



ALABAMA DEPARTMENT OF HUMAN RESOURCES

REQUEST FOR PROPOSALS

PROCUREMENT INFORMATION	
RFP Number: 2017-100-01	RFP Title: <i>Family Service Centers</i>
Proposal Due Date and Time: <i>Thursday, April 27, 2017</i> 12:00 p.m., Central Time	Number of Pages: 40
Procurement Officer: Vicki Cooper-Robinson, Procurement Manager Phone: (334) 353-2471 E-mail Address: vicki.robinson@dhr.alabama.gov Website: http://www.dhr.alabama.gov	Issue Date: March 21, 2017 Issuing Division: <i>Family Services</i>

INSTRUCTIONS TO VENDORS	
Submit Proposal to: Starr Stewart, Director Office of Procurement Alabama Department of Human Resources Gordon Persons Building, Room 2153 50 Ripley Street Montgomery, AL 36130-4000	Label Envelope/Package: RFP Title/Number: <i>Family Service Centers /2017-100-01</i> Proposal Due Date: <i>Thursday, April 27, 2017</i> Special Instructions:

VENDOR INFORMATION	
(Fill in the information fields below and return this form with RFP response)	
Vendor Name/Address: DUNS NUMBER: _____	Authorized Vendor Signatory: (Please print name and sign in ink)
Vendor Phone Number: ()	Vendor FAX Number: ()
Vendor Federal I.D. Number:	Vendor E-mail Address:
Indicate whether this proposal is an original or a copy. <input type="checkbox"/> Original <input type="checkbox"/> Copy	
Total number of proposal pages: _____	
Trade Secret Declarations: (<u>reference section/page(s) of trade secret declarations</u>)	

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VENDOR'S RFP CHECKLIST

1. _____ **Read the entire document.** Note critical items such as: mandatory requirements; supplies/services required; submittal dates; number of copies required for submittal; licensing requirements; contractual requirements (i.e., contract performance security, insurance requirements, performance and/or reporting requirements, etc.).
2. _____ **Note the procurement officer's name, address, phone numbers and e-mail address.** This is the only person you are allowed to communicate with regarding the RFP.
3. _____ **Attend the pre-proposal conference** if one is offered. These conferences provide an opportunity to ask clarifying questions, obtain a better understanding of the project, or to notify the Department of any ambiguities, inconsistencies, or errors in the RFP.
4. _____ **Take advantage of the “question and answer” period.** Submit your questions to the procurement officer by the due date listed in the Schedule of Events and view the answers given in the formal “addenda” issued for the RFP. All addenda issued for an RFP are posted on the Department’s website at www.dhr.alabama.gov and will include all questions asked and responses concerning the RFP.
5. _____ **Follow the format required in the RFP** when preparing your response. Provide point-by-point responses to all sections in a clear and concise manner.
6. _____ **Provide complete answers/descriptions.** Read and answer **all** questions and requirements. Don’t assume the Department or evaluation committee will know what your company’s capabilities are or what items/services you can provide, even if you have previously contracted with the Department. The proposals are evaluated based solely on the information and materials provided in your response.
7. _____ **Use the forms provided**, i.e., cover page, budget forms, certification forms, etc.
8. _____ **Check the Department’s website for RFP addenda.** It is the vendor’s responsibility to check the Department’s website at www.dhr.alabama.gov for any addenda issued for this RFP, no further notification will be provided.
9. _____ **Review and read the RFP document again** to make sure that you have addressed all requirements. Your original response and the requested copies must be identical and be complete. The copies are provided to the evaluation committee members and will be used to score your response.
10. _____ **Submit your response on time.** Note all the dates and times listed in the Schedule of Events and within the document, and submit all required items on time. Late proposal responses are ***never*** accepted.

This checklist is provided for assistance only and should not be submitted with Vendor’s response.

SCHEDULE OF EVENTS

*The following RFP Schedule of Events represents the Department's best estimate of the schedule that will be followed. Unless otherwise specified, the time of day for the following events shall be between 9:00 a.m. and 12:00 p.m., Central Time. The Department reserves the right, at its sole discretion, to adjust this schedule, as it deems necessary. Notification of any adjustment to the Schedule of Events shall be posted on the Department's website at www.dhr.alabama.gov as detailed in Section 1.5.3 of this RFP. **Vendors should refer to the website periodically for changes to the RFP.***

<u>EVENT</u>	<u>DATE</u>
RFP Issue Date	March 21, 2017
Deadline for Receipt of Written Questions.....	April 04, 2017
Deadline for Posting of Written Responses to Questions	April 11, 2017
Proposal Due Date.....	April 27, 2017
Evaluation of Proposals and Selection of Vendors	May 9-12, 2017
Intended Date for Notice of Intent to Award a Contract	June 02, 2017

SECTION 1: PROJECT OVERVIEW AND INSTRUCTIONS

1.0 PROJECT OVERVIEW

The ALABAMA DEPARTMENT OF HUMAN RESOURCES, (hereinafter referred to as “the Department”) invites qualified vendors to establish or continue operation of Family Service Centers in Baldwin, Calhoun, Chambers, Houston, Jefferson, Madison, Montgomery (**proposals for Montgomery County must include Lowndes County**), Russell, North Talladega, South Talladega, and Tuscaloosa Counties. Family Service Centers provide a broad range of home and center-based services on a continuum from prevention services to intervention and treatment. Centers provide family support and preservation services in targeted counties/communities where there is a high concentration of families in need of services that address their safety and stability issues. A more complete description of the services sought for this project is provided in *Section 3, Scope of Project*. Proposals submitted in response to this solicitation must comply with the instructions and procedures contained herein.

1.1 ELIGIBLE ENTITIES

Eligible entities may include governmental agencies, faith-based organizations, non-governmental public or private organizations and individuals who: 1) are legally authorized to conduct business within the State of Alabama; 2) possess a high degree of professional skill in the area of service described in this document; 3) possess the skills needed to perform the services described in this RFP; and, 4) meet the terms and conditions of the RFP. In addition, applicants must demonstrate the ability to manage Department funds in accordance with Federal and State regulations and guidelines. Vendors must possess a history of providing human services through collaborations with various community partners in proposed counties

1.2 REQUIRED LICENSURE/CERTIFICATION/CREDENTIAL

There are no licensure, certification or credential requirements for this procurement.

1.3 CONTRACT TERM

The initial contract term is for a period of **two (2)** years beginning *October 01, 2017* and ending *September 30, 2019*. Renewals of the contract, as agreed upon by both parties, may be made at **one (1)** year intervals, or any interval that is advantageous to the Department, not to exceed a total of **three (3)** years, at the option of the Department. *Selected vendors must be fully operational on Sunday, October 01, 2017.*

1.4 POINT OF CONTACT

From the date this Request for Proposal (RFP) is issued until the vendor selection is announced, all communication must be directed to the procurement officer in charge of this solicitation. **Vendors must not communicate with any Department staff or officials regarding this procurement with the exception of the procurement officer.** Any unauthorized contact will disqualify the vendor from further consideration. Contact information for the point of contact is as follows:

Vicki Cooper-Robinson, Procurement Manager
Office of Procurement
Alabama Department of Human Resources
Gordon Persons Building, Room 2153
50 Ripley Street
Montgomery, AL 36130-4000
Telephone Number: (334) 353-2471
E-mail Address: vicki.robinson@dhr.alabama.gov

1.5 REQUIRED REVIEW

1.5.1 REVIEW RFP

Vendors should carefully review the instructions, mandatory and general requirements, project specifications, and the standard terms and conditions in this RFP. After a thorough review of the RFP, if the vendor identifies any ambiguity, inconsistency, unduly restrictive specifications, or error, promptly notify the procurement officer identified above in writing, via e-mail or courier by the deadline for receipt of questions as stated in the Schedule of Events.

1.5.2 VENDOR'S QUESTIONS

Vendors with questions or requiring clarification regarding any section of this RFP must reference the RFP by title and number and submit written questions via e-mail or courier to the procurement officer referenced above by 3:00 p.m. (CST) **Tuesday, April 04, 2017**. Each question must reference the section, page, and item in question. Vendors must submit all questions posed in a single email message to the procurement officer. Questions received after the deadline will not be considered.

1.5.3 DEPARTMENT'S RESPONSES

The Department will provide an official written answer by **Tuesday, April 11, 2017** to all questions received by the deadline on **April 04, 2017**. The Department's response will either provide clarification of the applicable issue or be in the form of a correction to this RFP. Vendor questions and the Department's responses, as well as any formal written addendum will be posted on the Department's website at www.dhr.alabama.gov by the close of business on the date listed.

1.6 MANDATORY REQUIREMENTS

Vendors are expected to respond to all of the requirements described in this document. The Department will determine whether a vendor's proposal meets the terms of the requirements. Proposals that do not meet all requirements listed in this RFP may be subject to point reductions during the evaluation process or may be deemed non-responsive. Proposals that do not meet the requirements 1.6.1 through 1.6.7 will be deemed non-responsive and no other consideration will be given. **DO NOT ALTER ANY OF THE FORMS LISTED BELOW OR OTHERWISE INCLUDED/REQUIRED IN THIS DOCUMENT.**

1.6.1 DEADLINE FOR RECEIPT OF PROPOSALS

Proposals must adhere to the format requirements and must be received by the deadline for receipt of proposals as specified in the Schedule of Events and Section 1.8.1 *Required Copies and Deadline for Receipt of Proposals*.

1.6.2 LEGAL STATUS LETTER OR TAXPAYER IDENTIFICATION VERIFICATION

Vendors must include a legible copy of their taxpayer identification letter from the Internal Revenue Service. If the legal status letter is not available, a completed and signed copy of the **"Request for Taxpayer Identification Number"** form (*Appendix B*) must be included.

1.6.3 DISCLOSURE STATEMENT

Act 2001-955 requires the disclosure statement to be completed and filed with all proposals, bids, contracts, or grant proposals to the State of Alabama in excess of \$5,000. Disclosure Statements are available for completion on the Attorney General's web site at www.ago.alabama.gov under *Publications and Forms*. Vendors may also click on the following links for a copy of the Disclosure Statement: (online fill-in) <http://www.ago.alabama.gov/File-AL-Vendor-Disclosure-Statement> when connected to the internet. Vendors must include a completed copy of the Disclosure Statement in their proposals.

1.6.4 CERTIFICATE OF COMPLIANCE

Vendors must submit a completed, signed copy of the certificate of compliance (*Appendix D*) with their proposals.

1.6.5 E-VERIFY DOCUMENTATION

Vendors must submit e-verify registration documentation with their proposals.

1.6.6 AUTHORIZED VENDOR SIGNATORY

Vendors must provide an original proposal using the format described, with an original signature of person(s) legally authorized to bind the applicant to the proposal.

