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**GUIDELINES FOR THE EVALUATION CHECKLISTS FOR THE
AWARD OF COMPETITIVE CONTRACTS**

MAY 2011

SECTION A: Organization

Assess the organization's value, adhere to the DDS mission and potential ability to accomplish the proposal and operate the program.

1. **Mission and Philosophy:** Review the formal mission and organizational philosophy contained in each proposal and compare it to the DDS Mission and Vision. Look for clear evidence of consistency between the agency statement and the principles contained in the DDS Mission/Vision, such as:

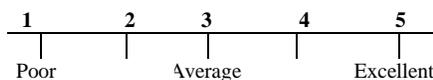
- community presence and participation
- development of skills and competence
- fostering individual choice
- strengthening personal and family relationships
- respect and dignity
- developing natural support networks
- prompting individual control over selection of supports and service providers
- using individual preferences in establishing goals and objectives
- engaging in collaboration with other community service providers

Review the proposal to identify proposed practices which are also consistent with the DDS Mission/Vision. Examples include focusing on person-centered planning, incorporating the Accreditation Council Performance Outcomes measures as an evaluation tool, special and unique efforts to include family and friends, using generic services and supports when appropriate, establishing a "circle" of natural supports for the individuals in the program, providing extra opportunities for meaningful participation in community life (e.g., volunteerism, membership in religious or civic organizations, etc.), seeking competitive jobs in the real workplace, etc

Where possible review the history of the agency to identify actual and historical practices which may support their stated philosophy and proposed actions (i.e., do they "practice what they preach").

Rating Scale Guidelines

Score each criterion on a relative scale of 1-5. Use the descriptions as a guide for assigning scores. Consider a score of 2 as midway between 1 and 3: a score of 4 as a midway between 3 and 5.



(1) POOR:

The mission & philosophy of the organization is not consistent with the principles contained in the DDS Mission/Vision. The proposal does not address community inclusion, choice, relationships, client/family preference, etc. The organization does not possess necessary management, independent oversight, support and/or clinical resources or expertise to adequately meet the needs of the individuals to be served in the program.

(2)

(3) AVERAGE:

The mission & philosophy of that organization is generally consistent with the DDS Mission/Vision. The proposal articulates the philosophy and presents evidence of proposed practices which will promote inclusion, choice, empowerment, relationship-building, etc. The organization has an adequate resource-base, management structure and history in working with similar populations to meet the needs of the individuals to be served in the program. The Board is independent and provides adequate oversight.

(4)

(5) EXCELLENT:

The mission & philosophy of the organization exemplifies the DDS Mission/Vision. The organization very clearly illustrates how it will practice these principles. It has a consistent history of demonstrating outstanding efforts to promote meaningful inclusion and integration, client and family choice and control, building and supporting long-term relationships and networks. The organization has demonstrated special expertise in meeting the needs of similar population. There is an excellent resource base which supports the program. Management resources are either specifically dedicated to the program or are readily available to provide close support. The Board in broad based, independent and plays an active role in governing the agency.

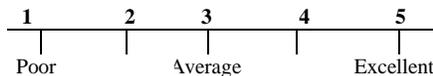
2. Organizational Resources: Review the relative strengths and weaknesses of the organization based on any identified areas of demonstrated expertise. (e.g., strong history of supporting people with severe challenging behaviors or significant medical needs, etc.).

Evaluate the availability of clinical and other support personnel or resources that are necessary to provide expert and timely services to the people who will be served in the program. Are there sufficient linkages with medical, hospital, psychiatric, nursing services? Where are they located and can they be assessed in an efficient fashion? Are there other programs in the area which could provide back up staff and associated resources when necessary or is the program isolated? Also consider the relationship of management and supervisory support. Assess the proximity, span of control and general availability of administrative oversight of the program.

3. Board of Directors: Assess the relative independence of the agency’s Board of Directors and its ability and history in governing the agency and its administration. Identify the membership of the Board, with particular reference to conflict of interest (e.g., employee members, family relationships, etc.) and the presence of consumers and/or family representation. Evaluate the extent to which the Board plays an active role in overseeing agency operations and executive decisions (e.g., frequency and content of meetings).

