**State of Alaska**
**Department of Health and Social Services**
**Division of Office of Children's Services**

# Request for Proposals
# Early Intervention for Young Children
# For FY2016 Through FY2018

Grants and Contracts

NOTICE: Proposals will ONLY be accepted through GEMS. Applicants are responsible for reviewing the GEMS homepage at https://gems.dhss.alaska.gov/ for details regarding agency registration and availability of technical assistance. Log into GEMS through myAlaska, https://my.alaska.gov/Welcome.aspx to begin the application process. Once you are logged into GEMS, guidance and instruction are available in the Documents tab and from the film strip icon. Applicants are responsible for monitoring GEMS or the State Online Public Notices site for any changes or amendments that may be issued regarding this solicitation.

Relay Alaska provides assisted communication services at 711 or 1-800-770-8973 from a TTY phone, and at 1-800-770-8255 from a voice phone.

CONTACT PERSON: Donna Jones, Grants Administrator
PHONE: (907)465-3469
E-MAIL: donna.jones@alaska.gov

PROPOSAL DUE DATE: March 13, 2015, 3:59 PM
DEADLINE FOR WRITTEN INQUIRIES: March 3, 2015, 3:59 PM
PROJECT PERIOD BEGINS: July 1, 2015

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## Amendments

**Amendment 1 Extend deadline for proposals and inquiries, answer questions, provide definition attachment** **Posted: 2/24/2015**

***Explanation***

This amendment serves four purposes:

1. Extend the deadline for proposals.
2. Extend the deadline for written inquiries.
3. Provide an attachment regarding the definition of a Mental Health Clinician as outlined by 7 AAC 70.990.
4. Provide answers to questions submitted by potential applicants.

***Additional Information***

1. The proposal due date has been extended to the new date listed on the Amended RFP cover page.
2. The written inquiries deadline has been extended to the new date listed on the Amended RFP cover page.
3. Refer to the attachment titled "Mental Health Pro Clinician" for the definition of a Mental Health Clinician as outlined by 7 AAC 70.990.
4. The following questions were received from potential applicants:
    - Q1: Is a licensed behavior analyst equivalent of a licensed mental health clinician?
    - A1: For the purposes of this grant the state is defining Mental health Clinician as outlined by 7 AAC 70.990. This does not include a licensed behavior analyst.
    - Q2: If the behavior analyst is not equivalent, can I still perform the training, consultation and support activities specified in the grant, and contract with an individual who is a licensed mental health clinician to do the consultative activities requiring a licensed mental health clinician?
    - A2: Consultation services, training provided to mental health professionals and the co-facilitation of the Reflective Practice Group must be done by a licensed mental health clinician or mental health clinician in a behavioral health center with two years experience working with young children. If an agency proposes to have other staff provide training and support activities to non-mental health professionals, those staff must meet the requirements as described in subsection 2.02 for Brief Behavioral Services.

## Section 1 Grant Program Information

### 1.01 Introduction and Program Description

The Department of Health and Social Services (DHSS/Department), Division of Office of Children's Services (OCS), is requesting proposals from eligible applicants to provide Early Intervention for Young Children services for the State of Alaska in FY2016 thru FY2018. Program Services are authorized under 7 AAC 78 Grant Programs. Access State of Alaska statutes and regulations at http://www.law.state.ak.us/doclibrary/doclib.htmlor through the contact person listed on the cover page of this RFP.

A growing body of research has confirmed that the foundations for lifelong mental and physical health are substantially built from conception through early childhood. The reduction of childhood adversities; the early identification of health, mental health and developmental concerns; and access to quality, age-appropriate services are key ingredients for supporting families and ensuring the development of a healthy child and adult. Services for young children should be focused on early intervention, reflect developmentally appropriate practice, and be supportive of stable and responsive relationships with parents and caregivers. Mental health providers, family support workers, parent educators, early interventionists, early childhood educators and medical providers all have a role to play.

The Early Intervention for Young Children project is designed to support professionals and programs that work with young children and their families. Early care and learning providers need support in helping young children develop social and emotional competence as well as addressing social emotional distress or challenging behaviors. All too frequently young children are expelled from early childhood programs due to lack of caregiver skill or characteristics of programs. Mental health services for young children must be empirically-supported, family responsive and culturally and linguistically competent. They should address the specific needs of this age group, which are different from those of older children and youth. Practitioners need to be informed about the impacts of trauma and other early childhood adversities.

During FY 2009-2012 OCS funded two pilot projects, the Early Childhood Mental Health Consultation Project and the Early Childhood Learning Network. In FY 2012-2015 these services were expanded and supported the development of a statewide system for linking locally provided services through the Early Intervention for Young Children program. The successful applicants for this proposal will implement a package of early childhood mental health consultation to early childhood programs and provide training, consultation and reflective practice opportunities for professionals focused on supporting the social emotional development and mental health of young children. Additionally, all applicants may offer brief behavioral services as described below.

There is an Early Intervention for Young Children - Early Childhood Mental Health (ECMH) Technology Transfer Project Request For Proposal (RFP) issued concurrent with this RFP.

