

*State of Hawaii*  
**Office of Community Services**  
*Department of Labor and Industrial Relations*

**Legal Advocacy, Outreach, and Referral  
Services to Protect the Rights of Children  
and Their Families**



**RFP NUMBER: OCS LBR 903-12**

**January 27, 2004**



January 27, 2004

Dear Applicant:

SUBJECT: OFFICE OF COMMUNITY SERVICES  
REQUEST FOR PROPOSAL (RFP)

The Department of Labor and Industrial Relations - Office of Community Services (OCS), in cooperation with the Department of Human Services (DHS), is currently soliciting competitive proposals from qualified applicants to contract legal advocacy services to children and their families/caregivers who are currently experiencing issues of family dysfunction, preservation, maintenance, formation or legal actions designed to protect the safety of the child(ren). Services include, but are not limited to, dispute resolution of child legal issues, outreach, screening, intake, referral, legal advice, advocacy, and representation for the best interests of children.

These services will be provided to children and their families/caregivers who are eligible and qualify for DHS' Temporary Assistance to Needy Families (TANF) and Temporary Assistance to Other Needy Families (TAONF) Programs. Also eligible are children residing with their families/caregivers who have or are currently experiencing any family dysfunction whose resolution will support and promote family re-unification, safety (especially the children); and overall self-sufficiency.

Each prospective applicant is hereby notified that this RFP for competitive purchase of services is issued under the provisions of the Hawaii Revised Statutes, Chapter 103F and its administrative rules.

The enclosed materials outline the application requirements of the request for proposal. Included for your use are the administrative requirements, service specifications, proposal application, budget instructions and sample forms, as well as other reference materials. Prior to application submittal, it is imperative that the applicant closely reviews all information and follows detailed instructions provided.

To be accepted, proposals must be postmarked before midnight or hand delivered by 4:30 p.m., Hawaii Standard Time, on February 25, 2004 at the following address:

Office of Community Services  
830 Punchbowl Street, Room 420  
Honolulu, Hawaii 96813

Proposals postmarked after midnight on February 25, 2004, or hand delivered after 4:30 p.m. H.S.T. on February 25, 2004 **will not be considered** and will be returned to the applicant. There are no exceptions to this requirement. Proposals delivered by facsimile transmission or e-mail will not be accepted. One original and three copies of the proposal are required.

OCS will conduct an orientation session on February 4, 2004, from 10:30 a.m. to 12:00 noon, at 830 Punchbowl Street, Room 420, Honolulu, Hawaii. Each prospective applicant is strongly encouraged to attend the session.

The deadline for submission of written questions is 4:30 p.m. H.S.T. on Friday, February 13, 2004. OCS will address all written questions with a written response by Wednesday, February 18, 2004. Written questions may be submitted to OCS by facsimile or electronic mail. However, each applicant who submits written questions by facsimile or electronic mail bears the full and exclusive responsibility for assuring the complete, correctly formatted, and timely transmission of their questions.

OCS reserves the right to amend the terms of this RFP, to issue addenda, or to withdraw this RFP at any time.

Each applicant will be notified in writing regarding OCS' decision on his/her proposal(s) in mid-March 2004. The contract is expected to be in effect from April 1, 2004 to March 31, 2005. Any questions or inquiries regarding this RFP should be directed to the RFP Contact Person, Keith Yabusaki, by mail at 830 Punchbowl Street, Room 420, Honolulu, Hawaii 96813, or e-mail at [ocskeith@hotmail.com](mailto:ocskeith@hotmail.com) or by telephone to (808) 586-8675.

Thank you for your interest in applying and for working with us to provide quality services.

Sincerely,

*Sam Aiona*

SAM AIONA  
Executive Director

AN EQUAL OPPORTUNITY AGENCY

# **PROPOSAL APPLICATION MAIL-IN AND DELIVERY INFORMATION SHEET**

## **OCS RFP COORDINATOR**

Keith Yabusaki, Program Administrator  
For Information or Inquiries:

Phone: (808) 586-8675  
Facsimile: (808) 586-8685  
E-Mail: [ocskeith@hotmail.com](mailto:ocskeith@hotmail.com)

**ONE ORIGINAL PLUS THREE COPIES OF THE PROPOSAL APPLICATION  
ARE REQUIRED.  
ADDITIONAL COPIES MAY BE REQUESTED.**

## **PROPOSAL APPLICATION DEADLINE**

**MAIL-INS MUST BE POSTMARKED BY USPS BEFORE 12:00 MIDNIGHT,  
FEBRUARY 25, 2004.**

**HAND DELIVERIES WILL BE ACCEPTED AT OCS UNTIL 4:30 P.M., FEBRUARY 25,  
2004.**

## **DROP-OFF SITE AND ALL MAIL-INS**

Office of Community Services  
Keelikolani Building  
830 Punchbowl Street, Room 420  
Honolulu, Hawaii 96813

**NOTE: ALL MAIL-INS POSTMARKED BY USPS AFTER 12:00 MIDNIGHT,  
H.S.T., FEBRUARY 25, 2004, WILL NOT BE ACCEPTED AND WILL BE  
RETURNED.**

**HAND DELIVERIES OR DELIVERIES BY PRIVATE MAIL SERVICES  
SUCH AS FEDEX WILL NOT BE ACCEPTED AFTER 4:30 P.M., H.S.T.,  
FEBRUARY 25, 2004.**



**DEPARTMENT OF LABOR AND INDUSTRIAL RELATIONS  
OFFICE OF COMMUNITY SERVICES (OCS)**

**RFP PACKET PREFACE**

---

This Request for Proposal Packet contains all of OCS' RFP in one organized folder. It is intended to assist you in completing your proposal with a maximum of ease and serve as a source of reference. We recommend that you do not disassemble the folder.

Should you require additional POS Application Forms, go to the State Procurement Office web page at <http://www2state.hi.us/spo/>. Select and click on "Procurement of Health and Human Services, Chapter 103F, HRS." Next click on "Forms." Under the heading titled "Forms and Instructions", click on "Procurement Forms and Instructions for Private Providers/Applicants." If you need further assistance, please contact Keith Yabusaki at (808) 586-8675.

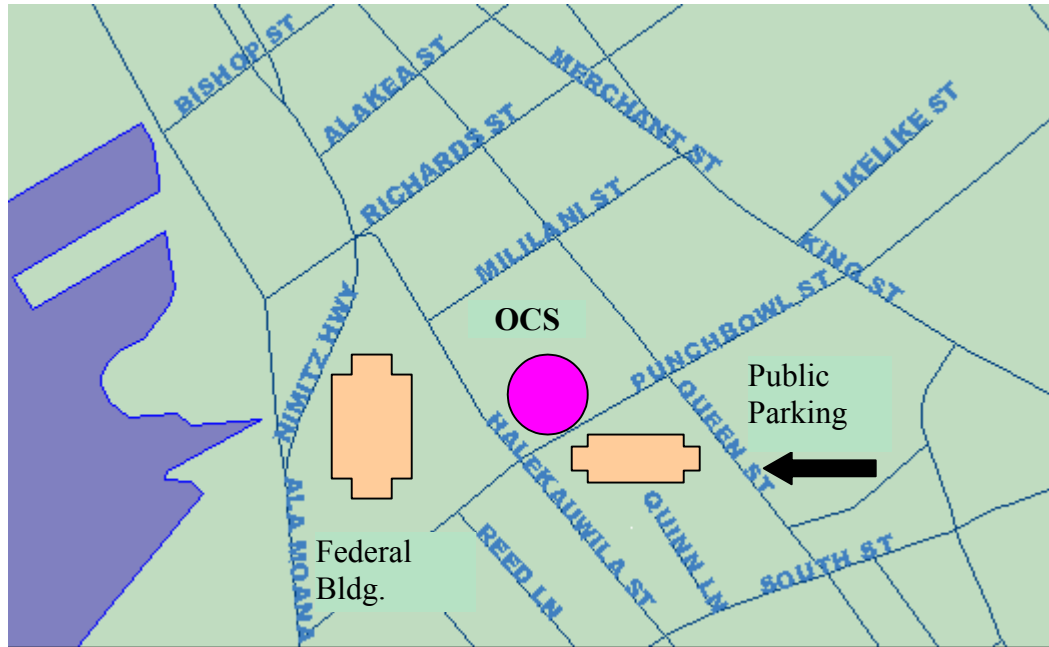
## RFP ORIENTATION SESSION

All prospective applicants are invited and encouraged to attend the following scheduled informational session. At this meeting, OCS staff will present the proposal application requirements, service specifications and be available to respond to questions.

PLACE: KEELIKOLANI BUILDING, OCS CONFERENCE ROOM  
830 PUNCHBOWL STREET, ROOM 420, HONOLULU

DATE: FEBRUARY 4, 2004

TIME: 10:30 A.M. - 12:00 NOON



**DEPARTMENT OF LABOR AND INDUSTRIAL RELATIONS  
OFFICE OF COMMUNITY SERVICES**

**LEGAL ADVOCACY, OUTREACH, AND REFERRAL  
SERVICES TO PROTECT THE RIGHTS OF CHILDREN AND  
THEIR FAMILIES**

**REQUEST FOR PROPOSAL NUMBER: OCS LBR 903-12**

**IMPORTANT DATES\***

---

Public Notice Announcing Request for Proposals	January 27, 2004
Distribution of Request for Proposals	January 27, 2004
RFP Orientation Session (Honolulu)	February 4, 2004
Deadline for Submission of Written Questions	February 13, 2004
Response to Written Questions	February 18, 2004
Proposal Submittal Deadline	February 25, 2004
Proposal Evaluation Period	Feb. 26–Mar. 11, 2004
Provider Selection and Notice of Award	Mid-March, 2004
Contract Terms Finalized	March 19, 2004
Contract Start Date	April 1, 2004

---

\* This schedule of activities is provided for planning purposes only. OCS reserves the right to cancel any activity or modify the schedule at any time.