1.6.7 DUNS NUMBER

Vendors must include their Dun & Bradstreet, or D-U-N-S, Number, a unique nine-digit identification number for each physical location of your business.

1.7 GENERAL REQUIREMENTS

1.7.1 ACCEPTANCE OF STANDARD TERMS AND CONDITIONS

By submitting a response to this RFP, vendors agree to acceptance of the standard terms and conditions of this RFP. Requests for additions or exceptions to the standard terms and conditions including any necessary licenses, or any added provisions must be submitted to the procurement officer by the due date for receipt of written questions and must be accompanied by an explanation of why the exception is being sought and what specific effect it will have on the vendor's ability to respond to the RFP or perform the contract.

***Note:** The Department reserves the right to not enter into a new contract with a current vendor who is under a corrective action plan until all corrective requirements have been met.*

1.7.2 UNDERSTANDING OF SPECIFICATIONS AND REQUIREMENTS

By submitting a response to this RFP, vendors agree to an understanding of and compliance with the specifications and requirements described in this RFP.

1.7.3 PRIMARY VENDOR/SUBCONTRACTORS

The primary vendor if a contract is awarded shall be responsible, in total, for all work of any subcontractors. All subcontractors, if any, must be listed in the proposal. The vendor shall not assign, transfer or subcontract any portion of the contract without the written consent of the Department. The vendor shall be responsible to the Department for the acts and omissions of all subcontractors or agents and of persons directly or indirectly employed by such subcontractors, and for the acts and omissions of persons employed directly by the vendor. Any awards made as a result of this document will create a contractual relationship between the vendor and the Department, not the subcontractor.

1.7.4 VENDOR'S SIGNATURE

An individual authorized to legally bind the organization submitting the proposal must sign the original proposal in ink. The vendor's signature on a proposal in response to this RFP guarantees that the offer has been established without collusion that would preclude the Department from obtaining the best possible service for the best possible price.

1.8 SUBMITTING A PROPOSAL

1.8.1 REQUIRED COPIES AND DEADLINE FOR RECEIPT OF PROPOSALS

Vendors must submit **one (1)** original proposal, **seven (7)** copies and **one (1)** electronic (PDF preferred) copy on CD or DVD clearly labeled with the Vendor's name and the RFP title and number to:

**Starr Stewart, Director
Office of Procurement
Alabama Department of Human Resources
Gordon Persons Building, Room 2153
50 Ripley Street
Montgomery, AL 36130-4000**

Proposals must subscribe to the section/subsection headings and numbering format (i.e., **4.2.5.1 Vendor Qualifying Information**) as specified in *Section 4 Proposal Format and Instructions*. Proposals must be sealed and labeled on the outside of the package to clearly indicate that they are in response to the **RFP# 2017-100-01 Family Service Centers. Proposals must be received at the receptionist's desk of the Resource Development-Office of Procurement by 12:00 p.m., local time, Thursday, April 27, 2017.** Two business (Monday-Friday) days prior to the due date, proposals may be hand delivered between the hours of 9:00 a.m. -12:00 p.m. (with the exception of state and federal holidays). Faxed and electronically submitted responses to requests for proposals are NOT accepted.

1.8.2 FAILURE TO COMPLY WITH INSTRUCTIONS

Vendors failing to comply with these instructions may be deemed non-responsive or subject to point deductions. The Department may also choose to not evaluate, and disqualify from further consideration any proposals that do not follow the format described in Section 4: *Proposal Format and Instructions*, are difficult to understand or read, or are missing any requested information.

1.8.3 COST PROPOSAL FORMS

Vendors **must** respond to this RFP by utilizing the cost proposal forms found in *Appendix E*. These forms will be used as the primary representation of each Vendor's cost, and will be used extensively during proposal evaluations. Additional information should be included as necessary to explain in detail the Vendor's cost.

1.8.4 TIMELY SUBMITTED PROPOSALS

All timely submitted proposals and materials received in response to this RFP become the property of the Department and will be incorporated into any formal documentation and/or contract resulting from this RFP between the Department and the Vendor.

1.8.5 LATE PROPOSALS

Regardless of the cause, late proposals will not be accepted and will automatically be disqualified from further consideration. It shall be the Vendor's sole risk to assure delivery at the receptionist's desk at the designated office by the designated time. Late proposals will not be opened and may be returned to the Vendor at the expense of the Vendor or destroyed if requested.

SECTION 2: STANDARD INFORMATION

2.0 AUTHORITY

This RFP is issued under the authority of Section 41-16-72 of the Alabama Code (Act 2001-956, 2001 3rd Sp. Sess., p 817, §1.). Any awards resulting from this RFP will be made based on stated evaluation criteria. The weight assigned to each criterion denotes the relative importance of that criterion. No criteria, other than that identified in this RFP, will be used.

2.1 VENDOR COMPETITION

In accordance with 45 CFR 74.43, the Department encourages free and open competition among Vendors. Whenever possible, the Department will design specifications, proposal requests, and conditions to accomplish this objective, consistent with the necessity to satisfy the Department's need to procure technically sound, cost-effective services and supplies.

2.2 NONDISCRIMINATION

In accordance with 45 CFR 74.44, no person shall be excluded from participation in, be denied benefits of, be discriminated against in the admission or access to, or be discriminated against in treatment or employment in the Department's contracted programs or activities on the grounds of handicap and/or disability, age, race, color, religion, sex, national origin, or any other classification protected by Federal or Alabama State Constitutional or statutory law; nor shall they be excluded from participation in, be denied benefits of, or be otherwise subjected to discrimination in the performance of contracts with the Department or in the employment practices of the Department's contractors. Accordingly, all Vendors entering into contracts with the Department shall, upon request, be required to show proof of such nondiscrimination and to post in conspicuous places, available to all employees and applicants, notices of nondiscrimination.

2.3 CERTIFICATE OF COMPLIANCE AND E-VERIFY

Only U.S. citizens or foreign citizens who have the necessary authorization to legally work in the United States may be employed to work under any contract with the Department. Vendors must agree to not knowingly employ, hire for employment, or continue to employ an unauthorized alien, and must provide to the Department a certificate of compliance with the Beason-Hammon Alabama Taxpayer and Citizen Protection Act (*Appendix D*).

The United States Citizenship and Immigration Services (www.uscis.gov) provides E-Verify, an internet-based system that allows companies to determine their employees' eligibility to work in the United States. Vendors must participate in the E-Verify program and verify every employee that is required to be verified according to the applicable federal rules and regulations. Vendors must provide documentation to the Department establishing that they are enrolled in the E-Verify program.

Vendors must agree to not knowingly employ, hire for employment, or continue to employ a subcontractor to perform work under a contract that knowingly employs, hires for employment, or continues to employ an unauthorized alien. Any subcontractor hired to perform work under a contract must attest to such by sworn affidavit signed before a notary. Subcontractors must also enroll in the E-Verify program prior to performing any work on a project and must attach to the sworn affidavit documentation establishing that the subcontractor is enrolled in the E-Verify program.

2.4 DUNS NUMBER

Vendors must obtain a Dun & Bradstreet, or D-U-N-S, Number, a unique nine-digit identification number for each physical location of your business. D-U-N-S Number assignment is free for all businesses required to register with the federal and state government for contracts or grants.

2.5 PROPOSAL EFFECTIVE PERIOD

All proposals submitted in response to this RFP shall be effective for a 180-day period following the deadline for receipt of proposals as specified in the Schedule of Events and may not be modified, withdrawn or canceled by the Vendor during this period.

2.6 TRADE SECRETS

As part of the initial evaluation, the procurement officer in charge of this solicitation will review proposals received in response to this RFP, for any information deemed a “trade secret” by the vendor and separate identified parts of proposal from public viewing providing the following conditions have been met: (1) confidential information is clearly marked and separated from the rest of the proposal; (2) the proposal does not contain confidential material in the cost or price section; and (3) an affidavit from a Vendor’s legal counsel attesting to and explaining the validity of the trade secret claim is attached to each proposal containing trade secrets. If applicable, the Vendor’s Legal Counsel must use the Department of Human Resources “Affidavit for Trade Secret Confidentiality” form when requesting the trade secret claim. The affidavit form (*Appendix C*) is included in this document.

Information separated out under this process will be available for review only by the procurement officer, the evaluation committee members, and limited other designees. Vendors must be prepared to pay all legal costs and fees associated with defending a claim for confidentiality in the event of a “right to know” (open records) request from another party.

2.7 PRE-SCREENING AND EVALUATION OF PROPOSALS

2.7.1 PRE-SCREENING

During the pre-screening, proposals will be reviewed to ensure compliance with all general and mandatory requirements. Upon completion of this initial review they will be classified “responsive” or “non-responsive”. However; proposals may be found non-responsive at any time during the evaluation process if the proposal does not meet the formatting requirements specified in the RFP; if any of the required information is not provided; or the submitted price is found to be excessive or inadequate as measured by criteria stated in the RFP. Proposals declared non-responsive, will not receive further consideration.

2.7.2 EVALUATION OF PROPOSALS

All responsive proposals will be evaluated against the stated criteria. However, this does not preclude the Department from any discussions/negotiations or requests for a best and final offer that it may deem necessary to assist in determining the Vendor. In scoring against stated criteria, the Department may consider such factors as accepted industry standards and a comparative evaluation of all other qualified RFP responses in terms of differing price, quality, and contractual factors to determine the most advantageous offering to the Department.

2.8 DISCUSSION/NEGOTIATION AND/OR ORAL PRESENTATION/PRODUCT DEMONSTRATION

After receipt of all proposals and prior to the determination of the award, the Department may initiate discussions with one or more Vendors should clarification or negotiation be necessary. Vendors may also be required to make an oral presentation and/or product demonstration to clarify their RFP response or to further define their offer. In either case, Vendors should be prepared to send qualified personnel to **Montgomery, Alabama**, to discuss technical and contractual aspects of the proposal. Oral presentations and product demonstrations, if requested, shall be at the Vendor’s expense.

2.9 BEST AND FINAL OFFER

The Department reserves the right to request a “best and final offer” for this RFP based on price/cost alone, from one or more Vendors if additional information is required to make a final decision. Vendors may be contacted asking that they submit their “best and final offer,” which must include any and all discussed and/or negotiated changes.

2.10 PUBLIC REQUESTS FOR INFORMATION

All information received in response to this RFP, including copyrighted material, is deemed public information and will be made available to the public upon requests shortly after the signing of a contract(s) with the exception of: (1) trade secrets meeting the requirements of the Alabama Trade Secrets Act, that have been properly marked, separated, and documented; and (2) any financial information requested by the Department, unless prior written consent has been given by the Vendor.