### 1.02 Program Goals and Anticipated Outcomes

The proposal must demonstrate a thorough understanding of the grant program goals and outcomes anticipated by the Department. Proposed projects must meet or exceed anticipated minimums described in this RFP. The goal is to promote the social and emotional development of young children (birth to five), reduce challenging behaviors, and address concerns that put young children at risk for more serious mental health issues.

The anticipated outcomes are:

1. The capacity of mental health professionals and the early childhood workforce to promote healthy social and emotional development and address mental health concerns will be increased;
2. Young children with difficult behaviors, mental health concerns and/or at risk of or experiencing Severe Emotional Disturbance (SED) will be identified and provided developmentally appropriate interventions; and
3. Young children will be stablized in their current early care and learning programs or find placements that more appropriately meet their needs.

**1.03 Program Services/Activities**

Proposals must include a description of proposed activities to be employed by the project in support of the goals and outcomes. The activities proposed must:

1. **Provide a learning network of consultation, technical assistance, and professional support** to mental health clinicians, family support workers, early interventionists, medical providers, child protection supervisors and others in the mental health care field who work directly with young children and families and/or who provide support/consultation to early childhood programs. Projects must provide consultation and/or professional development to a minimum of 35 professionals serving at least 75 children (birth through five) who are at risk of or are experiencing SED. This must include:

    i. Providing phone or in-person consultation to professionals regarding individual children and their families and, when appropriate, participating in group or individual observations of identified children as a teaching tool or to provide a second opinion.
    ii. Providing or facilitating training on assessment; the use of the Diagnostic Classification of Mental Health and Development Disorders of Infancy and Early Childhood (DC: 0-3R) in formulating diagnoses in children birth through five; issues of early childhood mental health; evidence based or emerging best practices.

2. **Provide a cross-disciplinary Reflective Facilitation group** for at least 6 participants expressing their intent to increase their competency in early childhood mental health. Reflective Facilitation (see Reflective Facilitation-Consultation attachment) must be provided by or co-facilitated with a professional qualified to meet Level III or IV clinical standards as given in Alaska's Competencies for Culturally Sensitive, Relationship-Focused Practice Promoting Infant Mental Health®. This may require a contract with an out-of-state provider. This facilitation group must provide at least 30 hours of reflective supervision per participant.

3. **Implement a system for early childhood mental health consultation to early care and learning programs.** The proposed activities are to focus on building capacity in early care and learning programs to promote social and emotional development in children, reduce challenging behaviors, and address other concerns that put young children at risk for developing SED. The intent is to improve overall environments for children and improve child outcomes. This does not include the delivery of direct mental health services such as diagnostic evaluations, individual, family or group therapy, or case management services.

    Grantees must provide *child specific consultation* to programs that are sites for the Alaska Pyramid

Project and other early childhood programs as requested. In child specific consultation the child is the focus. Consultants work in partnership with staff and parents to develop a plan to address the factors that contribute to a child's difficulties in functioning and create an intervention strategy. The consultations will be provided at the request of early care and learning programs, parents or other legal guardians. Consultation must be provided for at least 10 individual children.

Grantees must also provide *program consultation* to at least 2 early care and learning programs. Program consultation focuses on improving the overall quality of the early childhood program and/or assisting the program in solving a specific issue that affects more than one child, staff member, and family.

**4. Participate in program efforts to coordinate statewide implementation of these services.** Proposed activities must include:

i. Participation of one person as a member of the statewide Alaska Pyramid Partnership Leadership Team which will include 3 meetings/year. One will be an in-person meeting in Anchorage and two will be teleconferences of approximately one and one-half hours each. The Pyramid Partnership will fund transportation, ground transportation, lodging and per diem costs for the Leadership Team meetings.
ii. Participation in 6 one-hour conference calls with other program grantees and two one-day program meetings in Anchorage. OCS will fund transportation, lodging, and per diem costs.
iii. Participation, in a two-day orientation in Anchorage to the project and other training resources. OCS will fund transportation, ground transportation, lodging and per diem costs.
iv. Commitment to working with other awarded proposers to develop and implement a statewide system, consistent evaluation instruments and data collection processes.

Efforts will be made to combine meetings when possible to minimize travel but proposers should plan time for a minimum of three trips to Anchorage and a minimum of six days total in Anchorage.

**Additionally, applicants can propose to provide Brief Behavioral Services.**

Brief Behavioral Services (BBS) include standardized developmental screening, On-Site Behavioral Services, and Brief Family Training, Education and Support (see attachment Brief Behavioral Services). Proposals should estimate the amount of services to be provided in each category. *Brief Behavioral Services funding may not be used to supplant funding from other sources such as Medicaid, grant funds, in kind funds or other grant funds. These services do not need to utilize AKAIMS unless a client is accessing services that already require it.*

**1.04 Program Evaluation Requirements and Reporting**

Applicants must upload an evaluation plan to measure project success (see Requirement #3 in subsection 4.04). Proposed evaluation plans must include clear statements of activities and outcomes in addition to indicators and data collection strategies. Applicants must demonstrate the way in which the proposed project's outcomes will have a direct and positive impact on the skills and expertise of the professionals engaged, as well as the outcomes for the children served. Applicants must also upload a timeline for the project that includes performance measures and when they will be implemented (see Requirement #4 in subsection 4.04).