Rating Scale Guidelines

Score each criterion on a relative scale of 1-5. Use the descriptions as a guide for assigning scores. Consider a score of 2 as midway between 1 and 3: a score of 4 as a midway between 3 and 5.



(1) POOR:

The mission & philosophy of the organization is not consistent with the principles contained in the DDS Mission/Vision. The proposal does not address community inclusion, choice, relationships, client/family preference, etc. The organization does not possess necessary management, independent oversight, support and/or clinical resources or expertise to adequately meet the needs of the individuals to be served in the program.

(2)

(3) AVERAGE:

The mission & philosophy of that organization is generally consistent with the DDS Mission/Vision. The proposal articulates the philosophy and presents evidence of proposed practices which will promote inclusion, choice, empowerment, relationship-building, etc. The organization has an adequate resource-base, management structure and history in working with similar populations to meet the needs of the individuals to be served in the program. The Board is independent and provides adequate oversight.

(4)

(5) EXCELLENT:

The mission & philosophy of the organization exemplifies the DDS Mission/Vision. The organization very clearly illustrates how it will practice these principles. It has a consistent history of demonstrating outstanding efforts to promote meaningful inclusion and integration, client and family choice and control, building and supporting long-term relationships and networks. The organization has demonstrated special expertise in meeting the needs of similar population. There is an excellent resource base which supports the program. Management resources are either specifically dedicated to the program or are readily available to provide close support. The Board is broad based, independent and plays an active role in governing the agency.

SECTION B: Previous Provider Performance

Assess the organizations past performance and history in five (5) areas, as follows:

1. Program and Legal Performance: Review the quality and consistency of programs and services provided by the provider over the past few years. Consider regulatory compliance, results of ongoing monitoring and review, incidents and special concerns, presence of any special or mandated corrective actions, provider developed quality indicators, accreditation, QSR Performance Outcomes, etc.

Potential sources of information included:

- Licensing reports
- Quality Service Reviews (QSR)
- ICF/MR reports
- Consumer incident reports
- PRC and HRC reviews
- Special Concerns
- Legal Actions & Stipulated Agreements
- CARF accreditation
- Quality reports from other State Departments
- Case Management reviews and reports
- Contract Monitoring reports, etc.

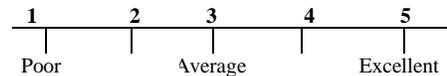
2. Consumer Satisfaction: Review both formal and informal indicators of consumer, family, Case Manager, advocate and guardian satisfaction with services provided by the provider. The results of provider surveys, DDS surveys, history of complaints, letters of recommendation and support from consumers, etc. should be considered.

3. Fiscal: Review past audits, licensing reports and DSS reports to assess compliance with all regulations pertaining to management of consumer and program funds. Identify and note deficiencies, audit exceptions or special concerns related to the control, use and management of money.

4. Housing or Project Development: Review the provider history in developing and securing residential and or day program facilities. Evaluate the timeliness of acquisition, quality of housing, general upkeep and maintenance of facilities and ability to operate housing within budget or established reimbursement rates.

Rating Scale Guidelines

Score each criterion on a relative scale of 1-5. Use the descriptions as a guide for assigning scores. Consider a score of 2 as midway between 1 and 3: a score of 4 as a midway between 3 and 5.



(1) POOR:

The provider has a history of poor performance in two or more of the 5 categories reviewed. There is past evidence that the provider has not been able to appropriately meet the programmatic, housing, project development, or financial standards required for maintaining a proper level of care without special oversight or intervention.

(2)

(3) AVERAGE:

The provider has demonstrated an adequate level of compliance with regulations and formal program requirements. There is evidence of general satisfaction with most services provided by the provider. Housing or project development and management of finances is satisfactory.