# TABLE OF CONTENTS

## INTRODUCTION

Letter Announcing Request for Proposals .....	i
Proposal Application Mail-In and Delivery Information Sheet.....	iii
RFP Packet Preface.....	iv
Notice of RFP Orientation Session.....	v
Important Dates.....	vi
Table of Contents.....	vii

## SECTION 1 - ADMINISTRATIVE OVERVIEW

I. Authority .....	1-1
II. RFP Organization	
III. Contracting Office .....	1-2
IV. Procurement Timetable*	
V. Orientation	
VI. Submission of Questions .....	1-3
VII. Submission of Proposals	
VIII. Discussions w/Applicants Prior to, or After Proposal Submittal Deadline.....	1-4
IX. Additional Materials and Documentation	
X. RFP Amendments	
XI. Final Revised Proposals	
XII. Cancellation of Request for Proposal	
XIII. Costs for Proposal Preparation.....	1-5
XIV. Provider Participation in Planning	
XV. Rejection of Proposals	
XVI. Opening of Proposals	
XVII. Notice of Award.....	1-6
XVIII. Protests	
XIX. Availability of Funds	
XX. Criteria by which the Performance of the Contract will be Monitored and Evaluated .....	1-7
XXI. General and Special Conditions of Contract	
XXII. Cost Principles	

## SECTION 2 - SERVICE SPECIFICATIONS

<u>Program Title</u>	<u>RFP I.D. No.</u>
Legal Advocacy, Outreach, and Referral Services to Protect the Rights of Children and Their Families.....	OCS LBR 903-12
I. Introduction.....	2-1
A. Background	
B. Purpose or Need	

	C. Description of the Goals.....	2-3
	D. Description of the Target Population	
	E. Geographic Coverage of Service	
	F. Probable Funding Amounts, Source and Period of Availability .....	2-4
II.	General Requirements	
	A. Specific Qualifications or Requirements, Including but Not Limited to Licensure or Accreditation	
	B. Secondary Purchaser Participation.....	2-5
	C. Multiple or Alternate Proposals	
	D. Single or Multiple Contracts to Be Awarded.....	2-6
	E. Single or Multi-term Contracts to Be Awarded	
	F. RFP Contact Person	
III.	Scope of Work	
	A. Service Activities (Minimum and/or Mandatory Tasks and Responsibilities)	
	1. Services to Children Who are Homeless, Runaways, Teen Parents, or From Families Where There is Domestic Violence or Child Abuse and Neglect.....	2-7
	2. Child Support	
	3. Educational Services for Children	
	B. Management Requirements (Minimum and/or Mandatory Requirements)	
	1. Personnel	
	2. Administrative.....	2-8
	3. Quality Assurance and Evaluation Specifications	
	4. Output and Performance/Outcome Measurements .....	2-9
	5. Reporting Requirements for Program and Fiscal Data.....	2-10
	6. Pricing Structure or Pricing Methodology to Be Used.....	2-11
	7. Units of Service and Unit Rate	
	Form A – Number of Cases to be Served by Geographic Area.....	2-12
	Form B – Outcomes.....	2-13
	Form C – Estimated Service Hours and Costs.....	2-14

### **SECTION 3 - PROPOSAL APPLICATION**

	General Instructions for Completing Application.....	3-1
I.	Background and Summary.....	3-2
II.	Experience and Capability	
	A. Necessary Skills and Experience	
	B. Quality Assurance and Evaluation.....	3-3
	C. Coordination of Services	
	D. Facilities	
III.	Personnel: Project Organization and Staffing	
	A. Proposed Organization and Staffing	
	B. Staff Qualifications and Training.....	3-4

IV.	Service Delivery	
V.	Financial	
	A. Pricing Structure .....	3-5
	B. Other Financial Requirements .....	3-6
VI.	Other	
	A. Litigation	
VII.	Appendix (Optional)	

#### **SECTION 4 - PROPOSAL EVALUATION**

I.	Introduction.....	4-1
II.	Evaluation Process	
III.	Evaluation Criteria	
	A. Phase 1 - Evaluation of Proposal Requirements.....	4-2
	1. Administrative Requirements	
	2. Proposal Application Requirements	
	B. Phase 2 - Evaluation of Proposal Application	
	1. Background and Summary	
	2. Experience and Capability	
	3. Personnel: Project Organization and Staffing.....	4-3
	4. Service Delivery	
	5. Financial.....	4-4
IV.	Phase 3 - Recommendation for Award	

#### **SECTION 5 - ATTACHMENTS**

- A. Competitive Application Checklist
- B. Proposal Application - Sample Table of Contents
- C. Criminal Conviction Record Check Standards  
Protective Services Central Registry Standards



**Section 1**

**SECTION 1**

**Administrative  
Overview**

**Overview**

# Section 1

## Administrative Overview

Each applicant is encouraged to read all sections 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. Authority

This RFP is issued under the provisions of the Hawaii Revised Statutes, Chapter 103F and its administrative rules. Each prospective applicant is 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.

### II. RFP Organization

This RFP is organized into five sections:

*Section 1, Administrative Overview*--Provides applicant with an overview of the procurement process.

*Section 2, Service Specifications*--Provides applicant with a general description of the tasks to be performed, delineates applicant 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 applicant with information and forms necessary to complete the application.

### III. Contracting Office

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

Office of Community Services  
Department of Labor and Industrial Relations, State of Hawaii  
830 Punchbowl Street, Room 420  
Honolulu, Hawaii 96813  
Phone: (808) 586-8675 Fax: (808) 586-8685

### IV. Procurement Timetable\*

<u>Activity</u>	<u>Scheduled Date</u>
Public notice announcing RFP	Jan. 27, 2004
Distribution of RFP	Jan. 27, 2004
RFP orientation session (Honolulu)	Feb. 4, 2004
Deadline for submission of written questions	Feb. 13, 2004
State purchasing agency's response to written questions	Feb. 18, 2004
Discussions with applicant prior to proposal submittal deadline (optional)	Jan. 27, - Feb. 24, 2004, as needed
Proposal submittal deadline	Feb. 25, 2004
Discussions with applicant after proposal submittal deadline (optional)	Feb. 26-Mar. 11, 2004, as needed
Final revised proposals (optional)	Feb. 26-Mar. 11, 2004, as needed
Proposal evaluation period	February 26 – March 11, 2004
Provider selection and notice of award	Mid-March, 2004
Contract terms finalized	March 19, 2004
Contract start date	April 1, 2004

\* This timetable of activities is provided for planning purposes only. OCS reserves the right to cancel any activity or modify the timetable at any time.

### V. Orientation

An orientation session for applicants covering the RFP will be held on February 4, 2004, from 10:30 a.m. to 12 noon, in the OCS Conference Room at the Keelikolani Building, 830 Punchbowl Street, Room 420, Honolulu.

Each applicant is encouraged to submit written questions to OCS prior to the orientation session. Impromptu questions will be permitted and spontaneous answers provided at the orientation session at the state purchasing agency's discretion. Verbal answers provided during the orientation session are only intended as general direction and may not represent the state purchasing agency's position. Formal official responses will be provided in writing. If the applicant would like a written response from the state purchasing agency to any of the questions asked, the applicant should submit those questions in writing following the close of the orientation session, but no later than 4:30 p.m., H.S.T., on February 13, 2004.

## VI. Submission of Questions

The applicant may submit written questions to the RFP Contact Person identified in Section 2 of this RFP. The deadline for submission of written questions is 4:30 p.m., H.S.T., on February 13, 2004. All written questions will receive a written response from the state purchasing agency. State purchasing agency responses to applicant written questions will be sent by February 18, 2004.

## VII. Submission of Proposals

Proposals must contain all components. Please refer to the Competitive Application Checklist (Section 5, Attachment A) for information on: 1) where to obtain the forms/instructions; 2) additional program specific requirements; and 3) the order in which all components of the application should be assembled and submitted to the state purchasing agency. Proposals must contain the following components:

- (1) ***Proposal Application (Form SPO-H-200A), including Title Page (Form SPO-H-200) and Table of Contents*** - Applicant shall submit comprehensive narratives that address all of the issues contained in the Proposal Application Instructions, including a cost proposal/budget (refer to Section 3).
- (2) ***Competitive Application Checklist*** – Provides the applicant with information on where to obtain the required forms, information on program specific requirements, and the order in which all components should be assembled and submitted to the state purchasing agency.
- (3) ***Registration Form (SPO-H-100A)*** – If applicant is not pre-registered with the State Procurement Office (business status), this form must be submitted with the application. If applicant is unsure as to its pre-registration status, it may check the Department of Commerce and Consumer Affairs website at:  
<http://www.ehawaii.gov.org/dcca/cogs/exe/cog.cgi>  
or call the state purchasing agency at (808) 586-8675.
- (4) ***Certifications*** - Federal and/or State certifications, as applicable.
- (5) ***Program Specific Requirements*** - Additional program specific requirements are to be included in Section 2 and/or 3, Service Specifications and the Proposal Application, as applicable.

Multiple or alternate proposals shall **not** be accepted unless specifically provided for in Section 2. In the event alternate proposals are **not** accepted and an applicant submits alternate proposals but clearly indicates a primary proposal, it shall be considered for award as though it were the only proposal submitted by the applicant.

One (1) original and three (3) copies of the proposal are required. Proposals must be postmarked or hand delivered by the date and time designated on the Proposal Mail-In and Delivery Information Sheet. Any proposal post-marked or received after the designated date and time shall be rejected. Proposals delivered by facsimile transmission or submitted on diskettes will **not** be accepted.

## **VIII. Discussions with Applicant Prior to, or After Proposal Submittal Deadline**

Discussions may be conducted with the applicant who submits proposals determined to be reasonably susceptible of being selected for award, but proposals may be accepted without discussions, in accordance with the administrative rules.