It is intended that the three awarded proposers will come to consensus on evaluation instruments and data collection processes. However, proposals must include proposed evaluation plans and describe the agencies commitment to working with successful applicants and the State of Alaska to finalize the evaluation process.

**Grant Reporting**

Required reporting for this grant will include:

1) Cumulative Fiscal Report (overall grant and match expenditures are reported quarterly by budget line item);

2) Program Reports submitted quarterly in the format prescribed by the grantor. Project evaluation and program reports will include, at a minimum, the following data grouped by project component:

A. Learning Network-

i. the number and positions of professionals participating in training

ii. the location, hours, and topics of trainings

iii. the number of consultations provided outside of early care and learning programs

iv. the number of professionals participating in Reflective Facilitation groups

v. the number of hours of facilitation provided (per professional average)

vi. the levels of participant satisfaction in the consultation and training activities and practice changes that have occurred as a result

vii. through the professionals served, the number of children impacted by the learning network and training activities

B. Early Childhood Mental Health Individual Child Consultation-

i. the number of programs requesting individual child consultation

ii. the number of programs receiving individual child consultation

iii. the number of children receiving individual child consultation

iv. the number of children receiving individual child consultation who remained in their early care and learning programs or find placements that more appropriately meet their needs

v. the number and positions of professionals engaged by individual consultation

vi. the number of children impacted (number of children who are in classrooms in which consultation occurs)

vii. the impact of the consultation on the individual children receiving consultation

viii. the satisfaction of the early childhood professional requesting individual child consultation

ix. the satisfaction of the parent requesting individual child consultation

C. Early Childhood Mental Health Program Consultation-

i. the number of programs that received program consultation

ii. the number of classrooms impacted by program consultation

iii. the number of children in the classrooms impacted by program consultation

iv. the hours provided per program engaged in program consultation

v. training topics provided

vi. the number of professional engaged in program consultation

vii. the level of program staff satisfaction in the consultation and training activities

viii. changes in the early care and learning program as a result of the program consultation

ix. impact to the children in programs with intensive program consultation

D. Brief Behavioral Services-

i. the number of children screened

ii. the number of children eligible for services

iii. the number of children receiving On-Site Behavioral Services

iv. the hours of On-Site Behavioral Services provided per child

v. the number of families receiving Family Training, Education and Support

vi. the hours of Family Training, Education and Support provided per family

vii. the number of referrals to additional services

viii. level of client satisfaction of services- perceived changes in child, adults more knowledgeable and competent

3) A year-end report will summarize the achievements, opportunities, barriers, and program outcomes.

**Results Based Accountability Framework**

Grant programs will be required to align with the department's priorities and core services. Utilizing a results based management/budgeting framework, grantees will use performance measures to evaluate progress in order to meet meaningful outcomes and initiate data collection and reporting consistent with department priorities. Below are the Department Priorities, Core Services, Objectives, and Effective and Efficiency Performance Measures for this program.

**Department Priorities**

- 1 Health & Wellness Across the Life Span
- 3 Safe & Responsible Individuals, Families & Communities

**Department Core Services**

- 1.2 Provide Quality of Life in a Safe Living Environment for Alaskans
- 3.1 Strengthen Alaska Families

**Department Objective**

- 1.2.1 Improve the Safety of Children Receiving Department Services

- 3.1.2 Increase the Number of Alaska Families with Access to Safe, Affordable Child Care

**Division Core Service**

- Well-being

**Performance Measures**

- 1.2.1a Effectiveness: Percentage of participants receiving consultation or training that report an increased capacity to deal with children's behaviors and support social/emotional development.
- 1.2.1.b Efficiency: Cost of participant receiving individual consultation and/or training.
- 3.1.2a Effectiveness: Number of children receiving individual consultation who remain in programs or find placements that more appropriately meet their needs.
- 3.1.2b Efficiency: Average time to respond to referral for individual consultation.

**1.05 Target Population and Service Area**

Proposals must clearly describe the population targeted by the project, including the area or communities that will be served. Proposals will be evaluated for compatibility with the intended target population identified in this document.

**Target Population:** The target population for this program and services requested in this solicitation consists of young children, birth through 5 years of age at risk for developing SED, and the professionals that serve them. This includes mental health clinicians, family support workers, early interventionists, medical providers, child protection supervisors, early care and learning staff and others in the mental health care field who work directly with young children and their families, and/or who provide support/consultation to early childhood programs.

**Service Areas and Communities:** The service areas and communities requested in this solicitation are the Anchorage and/or Matanuska-Susitna Valley area, the Fairbanks area, and the Juneau area.

**1.06 Program Funding**

Anticipated funds available for this program in FY 2016 total $344,900 in State General Funds. It is the intent to issue one award for the Anchorage and/or Matanuska-Susitna Valley area, one award for the Fairbanks area and one award for the Juneau area. Services will be awarded at $90,000 to $100,000 per area.

