaborations, programs, services, and requirements of the agreement.

## **2. Administrative**

- a. The Applicant is required to meet with the State upon execution of the contract to discuss all aspects of the program.
- b. The Applicant is required to maintain detailed records of youth, program activities, and personnel in addition to maintaining an accounting system and financial records to accurately account for funds awarded. Funds shall be budgeted and expended in accordance with applicable State and/or Federal cost principles.
- c. The Applicant shall also be required to comply with applicable provisions and mandates of the Health Insurance Portability and Accountability Act (HIPAA) of 1996. The HIPAA regulates how individually identifiable health (medical and mental health) information is handled to ensure confidentiality.
- d. The OYS reserves the right to make modifications to the scope of the services and in the funding amounts that it is currently unable to anticipate. There may be unique circumstances, not limited to directives and decrees from State and Federal agencies that require these modifications be made to continue or improve services. Additionally should funding be increased or decreased, the OYS reserves the right to add in additional or decrease funds at its discretion.

- e. The Applicant shall not utilize youth for any agency solicitation or political campaign purposes.
- f. The Applicant may not charge youth and/or their families more than a token amount for program services.
- g. Subcontracting arrangements may be allowed if the Applicant is unable to provide components of the requested services directly. All subcontracts must follow the pricing structure and all other requirements of this RFP.
- h. Memoranda of Agreements and working agreements with other agencies for services resulting from awards and contracts of this RFP shall be submitted to the OYS for review for appropriateness and relevancy.
- i. The successful Applicant will be required to enter into a formal written Contract with the Office of Youth Services in accordance with the laws, rules and regulations of the State of Hawaii. The RFP and Applicant's proposal shall be incorporated in the Contract by reference.

The stated requirements appearing elsewhere in this RFP shall become part of the terms and conditions of the resulting Contract. Any deviations thereof must be specifically defined by the Applicant in its proposal which, if successful, will become part of the Contract.

The funds available for this project are limited. The OYS reserves the rights to contract for only those services which appear to be in the best interests of the OYS.

Upon award, the OYS will forward the formal Contract to the successful Applicant for execution. The Contract shall be signed by the successful Applicant and returned, together with required insurance documents (including indemnification), and other supporting documents, within ten (10) calendar days after receipt by the Applicant, or within such further time as the Executive Director may allow.

No such Contract shall be binding upon the OYS until the Contract has been fully and properly executed by all the parties thereto and the State Comptroller has, in accordance with Section 103-39, Hawaii Revised Statutes, endorsed thereon his certificate that there is an appropriation or balance of an appropriation over and above all outstanding contracts, sufficient to cover the amount required by the

Contract during the fiscal year. Further, the Contract shall not be considered to be fully executed until the Department of the Attorney General of the State of Hawaii has approved the Contract as to form.

The OYS reserves the right to cancel the Contract without cause and to request new proposals for the work.

- j. No Supplementary Agreement shall be binding upon the OYS until the Agreement has been fully and properly executed by all parties thereto prior to the start date of Agreement. The PROVIDER shall not provide any services until the Agreement is fully and properly executed.

Any work performed by the successful Applicant prior to receipt of a Notice to Proceed shall be at the Applicant's own risk and expense. The State of Hawaii and the OYS are not and will not be liable for any work, contract costs, expenses, loss of profits or damages whatsoever incurred by the successful Applicant prior to the receipt of a Notice to Proceed.

The Provider is responsible to purchase or lease, with available funding, all the necessary supplies and equipment needed to perform the services. Prior approval must be obtained from the OYS for the initial purchase of equipment, furniture, supplies, etc. which are required for this Contract. Subsequent purchases of equipment above \$250 (that has a useful life of more than one year) shall require prior approval.

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

- a. All contracts shall be monitored by the OYS in accordance with requirements set forth by Chapter 103F, Hawaii Revised Statutes. Contract monitoring shall include but may not be limited to:
  - 1) The review of amendments and approvals, deemed appropriate by the OYS, of the contract's program items, especially the outcomes plan, the performance targets and milestones, the assurance of collaboration, quarterly program reports, and other documents submitted to the OYS.
  - 2) Periodic site visits, scheduled and unscheduled, with comprehensive written evaluation of the major program service areas, such as:
    - i. Staff qualification, organization, and effectiveness.
    - ii. Outcomes planning, implementation, and evaluation.

- iii. Collaboration (Informal and formal agreements and subcontracts).
- iv. File maintenance and record keeping.
- v. Facility accessibility, suitability, and safety.
- vi. Transportation and other liability issues.
- vii. Consumer satisfaction.

3) The Applicant shall allow the OYS access to all materials, files, and documents relating to the provision of services. In addition, the OYS may, at its discretion, observe individual, group, and educational sessions conducted by the Applicant.

b. The Applicant must maintain for the term of the contract the system of evaluation developed by the OYS, including the use of evaluation tools and reporting forms. In addition, the Applicant must take corrective actions the OYS deems necessary in light of the evaluation data.

#### 4. Performance Plan

The Applicant shall consult with the OYS concerning performance targets and milestones and, within 30 days of contract execution, submit a Performance Plan utilizing the outcomes framework, through the completion of OYS Form 4-1 which is attached to this RFP. To assist the Applicant in completing Form 4-1, A Crash Course in the Outcomes Framework (August 2003) is also attached.