2.11 COST OF PREPARING A PROPOSAL

The Department is not liable for any expense incurred by the Vendor in the preparation and presentation of their proposal or any other costs incurred by the Vendor prior to execution of a contract. All costs are the responsibility of the Vendor.

2.12 DEPARTMENT’S RIGHTS RESERVED

While the Department has every intention to award a contract as a result of this RFP, issuance of the RFP in no way constitutes a commitment by the Department to award and execute a contract. Upon determination such actions would be in its best interest, the Department, in its sole discretion, reserves the right to the following:

2.12.1 PRE-SELECTION DISCRETION

The Department reserves the right at its sole discretion, at any time and for any reason, to reject any or all of the proposals submitted in response to this RFP, or to cancel this RFP, if it is deemed by the Department to be in its best interest to do so.

2.12.2 POST-SELECTION DISCRETION

Upon selection of a proposal, the Department reserves the right, at its sole discretion, at any time and for any reason, to change its decision with respect to the selection and to select another proposal, or to cancel the RFP, if it is deemed by the Department to be in its best interest to do so.

2.12.3 WAIVERS

Notwithstanding the amendment provisions otherwise set forth herein, the Department reserves the right at its sole discretion, to waive any minor irregularity in an otherwise valid proposal which would not jeopardize the overall program and to award a contract on the basis of such a waiver in the event the Department determines that such award is in the best interest of the Department. Minor irregularities are those which will not have a significant adverse effect on the overall program cost or performance.

2.12.4 NEGOTIATIONS

The Department reserves the right to negotiate with any vendor whose proposal is within the competitive range, as specified in the RFP with respect to technical plan and cost, as well as to select a vendor other than the vendor offering the lowest price.

2.12.5 ADOPTION OF IDEAS

The Department reserves the right to adopt to its use all or any part, of a vendor’s proposal and to use any idea or all ideas presented in a proposal.

2.12.6 ORAL PRESENTATIONS

The Department reserves the right to require some or all of the vendors to provide oral presentations of their proposals.

2.12.7 AMENDMENTS

The Department reserves the right to amend the RFP. Except as provided above with respect to “WAIVERS” made by the Department, all amendments to the RFP will be made by written addendum issued by the Department and posted to the web at www.dhr.alabama.gov under this RFP link.

2.12.8 NO GUARANTEE OF CONTRACT

Selection of a proposal shall not be binding upon the Department and may or may not, at the Department’s sole discretion, result in the Department entering into a contract with the vendor if it is in the best interest of Department not to proceed with contract execution.

2.12.9 RIGHT TO INVESTIGATE AND REJECT

The Department may make investigations as deemed necessary to determine the ability of the Vendor to perform the services specified. The Department reserves the right to reject any proposal if the evidence submitted by, or investigation of, the Vendor fails to satisfy the Department that the Vendor is properly qualified to carry out the obligations of the contract. This includes the Department’s ability to reject the proposal based on negative references.

2.12.10 DISCLAIMER

Issuance of this RFP does not constitute a commitment by the Department to select any proposal submitted in response to the RFP, or to award a contract to any vendor who responds to this RFP.

Note: All contracts awarded by this Department are subject to review and approval by the Legislative Oversight Committee and the Governor’s Office.

SECTION 3: SCOPE OF PROJECT

3.0 PROGRAM BACKGROUND INFORMATION

The Alabama Department of Human Resources is responsible for administering the Family Preservation and Support Services (FP/SS) Program, funded by Title IV-B, Subpart 2, “Promoting Safe and Stable Families”. The Act provides funding for services to families and to assist states in developing an integrated service delivery system. This legislation aims to promote family strength and stability, enhance parental functioning and protect children through funding of a capped entitlement to states to provide family support and family preservation services. In addition, it offers states an extraordinary opportunity to assess and make changes in state and local service delivery.

The Department of Human Resources (DHR), as the designated Title IV-B agency, operates according to the philosophy that children should be protected from abuse and neglect and, whenever possible, families should be preserved and strengthened in order to nurture and raise children in safe, healthy, and stable environments. Service interventions are based on a set of beliefs about children and their families as follows: children belong with their families if they can safely live at home; most parents love and want their children; most maltreatment is an expression of an underlying, unmet need; most people can change; all children need to experience permanency in their lives; and when children cannot continue to live at home, they still need family and community connections. Accordingly, the State Plan for Family Preservation and Support Services for abused, neglected, and at-risk children and their families is intended to support these beliefs through the development of community-based, goal-directed services that are individualized, needs-based, and that work from the following principles:

- Treat families as partners in parenting and protecting their children;
- Respect parents and their children and focus on the family as a whole and on the family's strengths;
- Are matched to meet identified needs and vary in levels of intensity needed to keep children safe;
- Are coordinated between service vendors and agencies to meet the multiple needs of children and their families;
- Are delivered in culturally sensitive ways;
- Are accessible to children and families; and address systemic barriers to accessing needed services.

Family preservation services typically are services designed to help families alleviate a crisis that may lead to out-of-home placement of children; maintain the safety of children in their own homes; support families preparing to reunify or adopt; and assist families in obtaining services and other support necessary to address their multiple needs in a culturally sensitive manner. If a child cannot be protected from harm without placement or the family does not have adequate strengths on which to build, family preservation services are not appropriate.

Family support services are primarily community-based preventive actions designed to alleviate stress and promote parental competencies and behaviors that will increase the ability of families to successfully nurture their children; enable families to use other resource opportunities available in the community, and create supportive networks to enhance child rearing abilities of parents and help compensate for the increased social isolation and vulnerability of families.

In March 1994, the Department of Human Resources created a broad-based Family Preservation and Support Planning (FPSP) committee comprised of the agency heads or their designees from various State Departments

and other organizations and institutions. The FPSP committee translated the key beliefs about families and services listed earlier into operating principles for the development of approaches to integrated service delivery systems. Those operating principles were translated into the vision and goals of Alabama's FP/SS Plan as well as the service description to be funded under this plan. The FPSP committee subsequently recommended developing service delivery approaches for rural and urban communities through a "family service center" design. These community Family Service Centers offer a service delivery continuum from family support to family preservation, varying in intensity to meet the changing needs of children and families. This service delivery array is designed and tailored by neighborhoods, communities and consumer families to meet their unique needs. The service delivery continuum does not duplicate existing services, but are integrated with existing public and private family and child serving systems and networks.

3.1 CORE COMPONENTS

The following core components form the basis for family-centered practices and are critical to addressing families' needs for health, safety, and stability. The core components to be provided by or through Family Service Centers across the state include the following:

- A. A strengths/needs assessment and individualized service planning process that includes family members and all stakeholders involved with the family.
- B. Case coordination or case management, including provision of information about, referral to, and follow-up with other child- and family-serving agencies and entities.
- C. Services which support families and parents, such as preventive, educational, or respite services. For example, parents might receive in-home services to coach/teach them in anger management or conflict resolution skills, or parents might attend adult education classes or workshops which support their self-sufficiency, such as a course in money management.
- D. Services which address families' survival needs, including clothing, food, housing, and transportation, among others. These services may be provided either on site or through established relationships with other community agencies.
- E. Family-focused counseling, treatment and therapy to address family functioning. These services may be provided either on site or through established relationships with other community agencies.
- F. A formal relationship between the county Department of Human Resources and the Family Services Center. A Department of Human Resources liaison with the family service center will link and coordinate various components of service delivery, outreach to build on the existing capacities of the community and its members, and the establishment of both the service evaluation process and the quality assurance process.
- G. Active involvement/presence in the family's Individualized Service Plan; both by attendance and ongoing feedback about the progress of the family.

3.2 COMMUNITY-SPECIFIC COMPONENTS

In addition to the core components listed above, Family Service Centers must tailor other services to meet the needs of the community and families. Examples of services likely to be available at Family Service Centers are drop-in centers, integrated eligibility establishment (i.e. child care, TANF, WIC), Head Start, employment services, life skills training, substance abuse services, activities for youth, health services, before- and after-school programs, wrap-around services, mental health counseling, adult education programs, "front-end" services identified by the county DHR and provided to child welfare-referred families, mentoring, tutoring, teen pregnancy prevention, teen parent programs, self-help groups, and family resource rooms, among others. If a family's need cannot be met through services already in place at the family service center or available through other community agencies, services must be created or adapted specifically for that family. The programs at

Family Service Centers must be culturally competent and socially relevant. At least one supportive service, at a minimum, must be provided at each Family Service Center by Center staff. Vendors must outline the services that will be available for delivery at the beginning of the contract period and that may be added at a later date. Timeframes must be described in the start-up plan.

The service goal is to strengthen and empower families to meet needs that, when left unmet, often lead to the occurrence of child maltreatment. Increasing a family's chances of meeting these needs will enhance their children's chances of growing up strong, healthy, and safe. Family Service Centers will be expected to recognize families strengths, help families develop new skills, and strengthen families' ability to nurture and secure the well-being of their family members. To accomplish these objectives, the staff of Family Service Centers must form a strength-based relationship with families. Family Service Center staff must view families as vital resources, in part because these families' consumer input is essential to program design.

3.3 COUNTY TO BE SERVED

Vendors must provide services to any family in the target community. Families who need assistance to prevent abuse or neglect or unnecessary removal of children from their home or to promote healthy, safe, and stable families may be self-referred or referred by any service vendor, agency, or entity within the community. No eligibility criteria should be applied to those families wishing to receive services. The Family Service Center should make efforts to educate the community about services available through the Family Service Center, and initiate outreach activities designed to reach potential service recipients within the community. The target community for the Family Service Center must be one in which there is a high concentration of families needing services to address their safety and stability issues. **Family Service Centers subsidized by a contract as a result of this RFP must reserve up to 25% of their work units to providing services to families who maintain open child welfare cases with the Department of Human Resources office within the county in which the service center is located.** All services in the cases will be provided in a manner authorized by the family's Individualized Service Plan (ISP) established by the family, the Department and other community stakeholders.

3.4 NUMBER TO BE SERVED

The number of families to be served through the Family Service Center will be determined by a variety of factors. The effectiveness of the Center in engaging the community and in its outreach efforts to potential service recipients, the needs of each particular community, and the services offered will be considered in determining the capacity of the Center. There will be a minimum requirement of 200 families served for a full year of operation.

3.5 STAFF QUALIFICATIONS

The number of staff positions required as well as the qualifications for each will depend on the services proposed. Brief job descriptions must be provided for each staff position involved in providing services in this proposal and must include: title of the position; working hours; methods of supervision; salary range; specific responsibilities; educational and experience requirements; and amount and type of in-service training to be provided. The Family Service Center Director is required to possess a minimum of a Master's Degree in Social Work or a related field and several years of related experience, unless exceptions have been previously approved.