**Proposed Budget:** The proposal must contain both a detailed and narrative budget for the first fiscal year of the grant fully compliant with the limitations described in 7 AAC 78.160 (Costs), and supports program staffing and service delivery requirements stated in this RFP. The GEMS portal provides applicants instructions and the ability to enter budget details and narrative for the project budget. More detailed instructions can be accessed in the DHSS Budget Guidelines available online at https://gems.dhss.alaska.gov/Home/Documents.

**Indirect Costs:** If the proposed budget includes indirect costs, 7 AAC 78.160(p) requires a copy of the agency's current federally approved Indirect Cost Rate Agreement. Agencies with current DHSS grant agreements can review the Indirect Cost Rate Agreement information in GEMS. Agencies without current grant agreements with the Department must upload a copy of the Indirect Cost Rate Agreement in the "Agency Administration" tab of the GEMS portal. Help instructions are available in the portal to upload and review such documents.

**Grant Income:** Applicants providing Medicaid reimbursable services must also have a Medicaid Provider Number, or

apply to obtain one, and seek Medicaid reimbursement for all eligible services. In the applicant's proposed budget, both anticipated receipts and expenditures for all grant income must be clearly evident in both the detailed and narrative budgets and actual receipts and expenditures must be reported on a quarterly basis.

## Section 2 Applicant Qualifications

### 2.01 Required Experience

Proposal evaluation will include consideration of the applicant's history of compliance with service and grant requirements; and previous experience in providing the same or similar services, which may include evaluation of site reviews/program audits and the successful resolution of any findings.

Describe the previous experience providing same or similar services to those proposed. The description must clearly identify the time period over which services were provided and the target population that was served.

### 2.02 Program Staffing Experience

Program staffing levels must be commensurate with meeting the program goals, anticipated outcomes, and activities/strategies for service delivery appropriate to the proposed project. Program staff should be knowledgeable about early childhood development, including social and emotional development. Resumes, job descriptions and professional credentials for key project personnel funded with this grant project, either in whole or in part, must be submitted (see Requirement #2 in subsection 4.05).

The person providing consultation through the proposed project must be a licensed mental health clinician or mental health clinician in a community behavioral health center with two years experience working with young children. The mental health professional clinician providing consultation through this project must be an employee of the applicant agency or under contract to the applicant agency for such a purpose. The person providing consultation must have experience in diagnosing young children by utilizing the DC: 0-3R.

The person providing Brief Behavioral Services must have, as a minimum, a BA from an accredited college or university in a human services related field with specialization or experience working with young children and practicing within the scope of his or her training. They must be receiving consultation from a mental health clinician in a community behavioral health center or a licensed mental health clinician with 2 years experience with young children.

### 2.03 Administrative, Management and Facility Requirements

The proposal must demonstrate applicant's ability to responsibly administer the grant, including both sustainable fiscal and administrative capability necessary to support the project.

1) The applicant will ensure procedures are in place to protect client confidentiality. These procedures must meet State and Federal standards.

2) The applicant will ensure their most recent financial audit has been submitted to the appropriate state office (see audit section below) and any audit findings identified in that audit have been resolved.

3) Executive administrative and financial staff must be qualified, as indicated by their professional and educational

experience detailed in attached resumes.

Successful grant applicants will be required to submit additional agency information with submission of their signed grant agreement, if that information is not current and already on file with DHSS, Grants and Contracts.

**Audit Requirements:**

Federal Requirements**:** Effective immediatley, if you expend $750,000 or more total Federal Financial Assistance in your fiscal year, you may be required to comply with conditions of the Single Audit Act of 1984, P.L. 98-502, as amended by the Single Audit Act Amendments of 1996, P.L. 104-156, and defined in OMB Circular A-133.

State Requirements Chapter 045 Grant Administration**:** For audit periods that begin or continue on after March 31, 2008, if you expend $500,000 or more total State Financial Assistance in your agency's fiscal year, you are required to comply with the conditions of Alaska Administrative Code, 2 AAC 45.010-090. The current regulations may be viewed at the State of Alaska, Department of Law website, http://www.law.state.ak.us/doclibrary/doclib.html, or copies may be obtained from the State agency issuing the solicitation to which this statement is attached.

Information on compliance with the State and Federal Single Audit Acts may be obtained from, and audits completed in compliance with the Acts must be submitted to:

State Single Audit Coordinator
Department of Administration
Division of Finance
P.O. Box110204
Juneau, AK 99811-0204
Telephone: (907) 465-4666
Fax: (907) 465-2169

DHSS Program Audit Requirements: All DHSS grantees are subject to the requirements of 7 AAC 78.230, and if an audit under 7 AAC 45.010 has not been conducted and submitted to the State Single Audit Coordinator, the grantee must ensure that a fiscal audit of the grantee's operations under the grant program is performed by an independent certified public accountant at least once every two years and submitted to:

State of Alaska
Department of Health and Social Services
Finance and Management Services
Audit Section
P.O. Box110602
Juneau, AK 99811-0602
Telephone: (907) 465-3120

**Facility(ies)/Safety and Service Access:**

1) The applicant must address potential safety concerns for both clients and staff in the management of services proposed in response to this RFP.