## **IX. 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.

## **X. RFP Amendments**

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

## **XI. Final Revised Proposals**

The applicant's final revised proposal, *as applicable* to this RFP, must be postmarked or hand delivered by the date and time specified by the state purchasing agency. Any final revised proposal post-marked or received after the designated date and time will be rejected. If a final revised proposal is not submitted, the previous submittal will be construed as the best and final offer/proposal. *Only the section(s) of the proposal that are amended shall be submitted by the applicant, along with the Proposal Application Title Page (SPO-H-200).* After final revised proposals are received, final evaluations will be conducted for an award.

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

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

## **XIII. Costs for Proposal Preparation**

Any costs incurred by applicant in preparing or submitting a proposal is the applicant's sole responsibility.

## **XIV. 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 request for proposals, including the sharing of information on community needs, best practices, and provider's resources, shall not disqualify providers from submitting proposals if conducted in accordance with sections 3-142-203 and 3-143-618 of the Hawaii Administrative Rules for Chapter 103F, HRS.

## **XV. 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 (relevant sections of the Hawaii Administrative Rules for Chapter 103F, HRS are parenthesized):

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

## **XVI. Opening of Proposals**

Upon receipt of proposals by the state purchasing agency at the 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.

## **XVII. Notice of Award**

A Notice of Award containing a statement of findings and decision shall be provided to every applicant by mail upon completion of the evaluation of competitive purchase of service proposals.

## **XVIII. Protests**

Any applicant may file a protest (using a prescribed form provided by the administrator of the State Procurement Office available on the State Procurement Office Website whose address is on the Competitive Application Checklist located in Section 5 of this RFP) against the awarding of the contract as long as an original and two copies of the protest is served upon the head of the state purchasing agency that conducted the protested procurement, and the procurement officer who handled the protested procurement, by United States mail, or by hand-delivery. A Notice of Protest regarding an award of contract and related matters that arise in connection with a procurement made under a competitive purchase of services shall be served within five (5) working days of the postmark of the notice of findings and decision sent to the

protester. The Notice of Protest form, SPO-H-801, is available on the SPO website. 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 pursuant to Chapter 103F of the Hawaii Revised Statutes.
- (3) A state purchasing agency's failure to follow any procedure, requirement, or evaluation criterion in a request for proposal issued by the state purchasing agency.

<b>Head of State Purchasing Agency</b>	<b>Procurement Officer</b>
<b>Name:</b> <i>Sam Aiona</i>	<b>Name:</b> <i>Keith Yabusaki</i>
<b>Title:</b> <i>Executive Director</i>	<b>Title:</b> Program Administrator
<b>Business and Mailing Address:</b> <i>830 Punchbowl Street, Room 420 Honolulu, Hawaii 96813</i>	<b>Business and Mailing Address:</b> <i>830 Punchbowl Street, Room 420 Honolulu, Hawaii 96813</i>

#### **XIX. Availability of Funds**

The award of a contract and any allowed renewal or extension thereof, are subject to allotments to be made by the Director of Budget and Finance, State of Hawaii, pursuant to Chapter 37, Hawaii Revised Statutes, and subject to the availability of State and/or Federal funds.

#### **XX. Criteria by which the Performance of the Contract will be Monitored and Evaluated**

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

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

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

The general conditions that will be imposed contractually are on the SPO website (see the Proposal Application Checklist in Section 5 of this RFP for the address). Special conditions may also be imposed contractually by the state purchasing agency, as deemed necessary.

## **XXII. Cost Principles**

In order to promote uniform purchasing practices among state purchasing agencies procuring health and human services under Chapter 103F, HRS, state purchasing agencies will utilize standard cost principles outlined in Form SPO-H-201 which is available on the SPO website (see the Proposal Application Checklist in Section 5 of this RFP). Nothing in this section shall be construed to create an exemption from any cost principle arising under federal law.



## Section 2

### Service Specifications

## **Section 2**

### **Service Specifications**

**Program Title:** Legal Advocacy, Outreach, and Referral Services to Protect the Rights of Children and Their Families

#### **I. Introduction**

##### **A. Background**

The Office of Community Services (OCS) was established in 1985 under Chapter 371K, HRS. The primary purpose of OCS is to facilitate and enhance the development, delivery, and coordination of effective programs for those in need. In keeping with this purpose, OCS administers federal grants and state-funded purchases of services to provide community-based services to low-income persons, immigrants and refugees.

The Department of Human Services (DHS) is the single state agency responsible for administering the Temporary Assistance to Needy Families (TANF) program in Hawaii in accordance with Title IV-A of the Social Security Act as amended by the Personal Responsibility and Work Opportunity Reconciliation Act (PRWORA) of 1996. Within the organizational structure of DHS, the Benefit, Employment and Support Services Division is responsible for monitoring, supervising, and responding to all issues and questions regarding TANF.

Also within the purview of DHS, the Social Services Division - Child Welfare Services Branch, is responsible for providing social and case management services to children and their biological, extended, foster, or adoptive families to ensure safe, nurturing, and permanent families for Hawaii's children. Public Law 104-193, "PRWORA of 1996," as revised by Public Law 105-33, "The Balanced Budget Act of 1997," authorizes these programs and services to children and their families whose incomes are less than 200% of the Federal Poverty Guidelines applicable to the size of the family.

The State of Hawaii OCS, in cooperation with DHS, is requesting proposals from qualified applicants to provide legal advocacy services for Temporary Assistance to Needy Families and Temporary Assistance to Other Needy Families (TAONF) program recipients who have or are currently experiencing issues of family dysfunction, preservation, maintenance, formation, or legal actions designed to protect the safety of the child(ren). Public Law 104-193, "PRWORA of 1996" and 45 CFR 260.50 through 260.59 authorizes the provision of such services to TANF clients. TAONF recipients, as defined in the Hawaii Administrative Rules Section 356.1, are entitled to the same services as TANF recipients.

##### **B. Purpose or Need**

The high cost of legal services to protect the needs of children and their families is beyond the means of low-income persons. Without government provision, the poor would be unable to obtain legal advice and representation necessary to protect the rights of their children to be housed, educated, supported, and live free from violence, abuse and neglect.

DHS resources, in response to federal and state child welfare legislative changes, have been increasingly stretched to provide more services with less staff. The amount and selection of services presently available internally, as well as in the community, are not sufficient to meet the multiple needs of our clients. Efforts are being made to develop and utilize departmental and

community resources in more effective and efficient ways through purchase of service contracts, revised procedures and internal reorganization efforts.

With heavy caseloads, decreasing resources, and insufficient staffing, DHS workers are overwhelmed with a greater number of complex and difficult cases that require assessment and on-going monitoring. Currently, these activities are provided by contracted purchase of services and departmental personnel.

Because of the heavy caseload, DHS is not able to provide services for every family reported for alleged child abuse or neglect. Families who have not yet been verified eligible to receive child welfare services are not able to adequately access appropriate service activities through community resources.

It is well documented within DHS records that reports of abuse have gone up from 4,584 in FY 1996 to 7,187 in FY 2003. This represents an increase of 56.8% over this time period. It is also asserted that a high percentage of these families (perhaps as many as 60%) are also TANF/TAONF recipients.

In supporting DHS' mandate to protect children who have been harmed or threatened with harm by their families, OCS is procuring support services to divert eligible children and their families/caregivers from Child Welfare Services. Provision of a comprehensive service array will provide the following benefits to children who have been or are at risk of being abused or neglected by their families.

OCS is requesting competitive proposals from qualified applicants to contract legal advocacy services to children and their families/caregivers who are currently experiencing issues of family dysfunction, preservation, maintenance, formation or legal actions designed to protect the safety of the child(ren). Services include, but are not limited to, dispute resolution of child legal issues, outreach, screening, intake, referral, legal advice, advocacy, and representation.

These services will be provided to children and their families/caregivers who are eligible and qualify for DHS' TANF and TAONF programs. Also eligible are children residing with their families/caregivers who have or are currently experiencing any family dysfunction whose resolution will support and promote family re-unification, safety (especially the children); and overall self-sufficiency.

The legal service provider/advocate will review and determine if the children and their families/caregivers in need of service face specific issues that if not addressed threaten to damage or tear apart a two parent family, compromises the safety of the child(ren), or otherwise requires access to the judicial system to stabilize the family environment in the best interests of the children.

Legal advocates can be instrumental in helping children and their families/caregivers to receive services that will support, protect, or maintain the family. Numerous cases exist where children have been abandoned by their natural parents and left with grandparents or other blood relatives. In these cases, guardianship or other actions may be appropriate to preserve the safety of the child.

### **C. Description of Goals**

The goal of this project is to provide legal advocacy services to TANF and TAONF recipients (as denoted in the target group section below) who are presently confronting family functioning

related issues that enable them to overcome barriers and thereby improve the family situation. It is also expected that these advocacy services will ultimately allow the family to more effectively pursue economic self-sufficiency. Service activities shall be based on the principles of family-centered, strengths/needs-based practice.

#### **D. Description of Target Population**

The population to be served will be children less than 18 years of age and their families/caregivers living in Hawaii who are eligible and qualify for DHS' TANF and TAONF programs. Also eligible are children residing with their families/caregivers who have or are currently experiencing any family dysfunction whose resolution will support and promote family re-unification, safety (especially the children); and overall self-sufficiency. Children and their caregivers may apply or be referred by DHS, the community, health and human service professionals, or other governmental/local agencies.

Children and their families/caregivers to be served under this contract must be income qualified by the contractor. For TANF, eligible children and their families/caregivers must be at or below 100% of the Federal Poverty Guidelines level. For Title XX, eligible children and their families/caregivers must be at or below 200% of the Federal Poverty Guidelines level. DHS will provide procedural information and training on how families can qualify and be served under this agreement. Similarly, for child only cases, only the income and assets of the child will be reviewed. The income and assets of the caretaker relative will not be pertinent to the child's eligibility.

#### **E. Geographic Coverage of Service**

The contractor will serve the eligible children and their families/caregivers for the geographic areas (counties) where the contract is awarded.

The applicant is responsible for identifying clearly the geographic areas that they propose to serve. At a minimum, the contract will be awarded for the City and County of Honolulu and two other geographic service areas. The other geographic service areas may include any or a combination of the following with and up to the maximum amount of funds allowed below.

