

**State of Hawai'i
Department of Health
Alcohol and Drug Abuse Division
Program Development Services Office**

**Request for Proposal
RFP Number: HTH 440-8-4**

RFP Title:
Substance Abuse Prevention Services
Enforcing Underage Drinking Laws

Contract Period:
(December 1, 2006 through May 31, 2008)

Date Issued: 09/29/2006

SEPTEMBER 29, 2006

REQUEST FOR PROPOSALS

ENFORCING UNDERAGE DRINKING LAWS PROGRAM

RFP No. 440-8-4

The Department of Health, Alcohol and Drug Abuse Division, Program Development Services Office is requesting proposals from qualified applicants to provide the Enforcing Underage Drinking Laws program (statewide) to support implementation of programs and projects under the statewide enforcement of underage drinking strategy. The contract term will be from Notice to Proceed or December 1, 2006 (whichever comes first) through May 31, 2008. A single contract will be awarded under this request for proposals.

Proposals shall be mailed, postmarked by the United States Postal Service before 12:00 midnight on or before October 27, 2006, and received no later than 10 days from the submittal deadline. Hand delivered proposals shall be received no later than 4:30 p.m., Hawaii Standard Time (HST), on October 27, 2006, at the drop-off sites designated on the Proposal Mail-in and Delivery Information Sheet. Proposals postmarked or hand delivered after the submittal deadline shall be considered late and rejected. There are no exceptions to this requirement.

The Alcohol and Drug Abuse Division will conduct an orientation on October 6, 2006 from 9:00 a.m. to 12:00 noon HST, at 601 Kamokila Boulevard, Room 360, Kapolei, Hawaii. All prospective applicants are encouraged to attend the orientation.

The deadline for submission of written questions is 4:30 p.m., HST, on October 9, 2006. All written questions will receive a written response from the State on or about October 10, 2006.

Inquiries regarding this RFP should be directed to the RFP contact person, Mr. Alan Yamamoto at 601 Kamokila Boulevard, Room 360, Kapolei, Hawaii, 96707 telephone: (808) 692-7517, fax: (808) 692-7521, e-mail: alan.yamamoto@doh.hawaii.gov.

PROPOSAL MAIL-IN AND DELIVERY INFORMATION SHEET

NUMBER OF COPIES TO BE SUBMITTED: 5
One (1) original hard copy and four (4) CD diskettes

ALL MAIL-INS SHALL BE POSTMARKED BY THE UNITED STATES POSTAL SERVICE (USPS) NO LATER THAN **October 29, 2006** and received by the state purchasing agency no later than **10 days from the submittal deadline.**

All Mail-ins & Hand Deliveries

Department of Health
Alcohol and Drug Abuse Division
601 Kamokila Blvd., Room 360
Kapolei, Hawaii 96707

RFP COORDINATOR

Alan Yamamoto
Alcohol and Drug Abuse Division
Program Development Services Office
Phone: 808-692-7517

ALL HAND DELIVERIES SHALL BE ACCEPTED AT THE FOLLOWING SITES UNTIL **4:30 P.M., HST, October 27, 2006.** Deliveries by private mail services such as FEDEX shall be considered hand deliveries. Hand deliveries shall not be accepted if received after 4:30 p.m., HST, October 27, 2006.

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SECTION 1:

ADMINISTRATIVE OVERVIEW

Section 1 Administrative Overview

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

I. Procurement Timetable

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

Activity	Scheduled Date
Request for Information notice	<u>July 17, 2006</u>
Request for Information meeting	<u>July 21, 2006</u>
Public notice announcing RFP	<u>September 29, 2006</u>
Distribution of RFP	<u>September 29, 2006</u>
RFP orientation session	<u>October 6, 2006</u>
Closing date for submission of written questions for written responses	<u>October 9, 2006</u>
State purchasing agency's response to applicants' written questions	<u>October 10, 2006</u>
Discussions with applicant prior to proposal submittal deadline (optional)	<u>Not Applicable</u>
Proposal submittal deadline	<u>October 27, 2006</u>
Discussions with applicant after proposal submittal deadline (optional)	<u>Not Applicable</u>
Final revised proposals (optional)	<u>Not Applicable</u>
Proposal evaluation period	<u>November 2006</u>
Provider selection and award	<u>November 2006</u>
Notice of statement of findings and decisions	<u>November 2006</u>
Contract start date	<u>December 2006</u>

II. Website Reference

The State Procurement Office (SPO) website is www.spo.hawaii.gov

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

Non-SPO websites

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

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

III. Authority

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

IV. RFP Organization

This RFP is organized into five sections:

Section 1, Administrative Overview--Provides applicants with an overview of the

procurement process.