2) The applicant should describe how access is provided to clients and how that will enhance the success of the project.

3) All applicants for DHSS grants should have an emergency response and recovery plan for the safe evacuation of clients and staff, and that provides for other potential safety concerns. This plan is mandatory for grantees

providing residential and/or critical care services (see DHSS Grant Assurances).

### 2.04 Support/Coordination of Services

Applicant agencies are strongly encouraged to partner with the local Child Care Resource and Referral Agency, the OCS Infant Learning Program, local Head Start Program, and like resources to determine the best methods of engaging early care and learning programs and delivering services.

Applicants must be able to demonstrate the proposed project has the necessary support and coordination for the successful delivery of services. The proposal must address the following:

1. Partnerships and collaborations specific to the proposed project; and
2. Necessary referral agencies and a description of their roles.

## Section 3 General Instructions for Proposal Submission

### 3.01 Eligibility (Who May Apply)

Applicants must be eligible to apply under 7 AAC 78.030 (Eligible Applicants). They include nonprofit organizations; municipalities and Regional Educational Attendance Areas or other political subdivisions of the state; other State agencies; and Alaska Native Tribes. The following documentation of eligibility is required for Nonprofit Corporations or Alaska Native Tribal applicants:

1. **A Nonprofit Corporation or a Nonprofit Subsidiary of a Nonprofit Corporation.** The agency must be listed on the United States Internal Revenue Service's most recent register of Tax-exempt organizations, or provide a copy of the organization's current State of Alaska Certificate of Incorporation clearly establishing nonprofit status. Nonprofit subsidiaries must also submit a letter from the parent organization confirming nonprofit status;
2. **An Alaska Native entity as defined in 7 AAC 78.950(1).** The entity must submit with their application a legally binding resolution waiving the entity's sovereign immunity to suit, using the template provided. This form is designed to encompass the multi-year grant duration period identified in subsection 3.05. To be eligible for consideration, the resolution must include authorization compliant with the tribe's constitution:
    i. Federally recognized tribes for which the tribal constitution grants authority to the tribal council to waive sovereign immunity and enter into a grant agreement on behalf of the tribe.
    ii. Federally recognized tribes for which the tribal constitution requires a majority vote of the tribal membership to waive sovereign immunity and enter into a grant agreement.

Applicants must also submit in GEMS, or have on file with DHSS, a current governing board member list with titles, contact information, and terms of office. The list must include emergency contact information outside the applicant agency for one or more responsible officers of the governing board.

Applicants who have a previous contract or grant to help write this current RFP will be precluded from submitting a proposal unless a written statement of refusal of the contract or grant funds is attached. Proposals submitted without this statement shall be deemed non-responsive.

### 3.02 Acceptance of Terms

By submitting a proposal, an applicant accepts all terms and conditions of this Request for Proposals including all

attachments and guidelines identified in this RFP; 7 AAC 78 and any other applicable statutes and regulations. Copies of these may be accessed through the contact person listed on the cover page, or through the web address (es) identified in this RFP.

If a grant is awarded, this RFP and the applicant's proposal become part of the grant agreement. The applicant will be bound by the provisions contained in their proposal, unless the Department agrees that specific parts of the proposal are not part of the agreement.

Proposals and other materials submitted in response to this RFP become the property of the State and may be returned only if the State allows. Proposals are public documents and may be inspected or copied by anyone after grants have been awarded.

**3.03 Inquiries**

Applicants should immediately review this Request for Proposals for defects and questionable or confusing content. Questions about the RFP that can be answered by directing the applicant to a specific section in the RFP may be answered verbally by the Contact Person in the cover page. Questions that cannot be answered by directing an applicant to a specific section of the RFP may be declared to be of a substantive nature. The applicant will be directed to state the question in writing. Questions of a substantive nature must be received, in writing, at the email address listed on the cover page of this RFP, no less than ten days before the deadline for receipt of proposals. The deadline for receipt of proposals is listed on the cover page of this RFP. This will allow issuance of any necessary amendments to all prospective applicants.

Applicants are responsible for monitoring the State's Online Public Notice website located at: http://aws.state.ak.us/OnlinePublicNotices/ for any subsequent clarifications or amendments that may be issued regarding this solicitation.

**3.04 Proposal Costs and Content**

The Department will not be responsible for any expenses incurred by the grantee prior to the authorized grant performance period. All costs of responding to this RFP are the responsibility of the applicant.

The applicant is responsible for the content of the proposal.

**3.05 Duration of Grant**

This RFP is for a 3-year period, beginning 7/1/2015 , through 6/30/2018 . At the discretion of the Department, a project funded under this RFP may be considered for continued funding in subsequent program year(s). The decision to continue funding for the subsequent year(s) of the 3-year grant cycle is based on the following general conditions:

1. the Department's judgment that there is a continued need for the grant project service;
2. the grantee's satisfactory performance during the previous grant year;
3. the availability of sufficient grant program funds, and whether continuation of the financing is consistent with public health and welfare; and
4. the ability of the grantee and the Department to agree on any adjustments in payments or service.