- b. An **Outcomes Framework** (outcomes, performance targets, and milestones) will be used for monitoring and results reporting. The Outcomes Framework (OF) for this service will focus on specific achievements and specific changes in youth and family conditions, skills, attitudes, and/or behaviors.
- 1) Performance targets describe the anticipated change in program participants that occurs as a consequence of the service provided. The performance target does not reflect the actions or behaviors of the agency or the staff in the delivery of the program services. In response to the RFP, applicants must propose and commit to performance targets directly related to the initiatives described in this RFP.
  - 2) Milestones describe the sequential actions made by the program participants to indicate they are successfully progressing toward achieving the performance target. Applicants should identify the milestones that will most effectively communicate (track and

report) the success of program participants and at the same time can be efficiently documented on an ongoing basis.

- 3) The successful achievement of milestones and performance targets should be verifiable by direct and indirect measures, observable events or behaviors, or indicators identified by the applicant.

b. Within this OF, applicants must:

- 1) Base program activities on an assessment of objective data about the relevant risk and protective factors for the target population and communities the applicants propose to service.
- 2) Design and implement programs and activities for youth based on research or evaluation that provides evidence that the programs used impact knowledge, behavior and/or competencies of the youth involved or contribute to preventing/reducing risk factors and establishing/ strengthening protective factors related to healthy youth development.
- 3) Commit to the performance targets finalized with the OYS as part of the applicants' contractual responsibility and track and report progress through a standard outcomes reporting format and meet periodically with the OYS to review progress and results and to make necessary modifications and corrections.
- 4) Evaluate programs to assess programs' ability to impact elements of youth development and the desired outcomes. Applicants must also assess progress toward achieving the proposed outcomes, performance targets, and milestones. Furthermore, such evaluation shall be used to improve and strengthen the programs, to revise timelines, to refine the performance targets and milestones, and to make informed decisions regarding future program directions.
- 5) Use appropriate computer hardware and Microsoft software to record, monitor, and report various data.

c. Applicants should propose up to 3 performance targets, including numeric projections of achievement as the number of or percent of program participants that will demonstrate an increase or reduction related to achievements made as a result of program participation.

d. In order to facilitate the implementation of the OF and enhanced services, the OYS will:

- 1) Provide technical assistance in developing and refining outcomes, performance targets, and milestones during the term of the contract.
- 2) Provide technical assistance in using hardware and software to evaluate the progress of the programs.

#### **5. Experience**

The Applicant must demonstrate a thorough understanding of the purpose and scope of the service activities, as well as the necessary skills, abilities, and at least three (3) years experience actually delivering the types of services proposed herein in response to this RFP. Experience with youth involved with the juvenile justice system is preferred but not essential.

#### **5. Coordination of services**

Funded programs shall coordinate with related Federal, State, school, and community efforts and resources to foster interactions and environments that promote positive youth development and healthy behaviors for youth.

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

Contracts are programmatically and fiscally monitored by the OYS. Monitoring includes the review of program reports and services; budgets and revisions (as approved by the OYS); invoices and expenditure reports; and any issues applicable to services provided. Monitoring will take place at a variety of locations including the Applicant's administrative office and the site(s) of service delivery.

Timely program reports as specified by the OYS will be due quarterly and at the end of each budget period.

A monthly invoice for operational costs shall be prepared and submitted to the OYS by the 10<sup>th</sup> of each month in accordance with the agreed upon Compensation and Payment Schedule. Additionally, the PROVIDER shall submit a final invoice upon termination of the contract.

#### **D. Facilities**

Applicants shall assure the adequacy of the facilities that will be used to conduct the proposed service to ensure the safety and well-being of the target population

### **V. COMPENSATION AND METHOD OF PAYMENT**

## Cost Reimbursement

The OYS shall consider cost proposals on a cost reimbursement pricing structure. The cost reimbursement pricing structure reflects a purchase arrangement in which the purchasing agency pays the provider for budgeted agreed-upon costs that are actually incurred in delivering the services specified in the contract, up to a stated maximum obligation.

Payments shall be made monthly upon submission of an original invoice reflecting the cost of services provided during a specific month.

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

SPO-H-205	Budget
SPO-H-206A	Personnel - Salaries & Wages
SPO-H-206B	Personnel - Payroll Taxes and Fringe Benefits
SPO-H-206C	Travel - Inter-Island*
SPO-H-206D	Travel - Out-of-State*
SPO-H-206E	Contractual Services-Administration
SPO-H-206F	Contractual Services-Subcontracts
SPO-H-206G	Depreciation
SPO-H-206H	Program Activities
SPO-H-206I	Equipment Purchases*

\*Expenditures require justification and prior approval.

If any one of the above forms is not applicable, please note as "N/A" on the form.

## **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. Information not located in the in the place designated in the outline shall not be considered in the rating of the proposal.*
- *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.*
- *Proposal Applications shall utilize 12-pitch font with no reduction in character spacing and position, and scale at 100%. Page margins shall be one inch all around.*
- *Proposals may be submitted in a three ring binder (Optional).*
- *Tabbing of sections (Recommended).*
- *Applicants must also include a Table of Contents with the Proposal Application. A sample format is reflected in Section 5, Attachment B of this RFP.*
- *A written response is required for **each** item unless indicated otherwise. Failure to answer any of the items will impact upon an applicant's score.*
- *Applicants are **strongly** encouraged to review evaluation criteria in Section 4, Proposal Evaluation when completing the proposal.*
- *This form (SPO-H-200A) is available on the SPO website (see Section 1, paragraph II, Website Reference). However, the form will not include items specific to each RFP. If using the website form, the applicant must include all items listed in this section.*

### The Proposal Application comprises the following sections:

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

#### I. **Program Overview (Not to exceed 2 pages)**

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

- ◆ Location of the services (Leeward or Windward Oahu)
- ◆ How proposed services align with Applicant's mission and vision;

- ◆ Description of the goals and objectives related to the service activity; and
- ◆ How the proposed services will meet the needs and impact the development of the target population.