3.6 TRAINING

Vendors must elaborate in their proposals the type of training that will be provided to ensure adequate capacity of staff in providing identified services. A training plan for each area of service delivered must be submitted as an attachment to the technical proposal. Vendors must ensure their training curriculum is trauma-informed and focuses on a strength-based model for working with families.

3.7 COLLABORATION

Vendors must collaborate extensively with other providers and stakeholders within the community in the implementation of the Family Service Center. Ongoing collaboration once the Center is operational will strengthen its ability to meet the needs of the families it serves. Centers should not duplicate existing services in the community, but rather involve those service vendors in the programming of the Family Service Center through referral relationships, co-location at the Center, and/or offering services on site. A Family Service Center Advisory Board should be established which includes representatives from the original county planning body, consumers, other vendors, and community stakeholders to provide ongoing input into the development and direction of the Center.

3.8 QUALITY ASSURANCE

Each proposal must contain a detailed description of the quality assurance measures to be implemented by the vendor to ensure that quality services are provided in all areas described within the proposal. Quality assurance methodologies must indicate how the programmatic performance of the provider will be evaluated, including input from consumers and the various county Departments of Human Resources and other community stakeholders. Outcome measures must be developed for each service that will be provided, and an explanation of each outcome measurement must be contained within the Quality Assurance plan. Vendors must set benchmarks for success in each area of service delivery and must describe a corrective action plan to be implemented when successful outcomes fall below 80% of the families served by the Family Service Center. The Department of Human Resources will monitor the corrective action plan and, if ongoing concerns or lack of progress are noted, the Family Service Center will be at risk of loss of funding.

3.9 TRACKING

Each proposal must affirm capacity to capture relevant data and demonstrate for those children and families that have open child welfare cases in the county/communities they are serving, how the Vendor will track the services they are receiving. Critical data to capture includes, but is not limited to: number of CWS (spell out) cases accepted; number of cases rejected (reason for rejection); number of children/families served; number of cases closed (reason for closure); and length/time of service provision.

3.10 OUTCOMES

It is expected that all outcomes will be directly related to safety, permanency and well-being. General outcomes that will be measured:

- The percentage of children preserved in their family that remain stable at the 6/12 month anniversary of their case closure.
- The percentage of families actively using other community resources to stabilize their situation.

3.11 REPORTS

Reports and data delineated in *Section 3.1, Core Components*, must be submitted on a timely basis in the format required by the Department. The Department may, from time to time, request written reports of achievement and the applicant will be required to comply with such requests. Financial and programmatic audits will be required, as well as record keeping requirements which must be met by all selected Vendors. Monthly progress reports must be provided to the county departments on cases that are currently open to services by said county. Family Service Centers will also cooperate with Department staff, who will conduct regular site visits to the program to ensure that adequate services are being provided in family preservation and support.

SECTION 4: PROPOSAL FORMAT AND INSTRUCTIONS

4.0 PROPOSAL REQUIREMENTS

Proposals must meet all requirements as specified in this RFP. Proposals must incorporate the specified structure and format; must be clear, detailed, and complete as to fully demonstrate that the prospective Vendor has a thorough understanding of the requirements for providing the services for this procurement. Statements that the Vendor understands, acknowledges, or can comply with the requirements/specifications and statements paraphrasing the specifications are considered inadequate as are phrases such as “industry standards will be adhered to” and/or “standard procedures will be implemented”, or “research-based models will be used”. Proposals must clearly and adequately describe the concepts and methodologies to be implemented by the Vendor. Information must be clear, succinct, and easily understandable.

4.1 COMPLETENESS OF PROPOSALS

Selection(s) and award(s) will be based on the Vendor’s proposal and other items described in this RFP. Proposals should not include references to information located elsewhere, such as Internet websites. Information or materials presented by Vendors outside the formal response or subsequent discussion/negotiation or “best and final offer,” if requested, will not be considered, will have no bearing on any award, and may result in the vendor being disqualified from further consideration.

4.2 PROPOSAL FORMAT

Proposals must not exceed **one hundred (100) pages**, including attachments and must be single-spaced, incorporating 1-inch margins, typed using Times New Roman (font), size 12, black print. Proposals must be printed/copied onto one side of standard (8½ x 11) white typing/copier paper. *Paragraphs must be double-spaced.* All proposals (the original and copies) must include labeled tabs that correspond with the bolded sections and subsections (titles and numbers) to which the information pertains as specified in Section 4 of this document. ***Do not use adhesive tabs (on pages of the proposal), tabs with paper inserts, sheet protectors, rings or prong fasteners.*** Vendors should avoid the use of elaborate presentations and binding materials beyond that which is sufficient to present complete and effective proposals. **Proposals that do not adhere to the specified format may be deemed non-responsive.**

4.2.1 COVER SHEET

The first page of each proposal must be the completed **Cover Sheet** (RFP cover sheet) with an original ink signature of the person(s) legally authorized to bind the vendor to the proposal. **Proposals without signatures of persons legally authorized to bind the vendor to the proposal will be rejected.** The cover sheet must also include the name of the contact person and contact information of the person authorized to act on behalf of the vendor (do not number this page). Vendors must also provide their federal employer identification number and DUNS number. Also, denote the original proposal and copies by placing a check in the appropriate box on the cover sheet.

4.2.2 TABLE OF CONTENTS

The Cover Sheet should be followed by the “**Table of Contents**”, which should list all sections, subsections and page numbers. Numbering of the proposal pages should begin with page 1 of the Table of Contents. Page numbers should be placed in the right corner of the bottom margin.

4.2.3 LEGAL STATUS FORM/CP575 OR TAXPAYER IDENTIFICATION NUMBER

The Table of Contents must be followed by a copy of the **Legal Status Form** or a **CP575**. *These forms are issued by the IRS and denote an organization’s legal status (i.e., non-profit, for-profit, corporation, etc.) and include the Federal Employee Identification Number (FEIN).* If neither the Legal Status Form nor the CP575

are available, a completed and signed copy of the “**Request for Taxpayer Identification Number**” form (*Appendix B*) must be included. All items on this form must be completed.

4.2.4 LICENSES/CERTIFICATES/CREDENTIALS (OPTIONAL)

The Legal Status Form or Request for Taxpayer Identification Number Form should be followed by a copy of all required **Licenses, Certificates, and Credentials** or a copy of a completed license application form submitted by the deadline specified in this RFP.

4.2.5 TECHNICAL PROPOSAL

Copies of Licenses/Certificates/Credentials, if applicable should be followed by the **Technical Proposal**. The Technical Proposal must prescribe to sections **4.2.5.1** through **4.2.5.4.6** below.

4.2.5.1 VENDOR QUALIFYING INFORMATION

4.2.5.1.1 *Vendor Profile and Experience*

Vendor must specify how long it has been in the business of providing services similar to those requested in this RFP and under what company name. Also list all names it has used when conducting business. Vendors must explain their expertise or history in the provision of such services or identify a nationally recognized model that has proven to be successful that will be used in the provision of services under this RFP. Vendors must provide an organizational profile including: number of employees, and form of business (e.g. individual, sole proprietor, corporation, non-profit corporation, limited liability company.).

4.2.5.1.2 *Past and Present Contractual Relationships with the Department*

Vendors must describe any past or present contractual relationship it may have or have had with the Department or any other state agency including colleges/universities during the past three years. If the vendor, its predecessor, or any party named in their responses to this section has contracted with any department within State Government during the past three years, identify the contract number and other information available to identify such contract(s). If no such contracts exist, so declare. If any party named in the vendor’s response to this RFP was an employee of the State in the past two years, identify the individual(s) by name, agency by which employed, job title of position held, and separation date during the two-year period. If no such relationship exists, so declare.

4.2.5.1.3 *Contract Performance*

If the vendor, or any proposed Subcontractor, has had a contract terminated for default during the past five years, all such instances must be described as discussed below. Termination for default is defined as notice to stop performance delivery due to the vendor’s nonperformance or poor performance and the issue was either (a) not litigated due to inaction on the part of the vendor; or (b) litigated and such litigation determined the vendor to be in default. Submit full details of all terminations for default experienced by the vendor during the past five years, including the other party’s name, address, and telephone number. Present the vendor’s position on the matter. The Department will evaluate the facts and may, at its sole discretion, reject the vendor’s Proposal if the facts discovered indicate that completion of a contract resulting from this RFP may be jeopardized by selection of the vendor. If the vendor has experienced no such terminations for default in the past five years, so declare. If at any time during the past five years, the vendor has had a contract terminated for convenience, non-allocation of funds, or any other reason, which termination occurred before completion of all obligations under the initial contract provisions, describe fully all such terminations including the name and address of the other contracting party and the circumstances surrounding the termination. If no such early terminations have occurred, so declare.

Failure to report on the foregoing or if the information furnished is determined to be inaccurate, whether by omission or commission, shall result in rejection of the vendor’s Proposal.

No points will be assigned to proposals submitted by new or current vendors who have performed their contractual obligations satisfactorily. **However, current vendors who have performed unsatisfactorily may experience point deductions up to a maximum of 10 points.**

***Note:** The Department reserves the right to not enter into a new contract with a current vendor who is under a corrective action plan until all corrective requirements have been met.*

4.2.5.1.4 Project Staff/Resumes/Job Descriptions

Vendors must submit a resume or job description detailing the level of education, experience, training, skills, etc. which emphasizes previous experience in the service area as described in this RFP for all key personnel who will be involved with the proposed project. Vendors must indicate that they have sufficient staff to perform the services required in this RFP. If sufficient staff is not currently available, describe how staff will be obtained to provide the services and the timeline for obtaining the needed staff. Indicate the number of anticipated staff for each position title. List all professional licenses held by the key staff.

4.2.5.1.5 Staff Performance Evaluations and Training

Vendors must describe their staff development program regarding orientation, on-going staff evaluation and training that will be implemented throughout the contract period to ensure delivery of effective services that adhere to the Department's required performance standards.

4.2.5.1.6 Background Checks

Describe in detail the steps the vendor will take to ensure that no employee, regardless of their position, has been the subject of any incident or investigation which would call into question the propriety of that employee's working with the population indicated in this document and for this project. Describe your organization's general procedure for addressing occurrences when an incident or allegation is reported, founded or unfounded.

4.2.5.2 VENDOR FINANCIAL STABILITY

Vendors must submit an audited financial statement for year 2015 and letters from the auditor(s) who performed the 2014 and 2013 financial audits. Vendors of newly formed organizations, who have been in business less than one year must submit copies of any official quarterly financial statements (from a financial institution) that have been prepared since the end of the period reported by your most recent annual report.