Proposals submitted in response to this RFP must contain a detailed plan for services in the first year of the grant, and should include a brief outline of services planned in subsequent years. This includes a budget for year one of the grant only. Funding in the subsequent year(s) will require submission and approval of documents needed to update service plans, evaluation measures and budgets. Grantees will be notified by Grants and Contracts of specific submission requirements necessary to qualify for consideration of continued funding.

**3.06 Proposal Review**

Following the deadline for receipt of proposals, DHSS staff will verify all submission requirements have been met. No amendments or corrections will be accepted after the deadline unless they are in response to a request from the contact person named in this RFP. Proposals will be reviewed as follows:

i. Proposals will be evaluated in a manner that will **avoid disclosure of contents to competing offerors** before notice of grant award has been issued.
ii. DHSS staff will evaluate each grant proposal for minimum responsiveness and other technical requirements, and eliminate nonresponsive proposals from consideration by a PEC.
iii. Using the criteria set out in this RFP and 7 AAC 78.100 (Criteria for Review of Proposals), DHSS staff will evaluate each responsive proposal based on the contents of the proposal as well as relevant documentation and information regarding the applicant that is available to the Department. Recommendations regarding whether each proposal should be financed, and at what level, will include consideration of the following:
    a. a history of the applicant's compliance with grant requirements, to include records of program performance, on-site program reviews, and prior year audits;
    b. priorities in applicable State health and social services plans;
    c. requirements of applicable State and federal statutes; and
    d. municipal ordinances or regulations applicable to the grant program.

If there are multiple responsive proposals for which there is insufficient money to fully fund, or supplementary expertise is deemed necessary to the review of proposed services, the Department may appoint a Proposal Evaluation Committee (PEC) as an additional advisory body. PEC members will initially evaluate proposals, independently of other committee members. Then as a committee, they will meet in a **closed session** (7 AAC 78.090 Review of Proposals) to further review proposals and develop recommendations. The PEC will include in their review discussion of each proposal's merits. Recommendations will include approval or disapproval for award, modifications to the proposed project, special compliance conditions, and ranking proposals in priority order.

All advisory recommendations, including staff recommendations, and if applicable the recommendations of the Proposal Evaluation Committee, as well as all other review materials will be submitted for consideration by the Director of the Division, who will make recommendations to the Commissioner of the Department of Health and Social Services or the Commissioner's designee.

**3.07 Final Decision Authority**

Recommendations, including those from any PEC that may be held, are advisory only, the final decision whether to approve or disapprove grant award, the amount of each award, and whether to impose special conditions or modifications rests with the Commissioner or Commissioner's designee.

**PLEASE NOTE:** The final decision may include additional considerations, such as the lack of or duplication of

services in certain locations, or alternative services that may be available; a critical need for services by vulnerable populations; and matters of health, life and safety. *The Department has the responsibility to ensure public monies are utilized in a manner that protects the interests of the people of the State and retains the right to make final awards that ensure responsible distribution of grant funds.*

### 3.08 Notification of Grant Award and Appeals

Within fifteen (15) days after the decision regarding grant awards, the applicant will be notified of the final funding decision, and any conditions of award or modifications. Following any necessary negotiations for revisions to the proposed budget and scope of services, applicants will be issued a grant agreement. This formal agreement will contain specific performance and reporting requirements consistent with Department policy and procedure and 7 AAC 78.

Per 7 AAC 78.305 (Request for Appeal), an applicant may appeal a final grant award decision. Requests for hearing must be addressed to the Commissioner, and received in writing at the address below, within 15 days after the applicant receives notification of the decision. The request must contain the reasons for the appeal and must cite the law, regulation, or terms of the grant upon which the appeal is based.

**Send appeal to:**

Valerie Davidson, Commissioner
Department of Health & Social Services
P.O. Box110601
Juneau, AK 99811-0601

with a **copy** to the Grants Administrator named on the cover page.

### 3.09 Cancellation of the RFP/Termination of Award

Contingent upon funding appropriations and the Governor's approval, the Department may fund proposals from eligible applicants. DHSS may withdraw this competitive Request for Proposals at any time and reserves the right to refrain from making an award when such action is deemed to be in the best interest of the State. Funds awarded for a grant as a result of this RFP may be withheld and the grant terminated by written notice from the grantor to the grantee at any time for violation by the grantee of any terms or conditions of the grant award, or when such action is deemed by the grantor to be in the best interest of the State.

## Section 4 Submission Requirements/Criteria for Proposal

### 4.01 Minimum Responsiveness Criteria per 78.100(2)(a)

Proposals that fail to meet the minimum responsiveness requirements below will be eliminated from consideration per 7 AAC 78.090(b)(2).