## **II. Experience and Capability (Not to exceed 5 pages)**

### **A. Necessary Skills**

The Applicant shall demonstrate that it has the necessary skills, abilities, and knowledge relating to the delivery of the proposed services. If the Applicant intends to use subcontractors, subcontractors experience shall also be included.

### **B. Experience**

The Applicant shall demonstrate a minimum of three years experience in providing assessment, case management services and direct services to youth, in addition to providing a description of current projects/contracts pertinent to the proposed services (previous projects/contracts may be considered if relevant). The Applicant shall include points of contact, addresses, e-mail/phone numbers. The State reserves the right to contact references to verify experience. If the Applicant intends to use sub-contractors, the experience of the identified subcontractors must also be included.

### **C. Quality Assurance and Evaluation**

The Applicant shall describe its own plans for quality assurance and evaluation for the proposed services, including methodology. The quality assurance plan shall indicate how the applicant will monitor compliance with the terms of the agreement and adherence to internal policies and procedures, and shall include how corrective action will occur. The evaluation plan shall address the effectiveness of program delivery (process evaluation).

### **D. Coordination of Services**

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

If the Applicant intends to use subcontractors, draft Memorandums of Agreement shall be included in the proposal.

### **E. Facilities**

Applicants shall assure the adequacy of the facilities that will be used to conduct the proposed service to ensure the safety and well-being of the target population and comply with Americans with Disabilities Act building requirements.

### **III. Project Organization and Staffing (Not to exceed 3 pages)**

#### **A. Staffing**

##### **1. Proposed Staffing**

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

##### **2. Staff Qualifications**

The Applicant shall provide the minimum qualifications (including experience) for staff assigned to the program. Attach position descriptions and resumes for the Applicant's administrative staff (director, deputy, chief financial position, program administrator, etc.) in addition to position descriptions for the proposed program staff. (Refer to the qualifications in the Service Specifications, as applicable.)

#### **B. Project Organization**

##### **1. Supervision and Training**

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

##### **2. Organization Chart**

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

### **IV. Service Delivery (Not to exceed 20 pages)**

The Applicant shall include a detailed discussion of the applicant's approach to applicable service activities and management requirements from Section 2, Item III. - Scope of Work. The discussion of the proposed service delivery shall include:

- A brief summary of the organization's philosophy and service framework and describe how the framework reflects/relates to the OYS Strategic Plan: 2008-2013, which is found at <http://hawaii.gov/dhs/youth>.

- A clear and concise work/service plan that clearly describes the flow of services to be provided youth from program entry to program completion, including all service activities and tasks to be completed, related work assignments/responsibilities and timelines/schedules. The work plan must be broken down into quarters, including the steps to be taken in planning and implementing the required services and related activities..

A schematic representation of the workflow may be included as an attachment.

- The description shall also include adequate information to address and/or identify the following, as appropriate:

The evidence-based model/s or strategy/s to be used;  
The justification for selecting the model/s;  
The assessment instrument/s that will be used;  
Training that will be provided for staff;  
Curriculum that will be used for the program delivery;  
The target behavior that the program activity will change;  
The measure/s the applicant will use to determine change of behaviors, attitudes, and/or skills of program participants; and/or  
The arrangements for evaluation to assess the program effectiveness and impact on the target population;  
Identification of service activities that may be subcontracted and the name of the agents that will provide those services;

- A description of the approach and strategies to be used to address the specific service activities that clearly describes who shall deliver each service component, including:

**For HMS-503-11-04-A:**

Substance abuse and drug screening  
Substance and drug assessment, and other additional assessments  
Substance Abuse education and prevention services  
Evidenced-based written curriculum  
Substance abuse treatment services  
Services availability, including after school hours, evenings, and weekends  
Cognitive restructuring and other effective methods  
Relapse prevention  
Transition of youth into the community  
Participation in meetings relating to the provision of services to youth  
Follow-up and collateral contacts with youth/support system

**For HMS-503-11-04-B:**

- Group transitional service activity
- Meeting with youth prior to release from HYCF
- Development of a transition plan with parole staff and management
- Family support prior to and after discharge from HYCF
- Intensive supervision and monitoring
- Engage, motivate, and empower youth and family
- Provide 24-hour availability to respond to crisis situations
- Support youth to maintain educational, vocational, and work-related goals
- Cognitive, social, and independent living skill-building activities.
- Implementation of the transition plan and coordinate referrals to services
- Advocacy on behalf of the youth/family
- Communicate with HYCF parole staff to ensure compliance
- Recommend and refer youth to other appropriate services
- Positive activities/outings for youth
- Participate in meetings with HYCF and other agencies
- Transportation services

**V. Financial**

**A. Pricing Structure**

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

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

SPO-H-205	Budget
SPO-H-206A	Personnel - Salaries & Wages
SPO-H-206B	Personnel - Payroll Taxes and Fringe Benefits
SPO-H-206C	Travel - Inter-Island*
SPO-H-206D	Travel - Out-of-State*
SPO-H-206E	Contractual Services-Administration
SPO-H-206F	Contractual Services-Subcontracts
SPO-H-206G	Depreciation
SPO-H-206H	Program Activities
SPO-H-206I	Equipment Purchases*

\*Expenditures require justification and prior approval.