4.2.5.3 METHOD OF PROVIDING SERVICES

4.2.5.3.1 Service Delivery Approach

The Vendor must provide a detailed description of the work plan and the methods to be used that will convincingly demonstrate to the Department what the Vendor intends to do, the number of children/youth and families to be served, the timeframes necessary to accomplish the work, and how the work will be accomplished. The Vendor must identify the county/region to be served by the proposed project. *All services specified in Section 3: Scope of Project must be addressed in the Service Delivery Approach.*

4.2.5.3.2 Start-up Plan

The Vendor must include a detailed project schedule that is comprised of the detailed work plan for the entire project. This section should also include any proposed additions to the tasks outlined in the *Section 3: Scope of Work*. ***Selected vendors must be fully operational on Sunday, October 01, 2017.***

4.2.5.3.3 County to be Served

Vendors must describe their plans for outreach and community education as described in Section 3.3. Vendors must describe the characteristics of the target community that indicates the need for the core services of a Family Service Center and community-specific services to be provided.

4.2.5.3.4 Number to be Served

Describe efforts that will be undertaken to ensure service to the required number of families to be served (Section 3.4) and provide a projected number of families to be served for FY 2018.

4.2.5.3.5 Assessment of Benefits and Impact

Describe the process that Vendor will use to assess the proposed services to determine if the expected benefits and their impact have occurred. Include on-going plans to continuously assess and modify services to better meet the needs of the target population. The assessment methodology should provide the Department with meaningful indicators that funded projects are making satisfactory progress toward desired goals. Vendors must explain plans for implementing the required components of evaluation as described in Section 3.8.

Note: If a current contract is held with DHR for these services, Vendors must include an evaluative narrative for FY 17 related to program goals and objectives, summarizing feedback from consumer satisfaction surveys, families' ratings of goal progress,. Include, at a minimum, number of unduplicated families (not individuals) and unduplicated children served in FY 16 and to date in FY 17. Also describe any programmatic changes that occurred in FY 16 and any proposed for FY 17. Consultation with the County DHR surrounding proposed changes is required and should be documented.

4.2.5.3.6 Office Location

Vendors must provide the physical address where records of services performed will be maintained, in the event the Vendor obtains a contract.

4.2.5.3.7 Community-Specific Components

Vendors must describe how the Family Service Center will be designed to include the core components and to meet the specific needs of the community. Vendors must describe in detail other services that will be offered, citing specific rationale and real evidence of community need for these services.

If a current contract is held with DHR for these services, vendor must identify any proposed programmatic changes or expansions for the upcoming year. Expansions must meet needs identified by county DHR and be planned in conjunction with them.

4.2.5.3.8 Collaboration

Vendors must identify community collaborations and supports (Section 3.7) for the creation or ongoing operation of a Family Service Center. Vendors must describe collaborative efforts that will be developed and describe how the Advisory Board will be organized

4.2.5.4 VENDOR CERTIFICATIONS

Vendors must submit a statement attesting that they warrant and represent to the Department that the vendor accepts and agrees with all certifications and terms and conditions of this RFP. Further, by submitting a response to this RFP, the vendor certifies to the Department that they are legally authorized to conduct business within the State of Alabama and to carry out the services described in this document.

4.2.5.4.1 Revolving Door Policy

Vendors must attest that neither the vendor nor any of the vendor's trustees, officers, directors, agents, servants or employees is a current employee of the Department, and none of the said individuals have been employees of the Department in violation of the revolving door prohibitions contained in the state of Alabama ethics laws.

4.2.5.4.2 Debarment

Vendors must attest that neither the vendor nor any of the vendor's trustees, officers, directors, agents, servants or employees (whether paid or voluntary) is debarred or suspended or otherwise excluded from or ineligible for participation in federal assistance programs under Executive Order 12549, "Debarment and Suspension."

4.2.5.4.3 Standard Contract

The vendor must agree to the use of the Department's standard contract document. The vendor will further comply with all the terms and conditions of that document, including, but not limited to, compliance with the Title VI of the Civil Rights Act of 1964, the Rehabilitation Act of 1973, as amended, the Americans with Disabilities Act, Alabama Act No. 2000-775 (governing individuals in direct service positions who have unsupervised access to children), the Health Insurance Portability and Accountability Act of 1996 (HIPAA) as applicable, and all other federal and state laws, rules and regulations applicable to receiving funds from the Department to carry out the services described in this RFP. Further, any contract executed pursuant to the RFP must be subject to review by the Department's legal counsel as to its legality of form and compliance with State contract laws, terms and conditions, and may further be subject to review by the Alabama Legislative Contract Review Committee, Examiners of Public Accounts, the State Finance Director and the Office of the Governor.

4.2.5.4.4 Charitable Choice (applies to faith-based organizations only)

The vendor must attest that funds received as a result of this procurement will not be used for sectarian instruction, worship, proselytizing or for any other purely religious activities that are not directed toward the secular social goals related to the services described in this RFP. The vendor must agree to serve all eligible members of the public without regard to their religious beliefs and, further, must not require clients' active participation in any religious practice. (In carrying out the said services, the vendor will remain independent from federal, state and local governments; will retain control over the expression of its religious beliefs, and is NOT required to remove its religious writings or symbols or to alter its internal governance as a condition of doing business with the Department.)

4.2.5.4.5 Financial Accounting

Vendors must agree that the vendor's accounting system will be consistent with General Accepted Governmental Accounting Principles (GAAP). The vendor must maintain sufficient financial accounting records documenting all funding sources and applicable expenditure of all funds from all sources.

4.2.5.4.6 Vendor Work Product

The vendor must attest that the proposal submitted in response to this document is the work product of said vendor. If the proposal is determined not to be the work product of the vendor, the proposal may, at the Department's sole discretion, be rejected.

4.2.5.5 ATTACHMENTS

Vendors must include all applicable forms identified below as attachments (i.e., Attachment A, B, C, etc.), applicable forms must follow the Technical Proposal. **DO NOT ALTER ANY OF THE FORMS LISTED BELOW OR OTHERWISE INCLUDED/REQUIRED IN THIS DOCUMENT.**

4.2.5.5.1 Disclosure Statement

The Technical Proposal must be followed by a completed copy of the **Disclosure Statement**.

4.2.5.5.2 Trade Secret Affidavit

The Disclosure Statement must be followed by a completed copy of the **Trade Secret Affidavit** (Appendix C), if applicable.

4.2.5.5.3 Certificate of Compliance

The Trade Secret Affidavit must be followed by a completed copy of the **Certificate of Compliance** (Appendix D). **All proposals must include the Certificate of Compliance.**

4.2.5.5.4 E-verify Documentation

The Certificate of Compliance must be followed by a copy of the **E-verify documentation**. **All proposals must include the E-verify documentation.**

SECTION 5: COST PROPOSAL

5.0 COST PROPOSAL

Vendors will be compensated for all eligible expenditures resulting from a contract for the services described in this procurement on a cost reimbursement basis. Vendors must complete the cost reimbursement cost proposal forms (*Appendix E*) and provide a narrative description of each line item. A specific statement of assurance that the actual use of funds described in the budget will not deviate from the budget by more than 10%. Expenditures will be documented based on generally accepted procedures and will be reported to DHR on a monthly basis in the manner specified by DHR. Subscriptions, membership dues, Board meeting expenses, and the purchase of food or meals for agency functions are not allowed. Expenses that apply to the overall operation of the Center should be spread proportionately across all funding sources, with only a percentage included in this budget that corresponds to the percentage of the Center's total budget that will be comprised of FP/SS funds. All monetary amounts should be rounded to the nearest penny (two decimal places). Requests for changes in the budget must be made in advance. No retroactive budget changes will be approved.

The target date for executing the contract is October 01, 2017. Contracts will be for a two year period, with the possibility of an additional year for the contract period. Budgets should be completed for each budget year. Funding may be reduced or the contract terminated at any time within the contract period, upon thirty (30) days written notice. Failure to begin a program or project at the time of the initiation of the contract may result in termination of funding. **Funding may be reduced prior to the start of the October 01, 2017 contract based availability of funds.**

Please provide a budget on the attached form according to the instructions provided and a budget narrative for the period beginning October 01, 2017 and ending September 30, 2018 and October 01, 2018 and ending September 30, 2019. Maximum budgets (including federal dollars and local match) for FY '18 for the establishment and operation of a Family Service Center in the following counties are listed below:

- ☐ Baldwin County.....\$218,891
- ☐ Calhoun County.....\$389,091
- ☐ Chambers County.....\$473,145
- ☐ Houston County.....\$466,772
- ☐ Jefferson County.....\$ 242,104
- ☐ Madison County.....\$ 394,195
- ☐ Montgomery County.....\$747,719
- ☐ Russell County.....\$230,566
- ☐ North Talladega County.....\$ 247,784
- ☐ South Talladega County.....\$337,513
- ☐ Tuscaloosa County.....\$260,662

A local match equaling 25% of the combined federal and local funding is required. Cash, goods, or services, including third party in-kind contributions, are allowable sources of match. Please identify the matching funds your agency will make available or has secured for this project.

Note: A fixed rate is specified in this RFP document for provision of services, any proposal submitted exceeding the fixed rate will be deemed non-responsive and no further consideration will be given

SECTION 6: EVALUATION CRITERIA

6.0 EVALUATION CRITERIA

The evaluation committee will review and evaluate the proposals according to the following criteria based on **a maximum possible value of 1,000 points**. Proposals failing to meet the requirements of this RFP may be deemed non-responsive or subject to point deductions. The point value assigned to each component of the **Technical Proposal and Cost Proposal** will be based on the following scoring scale.

Category	RFP Section	Point Value
Vendor Qualifying Information	35% of points for a possible 350 points	
A. Vendor Profile and Experience	4.2.5.1.1	300
B. Past and Present Contractual Relationships with the Department	4.2.5.1.2	0
C. Contract Performance	4.2.5.1.3	<i>To be Determined</i>
D. Project Staff/Resumes/Job Descriptions	4.2.5.1.4	15
E. Staff Performance Evaluations and Training	4.2.5.1.5	10
F. Background Checks	4.2.5.1.6	0
G. Vendor Financial Stability	4.2.5.2	25
Method of Providing Services	55% of points for a possible 550 points	
A. Service Delivery Approach	4.2.5.3.1	475
B. Start-up Plan	4.2.5.3.2	15
C. County to be Served	4.2.5.3.3	10
D. Number to be Served	4.2.5.3.4	0
E. Assessment of Benefits and Impact	4.2.5.3.5	15
F. Office Location	4.2.5.3.6	0
G. Community-Specific Components	4.2.5.3.7	10
H. Collaboration	4.2.5.3.8	25
I. Vendor Certifications	4.2.5.4.	0
Budget	10% of points for a possible 100 points	
A. Budget	5.0	100

APPENDIX A: STANDARD TERMS AND CONDITIONS

By submitting a response to request for proposal or acceptance of a contract, the vendor agrees to acceptance of the following Standard Terms and Conditions and any other provisions that are specific to this solicitation or contract.