(4)

(5) EXCELLENT:

The provider has an above average record of providing quality programs and services. Formal compliance indicators and consumer satisfaction ratings are consistently good. Housing or project development is timely and finances are well managed. The provider has a positive cash flow and adequate financial resources to maintain a high level of services and meet unforeseen emergencies.

5. Financial Management: Review the provider’s history in managing and operating within budget and managing consumer’s individual finances. Maintains a credit line to meet financial needs. Identify any indicators that the provider has experienced substantial difficulties in maintaining a positive cash flow, such as repeated need for special processing of payment, repeated requests for additional funding, complaints from subcontractors about timely payment, reduction of services, inability to secure an adequate credit line, deterioration of facilities or equipment, late payment of payroll obligations, etc, Consider outstanding debt in relation to assets and revenues.

Rating Scale Guidelines

Score each criterion on a relative scale of 1-5. Use the descriptions as a guide for assigning scores. Consider a score of 2 as midway between 1 and 3: a score of 4 as a midway between 3 and 5.

| | | | | |
|------|---|---------|---|-----------|
| 1 | 2 | 3 | 4 | 5 |
| | | | | |
| Poor | | Average | | Excellent |

(1) POOR:
The provider has a history of poor performance in two or more of the 5 categories reviewed. There is past evidence that the provider has not been able to appropriately meet the programmatic, housing, project development, or financial standards required for maintaining a proper level of care without special oversight or intervention.

(2)

(3) AVERAGE:
The provider has demonstrated an adequate level of compliance with regulations and formal program requirements. There is evidence of general satisfaction with most services provided by the provider. Housing or project development and management of finances is satisfactory.

(4)

(5) EXCELLENT:
The provider has an above average record of providing quality programs and services. Formal compliance indicators and consumer satisfaction ratings are consistently good. Housing or project development is timely and finances are well managed. The provider has a positive cash flow and adequate financial resources to maintain a high level of services and meet unforeseen emergencies.

SECTION C: Support Strategies

Evaluate the proposal in terms of its ability to meet the identified needs of the consumers in the RFP and according to the four criteria outlines below.

1. Individual Supports and Services: Assess how the proposed program will meet the health and safety, behavioral, psychiatric, educational, habilitative, and the overall quality of life needs of the people to be served. Consider any specialized services and supports for one or more of the people to be served, which can include medical and nursing services, adaptive equipment, recreation, fitness and social needs, unique staff skills, language and cultural needs, etc.

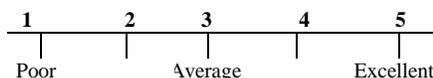
2. Adherence to RFP: Assess how well the proposal meets all of the individual support needs. Review specific support areas to determine if they have been appropriately addressed in the proposal.

3. Community Resources and Personal Networks: Evaluate the extent to which the proposal incorporates the utilization of community services and the development of individual networks of support, including family and friends, community organizations, self advocacy opportunities, and social networks that might reduce the reliance on segregated services.

4. Legal Requirements: Review the proposal for its adherence to any legal and regulatory requirements, such as the need for licensing, court ordered stipulations, DDS policy (Human Rights, Individual Planning, Program Review, staff qualifications) and associated requirements, etc.

Rating Scale Guidelines

Score each criterion on a relative scale of 1-5. Use the descriptions as a guide for assigning scores. Consider a score of 2 as midway between 1 and 3: a score of 4 as a midway between 3 and 5.



(1) POOR:

The proposal does not fully meet the individual needs or does not recognize the individual circumstances of the people to be served. It does not adequately address the development of community involvement or the general quality of life, cultural and language needs of the people to be served.

(2)

(3) AVERAGE:

The proposal generally addresses all of the individual supports and services and demonstrates efforts to recognize and provide support strategies to meet individual needs. Community resources and social networks are potentially available. Any legal requirements in the RFP are met.

(4)

(5) EXCELLENT:

The proposal addresses all of the specific needs of each individual to be served and provides significant details to address special consumer circumstances. It addresses all legal requirements in the RFP. The proposal provides numerous opportunities for the inclusion of community resources and the establishment and ongoing support of personal networks.