**B. Other Financial Related Materials**

## 1. Accounting System

In order to determine the adequacy of the Applicant's accounting system as described under the administrative rules, the following documents are requested as part of the Proposal:

- a. Latest Single Audit Report of Financial Audit.
- b. Cost Allocation Plan, which demonstrates Applicant's expenditures are allocated based on a plan that is reasonable, appropriate, and lawful.

## 2. Accounting Personnel

- a. Applicant must state which staff positions are responsible for maintaining accounting records and fiscal reporting and approximately the number of hours a week that are devoted to this function.
- b. Applicant shall describe what accounting qualifications are required for each of these positions if not detailed in the submitted Section III: Personnel: Project Organization and Staffing.
- c. Applicant shall state which staff positions will be responsible for filing timely expenditure reports and invoices required by this RFP.

**VI. Other****A. Litigation**

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

**Section 4**  
**Proposal Evaluation**

## Section 4 Proposal Evaluation

### I. Introduction

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

### II. Evaluation Process

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

The evaluation will be conducted in three phases as follows:

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

#### Evaluation Categories and Thresholds

<u>Evaluation Categories</u>	<u>Possible Points</u>
<i>Administrative Requirements</i>	N/A
<i>Proposal Application</i>	<b>100 Points</b>
Program Overview	0 points
Experience and Capability	20 points
Project Organization and Staffing	15 points
Service Delivery	55 points
Financial	10 Points
<b>TOTAL POSSIBLE POINTS</b>	<b>100 Points</b>

### III. Evaluation Criteria

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

1. Administrative Requirements
  - ◆ Application Checklist

◆ Certificate of Vendor Compliance

NOTE: if Applicant has not registered with Hawaii Compliance Express, the Applicant must provide a Tax Clearance Certificate and a Certificate of Good Standing.

2. Proposal Application Requirements

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

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

**Program Overview:** No points are assigned to Program Overview. The intent is to give the Applicant an opportunity orient evaluators as to the service(s) being offered in response to the Request for Proposals. The Applicant shall highlight the agency's mission and vision and the goals and objective of the proposed service activity relative to the assessed needs and available resources of the target population and geographic region identified for the service delivery.

**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**

**3**

- Demonstrated skills, abilities, and knowledge relating to the delivery of the proposed services.
- Demonstrate skills, abilities and capacity to deliver proposed services in the identified geographic region for the target population.

- B. Experience** **5**
- Demonstrate minimum three (3) years experience delivering services related to request for services.
  - Demonstrate experience successfully delivering services for the target population. Document evidence such as awards, certificates, and outcomes.
- C. Quality Assurance and Evaluation** **4**
- Sufficiency of quality assurance and corrective action, including methodology.
  - Sufficiency of evaluation plans to assess program implementation, fidelity to program model, and youth participation and success in the service program.
- D. Coordination of Services** **3**
- Demonstrated capability to coordinate services with other agencies and resources in the community. Past Memorandum of Agreements/Understanding, letters document this ability.
  - Sufficiency of collaboration and coordination plans related to implementation of proposed services.
  - Documented support and involvement of agencies and community for proposed services. Draft MOA/MOUs with proposed sub-contractors.
- E. Facilities** **5**
- Adequacy of facilities relative to the proposed services.
  - Facilities meet ADA requirements, as applicable.
- 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. 4
  - **Staff Qualifications:** Job descriptions and minimum qualifications (including experience) for staff assigned to the program are included. The number of program service positions is sufficient to ensure effective program/service delivery. 4
  - Proposal includes resumes of key staff that list experience with related or similar services and target population
- B. Project Organization**
- **Supervision and Training:** Demonstrated ability to supervise, train and provide administrative direction to staff relative to the delivery of the proposed services. 4
  - **Organization Chart:** Approach and rationale for the structure, functions, and staffing of the proposed organization for the overall service activity and tasks is diagramed. 3

**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 POS Proposal Application. The following will be considered in this evaluation:

**For HMS-503-11-04-A, these criteria will be used:**

- A work/service plan that clearly describes the flow of services to be provided youth from program entry to program completion. The work/service plan addresses the project goal, objectives, service activities and tasks to be completed, including clarity in work assignments and responsibilities, and timelines and schedules. 7
- Service Framework includes trauma-informed care approach. 3
- Substance abuse and drug screening for all youth committed greater than 30 days. 4
- Conduct a substance and drug assessment, if first screening determines necessary. 4

- Conduct additional assessments as requested by the HYCF and the Courts. 4
- Provide Substance Abuse education and prevention services on a scheduled basis in-facility. 4
- Utilize an evidenced-based written curriculum (e.g., Seven Challenges, etc.) or manual that includes service activities, objectives, and strategies. 4
- For youth assessed to be in need of substance abuse treatment, provide substance abuse treatment services. 8
- Provide services to incarcerated youth after school hours, evenings, and on weekends. 2
- Provide cognitive restructuring approach to the youth with an understanding and awareness of the cognitive processes that lead to anti-social behavior and methods to change this pattern of behavior. 3
- Develop a relapse prevention program to appropriate youth. 3
- Coordinate a smooth transition of youth into the community by collaborating and linking youth with the HYCF transitional aftercare program staff. 3
- Participate in meetings with representatives of the HYCF, Family Court (FC), Department of Education (DOE), Department of Health (DOH). 3
- Conduct follow-up phone, personal, and/or collateral contacts with youth or the youth's support system. 3