1. Kauai County
2. Maui County - Maui, Molokai, and Lanai
3. County of Hawaii - East Hawaii
4. County of Hawaii - West Hawaii

#### **F. Probable Funding Amounts, Source and Period of Availability**

The contract(s) period is for twelve (12) months from April 1, 2004, through March 31, 2005, with an option to extend for one (1) additional year subject to the availability of such funds, program utilization, and satisfactory performance. Funding is anticipated to be a total of \$300,000 per year. Initially, funding is anticipated to be from federal sources, though the source of funding may change prior to the effective date and over the life of the contract(s).

Subject to availability of funds, the total amount of \$300,000 for the initial twelve (12) month period will be allocated as follows:

1. City and County of Honolulu	\$200,000
Total Amount Available for Other Areas	\$100,000
2. Kauai County	up to \$50,000
3. Maui County	up to \$50,000
Maui, Molokai, and Lanai	
4. County of Hawaii	
East Hawaii	up to \$50,000
West Hawaii	up to \$50,000

For example: (Kauai County \$16,000, Maui County \$24,000, and East Hawaii \$30,000 and West Hawaii \$30,000)

OCS reserves the right to allocate available funds based on the proposals submitted.

## **II. General Requirements**

### **A. Specific Qualifications or Requirements, Including but not Limited to Licensure or Accreditation**

1. The applicant shall hold all licenses, permits, and accreditations, and meet all standards required by applicable federal, state and county laws, ordinances, codes and rules to provide services under this RFP. The applicant shall also be in good standing with required licensing bodies, and in compliance with professional standards and requirements.
2. The applicant shall have a minimum of one-year experience in Hawaii directly providing legal and advocacy services for the benefit of low-income children.
3. The applicant shall have the program operating in the geographic areas where the contract is awarded and be able to provide the required services beginning April 1, 2004 through March 31, 2005.
4. The applicant shall comply with Chapter 103F, HRS Cost Principles for Purchases of Health and Human Services identified in SPO-H-201 (Effective 10/1/98), which can be found on the SPO website (See Section 5, Proposal Checklist, for the website address).
5. The applicant must provide reasonable accommodations to assure capacity to deliver services to those clients with limited English proficiency or physical limitations.
6. The applicant must assure and be responsible for the continuity of service activities in the event of staff illness, medical emergencies, vacancies, or other situations that result in program resources that are less than proposed and contracted for. The provider must not require nor depend on the State agency's staff to provide service activities in the event that program resources are not available due to the above situations.

7. The applicant must use credible and tested measurement tools to evaluate program effectiveness in achieving outcomes.
8. The applicant shall conduct criminal history and Hawaii DHS Protective Services Registry checks to ensure that no employee has a record of criminal conviction or Child Protective Services involvement that would pose a risk to children or families. See DHS Social Services Division's Criminal Conviction Record Check Standards and Protective Services Central Registry Check Standards in Section 5 of this RFP.
9. With assistance from the State, the applicant shall develop and implement procedures to document clients' income eligibility for these services.
10. When a disagreement arises between the Provider and the State in regards to the performance of specific service activities within contracted specifications, the wishes of the State shall prevail. Failure on the part of the Provider to comply shall be deemed cause for corrective action and subject to contractual remedies.

**B. Secondary Purchaser Participation**  
(Refer to §3-143-608, HAR)

Planned secondary purchasers must be outlined in the proposal application and included in the contractual agreement. No other secondary purchases shall be permitted.

**C. Multiple or Alternate Proposals**  
(Refer to §3-143-605, HAR)

Allowed             Not Allowed

Multiple or alternate proposals will be considered if the applicant offers to provide services for two or more counties.

**D. Single or Multiple Contracts to Be Awarded**  
(Refer to §3-143-206, HAR)

Single                     Multiple                     Single and Multiple

**E. Single or Multi-term Contracts to Be Awarded**  
(Refer to §3-149-302, HAR)

Single Term (# 2 years)                     Multi-Term (> 2 years)

A single contract may be awarded to a proposal that demonstrates the ability to provide comprehensive and efficient legal advocacy services for multiple counties within the state.

Conversely, multiple contracts may be awarded to each individual proposal that demonstrates a more efficient and comprehensive legal advocacy service that would be provided in their own respective county.

Option to Extend: The initial term of the contract will be 12 months from April 1, 2004, through March 31, 2005, with an option to extend for an additional one (1) year subject to availability of funds as well as satisfactory performance and program utilization.

## **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 winning provider or providers. Written questions should be submitted to the RFP contact person and received on or before the day and time specified in Section I, Item IV, (Procurement Timetable) of this RFP. Oral questions will be addressed through the deadline for submission of proposals.

Sole Point of Contact: Keith Yabusaki, Senior Planner, at 586-8675.

## **III. Scope of Work**

The scope of work encompasses the following tasks and responsibilities:

### **A. Service Activities (Minimum and/or Mandatory Tasks and Responsibilities)**

The applicant shall describe in detail where and how it will provide the following required services addressing each of the specified geographical areas.

The primary services for this RFP shall include the following activities: dispute resolution of child legal issues, outreach, screening, intake, referral, legal advice, advocacy, and representation for the best interests of children as follows:

- 1. Services to Children Who are Homeless, Runaways, Teen Parents, or From Families Where There is Domestic Violence or Child Abuse and Neglect**
  - a. Representation in Temporary Restraining Order (TRO) hearings, including recommendations to the court on custody, visitation, and services for children.
  - b. Providing legal advice and counsel to support *guardian ad litem*s in child abuse and neglect cases, including legal representation in court and filing appeals.
  - c. Facilitate legal guardianships and status of children through representation or referral.
  - d. On a case-by-case basis, advocate on behalf of children in areas including, but not limited to, income assistance, contractual problems, landlord/tenant issues.
- 2. Child Support**
  - a. Work through the Family Court and with the Child Support Enforcement Agency to enforce child support orders.
- 3. Educational Services for Children**
  - a. On a case-by-case basis, advocate and assist children in accessing educational services that they are legally entitled to including but not limited to Felix Class services.

If applicant is proposing a new program, applicant shall provide a detailed start-up plan. The plan shall include tasks, activities, personnel, and timeframe. The plan will clearly show how the applicant would have the program established with necessary staffing to meet the anticipated caseload and provide the required

services to the proposed geographic areas by April 1, 2004. The intent of this RFP is to provide seed money for a project(s) that possess long-term impact, solves a problem, but is not indefinitely dependent on grant funding. The applicant will consider the following in developing its continuation plan: How will the project be sustained? How will the service agency access local or other resources to support the program outside its own organization? What other funding sources are available to support the project once it is up and running? Will the project itself earn any income?

## **B. Management Requirements (Minimum and/or Mandatory Requirements)**

### **1. Personnel**

The required legal services shall be provided by duly licensed staff attorneys who are qualified in public assistance, health, family law, and any other areas of law, as applicable. Legal staff shall be in good professional and ethical standing. Duly qualified paraprofessional legal staff may be used to assist the attorneys.

Legal staff shall be provided the resources, information, training, and continuing education necessary to maintain their capability to properly and adequately provide the required legal services.

The applicant shall have written position descriptions, requirements and qualifications, policies and procedures for all employees and volunteers to assure that they are qualified to perform the work they are assigned and are properly supervised. A designated staff attorney shall directly supervise any volunteers assisting with legal services

- a. Direct services staff shall include attorneys licensed to practice law in the State of Hawaii and other support and advocacy personnel that have the educational qualifications and necessary training to provide the activities requested.
- b. Staff and volunteers must have experience or training in dealing with domestic violence, child abuse and neglect.

### **2. Administrative**

Written policies and procedures are required for all services, including personnel standards, operating procedures, determination of client eligibility, documentation and record-keeping, data gathering and reporting, financial administration, quality assurance, and monitoring and evaluation.

The applicant is required to have a written outcome based program plan, and an on-going planning and evaluation process for these services.

The Contractor shall:

- a. Oversee services provided to the eligible clients;
- b. Supervise and be responsible for advocates and/or other staff;

- c. Serve as the point of contact for OCS, DHS, and other service providers staff who may also be assisting the client in achieving objectives that are part of the client's service plan;
- d. Assure that all families served are reviewed for proper eligibility status before service is provided;
- e. Maintain a client database of all pertinent demographic and eligibility information;
- f. Allow access to and release of confidential client information as permitted in accordance with HRS Chapter 346 and HAR § 17-601; and
- g. Prepare monthly reports and invoices as required by OCS, based on DHS contracting requirements.

### **3. Quality Assurance and Evaluation Specifications**

The applicant shall have a written quality assurance plan including procedures to assure that its services are provided in conformance with all federal, state and county requirements, the requirements of this RFP, and applicant's standards and procedures applicable to this RFP. This shall include the policies and procedures governing the State-run programs involved, including but not limited to TANF, TAONF, First-to-Work, Child Care Connection, and Child Support Enforcement. If necessary, the contractor shall make staff available for training to be provided by DHS to help meet any or all compliance issues. The quality assurance plan shall include procedures to: (1) monitor administrative and program operations, fiscal administration and costs for compliance with all requirements; (2) determine whether clients receive consistent, high quality services; and (3) identify roles and responsibilities for on-going implementation.

The applicant shall have a written plan for evaluation of performance in providing the required service, including procedures and methodology to measure, monitor and collect data on outputs and outcomes, and to evaluate the outcomes and other results of its services. The evaluation plan should also include procedures to (1) identify and resolve problems, (2) make improvements to the program as needed and (3) identify roles and responsibilities for assuring on-going implementation.

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

The contractor must maintain throughout the term of the contract a system of self-appraisal and program evaluation to track and validate effectiveness of the activities provided. The evaluation process must include tools or instruments to identify client indicators of change, which are relevant to client outcomes and include a process for making improvements or taking corrective action based upon the evaluation findings.