ACCEPTANCE/REJECTION OF PROPOSALS: The Department reserves the right to accept or reject any or all proposals, wholly or in part, and to make awards in any manner deemed in the best interest of the Department. Proposals will be firm for 180 days, unless stated otherwise in the text of the request for proposal.

ACCESS AND RETENTION OF RECORDS: The contractor agrees to provide the Department, Legislative Auditor, or authorized agents, access to any records necessary to determine contract compliance. The contractor agrees to create and retain records supporting the services rendered or supplies delivered for a period of three years after either the completion date of the contract or the conclusion of any claim, litigation, or exception relating to the contract taken by the Department or third party.

ALTERATION OF SOLICITATION DOCUMENT: In the event of inconsistencies or contradictions between language contained in the Department's solicitation document and a vendor's response, the language contained in the Department's original solicitation document will prevail. Intentional manipulation and/or alteration of solicitation document language will result in the vendor's disqualification and possible debarment.

ASSIGNMENT, TRANSFER AND SUBCONTRACTING: The contractor shall not assign, transfer or subcontract any portion of the contract without the express written consent of the Department.

AUTHORITY: The following request for proposal, limited solicitation, or contract is issued under authority of Section 41-16-72 of the Alabama Code (Act 2001-956, 2001 3rd Sp. Sess., p 817, §1.)

CHARGE BACKS: The Alabama Department of Human Resources and Medicaid will deduct federal charge backs from future payments.

COMPLIANCE WITH LAWS: The contractor must, in performance of work under the contract, fully comply with all applicable federal, department, or local laws, rules and regulations, including the Civil Rights Act of 1964, the Age Discrimination Act of 1975, the Americans with Disabilities Act of 1990, and Section 504 of the Rehabilitation Act of 1973. Any subletting or subcontracting by the contractor subjects subcontractors to the same provision. The contractor agrees that the hiring of persons to perform the contract will be made on the basis of merit and qualifications and there will be no discrimination based upon race, color, religion, creed, political ideas, sex, age, marital status, physical or mental disability, or national origin by the persons performing the contract.

DEBARMENT: The contractor certifies, by submitting this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction (contract) by any governmental department or agency. If the contractor cannot certify this statement, attach a written explanation for review by the Department.

DISABILITY ACCOMMODATIONS: The Department does not discriminate on the basis of disability in admission to, access to, or operations of its programs, services, or activities. Individuals, who need aids, alternative document formats, or services for effective communications or other disability-related accommodations in the programs and services offered, are invited to make their needs and preferences known to this office. Interested parties should provide as much advance notice as possible.

FACSIMILE RESPONSES: Facsimile responses will not be accepted for requested for proposals or limited solicitations.

FAILURE TO HONOR PROPOSAL: If a vendor to whom a contract is awarded refuses to accept the award (contract) or, fails to deliver in accordance with the contract terms and conditions, the Department may, in its discretion, suspend the vendor for a period of time from entering into any contracts with the Department.

FORCE MAJEURE: Neither party shall be responsible for failure to fulfill its obligations due to causes beyond its reasonable control, including without limitation, acts or omissions of government or military authority, acts of God, materials shortages, transportation delays, fires, floods, labor disturbances, riots, wars, terrorist acts, or any other causes, directly or indirectly beyond the reasonable control of the non-performing party, so long as such party is using its best efforts to remedy such failure or delays.

FOREIGN CORPORATIONS (OUT-OF-STATE FIRMS): Alabama law provides that a foreign corporation (out-of-state company/firm) may not transact business in the state until it obtains a certificate of authority from the Secretary of State, Section 10-2B-15.01, Code of Alabama 1975. To obtain form for a certificate of authority, contact the Secretary of State, Corporation Division, (334) 242-5324. Not having this certificate does not keep the vendor from registering.

HOLD HARMLESS/INDEMNIFICATION: The contractor agrees to hold the Department, its elected and appointed officials, agents, and employees, while acting within the scope of their duties as such, harmless from and against all claims, demands, causes of action of any kind or character, including the cost of defense thereof, arising in favor of the contractor's employees or third parties on account of bodily or personal injuries, death, or damage to property arising out of services performed or omissions of services or in any way resulting from the acts or omissions of the contractor and/or its agents, employees, representatives, assigns, subcontractors, except for acts of omission resulting from the sole negligence of the Department, under this agreement.

LATE PROPOSALS: Regardless of cause, late proposals will not be accepted and will automatically be disqualified from further consideration. It shall be solely the vendor's risk to assure delivery at the designated office by the designated time. Late proposals will not be opened and may be returned to the vendor at the expense of the vendor or destroyed if requested.

REGISTRATION WITH THE PURCHASING DIVISION: Any business intending to transact business in Alabama must register with the Alabama Purchasing Division by completing the Vendor Disclosure Statement. A copy of the Vendor Disclosure Statement can be downloaded from the Purchasing website at www.purchasing.alabama.gov.

SEVERABILITY CLAUSE: A declaration by any court, or any other binding legal source, that any provision of the contract is illegal and void shall not affect the legality and enforceability of any other provision of the contract, unless the provisions are mutually dependent.

SOLICITATION DOCUMENT EXAMINATION: Vendors must promptly notify the Department of any ambiguity, inconsistency, or error, which they may discover upon examination of a solicitation document.

TERMINATION OF CONTRACT: Unless otherwise stated, the Department may, by written notice to the contractor, terminate the contract in whole or in part at any time the contractor fails to perform the contract.

UNAVAILABILITY OF FUNDING: The Department, at its sole discretion, may terminate or reduce the scope of the contract if available funding is reduced for any reason.

U.S. FUNDS: All prices and payments must be in U.S. dollars.

STATE OF ALABAMA
REQUEST FOR TAXPAYER IDENTIFICATION NUMBER
STATE COMPTROLLER'S OFFICE

INSTRUCTIONS. In order to receive payment by the State of Alabama, a correct tax identification number, name and address must be on our files. To insure that accurate tax information is reported on Form 1099 for federal income tax purposes, please:

1. In PART 1 below provide your Tax Identification Number and check FEIN or SSN. Also provide the name and address to which payments should be sent. In addition, provide the name of the legal signatory authority for your organization (the individual authorized in your Constitution and/or By-laws to legally obligate the organization, for example, sign a contract on behalf of the organization).
2. Circle the business designation that identifies your type of trade or business in PART 2.
3. Sign and return this form as part of the response to the RFP:

PART 1 – TAXPAYER IDENTIFICATION NUMBER, NAME AND ADDRESS.

IDENTIFICATION NUMBER _____

Check one _____ Federal Employer Identification Number (FEIN)
 _____ Social Security Number (SSN)

NAME OF ORGANIZATION: _____ PHONE: _____

LEGAL BUSINESS ADDRESS: _____

FAX: _____ EMAIL: _____

NAME & TITLE OF LEGAL SIGNATORY AUTHORITY: _____

PART 2 – BUSINESS DESIGNATION. Circle the designation that identifies your type of trade or business.

- 1 - CORPORATION, PROFESSIONAL ASSOCIATION OR PROFESSIONAL CORPORATION (A corporation formed
under the laws of any state within the United States)
- 2 - NOT FOR PROFIT CORPORATION (Section 501 (c) (3))
- 3 - PARTNERSHIP, JOINT VENTURE, ESTATE OR TRUST
- 4 - SOLE PROPRIETORSHIP OR SELF-EMPLOYED (Identification number must be Social Security Number)
- 5 - NONCORPORATE RENTAL AGENT
- 6 - GOVERNMENTAL ENTITY (City, County, State or U.S. Government)
- 7 - FOREIGN CORPORATION OR FOREIGN NATIONAL OR OTHER FOREIGN ENTITY
(A corporation or other foreign entity formed under the laws of a country other than the United States or an individual temporarily in the United States who pays taxes as a citizen of a country other than the United States.)

NOTE: Failure to complete and return this form may subject you to backup withholding in the amount of 20% of future payments pursuant to Section 3406, Internal Revenue Code.

UNDER PENALTIES OF PERJURY, I DECLARE THAT I HAVE EXAMINED THIS REQUEST AND TO THE BEST OF MY KNOWLEDGE AND BELIEF, IT IS TRUE, CORRECT AND COMPLETE.

SIGNATURE

DATE

(_____)_____
TELEPHONE NUMBER
(If different from above)

TITLE

PLEASE INCLUDE FEDERAL IDENTIFICATION NUMBER ON ALL INVOICES

APPENDIX C: TRADE SECRET AFFIDAVIT

Alabama Department of Human Resources AFFIDAVIT FOR TRADE SECRET CONFIDENTIALITY

DEPARTMENT OF _____)
County of _____)ss.

_____ (Affiant), being first duly sworn under oath, and representing _____ (hereafter "Vendor"), hereby deposes and says that:

1. I am an attorney licensed to practice in the State of _____, representing the Vendor referenced in this matter, and have full authority from the Vendor to submit this affidavit and accept the responsibilities stated herein.
2. I am aware that the Vendor is submitting a proposal to the Alabama Department of Human Resources for RFP # _____. Public agencies in Alabama are required by Alabama law to permit the public to examine documents that are kept or maintained by the public agencies, other than those legitimately meeting the provisions of the Alabama Trade Secrets Act, Alabama Code Section 8-27-1, and that the Department is required to review claims of trade secret confidentiality.
3. I have read and am familiar with the provisions of the Alabama Trade Secrets Act, am familiar with the case law interpreting it, and understand that all information received in response to this RFP will be available for public examination except for:
 - (a) trade secrets meeting the requirements of the Act; and
 - (b) information requested by the Department to establish vendor responsibility unless prior written consent has been given by the vendor.
4. I am aware that in order for the Vendor to claim confidential material, this affidavit must be fully completed and submitted to the Department, and the following conditions must be met by the Vendor:
 - (a) information to be withheld under a claim of confidentiality must be clearly marked and separated from the rest of the proposal;
 - (b) the proposal may not contain trade secret matter in the cost or price; and
 - (c) the Vendor's explanation of the validity of this trade secret claim is attached to this affidavit.
5. I and the Vendor accept that, should the Department determine that the explanation is incomplete, inadequate or invalid, the submitted materials will be treated as any other document in the department's possession, insofar as its examination as a public record is concerned. I and the Vendor are solely responsible for the adequacy and sufficiency of the explanation. Once a proposal is opened, its contents cannot be returned to the Vendor if the Vendor disagrees with the Department's determination of the issue of trade secret confidentiality.
6. I, on behalf of the Vendor, warrant that the Vendor will be solely responsible for all legal costs and fees associated with any defense by the Department of the Vendor's claim for trade secret protection in the event of an open records request from another party which the Vendor chooses to oppose. The Vendor will either totally assume all responsibility for the opposition of the request, and all liability and costs of any such defense, thereby defending, protecting, indemnifying and saving harmless the Department, or the Vendor will immediately withdraw its opposition to the open records request and permit the Department to release the documents for examination. The Department will inform the Vendor in writing of any open records request that is made, and the Vendor will have five working days from receipt of the notice to notify the Department in writing whether the Vendor opposes the request or not. Failure to provide that notice in writing will waive the claim of trade secret confidentiality, and allow the Department to treat the documents as a public record.