**For HMS-503-11-04-B, these criteria will be used:**

- A work/service plan that clearly describes the flow of services to be provided youth from program entry to program completion. The work/service plan addresses the project goal, objectives, service activities and tasks to be completed, including clarity in work assignments and responsibilities, and timelines and schedules. 7
- Service Framework includes trauma-informed care approach. 3
- Provide a weekly transitional group service activity for youth at least 90 days prior to discharge from HYCF. 3
- At least one month prior to the scheduled parole 3

- from HYCF, begin meeting with the youth to plan for a successful reintegration back to the community.
- Assist with development of a transition plan with parole staff and management. The transition plan shall address reducing risk factors and also focus on increasing protective factors in the various domains of the youth. 3
  - Prior to the youth's discharge from HYCF, assist youth in maintaining positive relationships with their families and other members of the community 3
  - After discharge from HYCF, provide assistance to youth in maintaining positive relationships with family, peers, members of the community, and other community-based services. 3
  - Provide intensive supervision and monitoring of youth in the community, with 24-hour availability to respond to crisis situations. 3
  - Engage, motivate, and empower the youth and family to strengthen their support systems and enhance their capacity to resolve their problems and to mediate crisis, and to act on their own behalf. 3
  - Support youth in their efforts to maintain educational, vocational, and work-related goals. 3
  - Provide cognitive, social, and independent living skill-building activities. 3
  - Assist in the implementation of the transition plan. Coordinate referrals to identified necessary services 3
  - Communicate regularly with HYCF parole staff to ensure compliance with conditions of parole/court order/etc. 3
  - Recommend, coordinate, and arrange for additional assessment and consultative services as appropriate and as approved by the HYCF. 3
  - Provide positive activities/outings that offer opportunities to learn and connect with the community, including service learning projects. 3
  - Participate in meetings with representatives of the HYCF (including Multi-Disciplinarian Team Meetings), Family Court, Department of Human Services, Department of Education, Department of Health, and other pertinent agencies. 3
  - Description of how transportation services will be provided. 3

**4. Financial (10 Points)**

- Cost proposal and required support documentation and justification included. 1
- Personnel costs are reasonable and comparable to similar positions in the community. 2
- Non-personnel costs are reasonable and adequately justified. 1
- Proposed budget fully supports the service activity and requirements of the RFP. 3
- Adequacy of accounting system (evidence of valid tax clearance, recent audit, and cost allocation plan). 1
- Positions and personnel responsible for fiscal operations and reporting identified and qualified. 1
- Staff responsible for maintaining accounting records and filing required expenditure reports identified. 1

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

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

# **Section 5**

## **Attachments**

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

## Attachment A Proposal Application Checklist

Applicant: \_\_\_\_\_

RFP No.: HMS 501-11-4

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

Item	Reference in RFP	Format/Instructions Provided	Required by Purchasing Agency	Completed by Applicant
<b>General:</b>				
Proposal Application Identification Form (SPO-H-200)	Section 1, RFP	SPO Website*	<b>X</b>	
Proposal Application Checklist	Section 1, RFP	Attachment A	<b>X</b>	
Table of Contents	Section 5, RFP	Section 5, RFP	<b>X</b>	
Proposal Application (SPO-H-200A)	Section 3, RFP	SPO Website*	<b>X</b>	
Tax Clearance Certificate (Form A-6)	Section 1, RFP	Dept. of Taxation Website (Link on SPO website)*	<b>X</b>	
Cost Proposal (Budget)			<b>X</b>	
SPO-H-205	Section 3, RFP	SPO Website*	<b>X</b>	
SPO-H-205A	Section 3, RFP	SPO Website* Special Instructions are in Section 5		
SPO-H-205B	Section 3, RFP,	SPO Website* Special Instructions are in Section 5		
SPO-H-206A	Section 3, RFP	SPO Website*	<b>X</b>	
SPO-H-206B	Section 3, RFP	SPO Website*	<b>X</b>	
SPO-H-206C	Section 3, RFP	SPO Website*	<b>X</b>	
SPO-H-206D	Section 3, RFP	SPO Website*	<b>X</b>	
SPO-H-206E	Section 3, RFP	SPO Website*	<b>X</b>	
SPO-H-206F	Section 3, RFP	SPO Website*	<b>X</b>	
SPO-H-206G	Section 3, RFP	SPO Website*	<b>X</b>	
SPO-H-206H	Section 3, RFP	SPO Website*	<b>X</b>	
SPO-H-206I	Section 3, RFP	SPO Website*	<b>X</b>	
SPO-H-206J	Section 3, RFP	SPO Website*		
<b>Certifications:</b>				
<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		
<b>Program Specific Requirements:</b>				
Performance Plan, Form 4-1	Section 2, RFP	Section 5, RFP	<b>X</b>	

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

\_\_\_\_\_  
Date

**Attachment B**  
**Proposal Application**  
**Table of Contents**

<b>I.</b>	<b>Program Overview.....</b>	<b>1</b>
<b>II.</b>	<b>Experience and Capability .....</b>	<b>1</b>
	<b>A.</b> Necessary Skills .....	2
	<b>B.</b> Experience.....	4
	<b>C.</b> Quality Assurance and Evaluation.....	5
	<b>D.</b> Coordination of Services.....	6
	<b>E.</b> Facilities.....	6
<b>III.</b>	<b>Project Organization and Staffing .....</b>	<b>7</b>
	<b>A.</b> Staffing.....	7
	1.    Proposed Staffing.....	7
	2.    Staff Qualifications .....	9
	<b>B.</b> Project Organization .....	10
	1.    Supervision and Training.....	10
	2.    Organization Chart (Program & Organization-wide) (See Attachments for Organization Charts)	
<b>IV.</b>	<b>Service Delivery.....</b>	<b>12</b>
<b>V.</b>	<b>Financial.....</b>	<b>20</b>
	See Attachments for Cost Proposal	
<b>VI.</b>	<b>Litigation.....</b>	<b>20</b>
<b>VII.</b>	<b>Attachments</b>	
	<b>A.</b> 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>B.</b> Other Financial Related Materials	
	Financial Audit for fiscal year ended June 30, 1996	
	<b>C.</b> Organization Chart	
	Program	
	Organization-wide	
	<b>D.</b> Performance and Output Measurement Tables	
	Table A	
	Table B	
	Table C	
	<b>E.</b> Program Specific Requirements	