### **4. Output and Performance/Outcome Measurements**

The applicant shall set forth the amounts of the following outputs and outcomes that it expects to achieve through services funded under this RFP.

**Outputs:**

The type and number of outreach efforts that will be conducted in each service area to inform potential clients and referral sources about these services.

The type and number of partnerships that will be established in each service area to link needy low-income persons with these or other legal services as needed.

Report for each geographical area served, number of new child (and their families/caregivers) cases by type of clientele to be served during the program year (See Form A Below).

- a. Children from violent households.
- b. Abused and neglected children.
- c. Homeless and runaway children.
- d. Teen parents.
- e. Children denied access to education.
- f. Other.

**Outcomes:**

Report for each geographical area served, planned outcomes for the following (See Form B):

- a. Number of children who obtained safer homes, by the following categories:
  - i. Custody placements
  - ii. Guardianships
  - iii. Adoptions
  - iv. Temporary restraining orders
  - v. Other
- b. Number of children who obtained child support.
- c. Number of children who obtained paternity determinations.
- d. Number of teen parents provided legal assistance.
- e. Number of homeless and runaway children provided legal assistance.
- f. Number of children who obtained access to education.
- g. Other.

The applicant may also propose other measures of effectiveness.

**5. Reporting Requirements for Program and Fiscal Data**

Monthly program progress and fiscal reports are required to be submitted to OCS to meet the requirements of DHS within ten (10) calendar days after the last day of each month. The required final report on the total contract period is to be submitted within sixty (60) calendar days after the last day of the contract period.

A monthly invoice shall be prepared and mailed to OCS by the 10<sup>th</sup> of each month. Monthly invoices shall include itemized charges for legal advocacy services as specified within the scope of services of this agreement.

The applicant shall describe its ability to provide monthly and final written reports on program performance, particularly on the outputs and outcomes of service, and on the results of its program evaluations and needs assessments. Data to be reported includes the number of persons served, accomplishments of program outcomes and objectives, problems encountered, recommendations, and proposed future activities. The applicant will be required to report on the

number of persons at each office location that were not accepted for program services, reasons for non-acceptance and/or referral and by the agencies that they were referred to.

The applicant shall describe its ability to provide monthly and final written reports on fiscal performance, particularly comparing its budgeted expenditures to actual expenditures, and identifying and explaining the reasons for variances.

Other reports may be required.

## **6. Pricing Structure or Pricing Methodology to Be Used**

The pricing methodology used is a fixed rate service contract. The fixed rate pricing structure reflects a purchase arrangement in which the State pays the contractor a set rate for a defined unit of service up to a stated maximum contract amount. In this case, the maximum contract amount is set as \$300,000 and the maximum amount per case is set as \$2,500. The State and the contractor will negotiate and agree upon the estimated number of units of service to be delivered for the stated contracted amount. The fixed rate reimbursement may be subject to verification.

The applicant shall submit an estimated program cost form (See Form C) that shows the anticipated: (1) number of total service hours by categories per geographic area, (2) number of service hours by attorneys and non-attorneys per geographic area, and (3) program costs based on fixed rates for attorneys and non-attorneys.

This contract is funded through a combination of TANF and Title XX Programs. For TANF, eligible children and their families/caregivers must be at or below 100% of the Federal Poverty Guidelines level. For Title XX, eligible children and their families/caregivers must be at or below 200% of the Federal Poverty Guidelines level. Claims will be charged against the appropriate funding source at the discretion of OCS and DHS in compliance with federal mandates.

Families currently receiving TANF or TAONF services will be eligible to receive services under TANF funding. Families and children who are in the custody of relatives that are not currently on assistance but meet income and asset qualifications may also be served.

The contractor will determine which cases are appropriate for claiming prior to delivery of services. As needed, the contractor(s) will receive training by DHS' Income Maintenance Program staff. Also, each service type claimed must be specified under Item III. Scope of Work, A. Service Activities, Numbers 1-3 above.

## **7. Units of Service and Unit Rate**

The State will pay the contractor a fixed rate for units of service delivered that includes operating costs.

- a. The fixed rates or units of service for attorneys and non-attorneys are set and valued at \$70/hour and \$35/hour respectively.
- b. The units of service are defined as one (1) hour of actual services provided by an attorney or non-attorney directly to a client as specified under Item III. Scope of Work, A. Service Activities, Numbers 1-3 above.

# FORM A – NUMBER OF CASES TO BE SERVED BY GEOGRAPHIC AREA

ORGANIZATION: \_\_\_\_\_

PROGRAM: \_\_\_\_\_

## Estimated Number of Cases to be Served per Geographic Area

<b>Clientele</b>	<b>Kauai</b>	<b>Honolulu</b>	<b>Maui</b>	<b>Molokai</b>	<b>Lanai</b>	<b>East HI</b>	<b>West HI</b>
Abused and Neglected Children							
Children From Violent Households							
Homeless/Runaway Children							
Teen Parents							
Children Denied Educational Access							
Other							
<b>Total Cases Per Area</b>							

**Estimated Total Number of Cases in All Proposed Geographic Areas** \_\_\_\_\_

## FORM B – OUTCOMES

ORGANIZATION: \_\_\_\_\_

PROGRAM: \_\_\_\_\_

### Estimated Number of Children to be Served by Categories per Geographic Area

Categories	Kauai	Honolulu	Maui	Molokai	Lanai	East HI	West HI
Custody Placements							
Guardianships							
Adoptions							
Temporary Restraining Orders							
Child Support							
Paternity							
Teen Parents							
Homeless/Runaways							
Access to Education							
Other							
Total Children by Area							

**Estimated Total Number of Children to be Served in All Proposed Geographic Areas \_\_\_\_\_**

# FORM C – ESTIMATED SERVICE HOURS AND COSTS

ORGANIZATION: \_\_\_\_\_

PROGRAM: \_\_\_\_\_

## Estimated Number of Service Hours by Categories per Geographic Area

## Estimated Number of Service Hours by Attorneys and Non-Attorneys per Geographic Area

Categories	Kauai	Honolulu	Maui	Molokai	Lanai	East HI	West HI
Custody Placements							
Guardianships							
Adoptions							
Temporary Restraining Orders							
Child Support							
Paternity							
Teen Parents							
Homeless/Runaways							
Access to Education							
Other							
Total Hours by Area							

	Kauai	Honolulu	Maui	Molokai	Lanai	East HI	West HI	Total Hrs
Attorneys								
Non-Attorneys								

## Estimated Program Costs in Dollars Based on Fixed Rate for Attorneys and Non-Attorneys

\*Fixed rate for attorneys is \$70/hour.

	Kauai	Honolulu	Maui	Molokai	Lanai	East HI	West HI	Γ Costs
Attorneys*								
Non-Attorneys**								
Total Cost								

\*\*Fixed rate for non-attorneys is \$35/hour.



## Section 3

# Proposal Application

## Section 3

# Proposal Application

### General instructions for completing application:

- *Proposal Application shall be submitted to state purchasing agency using the prescribed format outlined in this section. The proposal shall be organized and presented in the sections and subsections designated in the RFP and with prescribed content for each section.*
- *The numerical outline for the application, the titles/subtitles, and the applicant organization and RFP identification information on the top right hand corner of each page should be retained. The instructions for each section may be omitted.*
- *Page numbering of the Proposal Application should be consecutive, beginning with page one and continuing through the complete proposal.*
- *Document binding is optional.*
- *Tabbing of sections is recommended.*
- *Applicant must also include a Table of Contents with the Proposal Application. A sample format is reflected in Section 5, Attachment B of this RFP.*
- *Applicant is encouraged to use single spacing, 12 point Times New Roman font, 1" margins on the left, right, top and bottom, and standard 20-lb. white paper, 8.5 x 11 inches in dimension.*
- *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. Applicant should strive to provide clear responses to issues and questions raised in the RFP in a language that is clear and not subject to differing interpretations.*
- *Other supporting documents including visual aids may be submitted to further explain specific points in the proposal; if used, they should be referenced.*
- *Applicant may submit either one-sided or two-sided documents.*
- *Proposal Application should not exceed 30 pages of main text, not including appendices, attachments, title page, required forms, and table of contents.*
- *The Proposal Application form (SPO-H-200A) is available on the SPO website (see the Competitive Application Checklist in Section 5, Attachments). 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.*
- *One (1) original and three (3) copies of each proposal are required.*
- *Applicant is encouraged to take Section 4, Proposal Evaluation, into consideration when completing the proposal.*

**The Proposal Application comprises the following sections:**

- *Title Page*
- *Table of Contents*
- *Background and Summary*
- *Experience and Capability*
- *Personnel: Project Organization and Staffing*
- *Service Delivery*
- *Financial*
- *Other*
- *Appendix (optional)*

**I. Background and Summary**

*The applicant shall briefly describe its organizational mission, goals and objectives. The applicant shall clearly and concisely summarize the specific need or problem addressed by the project, target population served, and highlight the positive project merits including desired project impact (outputs and outcomes) in such a way as to provide the state with a broad understanding of the entire proposal.*

**II. Experience and Capability**

**A. Necessary Skills and Experience**

The applicant shall describe its relevant experience and present capability, including its skills, abilities, and knowledge that would enable it to effectively deliver the proposed services.

The applicant shall also provide a listing of verifiable experience, by project or contract, in providing the required services, including the contracting agency, address, telephone number, dates that services were provided, a brief description of relevant services, and the contact person at the contracting agency.

Individuals given as references will be given complete anonymity, and their comments will not be made public. The state agency may, however, question applicant further concerning the specifics of past experiences.

The applicant should highlight the common characteristics and demonstrate how past experiences gained on-the-job will assist the vendor to do a better job in the proposed project. The state agency recognizes that there exists real value in a vendor who has operated challenging programs under adverse conditions, that projects do not always go as planned through no fault of the vendor, but by innovation the vendor was able to adapt, minimize losses, and recover while protecting the customer's best interests. If in presenting your past experiences there exists programs with sub-par performances, please briefly explain the reasons for the negative experiences. If the need arises, the state agency can then verify with the vendor and others as allowable, to find out the specifics as to what went wrong and will not simply have to accept bad references at face value. The state agency wants to check and ensure that the applicant is not penalized for negative experiences reported that they were not responsible for causing.