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

Section 3, POS Proposal Application--Describes the required format and content for the proposal application.

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

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

V. Contracting Office

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

Alcohol and Drug Abuse Division
Department of Health, State of Hawaii
Kakuhihewa Building,
601 Kamokila Blvd., Room 360
Kapolei, Hawaii 96707
Phone: (808) 692-7517 Fax: (808) 692-7521

VI. Orientation

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

Date: October 6, 2006 **Time:** 9:00 a.m. to 12:00 noon

Location: Kakuhihewa Building, Room 360

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

VII. Submission of Questions

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

Deadline for submission of written questions:

Date: October 9, 2006 Time: 12:00 midnight HST

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

Date: October 10, 2006

VIII. Submission of Proposals

- A. **Forms/Formats** - Forms, with the exception of program specific requirements, may be found on the State Procurement Office website (See page 1-2, Websites References in this RFP. Refer to the Proposal Application Checklist for the location of program specific forms).
1. **Proposal Application Identification (Form SPO-H-200)** - Provides identification of the proposal.
 2. **Proposal Application Checklist** – Provides applicants with information on where to obtain the required forms; information on program specific requirements; which forms are required and the order in which all components should be assembled and submitted to the state purchasing agency. (Section 5, Attachment A)
 3. **Table of Contents** - A sample table of contents for proposals is located in Section 5, Attachments. This is a sample and meant as a guide. The table of contents may vary depending on the RFP. (Section 5, Attachment B)
 4. **Proposal Application (Form SPO-H-200A)** - Applicant shall submit comprehensive narratives that address all of the issues contained in the Proposal Application Instructions, including a cost proposal/budget if required. (Refer to Section 3 of this RFP.)
 5. **Tax Clearance** – A certified copy of a current valid tax clearance certificate issued by the State of Hawaii, Department of Taxation (DOTAX) and the Internal Revenue Service (IRS) will be required either at the time of proposal submittal or upon notice of award at the discretion of the purchasing agency.

Refer to Section 4, subparagraph III.A.1, Administrative Requirements,

and the Proposal Application Checklist (Section 5, Attachment A) to determine whether the tax clearance is required at time of proposal submittal for this RFP. Tax clearance application may be obtained from the Department of Taxation website. (See No. 8, Website Reference, page 1-2 of the RFP.)

- B. Program Specific Requirements** - Additional program specific requirements are included in Sections 2, Service Specifications and/or Section 3, Proposal Application Instructions, as applicable. If Federal and/or State certifications are required, they are listed on the Proposal Application Checklist located in Section 5.
- C. Multiple or Alternate Proposals** - Multiple or alternate proposals shall not be accepted unless specifically provided for in Section 2 of this RFP. In the event alternate proposals are not accepted and an applicant submits alternate proposals, but clearly indicates a primary proposal, it shall be considered for award as though it were the only proposal submitted by the applicant.
- D. Wages and Labor Law Compliance** - Before a provider enters into a service contract in excess of \$25,000, the provider shall certify that it complies with section 103-55, HRS, Wages, hours, and working conditions of employees of contractors performing services. Section 103-55, HRS may be obtained from the Hawaii State Legislature website. (See No. 9, Website Reference, page 1-2 of the RFP.)
- E. Compliance with all Applicable State Business and Employment Laws.** All providers shall comply with all laws governing entities doing business in the State. Prior to contracting, owners of all forms of business doing business in the state except sole proprietorships, charitable organizations unincorporated associations and foreign insurance companies shall be registered and in good standing with the Department of Commerce and Consumer Affairs (DCCA), Business Registration Division. Foreign insurance companies must register with DCCA, Insurance Division. More information is on the DCCA website. (See No. 10, Website Reference, page 1-2 of the RFP.)
- F. Campaign Contributions by State and County Contractors.** Contractors are hereby notified of the applicability of Section 11-205.5, HRS, which states that campaign contributions are prohibited from specified State or county government contractors during the term of the contract if the contractors are paid with funds appropriated by a legislative body. For more information, Act 203/2005 FAQs are available at the Campaign Spending Commission webpage. (See No. 11, Website Reference, page 1-2 of the RFP.)
- G. Confidential Information** – If an applicant believes any portion of a proposal contains information that should be withheld as confidential, the applicant shall request in writing nondisclosure of designated proprietary data to be confidential