Office of Youth Services  
**PERFORMANCE PLAN**  
 (Submit One Copy For Each Target Group)

Note: To X a , Double Click On It, Select "Checked" Option

Outcomes Plan Number (Check One): <input type="checkbox"/> 1 Target Group <input type="checkbox"/> 2 Target Group		Service Area for This Contract (Check One): <input type="checkbox"/> Attendant Care <input type="checkbox"/> Diversion/Aftercare <input type="checkbox"/> Education/Vocational Services <input type="checkbox"/> Homelessness <input type="checkbox"/> Non-School Hours <input type="checkbox"/> Outreach & Advocacy <input type="checkbox"/> Youth Gang Prevention		Date Submitted: ___/___/___		Prepared By (Signature): _____		Date Approved: ___/___/___		Approved By (Signature): _____	
Contract Number: DHS- [ ]-[ ]-OYS-[ ]-[ ]		<input type="checkbox"/> Positive Youth Development <input type="checkbox"/> Residential Emergency Shelter <input type="checkbox"/> Residential ILP <input type="checkbox"/> Residential Level I <input type="checkbox"/> Residential Level II <input type="checkbox"/> Truancy Prevention <input type="checkbox"/> Other		___/___/___		___/___/___		___/___/___		___/___/___	
Agency: _____		Contract Start Date: ___/___/___		___/___/___		___/___/___		___/___/___		___/___/___	
Contract End Date: ___/___/___		___/___/___		___/___/___		___/___/___		___/___/___		___/___/___	

**Target Group Description**

Codes	Target Type Codes (Use to Code Targets on the Following Pages)
RF1	Reduce Delinquency (Including All Status Offense)
RF2	Reduce Arrests
RF3	Reduce Disproportionate Minority Contact (DMC)
RF4	Reduce Substance Use, Abuse
RF5	Reduce Anger, Violence
RF6	Reduce Gang Activity
RF7	Reduce Risk for Pregnancy
RF8	Reduce Alienation
PF1	Increase Accountability and Independent Living Skills
PF2	Improve Family Relationships
PF3	Increase Connectedness with Community
PF4	Increase Cultural Awareness, Appreciation
PF5	Improve Self-Image, Self-Esteem
PF6	Increase Pro-social Behavior and Social Competency
PF7	Increase Health, Physical Competencies
PF8	Increase Educational Competency (Improve GPA, Attendance)
PF9	Increase Vocational Competency (Career Exploration, Job Training)
PF10	Increase Family, Community Support of Youth's Program
D1	Individual
D2	Peer
D3	Family
D4	Community

Risk Level Targeted (Check One Level Only)	Regions Targeted (Check One or More)
<input type="checkbox"/> <b>Risk Level I</b> At-risk for violence, substance abuse, and/or criminal activity due to geographic, ethnic, or socioeconomic factors.	<input type="checkbox"/> Statewide (All Islands) <input type="checkbox"/> Oahu (All) <input type="checkbox"/> Oahu: Central <input type="checkbox"/> Oahu: Honolulu <input type="checkbox"/> Oahu: Leeward <input type="checkbox"/> Oahu: Windward <input type="checkbox"/> Hawaii (All) <input type="checkbox"/> Hawaii: East <input type="checkbox"/> Hawaii: West <input type="checkbox"/> Kauai (All) <input type="checkbox"/> Maui (All) <input type="checkbox"/> Maui: Lanai <input type="checkbox"/> Maui: Molokai
<input type="checkbox"/> <b>Risk Level II</b> Any One of the Following: Status offender: Chronically truant, runaway. Involved in gangs, violence, or substance abuse. Experiencing serious family problems. Abused and/or neglected.	
<input type="checkbox"/> <b>Risk Level III</b> Any One of the Following: Any characteristic of Level II, but also has immediate need for food, shelter, clothing, and/or medical treatment. Involved in felony activity. Court adjudicated. At-risk for out-of-home placement. At-risk for secure confinement.	
<input type="checkbox"/> <b>Risk Level IV</b> Chronic serious offender requiring secure confinement for safety of public and/or of self.	

## Performance Plan

**Instructions:**

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

P T	Performance Target (& Milestones to Performance Target) Performance Target (Arial Narrow, 8 Point Type) from Scope of Services:	1st		2nd		3rd		4th		One Year		
		#Carryovers from Previous Budget Period Under this Contract	P	A	P	A	P	A	P	A	Year Goal	YTD Actual
	PT Type (See Target Type Codes): <input style="width: 100px;" type="text"/>											
	Milestones											
	Sources of Verification											
a.	Milestone (Registration):											
b.	Milestone:											
c.	Milestone:											
g	Milestone:											
h.	Milestone (Last Milestone is Achieving the Performance Target):											

\*Release = No Shows, Released for Misconducts, Dropouts, Transferees/Referrals. Do Not Release Youths Who Complete the Program.  
#Carryovers = Numbers of Youth Carried Over from the Previous OYS Budget Period *Under this Contract*.