***1 Applicant is eligible per 7 AAC 78.030.***

| *Evaluation/Review Criteria* | Review | Points |
|---|---|---|

| | | | |
|---|---|---|---|
| **a** | Applicant is eligible per 7 AAC 78.030. | ☑ | |

**4.02 Other Technical Requirements per 7 AAC 78.060, 78.090(b) and 78.100**

Response & Organizational Documentation

***1 If applying as a non-profit organization, please verify the following criteria pertaining to non-profit status.***

| *Evaluation/Review Criteria* | | Review | Points |
|---|---|---|---|
| **a** | The agency must be listed on the State's non-profit corporation database "in good standing." The link to the database is http://commerce.alaska.gov/CBP/Main/CBPLSearch.aspx?mode=Corp; **and/or** | ☑ | |
| **b** | The agency is listed on the federal tax exempt site indicating current 501(c)3 status. The link to the database is http://www.irs.gov/Charities-&-Non-Profits/Exempt-Organizations-Select-Check. | ☑ | |
| **c** | If the agency is a non-profit subsidiary, a verifying letter from the parent non-profit agency must be uploaded to the applicant's agency record in GEMS. The parent corporation must meet criteria a and/or b. | ☑ | |

***2 If applying as a Federally recognized tribal entity, please verify the following criteria.***

| *Evaluation/Review Criteria* | | Review | Points |
|---|---|---|---|
| **a** | A correct Waiver of Sovereign Immunity is included as an attachment to the proposal and indicates the correct fiscal years and duration of the solicitation. | ☑ | |
| **b** | The tribe is listed on the Federal Register as an Alaska Native entity recognized & eligible to receive services from the U.S. BIA http://www.bia.gov/cs/groups/public/documents/text/idc006989.pdf. | ☑ | |

***3 If applying as a government entity, please ensure the following criterion is met.***

| *Evaluation/Review Criteria* | Review | Points |
|---|---|---|

| | | | |
|---|---|---|---|
| **a** | The agency is either another State Agency, such as the University; an incorporated municipality (verify at http://commerce.alaska.gov/dnn/dcra/Home.aspx); or an REAA under AS 14.08.031 (verify at http://education.alaska.gov/facilities/pdf/doe2013map.pdf). | ☑ | |

***4 Please sign the DHSS State Assurance form.***

| *Evaluation/Review Criteria* | | Review | Points |
|---|---|---|---|
| **a** | DHSS State Assurance form is completed, signed and dated by a person authorized to enter into legal agreements on behalf of the applicant. | ☑ | |

***5 Please ensure the following information is uploaded to the applicant's agency record in GEMS.***

| *Evaluation/Review Criteria* | | Review | Points |
|---|---|---|---|
| **a** | The applicant's agency record in GEMS contains a current governing board member list with contact information. | ☑ | |
| **b** | The applicant's agency record in GEMS contains other agency funding information. | ☑ | |

***6 Please ensure the current approved Federally Negotiated Indirect Cost Rate Agreement is attached to the applicant's agency record in GEMS, if applicable.***

| *Evaluation/Review Criteria* | | Review | Points |
|---|---|---|---|
| **a** | The applicant's agency record in GEMS contains a current approved Federally Negotiated Indirect Cost Rate Agreement. | ☑ | |
| **b** | If the Federally Negotiated Indirect Cost Rate Agreement is expired, verify there is written confirmation from the cognizant federal agency they are accepting the most recent rate until a new agreement is approved. | ☑ | |

**4.03 History of Compliance with Grant Requirements per 7 AAC 78.100(2)(B)**

***1 Verify the following criteria pertaining to past performance and history of compliance are met.***

| *Evaluation/Review Criteria* | | Review | Points |
|---|---|---|---|
| **a** | Prior year(s) reporting is complete and timely (includes fiscal, narrative and data reporting). | ☑ | |

| | | | |
|---|---|---|---|
| **b** | Required audits have been submitted and prior year audit exceptions, if any, are resolved (verify at http://doa.alaska.gov/dof/ssa/ssainfo.html). | ☑ | |
| **c** | Prior year(s) activities demonstrate effective delivery of services. Review could include tangible documentation such as prior year performance reports, audit reports, site visits, etc. | ☑ | |
| **d** | Program historically maintains required standards as demonstrated in quality assurance reviews, licensing or certification standards, etc. | ☑ | |

**4.04 Questions and Criteria related to Program Policy, Goals, Outcomes, and Activities**

***1 Describe the goals and expected outcomes of the proposal.***

| ***Evaluation/Review Criteria*** | | **Review** | **Points** |
|---|---|---|---|
| **a** | Proposal demonstrates a thorough understanding of grant program goals, and desired outcomes. | ☐ | 20 |
| **b** | Proposed goals and anticipated outcomes are achievable and compatible with program goals and planning documents. | ☐ | 15 |

***2 Describe the proposed activities that will be performed as a part of this program. Indicate if the proposed activities will include the optional Brief Behavioral Services.***

| ***Evaluation/Review Criteria*** | | **Review** | **Points** |
|---|---|---|---|
| **a** | Proposed activities are well developed, reasonable & support program intent. | ☐ | 20 |