SECTION D: Personal Preferences and Relationships

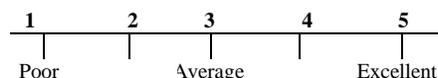
Evaluate the proposal in terms of strategies, which encourage and facilitate the inclusion of personal preferences and relationships as a mechanism for meeting individual needs.

1. Personal Preferences: Assess how well that proposal addresses any personal preferences of the people to be served. Consider the extent to which it recognizes and values person-centered planning and the ability of the individual to determine the focus of services. Preferences in leisure time, home ownership, routines, schedules, location, work, hobbies, service providers, etc., are areas for consideration.

2. Relationships: Evaluate the extent to which the proposal attempts to assist individuals and their families and friends to maintain important relationships. Consider efforts to provide transportation for family visits, invite family and friends into the normal routine of the program, strengthen involvement in planning activities, etc. If there are no existing relationships, review strategies to develop or re-establish family contacts and friendships.

Rating Scale Guidelines

Score each criterion on a relative scale of 1-5. Use the descriptions as a guide for assigning scores. Consider a score of 2 as midway between 1 and 3; a score of 4 as a midway between 3 and 5.



(1) POOR:

The proposal does not address the role of personal preferences in the design of services and supports. No special attention is paid to building or maintaining ongoing relationships of family or friends for the people to be served.

(2)

(3) AVERAGE:

The proposal supports the inclusion of individual preferences and maintenance of important relationships. No extraordinary strategies, however, are identified.

(4)

(5) EXCELLENT:

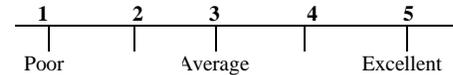
The proposal places a special emphasis on valuing and including personal preferences as means of shaping the services and supports. Unique or exceptionally powerful strategies are identified to develop and strengthen personal relationships for the people to be served.

SECTION E : Proposed Time Frames

Evaluate the proposal in terms of its ability to meet the project's time frame. Particular attention should be given to the feasibility of housing or facility acquisition, hiring and training of staff and support personnel, establishment of any special service contracts, vehicle acquisition and transition planning. Consider the proposed mechanisms for financing start-up and development costs. If the proposal will rely on third part financing or management of the development process, review the extent to which the agency will be able to control and direct these processes. Identify any interim or temporary plans for beginning the program if difficulties arise. Reference the proposed time table against historical experience with similar projects (i.e., is it practical and feasible?).

Rating Scale Guidelines

Score each criterion on a relative scale of 1-5. Use the descriptions as a guide for assigning scores. Consider a score of 2 as midway between 1 and 3: a score of 4 as a midway between 3 and 5.



(1) POOR:

The proposal is not able to meet the identified time-frame for the project start-up. Financing is uncertain. There is no evidence of a feasible plan to start the program within a reasonable period of time if problem in development occur.

(2)

(3) AVERAGE:

The proposal generally meets the identified time-frame for project start-up. Development mechanism, financing and staff resources appear practical.

(4)

(5) EXCELLENT:

The proposal is able to meet or exceed project requirements for start-up. There is clear evidence of the human resources and financial ability to accomplish any development, acquisition or start-up activities without being compromised by external obstacles. A back-up contingency plan is articulated to guarantee initiation of the program on time.

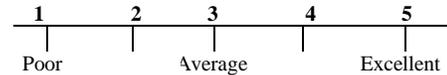
SECTION F: Support/Staffing Patterns

Evaluate the proposal in terms of the proposed staffing patterns. Consider the relationship between consumer needs and the type and numbers of direct and support service personnel assigned to the program. Review the proposed schedules across a 24-hr, 7-day per week time period. In evaluating the support of staffing patterns consider a wide range of variables including:

- Level of direct supervision and support needs based on the Level of Need (LON)
- Medical and physical disability levels and needs (e.g., nursing)
- Need for assistance in transferring, bathing, mealtime activities
- Special instructional needs
- Physical characteristics of the setting (e.g., 1 floor, multi-level, presence of adaptive equipment or modifications to the facility, fire safety enhancements, location, etc.)
- Safety needs related to evacuation and emergency response
- Needs for special behavior management procedures
- Proximity to other programs
- Presence of supervision and/or professional, indirect staff support
- Day program schedules
- Provision of transportation to day programs
- Community activities being proposed
- Use of volunteers
- Use of technology to enhance staff efficiencies and link personnel to other resources
- Full time equivalent totals - FTE
- Number of support hours
- Staffing schedules need to be clear and easy to interpret
- Third shift staffing (awake vs. asleep)
- Plan on how staff will be trained and monitored to ensure consumer outcomes and health and safety needs are met.

RATING SCALE GUIDELINES

Score each criterion on a relative scale of 1-5. Use the descriptions as a guide for assigning scores. Consider a score of 2 as midway between 1 and 3; a score of 4 as a midway between 3 and 5.



(1) POOR:

The proposed staffing for the program is not appropriate for the type of services and supports necessary to meet the needs of the people to be served. There are insufficient numbers of personnel, required professional staff are not available when needed and/or the proposed schedule compromises the ability of the program to safely meet all needs.

(2)

(3) AVERAGE:

The proposed staffing generally meets the needs of the individuals to be served. There is evidence of staffing enhancements such as specialized training, on-site availability of professional resources, use of technology to link personnel and/or extraordinary and unique methods to incorporate volunteers as an enhancement.

(4)

(5) EXCELLENT:

The proposed staffing for the program fully meets or exceeds the special needs of the people to be served. There is evidence of staffing enhancements such as specialized training, on-site availability of professional resources, use of technology to link personnel and/or extraordinary and unique methods to incorporate volunteers as an enhancement.

SECTION G: Budget/Cost Effectiveness

Evaluate the proposal's budget in terms of its appropriateness to efficiently meet all of the identified needs of the individuals and support all of the services and programs being proposed. Determine whether the budget proposal is within the funding amount available for this project. Compare the costs with those in competing budgets. Compare the type and amount of services proposed with competing budgets. Determine whether costs for services outlined (defined) in the proposal are feasible and realistic. Review the three criteria listed below:

1. **Relationship to Available Funding:** Determine whether the budget proposal is within the funding amount available for this project.

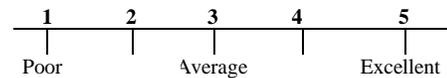
2. **Compare Budget to Other Proposals:** Consider types and amount of services offered and ability to meet individual needs. Be sure to use direct and management (A&G) costs and remove costs that are not part of the service budget, such as room and board.

3. **Indirect Costs:** Look at indirect costs and the percentage of the budget assigned to this area. Consider and compare the amount assigned to this area and any specific justifications noted for these costs.

4. **Feasibility of Proposal:** Look at the type and amount of services and determine if the budget will be able to support these. If possible, compare to similar programs currently in operation to assist in determining if the services and supports can be provided within the proposed budget.

RATING SCALE GUIDELINES

Score each criterion on a relative scale of 1 – 5. Use the descriptions as a guide for assigning scores. Consider a score of 2 as midway between 1 and 3; a score of 4 as midway between 3 and 5.



(1) POOR:

The budget is above the available funding amount. The proposed budget is not feasible and cannot support the services proposed. A high level of funding is assigned to A&G. The proposal is more expensive than other proposals with the same level of service.

(2)

(3) AVERAGE:

The budget is at the available funding amount. The [proposed budget appears adequate to support the services proposed. The amount assigned to A&G is at or under the cap allowed. The cost of the proposal is average in comparison with other proposals.

(4)

(5) EXCELLENT:

The budget is below the available funding amount. The proposed budget is able to support the services proposed in a cost effective manner allowing for some expansion as needed. The A&G is below the cap and use is well defined. The proposed budget is more cost effective than most of the other proposals.