## Performance Plan

**Instructions:**

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

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

\*Release = No Shows, Released for Misconducts, Dropouts, Transfers/Referrals. Do Not Release Youths Who Complete the Program.  
 #Carryovers = Numbers of Youth Carried Over from the Previous OYS Budget Period Under this Contract.

## Performance Plan

**Instructions:**

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

P T	Performance Target (6. Milestones to Performance Target) Performance Target (Arial Narrow, 8 Point Type) from Scope of Services:	1st		2nd		3rd		4th		One Year		
		#Carryovers from Previous Budget Period Under this Contract	P	A	P	A	P	A	P	A	Year Goal	YTD Actual
	PT Type (See Target Type Codes): Milestones											
	Sources of Verification											
a.	Milestone (Registration):											
b.	Milestone:											
c.	Milestone:											
g	Milestone:											
h.	Milestone (Last Milestone is Achieving the Performance Target):											

\*Release = No Shows, Released for Misconducts, Dropouts, Transferees/Referrals. Do Not Release Youths Who Complete the Program.  
#Carryovers = Numbers of Youth Carried Over from the Previous OYS Budget Period Under this Contract.

## Performance Plan

**Instructions:**

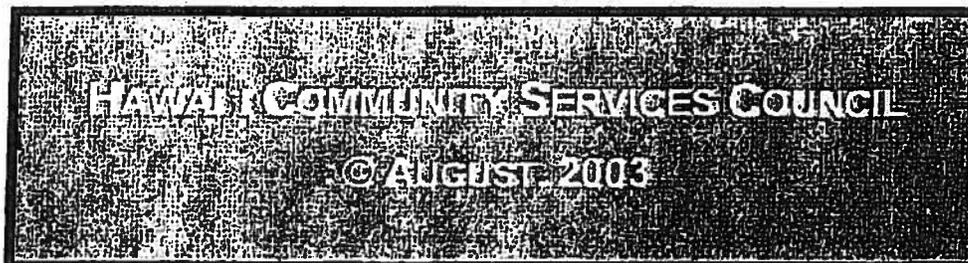
10. Referencing the Scope of Services, fill in performance target information, including sources of verification (i.e., "Youth Self-Reports", "Grades.")
11. Fill in projections (P) for number of youth expected to achieve each milestone in each quarter. **SUBMIT THIS PLAN TO OYS within thirty days of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

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

\*Release = No Shows, Released for Misconducts, Dropouts, Transferees/Referrals. Do Not Release Youths Who Complete the Program.  
 #Carryovers = Numbers of Youth Carried Over from the Previous OYS Budget Period **Under this Contract.**



**DEVELOPED FOR THE  
OFFICE OF YOUTH SERVICES**







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

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

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



## Definitions of Key Concepts and Terminology

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

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

### 1 Program Outcome

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

#### Alternative Terms:

- Program Mission
- Program Goal
- Community-Level Outcome



## 2 Performance Target

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

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



### Example:

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

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

### Alternative Terms:

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

### 3 Milestones

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

#### Example:

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



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

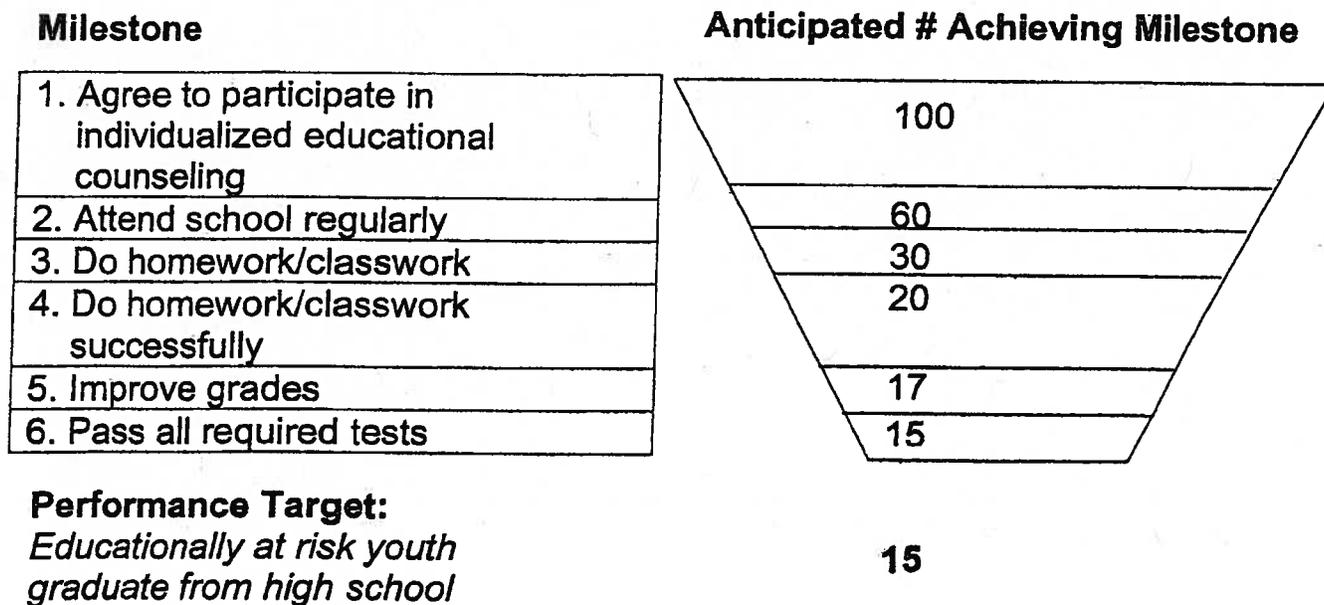
#### Alternative Terms:

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

## 4 Milestone Funnel

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

### Sample Milestone Funnel:



## 4 Milestone Funnel continued

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

### Alternative Terms:

- Reporting form
- Program Flow
- Service Flow



## 5 Indicators

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

### Examples:

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



### Alternative Terms:

- Measures of success

## 6 Program Activities

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

### Examples:

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



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

### Alternative Terms:

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

# 6 Program Activities continued

**Example:**

**Program Actions:**  
What Program Staff Do

**Participant Expected Actions:**  
What Participants Do as a Result (Milestones)

**Anticipated Results:**  
# Expected to Achieve  
Milestone

Outreach and intake	1. Agree to participate in individualized educational counseling	100
Wake up call/Transportation	2. Attend school regularly	60
After school tutoring	3. Do homework/classwork	30
After school tutoring	4. Do homework/classwork Successfully	20
Test taking coaching	5. Improve grades	17
Test taking coaching	6. Pass all required tests	15
	<b>Performance Target:</b> Educationally at risk youth graduate from high school	15



## Establishing a Performance Target

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

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

Succinctly put, a performance target **answers the question, “What is success?”**

### Sample Performance Target:

- **WHO**
- **WHAT and HOW MUCH**
- **BY WHEN**
- **AS INDICATED BY**

For the program year 2004-05,

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

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

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

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



## Identifying Milestones

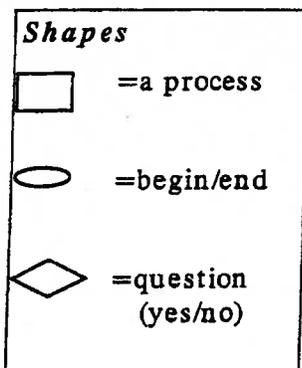
Identifying milestones leading to the achievement of the performance target is essential to the outcomes framework. It requires an understanding of both program activities and the changes occurring for the program participants. We need to understand when the cumulative efforts of program activities can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

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

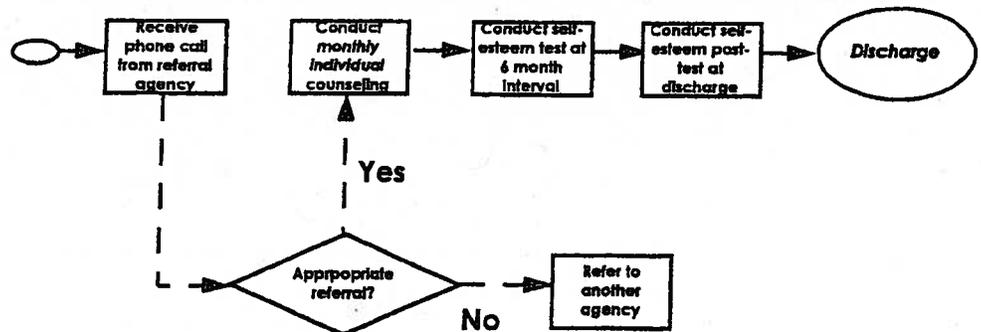
Process maps can be very general, using a few broad steps to indicate major process areas. Or they can be very detailed, breaking out each single step in the process. Although the latter option can be a bit tedious in the development, this detailed view of program service delivery, outlining both staff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

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

### Sample Process Map



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



## Tips for Process Mapping



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

## Using the Process Map to Create Your Milestone Funnel

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



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

## Great Ways to Use the Process Map

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



## Participant Steps: MILESTONES Worksheet

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



## Critiquing a Milestone Funnel

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

1. Read the performance target.
2. Read the milestones.
3. Do the milestones seem connected to the performance target?
4. Do the milestones appear to be in a logical order?
5. Are there any significant gaps in milestones? *(Keep in mind that you have been advised not to track everything, and to only track actions that can be verified.)*
6. Do the milestones represent changes in the participants *(not agency staff activity)*?
7. Do these milestones logically lead the achievement of the performance target?
8. Read the numbers.
9. Do they add up properly?
10. Do they funnel?
11. How has the carry forward of program participants from the proceeding year been handled?
12. How are you documenting the achievement of milestones and the performance target?
13. This is a reporting form of selected measures – do the milestones represent critical steps or are they trying to do too much?





## Common Mistakes

### 1 Confusing Program Activities for Milestones

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



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

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

#### Example:

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

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

#### **Performance Target for Youth Employment Training Program**

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

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

## **2** Milestone Funnels that Don't Funnel

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

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

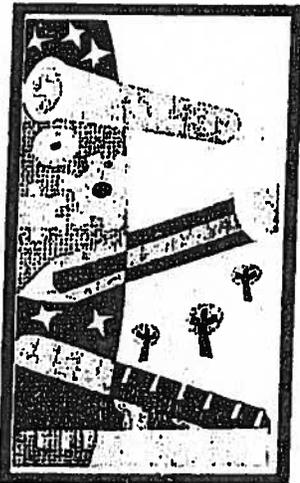
- a. Keep in mind that your job is to **fairly represent the real changes** program participants are making through your services. *Do not attempt to represent your entire program service capabilities through the milestone funnel.* Odds are it won't work. Think of it as a snapshot.
- b. Talk to your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



# About HAWAI'I COMMUNITY SERVICES COUNCIL

## Our Mission

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



## Our Vision

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

## Our Purpose

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

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

## How we can help you

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

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

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

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

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