## **B. Quality Assurance and Evaluation**

The applicant shall demonstrate that it has a written quality assurance plan and procedures that are sufficient to assure consistent and high quality program administration and service. The applicant shall also demonstrate that it has a written evaluation plan that effectively measures, monitors, evaluates program performance and timely detects and addresses problems. (Refer to the quality assurance and evaluation requirements in the Service Specifications.)

## **C. Coordination of Services**

The applicant shall describe its experience and capability to coordinate the required services with relevant agencies and resources in the community.

## **D. Facilities**

The applicant shall describe the facilities that it would use to provide the required services and demonstrate the facilities' adequacy in relation to the proposed services. The applicant shall also indicate whether the facilities comply with the Americans with Disabilities Act (ADA) and other applicable regulations.

# **III. Personnel: Project Organization and Staffing**

## **A. Proposed Organization and Staffing**

The applicant shall provide an organizational chart that shows the program placement of the required services within the overall agency, and a program organization chart that shows the detailed program administration and staff. Written explanations of the organization charts shall be included for clarification.

The applicant shall explain how the program organization and assignment of personnel are sufficient for the effective administration, management, supervision, and provision of services under the program to meet the projected caseload.

## **B. Staff Qualifications and Training**

The applicant shall provide job descriptions of proposed administrative and program staff that include the minimum qualifications necessary for the positions. If available, the applicant shall provide resumes of persons proposed for this RFP. The applicant shall also explain how the minimum qualifications and/or actual qualifications would assure that qualified persons would administer and provide the required services.

The applicant shall describe the training that would be provided for staff to strengthen their capability to effectively provide the program services.

Any proposed use of a subcontractor shall be fully explained, justified, and demonstrated to be as effective as in-house staff for the provision of the required services. The applicant shall demonstrate that a proposed subcontractor is fully qualified for the specific work by including documentation of the proposed subcontractor's experience and capability to provide the designated services. The

applicant shall also explain how it would monitor, evaluate, assure quality, effectiveness and compliance of the subcontractor with all of the requirements of the RFP.

Any proposed use of volunteers shall be fully explained, justified, and demonstrated to be as effective as in-house staff for the provision of the required services. The applicant shall demonstrate that proposed volunteers are or would be fully qualified for the specific work assigned, could be relied on, and would be available when and where needed to provide the required services. The applicant shall also explain how it would provide sufficient management, supervision, oversight, and evaluation of volunteers, and otherwise assure their quality and effectiveness. The applicant shall explain how it will assure that volunteers perform in compliance with the requirements of the RFP.

#### **IV. Service Delivery**

The applicant shall clearly identify and describe the geographic areas and the targeted population groups that it proposes to serve. The applicant shall demonstrate, with demographic data and other documentation, that the geographic area(s) it proposes to serve contains significant numbers of the target population; there is a determined need for the services; the services available to the area are insufficient to fill the need; and the extent of services proposed by applicant for each area will effectively address the needs.

The applicant shall provide a complete and comprehensive picture of its total program design. The applicant shall explain how it would provide all of the services required in Section 2, Item III – Scope of Work, addressing all service locations, major tasks, activities, time lines and other pertinent information. If applicant is proposing a new program, applicant shall provide a detailed start-up plan. The plan shall include tasks, activities, personnel, and timeframe. The plan shall clearly show how the applicant would have the program established with necessary staffing to meet the anticipated caseload and provide the required services in all applicable geographic areas by April 1, 2004.

The applicant shall describe its overall approach and methodology in addressing the need identified in this RFP, including a step-by-step progression of clients to the desired outcomes and how the applicant would effectively serve clients with multiple barriers to obtain successful outcomes through the proposed services.

The applicant shall state the amounts of the required outputs that it proposes to provide, the amounts of required outcomes that it expects to achieve or that will result from its services, and why these amounts of outputs and outcomes are feasible and demonstrate the effectiveness of services.

The applicant shall present its continuation plan how the project will be sustained once grant funding ends and document any promised or implied future financial support if the project is successful.

## **V. Financial**

### **A. Pricing Structure**

OCS is incorporating a fixed rate pricing structure. The estimated cost proposal forms shall be attached to the Proposal Application.

#### **1) Pricing Structure Based on Fixed Rate**

The fixed rate pricing structure reflects a purchase arrangement in which the State pays the contractor a set rate for a defined unit of service up to a stated maximum contract amount.

#### **2) Budget Determination Forms**

The following budget form(s) shall be completed and submitted with the Proposal Application, as applicable.

- Form A – Number of Cases to be Served by Geographic Area
- Form B – Outcomes
- Form C – Estimated Service Hours and Costs

These forms are included in Section 2, Service Specifications, of this RFP. The applicant shall also utilize form SPO-H-201, Chapter 103F, HRS, Cost Principles in Purchases of Health and Human Services, in preparing its cost proposal.

### **B. Other Financial Requirements**

#### **1) Accounting System**

The applicant shall provide, as part of its cost proposal, its most recent independent financial audit, with the accompanying management letter, to demonstrate the adequacy of its accounting system. The requirements for an adequate accounting system may include, but are not limited to, keeping accurate procurement and financial records required by law, the state purchasing agency, or the State Procurement Office; providing required cost data in acceptable form and in a timely manner; and compliance with generally accepted accounting principles.

#### **2) Need for Funding**

If the services proposed by applicant are to be part of a larger project supported by other funding sources, the applicant shall identify the other funding amounts and sources, provide the planned or anticipated total project budget on form SPO-H-205 in columns (b), (c), and (d), and explain its need for these funds. Form SPO-H-205 can be found on the SPO website.

**3) Cost Effectiveness**

The applicant shall explain why it considers its proposed services to be cost effective for the area and target population group that it would serve.

**VI. Other**

**A. Litigation**

**If applicable, the applicant shall disclose and explain any pending litigation to which it is a party, including the disclosure of any outstanding judgement.**

**VII. Appendix (Optional)**



## 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 purchasing agency or procurement officer, shall review and evaluate proposals. When an evaluation committee is utilized, the head of the purchasing agency or the procurement officer shall select for each RFP a minimum of two employees from a state agency or agencies with sufficient knowledge to evaluate the proposals received. Non-state employees may serve as advisors in the evaluation of proposals but shall not represent or act on behalf of a purchasing agency in any selection or award.

The evaluation of proposals shall be based solely upon the criteria and their relative priorities as established in this RFP. A written evaluation shall be made for each proposal based on a numerical rating system.

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 Threshold

<u>Evaluation Categories</u>			<u>Possible Points</u>
<b>Mandatory Requirements</b>			<b>Pass or Rejected</b>
<b><i>Proposal Application</i></b>			<b>100 Points</b>
Background and Summary		N/A	
Experience and Capability		20 points	
Personnel: Project Organization and Staffing		10 points	
Service Delivery		50 points	
Financial		20 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
- Registration (if not pre-registered with the State Procurement Office)

**(2) Proposal Application Requirements**

- Application Title Page (Form SPO-H-200)
- Table of Contents
- Background and Summary
- Experience and Capability
- Personnel: 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)**

**(1) Background and Summary (0 Points)**

Not applicable.

**(2) Experience and Capability (20 Points)**

OCS will evaluate the applicant's experience and capability to provide the services under this RFP as follows:

- Demonstrates that applicant has substantial verifiable experience in effectively providing the required services, and possesses the skills, abilities and knowledge to effectively deliver the required services. (10 points)
- Demonstrates that applicant has (a) a written quality assurance plan sufficient to assure consistent and high quality of administration and services, and (b) a written evaluation plan to effectively measure, monitor, and evaluate program performance, and timely detect and resolve problems. (6 points)
- Demonstrates that applicant has the experience and capability to coordinate proposed services with relevant agencies and resources in the community. (2 points)
- Demonstrates that applicant would provide adequate facilities for the services proposed and in compliance with Americans with Disabilities Act and other applicable laws and regulations. (2 points)

**(3) Personnel: Project Organization and Staffing (10 Points)**

OCS will evaluate the applicant's proposed program organization and staffing as follows:

- Demonstrates that applicant's proposed (a) organization and (b) assignment of staff would be sufficient to effectively administer, manage, supervise, and provide the required services. (5 points)
- Demonstrates that applicant would provide (a) qualified administrative and operations staff to this program, and (b) training to program staff to strengthen their ability to provide services. (5 points)

**(4) *Service Delivery (50 Points)***

OCS will evaluate the applicant's proposed service delivery as follows:

- Demonstrates that (a) the geographic area that applicant proposes to serve contains significant numbers of the target population, (b) the targeted population group in this area has a need for the required services, and (c) services already provided to this area are insufficient to meet this need. (9 points)
- Demonstrates that applicant's program design is comprehensive and complete, by clearly explaining in sufficient detail all of the services and information required including descriptions of the tasks, activities, program's period (days and hours) of operation, realistic timelines in meeting benchmarks and accomplishments, and an explanation of how each proposed geographic area or location would be served. (14 points)
- Demonstrates that applicant's proposed approach and methodology are sound by (a) showing a reasonable step-by-step progression of clients through services from intake to case closing to achieve desired outcomes, (b) showing how applicant would effectively serve clients with multiple barriers to obtain successful outcomes through these services, and (c) showing that the proposed staffing pattern, client/staff ratio, and caseload capacity is reasonable to ensure viability of services. (14 points)
- Demonstrates that applicant proposes feasible and effective amounts of services, clients to be served, outputs and outcomes for the services and clients proposed. (8 points)
- Demonstrates that the applicant has a continuation plan that details (a) reasonable actions for acquiring financial support for the project before the termination of funding; (b) documented support that may promise or imply future financial support should the project prove successful; and (c) any revenue, if any, that might be generated by the project. (5 points)

**(5) *Financial (20 Points)***

OCS will evaluate applicant's financial proposal as follows:

- The proposal includes numbers and amounts for all items on the Required Budget Determination Forms A, B, and C from Section 2 of the RFP. Reviewers may compare Forms A, B, and C from competing proposals

and allocate higher scores to those that present numbers and amounts considered advantageous to the best interests of the State. (10 points)

- Demonstrates the adequacy of applicant's accounting system and procedures to assure proper and sound fiscal administration of funding. (5 points)
- Demonstrates that applicant has a need for the amount requested for the proposed services and are cost effective for the area and target population to be served. (5 points)

#### **IV. 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.

Vendors may call and request a meeting to discuss how the selection committee evaluated their proposal. After, and only after a contract is awarded and executed, will the evaluations in the procurement file for all proposals received be made available for public inspection.