Documents that, in the opinion of the Department, do not meet all the requirements of the above will be available for public inspection, including any copyrighted materials.

Affiant's Signature

Signed and sworn to before me on _____ (date) by _____
_____ (Affiant's name).

Name of Notary Public: _____ for the

Department of: _____

My Commission Expires: _____



APPENDIX D: CERTIFICATE OF COMPLIANCE

State of _____)

County of _____)

CERTIFICATE OF COMPLIANCE WITH THE BEASON-HAMMON ALABAMA TAXPAYER AND CITIZEN PROTECTION ACT (ACT 2011-535, as amended by Act 2012-491)

DATE: _____

RE Contract/Grant/Incentive (describe by number or subject):

_____ by and between

_____ (Contractor/Grantee) and

_____ (State Agency, Department or Public Entity)

The undersigned hereby certifies to the State of Alabama as follows:

1. The undersigned holds the position of _____ with the Contractor/Grantee named above, and is authorized to provide representations set out in this Certificate as the official and binding act of that entity, and has knowledge of the provisions of THE BEASON-HAMMON ALABAMA TAXPAYER AND CITIZEN PROTECTION ACT (ACT 2011-535 of the Alabama Legislature, as amended by Act 2012-491) which is described herein as "the Act".

2. Using the following definitions from Section 3 of the Act, select and initial either (a) or (b), below, to describe the Contractor/Grantee's business structure.

BUSINESS ENTITY. Any person or group of persons employing one or more persons performing or engaging in any activity, enterprise, profession, or occupation for gain, benefit, advantage, or livelihood, whether for profit or not for profit. "Business entity" shall include, but not be limited to the following:

a. Self-employed individuals, business entities filing articles of incorporation, partnerships, limited partnerships, limited liability companies, foreign corporations, foreign limited partnerships, foreign limited liability companies authorized to transact business in this state, business trusts, and any business entity that registers with the Secretary of State.

b. Any business entity that possesses a business license, permit, certificate, approval, registration, charter, or similar form of authorization issued by the state, any business entity that is exempt by law from obtaining such a business license, and any business entity that is operating unlawfully without a business license.

EMPLOYER. Any person, firm, corporation, partnership, joint stock association, agent, manager, representative, foreman, or other person having control or custody of any employment, place of employment, or of any employee, including any person or entity employing any person for hire within the State of Alabama, including a public employer. This term shall not include the occupant of a household contracting with another person to perform casual domestic labor within the household.

_____(a)The Contractor/Grantee is a business entity or employer as those terms are defined in Section 3 of the Act.

_____(b)The Contractor/Grantee is not a business entity or employer as those terms are defined in Section 3 of the Act.

3. As of the date of this Certificate, Contractor/Grantee does not knowingly employ an unauthorized alien within the State of Alabama and hereafter it will not knowingly employ, hire for employment, or continue to employ an unauthorized alien within the State of Alabama;
4. Contractor/Grantee is enrolled in E-Verify unless it is not eligible to enroll because of the rules of that program or other factors beyond its control.

Certified this _____ day of _____ 20____.

Name of Contractor/Grantee/Recipient

By: _____

Its _____

The above Certification was signed in my presence by the person whose name appears above, on

this _____ day of _____ 20____.

WITNESS: _____

Printed Name of Witness

APPENDIX E: COST PROPOSAL FORMS

Contract Number:		Taxpayer ID#:	
Agency:			
Address:			
Project Title:			
Budget Period:	October 01, 2017	to	September 30, 2018
	Fiscal Year:		

BUDGET ITEMS	TOTAL COST	
1. PERSONNEL		
2. SUBCONTRACTS		
3. TRAVEL		
4. SPACE		
5. SUPPLIES		
6. EQUIPMENT		
7. OTHER		
8. TOTAL PROJECT FUNDING <i>(sum lines 1 through 7)</i>		
9. Local Share <i>(Itemize the sources and amounts under COMMENTS below)</i>		
10. Other Federal Share <i>(Itemize the sources and amounts under COMMENTS below)</i>		
11. MAXIMUM DHR SHARE <i>(line 8 minus lines 9 and 10)</i>	>>>>>>>>	
12. PERCENT DHR SHARE OF TOTAL PROJECT FUNDING <i>(Line 11 divided by line 8)</i>		

COMMENTS *(In addition to itemizing the sources and amounts of local and other non-DHR funding, include, as applicable, a brief description of the nature of each income-generating activity planned):*

NOTE: ON THE FOLLOWING PAGES, DESIGNATE CLEARLY ALL BUDGET LINE ITEMS THAT REPRESENT COSTS IN WHICH DHR WILL NOT PARTICIPATE IN WHOLE OR IN PART, I.E., IN-KIND COSTS, UNALLOWABLE COSTS, ETC. ALL COSTS FOR THE LINE ITEMS SO DESIGNATED MUST BE PAID IN FULL WITH NON-DHR FUNDS.

DHR USE ONLY

Approved for Mathematical Accuracy:

Assistance Payments, Finance Division

Date:

Contract Number:

Fiscal Year:

1. PERSONNEL: Group those Position Descriptions having identical salary details.

A. Number of Persons <i>(annotate if position is currently vacant)</i>	B. Position Description	C. Gross Salary Per Pay Period	D. % Time on Project	E. Pay Periods to be Employed	F. Total Cost (AxCx Dx E)

Subtotal Salaries:

FRINGE BENEFITS:

FICA

Workman's Compensation

Health Insurance

Other (specify)

Subtotal Fringe Benefits:

TOTAL PERSONNEL:

2. SUBCONTRACTS: Itemize each actual/proposed subcontract. All subcontracts require the Department's prior written approval.

TOTAL SUBCONTRACTS:

Contract Number:

Fiscal Year:

3. TRAVEL: All out-of-state travel requires the Department's prior written approval.

In-state

Out-of-state

TOTAL TRAVEL:

4. SPACE: <i>All repairs to facilities, regardless of the cost, require the Department's prior written approval.</i>					
Telephone					
Rent/Lease					
Use Allowance (<i>requires an FM-05 "USE ALLOWANCE – SPACE" form</i>)					
Utilities					
Upkeep (<i>buildings/grounds</i>)					
Other (<i>specify</i>)					
TOTAL SPACE:					
5. SUPPLIES: <i>Competitive bids may apply.</i>					
Office Supplies					
Custodial Supplies					
Other (<i>itemize and be specific -- attach a separate listing if needed</i>)					
TOTAL SUPPLIES:					
6. EQUIPMENT: Itemize (<i>attach a separate listing if needed</i>).					
Rental/Lease					
Use Allowance (<i>requires FM-06 "USE ALLOWANCE – EQUIPMENT" form</i>)					
Depreciation (<i>supporting documentation required -- see instructions</i>)					
Repairs					
Other (<i>specify</i>)					
TOTAL EQUIPMENT:					
7. OTHER					
Liability Insurance					
Vehicle Maintenance, such as gas, oil, etc.					
Printing					
Indirect Cost (<i>rate must be approved by the Department</i>)					
Other (<i>specify</i>)					
TOTAL OTHER:					
Contract Number:				Taxpayer ID#:	

Agency:				
Address:				
Project Title:				
Budget Period:	October 01, 2018	to	September 30, 2019	Fiscal Year:

BUDGET ITEMS			TOTAL COST	
1. PERSONNEL				
2. SUBCONTRACTS				
3. TRAVEL				
4. SPACE				
5. SUPPLIES				
6. EQUIPMENT				
7. OTHER				
8. TOTAL PROJECT FUNDING (sum lines 1 through 7)				
9. Local Share (Itemize the sources and amounts under COMMENTS below)				
10. Other Federal Share (Itemize the sources and amounts under COMMENTS below)				
11. MAXIMUM DHR SHARE (line 8 minus lines 9 and 10)			>>>>>>>>	
12. PERCENT DHR SHARE OF TOTAL PROJECT FUNDING (Line 11 divided by line 8)				

COMMENTS (In addition to itemizing the sources and amounts of local and other non-DHR funding, include, as applicable, a brief description of the nature of each income-generating activity planned):

NOTE: ON THE FOLLOWING PAGES, DESIGNATE CLEARLY ALL BUDGET LINE ITEMS THAT REPRESENT COSTS IN WHICH DHR WILL NOT PARTICIPATE IN WHOLE OR IN PART, I.E., IN-KIND COSTS, UNALLOWABLE COSTS, ETC. ALL COSTS FOR THE LINE ITEMS SO DESIGNATED MUST BE PAID IN FULL WITH NON-DHR FUNDS.

DHR USE ONLY			
Approved for Mathematical Accuracy:			
Assistance Payments, Finance Division			Date:
Contract Number:		Fiscal Year:	

1. PERSONNEL: Group those Position Descriptions having identical salary details.

A. Number of Persons (annotate if position is currently vacant)	B. Position Description	C. Gross Salary Per Pay Period	D. % Time on Project	E. Pay Periods to be Employed	F. Total Cost (AxCxDxE)

Subtotal Salaries:

FRINGE BENEFITS:

FICA

Workman's Compensation

Health Insurance

Other (specify)

Subtotal Fringe Benefits:

TOTAL PERSONNEL:

2. SUBCONTRACTS: Itemize each actual/proposed subcontract. All subcontracts require the Department's prior written approval.