***3 Upload the evaluation plan that will be used to measure project success. Also describe the agencies commitment to working with successful applicants and the State of Alaska to finalize the evaluation process.***

| ***Evaluation/Review Criteria*** | | **Review** | **Points** |
|---|---|---|---|
| **a** | Proposed evaluation plan includes clear statements of activities and outcomes in addition to indicators and data collection strategies | ☐ | 20 |

| | | | |
|---|---|---|---|
| **b** | Evaluation plan demonstrates the way in which the proposed project's outcomes will have an impact on the skills and expertise of the professionals engaged, as well as the outcomes for the children served. | ☐ | 20 |

***4 Upload the timeline for the project that includes performance measures and when they will be implemented.***

| *Evaluation/Review Criteria* | | Review | Points |
|---|---|---|---|
| **a** | Proposed timeline for project implementation is both reasonable and compliant with grant program timelines. | ☐ | 20 |

***5 Describe the target population of the proposed project.***

| *Evaluation/Review Criteria* | | Review | Points |
|---|---|---|---|
| **a** | The target population and service area are clearly identified, and meet the intent of the RFP. | ☐ | 20 |

***6 Provide the proposed budget for the program, including narrative, details, and matching funds availability. Verify the following criteria are met.***

| *Evaluation/Review Criteria* | | Review | Points |
|---|---|---|---|
| **a** | The narrative and detail are mutually consistent. | ☑ | |
| **b** | Cost line items are for allowable costs under 7 AAC 78.160, and are in compliance with program cost restrictions (if any). | ☑ | |
| **c** | If there are Travel costs, ensure they are consistent with 7 AAC 78.160(h) & (i), and with any requirements or limitations imposed by the program. | ☑ | |
| **d** | If there are Equipment or Subcontract costs, ensure they are allowed by the program and are consistent with 7 AAC 78.280. | ☑ | |
| **e** | The Indirect cost line item in the budget is compliant with the Federally Negotiated Indirect Cost Rate Agreement "specific" rates and exemptions applicable to the cost. | ☑ | |
| **f** | Proposed budget is supportive of program intent and costs are reasonable. | ☐ | 10 |

| | | | |
|---|---|---|---|
| **g** | Budget Detail(s) & Narrative are achievable with demonstrated resources. | ☐ | 5 |
| **h** | Budget Detail(s) and Narrative support any necessary allocation of resources among target populations or service locations. | ☐ | 5 |

**4.05 Applicant Qualifications - Criteria Relating to Personnel, Management and Facilities**

***1 Describe the previous experience that your agency has in providing services similar to those being proposed.***

| ***Evaluation/Review Criteria*** | | **Review** | **Points** |
|---|---|---|---|
| **a** | The applicant's description of previous experience in providing the same or similar services meets the intent of the program. Note: In addition to this criteria, DHSS staff will have access to tangible documentation such as prior year performance reports, audit reports, site visits, etc. as noted in Subsection 4.03. | ☐ | 15 |

***2 Describe the staff available for the proposed project. Scan and attach as a single document resumes, job descriptions and professional credentials for key project personnel as well as resumes for administrative staff.***

| ***Evaluation/Review Criteria*** | | **Review** | **Points** |
|---|---|---|---|
| **a** | Staff providing services are qualified and competent as demonstrated by the necessary attached professional credential(s) and resume(s). | ☐ | 30 |
| **b** | Staffing levels are compliant with the program mandates. | ☐ | 20 |
| **c** | Job descriptions support the intent of the RFP and the applicant's proposed project. | ☐ | 15 |
| **d** | Administrative staff are qualified as demonstrated by attached resume(s). | ☐ | 10 |
| **e** | Administrative capacity demonstrates capability to meet reporting and management needs. | ☐ | 10 |

***3 Describe the procedures that will be used to protect client confidentiality.***

| ***Evaluation/Review Criteria*** | **Review** | **Points** |
|---|---|---|

| | | | |
|---|---|---|---|
| **a** | Proposal adequately addresses necessary procedures to protect client confidentiality and meets State and Federal standards. | ☐ | 25 |

***4 Describe the facilities that will be used as a part of this proposal.***

| *Evaluation/Review Criteria* | | Review | Points |
|---|---|---|---|
| **a** | Facilities proposed for services are safe and appropriate to the purpose of the program; and provide adequate physical access for the proposed target population. | ☐ | 15 |

**4.06 Demonstration of Support/Involvement of Service**

***1 Describe any partnerships or collaborations necessary for the proposed project. Attach as a single document tangible evidence of these partnerships or collaborations.***

| *Evaluation/Review Criteria* | | Review | Points |
|---|---|---|---|
| **a** | Proposal adequately describes the partnerships or collaborations necessary for the effective delivery of services. Tangible evidence of these partnerships or collaborations are specific to the proposed project. | ☐ | 15 |

***2 Describe any state or other referral agencies necessary for the proposed project.***

| *Evaluation/Review Criteria* | | Review | Points |
|---|---|---|---|
| **a** | Proposal adequately describes the role of state or other referral agencies necessary for the effective delivery of services. | ☐ | 10 |