Between the time of issue of the RFP and recommendation for award, the state purchasing agency realizes it is impossible to accurately foresee and predict all future budgetary requirements. Project, staff, target population, and agency needs change over time. Upon recommendation for award, the state purchasing agency will hold vendors accountable to budgets submitted as part of their proposal application and incorporate that budget as part of the award agreement as feasible. Amendments to proposed budgets will be considered on a case-by-case basis and subject to approval upon receipt of a written request with sufficient justification for adjustments.



## Section 5

## Attachments

## **Section 5 Attachments**

### **Attachment**

### **Document**

- |   |  |
|---|--|
| A | Competitive Application Checklist  |
| B | Proposal Application - Sample Table of Contents  |
| C | Criminal Conviction Record Check Standards<br>Protective Services Central Registry Standards |

## Competitive Application Checklist

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

RFP No.: \_\_\_\_\_

The applicant's proposal must contain the following components in the order shown below. This checklist must be signed, dated and returned to the state purchasing agency as part of the Proposal Application. \*SPO-H Forms are located on the web at

[http://www2.hawaii.gov/spoh/Forms\\_Instructions/forms\\_instructionsprov.htm](http://www2.hawaii.gov/spoh/Forms_Instructions/forms_instructionsprov.htm)

Item	Reference in RFP	Format/Instructions Provided	Required by Purchasing Agency	Completed by Applicant
<b>General:</b>				
Proposal Application Title Page (SPO-H-200)	Section 1, RFP	SPO Website*	X	
Competitive Application Checklist	Section 1, RFP	Attachment A	X	
Table of Contents	Section 5, RFP	Section 5, RFP	X	
Proposal Application (SPO-H-200A)	Section 3, RFP	SPO Website*	X	
Registration Form (SPO-H-100A)	Section 1, RFP	SPO Website*	(Required if not Pre-Registered)	
Tax Clearance Certificate (Form A-6)	Section 1, RFP	SPO Website*		
Cost Proposal (Budget)				
SPO-H-205	Section 3, RFP	SPO Website*	As needed	
SPO-H-205A	Section 3, RFP	SPO Website*	N/A	N/A
SPO-H-205B	Section 3, RFP	SPO Website*	N/A	N/A
SPO-H-206A	Section 3, RFP	SPO Website*	N/A	N/A
SPO-H-206B	Section 3, RFP	SPO Website*	N/A	N/A
SPO-H-206C	Section 3, RFP	SPO Website*	N/A	N/A
SPO-H-206D	Section 3, RFP	SPO Website*	N/A	N/A
SPO-H-206E	Section 3, RFP	SPO Website*	N/A	N/A
SPO-H-206F	Section 3, RFP	SPO Website*	N/A	N/A
SPO-H-206G	Section 3, RFP	SPO Website*	N/A	N/A
SPO-H-206H	Section 3, RFP	SPO Website*	N/A	N/A
SPO-H-206I	Section 3, RFP	SPO Website*	N/A	N/A
SPO-H-206J	Section 3, RFP	SPO Website*	N/A	N/A
<b>Certifications:</b>				
Federal Certifications	Section 1, RFP	Section 5, RFP		
Debarment & Suspension		Section 5, RFP		
Drug Free Workplace Requirements		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>				
Forms A, B, and C	Secs 2, 3, & 4	Section 2, RFP	X	

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

\_\_\_\_\_  
Date

# POS Proposal Application

## Table of Contents

<b>I.</b>	<b>Background and Summary .....</b>	<b>1</b>
<b>II.</b>	<b>Experience and Capability</b>	
	A. Necessary Skills and Experience .....	2
	B. Quality Assurance and Evaluation.....	3
	C. Coordination of Services.....	4
	D. Facilities.....	5
<b>III.</b>	<b>Personnel: Project Organization and Staffing</b>	
	A. Proposed Staffing.....	6
	B. Staff Qualifications .....	7
	C. Supervision and Training.....	8
	D. Organization Chart.....	8
<b>IV.</b>	<b>Service Delivery.....</b>	<b>9</b>
<b>V.</b>	<b>Attachments</b>	
	<b>A. Cost Proposal</b>	
	1. SPO-H-205 Proposal Budget	
	2. SPO-H-206A Budget Justification - Personnel: Salaries and Wages	
	3. SPO-H-206B Budget Justification - Personnel: Payroll Taxes, Assessments, and Fringe Benefits	
	4. SPO-H-206C Budget Justification – Travel: Inter-Island	
	5. SPO-H-206E Budget Justification - Contractual Services: Administrative	
	<b>B. Other Financial Related Materials</b>	
	1. Financial audit for fiscal year ended June 30, 2003.	
	<b>C. Performance and Output Measurement Tables</b>	
	1.	
	<b>D. Program Specific Requirements</b>	
	1.	

# **ATTACHMENT C**

## **CRIMINAL CONVICTION RECORD CHECK STANDARDS**

## **PROTECTIVE SERVICES CENTRAL REGISTRY STANDARDS**

DEPARTMENT OF HUMAN SERVICES  
Social Services Division

CRIMINAL CONVICTION RECORD CHECK STANDARDS

I. PURPOSE

To protect the health, safety and welfare of Adult and Community Care Services Branch (ACCSB) and Child Welfare Service Branch (CWSB) clients, criminal conviction information on an individual who wishes to serve as a direct service provider shall be considered in determining whether the individual is suitable to serve as a direct service provider to ACCSB/CWSB clients.

II. STATE CRIMINAL INFORMATION SYSTEM CHECK

- A. Upon implementation of these standards, a check of the Hawaii Criminal Justice Data Center's (HCJDC) criminal history record system for a criminal conviction record check shall be conducted when an individual is:
1. Conditionally offered a position as a direct service provider by an agency, purchase of service contractor, or individual employer. Pending the completion of the criminal conviction record check, the individual may be placed in a direct service provider position on a probationary status not to exceed thirty (30) days;
  2. In a direct service provider position when these standards become effective. The criminal conviction record check shall be completed within six (6) months of the effective date of these standards.
- B. Individuals shall have a criminal conviction record check upon initial hire or implementation of these standards and a second criminal conviction record check twelve months later. Thereafter, criminal conviction record checks shall be conducted every other year.
- C. The responsibility for conducting a criminal conviction record check shall rest with the individual seeking to become a direct service provider or the individual/agency/organization hiring the individual as a direct service provider. The criminal conviction record checks shall be conducted through the Hawaii Criminal Justice Data Center, as follows:
1. Oahu: Hawaii Criminal Justice Data Center  
465 South King Street, Room 101  
Honolulu, Hawaii 96813  
  
The Oahu office, for a fee, will process mailed-in requests for criminal conviction records checks.
  2. Neighbor Islands: County police stations where HCJDC computer terminals are available. Molokai and Lanai are covered through the main police station on Maui.
- D. A printed report of each criminal conviction record check is required. A copy of each criminal conviction record check report shall be accompanied by a signed statement of authenticity that the criminal conviction record report is a true and unaltered copy.

Copies of the criminal conviction record check report and statement of authenticity shall be retained in the hired individual's personnel file and made available for review by Department staff for compliance monitoring purposes.

- E. A printed criminal conviction record check report, dated no more than six (6) months before the date an initial criminal conviction record check is required may be accepted instead of a new criminal conviction record check being performed.
- F. The Department shall not be directly responsible for any cost related to the criminal conviction record check. Funds received through a Purchase of Service contract with the Department for administrative costs may be used to meet the cost for criminal conviction record checks.

### III. CONVICTION RECORDS IN HIRING AND TERMINATING DIRECT SERVICE PROVIDERS

Information contained in criminal conviction record check reports shall be taken into consideration when hiring and terminating individuals as direct service providers. An offer of employment shall be withdrawn or the position of a direct service provider shall be terminated when a prospective or current direct service provider has a criminal conviction as indicated below:

- A. The criminal conviction shall have occurred within ten (10) years of the date of the criminal conviction record check; and
- B. The crime for which there is a conviction shall have a rational relationship to a direct service provider's position. Rational relationship means the crime for which there is a conviction is substantially related to the qualifications, duties and responsibilities of a direct service provider position. Crimes having rational relationships to direct service provider positions include any felony, including but not limited to theft, abuse, neglect, assault, or crimes involving violence or sexual offenses.
- C. Exemptions from the requirements of sections III. A. and B. may be approved by ACCSB/CWSB.
  - 1. Requests for exemptions shall be made in writing by using form DHS 1673, Request for Exemption (From Criminal Conviction Records Check Standards), or a similar form. The individual seeking the exemption must complete the exemption form and a copy of the individual's current criminal conviction record check must accompany the request. The exemption request shall be submitted to the ACCSB/CWSB Administrator.
  - 2. Upon receipt of the written exemption request, the ACCSB/CWSB Administrator shall convene a panel to review the request. The panel shall include the ACCSB/CWSB Administrator or designee, the ACCSB/CWSB-Program Development Administrator, relevant ACCSB/CWSB Assistant Program and Section Administrators, and anyone else deemed appropriate by the ACCSB/CWSB Administrator or designee.
  - 3. The panel shall consider the following:
    - a. The relevancy of the individual's conviction record to the qualifications, functions and duties of the direct service provider position the individual wishes to fill;
    - b. Passage of time since the crime was committed; and

- c. Any evidence of rehabilitation, such as letters from counselors or therapists attesting to a sustained improvement in the individual's behavior, character references, and activities since conviction, such as employment.
  4. A single factor may not be evidence of rehabilitation. If necessary, the panel shall request additional information from the individual seeking the exemption.
  5. Individuals requesting exemptions shall be informed in writing of the panel's decision within 45 calendar days from the date ACCSB/CWSB receives form DHS 1673, Request for Exemption (From Criminal Conviction Record Check Standards), or similar form. ACCSB/CWSB may extend the 45-day period with cause and a written explanation to the individual seeking the exemption.
  6. Individuals who are dissatisfied with the ACCSB/CWSB panel decisions on their exemption requests may:
    - a. Request an informal discussion with the ACCSB/CWSB Administrator; and/or
    - b. Appeal the panel's decision to the Social Service Division Administrator.
- D. ACCSB/CWSB clients may choose not to do criminal conviction record checks on individuals they hire on their own. Clients who choose not to have criminal conviction record checks shall complete form DHS 1672, Consumer-employer Choice Regarding Criminal Conviction Records Check, to acknowledge their understanding of these standards and the purpose for the checks, and their decision not to conduct criminal conviction record checks on individuals they plan to hire as direct service providers.