TOTAL SUBCONTRACTS:

Contract Number:

Fiscal Year:

3. TRAVEL: All out-of-state travel requires the Department's prior written approval.

In-state

Out-of-state

TOTAL TRAVEL:

4. SPACE: All repairs to facilities, regardless of the cost, require the Department's prior written approval.

Telephone

Rent/Lease

Use Allowance (<i>requires an FM-05 "USE ALLOWANCE – SPACE" form</i>)					
Utilities					
Upkeep (<i>buildings/grounds</i>)					
Other (<i>specify</i>)					
TOTAL SPACE:					
5. SUPPLIES: <i>Competitive bids may apply.</i>					
Office Supplies					
Custodial Supplies					
Other (<i>itemize and be specific -- attach a separate listing if needed</i>)					
TOTAL SUPPLIES:					
6. EQUIPMENT: Itemize (<i>attach a separate listing if needed</i>).					
Rental/Lease					
Use Allowance (<i>requires FM-06 "USE ALLOWANCE – EQUIPMENT" form</i>)					
Depreciation (<i>supporting documentation required -- see instructions</i>)					
Repairs					
Other (<i>specify</i>)					
TOTAL EQUIPMENT:					
7. OTHER					
Liability Insurance					
Vehicle Maintenance, such as gas, oil, etc.					
Printing					
Indirect Cost (<i>rate must be approved by the Department</i>)					
Other (<i>specify</i>)					
TOTAL OTHER:					

APPENDIX F: INSTRUCTIONS FOR COST PROPOSAL FORMS

Each line item in the budget must reflect the **total planned combined project cost** for that line item. Page 1 represents a summary of the totals from the remaining pages. All departmental funds are subject to the constraints set forth in the contract, the Contract Compliance Requirements document, all other departmental directives and the instructions set forth herein.

Approval of the budget does not constitute approval to actually incur any expenditure designated as requiring Department's prior written approval. For the budget items so designated, the Department's prior written approval must be obtained before the expense is actually incurred.

PAGE 1

Contract Number: *To be assigned by DHR.*

Taxpayer ID: *Self-explanatory.*

Agency: *Self-explanatory.*

Address: *Self-explanatory.*

Project Title: *Self-explanatory.*

Budget Period: *The period during which the budget will be in effect, normally the fiscal year, October 1 through September 30, unless otherwise advised by the Department.*

Include the totals for the seven budget sections from pages 2-3. In addition, include the following additional items:

8. **TOTAL PROJECT FUNDING:** Enter the sum of lines 1-7. This should reflect the total amount of funds from all funding sources to be used to fund the project.
9. **LOCAL SHARE:** Enter the total amount of local funds from all non-federal sources (including in-kind contributions) to be used, in whole or in part, to fund the project. Itemize the sources and amounts under the Comments section.
10. **OTHER FEDERAL SHARE:** Enter the total amount of federal funds received from sources other than DHR to be used, in whole or in part, to fund the project. Itemize the sources and amounts under the Comments section.
11. **MAXIMUM DHR SHARE:** Subtract lines 9 (Local Share) and 10 (Other Federal Share) from line 8 to reflect the maximum DHR share of the total budgeted project funding.
12. **PERCENT DHR SHARE:** Enter the DHR share as a percent of the total project funding by dividing line 11 by line 8.

COMMENTS: Itemize, as applicable, the sources and amounts of all funds represented in lines 9 and 10 above. In addition, include, as applicable, a brief description of the nature of each income-generating activity planned. NOTE: Contractors must obtain the Department's prior approval to earn program income in the course of administering the project. (See the Contract Compliance Requirements document for additional instructions pertaining to earning and accounting for program income.)

Note: on the budget line items represented on pages 2 and 3 of the budget form, designate clearly all budget line items that represent costs in which DHR will not participate in whole or in part, i.e., in-kind costs, unallowable costs, etc. All costs for the line items so designated must be paid in full with non-DHR funds.

PAGE 2

PERSONNEL: Itemize each type position separately. In addition, itemize each like position with different annual salary amounts or different percentages of time spent on the project. Attach an additional sheet if necessary (use the same column headings).

- A. **Number of Persons** – List the number of persons having same position, salary, percent (%) time worked on project, and months or pay periods to be employed.
- B. **Position** – Give the Position Title. Designate part-time employees by placing (PT) after position title.
- C. **Gross Salary Per Pay Period** – Show total projected salary per pay period (monthly, biweekly, weekly or hourly rate) and indicate the pay period method used. This should reflect the pay period method that will actually be used to pay the employee. Include any anticipated salary increases. When a salary increase is anticipated during budget year, show the position for the number of pay periods at each salary level.
- D. **Percent (%) Time on Project** – Show the percentage of time employee works on this project.
- E. **Pay Periods to be Employed** – Show pay periods to be worked at each salary level.
- F. **Cost** – Multiply A x C x D x E to arrive at Total Cost. Total all staff position costs to arrive at personnel subtotal.

Example:

A. Number of Persons	B. Position Description	C. Gross Salary Per Pay Period	D. %Time on Project	E. Pay Periods to be Employed	F. Cost
1	Director	\$900 (Monthly)	100	8	\$7,200
		950 (Monthly)	100	4	3,800
4	Aides	200 (biweekly)	100	26	20,800
1	Bookkeeper	4.50 (hourly)	50	2080	4,680
Subtotal					\$36,480

Fringe Benefits: Itemize fringe benefit costs and insert the appropriate subtotal.

Total Personnel: Add the subtotals for personnel and fringe benefits.

SUBCONTRACTS Itemize individually each subcontract for a major component of the contract program, including, but not limited to, program administration, determining eligibility for services, etc. Attach an additional sheet if necessary and use the same column headings. **All subcontracts require the Department's prior written approval.** (See the Contract Compliance Requirements document for additional instructions.) **Do NOT include** costs associated with maintenance agreements, lease agreements, financial audits, data processing services, contract labor or other services for which there is a specific budget line item.

PAGE 3

TRAVEL This is to be used for staff travel. In-state consists of travel within the State of Alabama, directly related to, and required in the performance of, an employee's duties under the current contract. **Eligible in-state travel will be reimbursed at the authorized State mileage and per diem rates in effect at the time the cost is actually incurred.** (Rates are available from the Department upon request.) **All out-of-state travel requires the Department's prior written approval.** Only reasonable and actual expenses incurred for out-of-state travel are allowable.

SPACE

Telephone: Actual costs are to be budgeted when used solely for the contract program. When the contract program is part of a larger operation, the monthly charges should be prorated based on sound accounting principles. A long distance log must be maintained to document long-distance charges to be billed to the program. **Do NOT include deposit fees or the cost of purchasing telephones or telephone networks or systems.**

Rent/Lease: Rent is allowable pursuant to federal guidelines. Three statements of comparable rent (FM-04) are required and the lowest rent statement will be used as the maximum allowable rent. These statements should be maintained on file at the agency. Rent should be prorated according to the square footage occupied by overall operation when the project is only one component of a larger program. The above form is available from the Department upon request.

Use Allowance: To be used when the program occupies a building that it owns. A Use Allowance – Space form (FM-05) and three comparable rent statements (FM-04) are required and should be maintained on file at the agency. Copies of these forms are available from the Department upon request.

Utilities: Include all utilities associated with power, gas and water. These costs should be prorated on the same basis as rent. **Do not include such costs as Cable TV, cell phone, telephone or Internet access.**

Upkeep (buildings/grounds): Include costs for persons such as a janitor, lawn-keeper or maintenance person when the person is not otherwise an employee. **Do NOT include any costs that are the responsibility of the owner or lessor.**

Minor Repairs: Include only minor repairs. An example of a minor repair is replacing broken window panes or painting an office. Renovations such as constructing a new wall, remodeling a room, etc., are not allowable. **Do NOT include any costs that are the responsibility of the owner or lessor. All repairs to facilities require the Department's prior written permission, regardless of the cost of the repair.**

Other (specify): Items must not otherwise be the responsibility of the property owner or lessor. Itemize and be specific.

SUPPLIES

NOTE: COMPETITIVE BIDS MAY APPLY.

Office Supplies: Include general office supplies, for example, pencils, paper, carbon paper, erasers, etc.

Custodial Supplies: Include only supplies related to janitorial/custodial work, for example, cleaning supplies, mops, brooms, dust pans, etc.

Other (specify): Include an itemized listing and detailed description of each item. Attach a separate itemized listing as needed.

EQUIPMENT The Department's prior written approval is required before procuring any equipment, regardless of the cost, with funds received under the contract. Attach an itemized listing for

equipment represented in the following line items and include detailed identifying information for each item, for example, make, model, serial number, model number, cost, inventory number and the name of the user.

Rental/Lease: Include, as applicable, all costs associated with the rental or lease of equipment. (An itemized list must be attached, as described above.)

Use Allowance: A use allowance for equipment owned by the contractor and used in the contract program may be included in lieu of the depreciation allowance only if the equipment is not purchased in whole or in part with contract funds or with other Federal/State funds. An FM-06 "Use Allowance – Equipment" form is required and should be maintained on file by the contractor for all use allowances for equipment billed under the contract. No use allowance is allowable on any equipment item that is fully depreciated.

Depreciation: A depreciation allowance, as described in the Contract Compliance Requirements document, may be included in lieu of a use allowance for equipment owned by the contractor and used in the contract program only if the equipment is not purchased in whole or in part with contract funds or with other Federal/State funds. Reference the Contract Compliance Document for the appropriate methodology for calculating the applicable amount of depreciation. No depreciation is allowable on any equipment item that is fully depreciated. (An itemized list must be attached, as described above.)

Repairs: Include reasonable costs associated with repairs related to equipment used by the program. **Repairs that equal or exceed \$200 require the Department's prior written permission.** (An itemized list must be attached, as described above.)

Other (specify): Itemize, as applicable, and be specific. (Attach a separate sheet as needed.)

OTHER

Liability Insurance: Include only the premium costs for insurance policies required under the contract with the Department.

Vehicle Maintenance: Include only the costs for operating and maintaining vehicles owned by the agency that are used in the course of performing services under the contract. Include only routine costs such costs as gas, oil, etc.

Printing: Include the cost incurred in the course of performing services under the contract.

Indirect Cost: Include all indirect costs allocable to the Department. This must reflect anticipated actual indirect costs. **(General admin. fees are not allowable.) Attach a detailed itemized listing that describes each cost item that makes up this line item.**

Other (specify): Include miscellaneous costs such as postage, audit (requires the Department's prior approval) bank stop payment fees, etc., **but do not include any item for which a space is otherwise provided elsewhere in the budget.**

***NOTES:** Funds designated within budget line items 1 (personnel), 2 (subcontracts) or 6 (equipment) may not be exceeded without the Department's prior written approval. These type changes, as well as changes in the budgeted salary amounts, require a budget amendment. Funds within budget line items 3 (travel), 4 (space), 5 (supplies) and 7 (other) may be transferred among those same line items as needed in order to accommodate fluctuations in actual expenditure patterns, provided there is no change in the overall budget total. These type changes do not require a budget amendment, unless they would result in the overall budget total being exceeded.*