DEPARTMENT OF HUMAN SERVICES  
Social Services Division

**PROTECTIVE SERVICES**  
**CENTRAL REGISTRY CHECK STANDARDS**

I. **PURPOSE**

To protect the health, safety and welfare of Adult and Community Care Services Branch (ACCSB) and Child Welfare Services Branch (CWSB) clients, Protective Services Central Registry information on an individual who wishes to serve as a direct service provider shall be considered in determining whether the individual is suitable to serve as a direct service provider to ACCSB/CWSB clients.

The Protective Services Central Registry may include information from the Adult Protective Services (APS) Central Registry and the Child Welfare Services (CWS) Central Registry. The APS Central Registry shall be checked for individuals serving as direct service providers for ACCSB clients. The CWS Central Registry shall be checked for individuals serving as direct service providers for CWSB clients. Both Registries shall be checked for individuals serving as direct service providers for both ACCSB and CWSB clients, and for ACCSB clients who are minor children.

These Protective Services Central Registry Check Standards do not apply to direct service providers who must meet the licensing standards as specified in the Child-Caring Institution and/or Child-Placing Organization administrative rules.

II. **PROTECTIVE SERVICES CENTRAL REGISTRY CHECK**

- A. Upon implementation of these standards, a check of the Protective Services Central Registry shall be conducted when an individual is:
1. Conditionally offered a position as a direct service provider by an agency, purchase of service contractor, or individual employer. Pending the completion of the Protective Services Central Registry check, the individual may be placed in a direct service provider position on a probationary status not to exceed thirty (30) days; or
  2. In a direct service provider position when these standards become effective. The Protective Services Central Registry check shall be completed within six (6) months of the effective date of these standards.

B. Individuals shall have a Protective Services Central Registry check upon initial hire or implementation of these standards and a second Protective Services Central Registry check twelve (12) months later. Thereafter, Protective Services Central Registry checks shall be conducted every other year.

- C. The Department of Human Services is responsible for conducting the Protective Services Central Registry checks upon request of the individual seeking to become a direct service provider. The individual shall sign and date the DHS

1507, Consent to Release Information From the Protective Services Central Registry, and mail the completed form to the Department of Human Services.

The release of information by the Department of Human Services shall be limited to the following:

### **APS CENTRAL REGISTRY CHECK**

1. Notification of whether the individual requesting the information is known to the Department of Human Services to have caused the abuse of a dependent adult; and
2. Notification of whether the allegation of abuse is confirmed or not confirmed.

### **CWS CENTRAL REGISTRY CHECK**

1. Date of CONFIRMED incident(s) of child abuse or neglect; and
2. Type of abuse for each incident.

*D. The following offices shall conduct the Protective Services Central Registry check upon receipt of the DHS 1507 as specified in section II-C:*

### **APS CENTRAL REGISTRY CHECKS**

1. Oahu: Adult Intake Unit  
Adult and Community Care Services Section  
420 Waiakamilo Road, Suite 300A  
Honolulu, Hawaii 96817-4941
2. East Hawaii: Adult and Community Care Services Section  
224 Haili Street  
Hilo, Hawaii 96720
3. West Hawaii: Adult and Community Care Services Section  
75-5995 Kuakini Highway, #433  
Kailua-Kona, Hawaii 96740
4. Kauai: Adult and Community Care Services Section  
4370 Kukui Grove Street, Suite 205  
Lihue, Hawaii 96766
5. Maui: Adult and Community Care Services Section  
1773-B Wili Pa Loop  
Wailuku, Hawaii 96793-1250

The Maui Section shall conduct APS Central Registry checks for the islands of Maui, Molokai, and Lanai.

### **CWS CENTRAL REGISTRY CHECKS**

1. Oahu: Child Welfare Services Intake Unit  
420 Waiakamilo Road, Suite 300A  
Honolulu, Hawaii 96817-4941

2. East Hawaii: East Hawaii Special Services Unit  
120 Pauahi Street, Suite 210  
Hilo, Hawaii 96720
3. West Hawaii: West Hawaii CWS Intake/Permanency Unit  
75-5995 Kuakini Highway, Suite 523  
Kailua-Kona, Hawaii 96740
4. Kauai: Intake/Central Child Welfare Services Unit  
Lihue State Office Building  
3060 Eiwa Street, Room 102  
Lihue, Hawaii 96766-1890
5. Maui: West Child Welfare Services Unit  
1885 Main Street, Suite 306  
Wailuku, Hawaii 96793

The Maui Unit shall conduct CWS Central Registry checks for the islands of Maui, Molokai, and Lanai.

- E. Upon completion of the Protective Services Central Registry check, the Department of Human Services shall mail a letter to the individual requesting the information or to the agency/organization identified by the individual to receive the information. A copy of each Protective Services Central Registry check shall be retained in the hired individual's personnel file and made available for review by Department staff for compliance monitoring purposes.
- F. A copy of a Protective Services Central Registry check, dated no more than six (6) months before the date an initial Protective Services Central Registry check is required, may be accepted instead of a new Protective Services Central Registry check being performed.

### III. PROTECTIVE SERVICES CENTRAL REGISTRY CHECKS IN HIRING AND TERMINATING DIRECT SERVICE PROVIDERS

- A. *When the Protective Services Central Registry check indicates that abuse has been confirmed, the individual/agency/organization hiring the individual as a direct service provider must inquire of that individual as to the nature and circumstance of the confirmed abuse. Information obtained by the individual/agency/organization from the Protective Services Central Registry check shall be taken into consideration when hiring and terminating individuals as direct service providers. An offer of employment shall be withdrawn or the position of a direct service provider shall be terminated when:*
  1. A prospective or current direct service provider has a Protective Services Central Registry check indicating that abuse was confirmed and that the abuse occurred within ten (10) years of the date of the Protective Services Central Registry check; and
  2. The confirmed abuse has a rational relationship to a direct service provider's position. Rational relationship means the confirmed abuse is substantially related to the qualifications, duties and responsibilities of a direct service provider position.

- B. Exemptions from the requirements of sections III. A. 1 and 2 may be approved by ACCSB/CWSB.
1. Requests for exemptions shall be made in writing by using form DHS 1673, Request for Exemption (From Criminal Conviction Records Check or Protective Services Central Registry Check Standards) or a similar form. The individual seeking the exemption must complete the exemption form and a copy of the individual's current Protective Services Central Registry check must accompany the request. The exemption request shall be submitted to the ACCSB/CWSB Administrator.
  2. The attached Checklist for Exemption Request may be used as a reminder of the documents to be submitted to the Department for EACH exemption request. Additional copies of this checklist may be photocopied as needed.
  3. The employer agency must be involved in the exemption process to assure the timely submittal of all required documents and appropriateness of the exemption request. Requests for exemptions shall be routed through the prospective employer agency prior to submittal to the Department.
  4. Upon receipt of the written exemption request, the ACCSB/CWSB Administrator shall convene a panel to review the request. The panel shall include the ACCSB/CWSB Administrator or designee, the ACCSB/CWSB Program Development Administrator, relevant ACCSB/CWSB Assistant Program and Section Administrators, and anyone else deemed appropriate by the ACCSB/CWSB Administrator or designee.
  5. The panel shall consider the following:
    - a. The relevancy of the individual's protective services history to the qualifications, functions and duties of the direct service provider position the individual wishes to fill;
    - b. Passage of time since the abuse was committed; and
    - c. Any evidence of rehabilitation, such as letters from counselors or therapists attesting to a sustained improvement in the individual's behavior, character references, and activities since the commission of abuse.
  6. A single factor may not be evidence of rehabilitation. If necessary, the panel shall request additional information from the individual seeking the exemption.
  7. Individuals requesting exemptions shall be informed in writing of the panel's decision within 45 calendar days from the date ACCSB/CWSB receives all documents listed on the attached Checklist for Exemption Request and needed for a decision to be made. ACCSB/CWSB may extend the 45-day period with cause and a written explanation to the individual seeking the exemption.
  8. Individuals who are dissatisfied with the ACCSB/CWSB panel decisions on their exemption requests may:
    - a. Request an informal discussion with the ACCSB/CWSB Administrator; and/or
    - b. Appeal the panel's decision to the Social Services Division Administrator.

C. ACCSB clients may choose not to do APS Central Registry checks on individuals they hire on their own. Clients who choose not to have APS Central Registry checks shall complete form DHS 1672, Consumer-Employer Choice Regarding Criminal Conviction Record Check or Adult Protective Services Central Registry Check, to acknowledge their understanding of these standards and the purpose for the checks, and their decision not to conduct criminal conviction record or Adult Protective Services Central Registry checks on the individuals they plan to hire as direct service providers.

Attachment – Checklist for Exemption Request