and provide justification to support confidentiality. Such data shall accompany the proposal, be clearly marked, and shall be readily separable from the proposal to facilitate eventual public inspection of the non-confidential sections of the proposal.

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

H. Proposal Submittal – All mail-ins shall be postmarked by the United States Postal System (USPS) and received by the State purchasing agency no later than the submittal deadline indicated on the attached Proposal Mail-in and Delivery Information Sheet. All hand deliveries shall be received by the State purchasing agency by the date and time designated on the Proposal Mail-In and Delivery Information Sheet. Proposals shall be rejected when:

- Postmarked after the designated date; or
- Postmarked by the designated date but not received within 10 days from the submittal deadline; or
- If hand delivered, received after the designated date and time.

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

The Alcohol and Drug Abuse Division will accept submission of proposals on CD diskettes. When submitting the proposals, one hard copy (original) and four (4) CD diskettes are required. The format for submission of proposals in CD diskettes form shall be in a pdf format and labeled. The Applicant bears responsibility for submission. Applicants who submit proposals on electronic media bear the whole and exclusive responsibility for assuring the complete, correctly formatted, and timely submission of their proposals and amendments to purchasing agencies. By opting to submit documents on electronic media, applicants assume all risk that a purchasing agency's equipment system may be unable to read the applicant's electronic media.

IX. Discussions with Applicants

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

X. Opening of Proposals

Upon receipt of proposal by a state purchasing agency at a designated location, proposals, modifications to proposals, and withdrawals of proposals shall be date-stamped, and when possible, time-stamped. All documents so received shall be held in a secure place by the state purchasing agency and not examined for evaluation purposes until the submittal deadline.

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

XI. Additional Materials and Documentation

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

XII. RFP Amendments

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

XIII. Final Revised Proposals

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

XIV. Cancellation of Request for Proposal

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

XV. Costs for Proposal Preparation

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

XVI. Provider Participation in Planning

Provider participation in a state purchasing agency's efforts to plan for or to purchase health and human services prior to the state purchasing agency's release of a request for

proposals, including the sharing of information on community needs, best practices, and providers' resources, shall not disqualify providers from submitting proposals if conducted in accordance with sections 3-142-202 and 3-142-203 of the Hawaii Administrative Rules for Chapter 103F, HRS.

XVII. Rejection of Proposals

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

A proposal may be automatically rejected for any one or more of the following reasons: (Relevant sections of the Hawaii Administrative Rules for Chapter 103F, HRS, are parenthesized)

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

XVIII. Notice of Award

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

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

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

XIX. Protests

Any applicant may file a protest against the awarding of the contract. The Notice of Protest form, SPO-H-801 is available on the SPO website (See No. 7, Website Reference, page 1-2 of the RFP.) Only the following matters may be protested:

- (1) A state purchasing agency's failure to follow procedures established by Chapter 103F of the Hawaii Revised Statutes;

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

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

Head of State Purchasing Agency	Procurement Officer
Name: Dr. Chiyome Fukino	Name: Keith Yamamoto
Title: Director of Health	Title: Chief, Alcohol and Drug Abuse Division
Mailing Address: P.O. Box 3378, Honolulu HI 96801	Mailing Address: : P.O. Box 3378, Honolulu HI 96801
Business Address: 1250 Punchbowl St., Honolulu, HI 96813	Business Address: 601Kamokila Blvd, #360, Kapolei, HI 96707

XX. Availability of Funds

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

XXI. Monitoring and Evaluation

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

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

XXII. General and Special Conditions of Contract

The general conditions that will be imposed contractually are on the SPO website. (See No. 6, Website Reference, page 1-2 of the RFP.) Special conditions may also be imposed contractually by the state purchasing agency, as deemed necessary.

XXIII. Cost Principles

In order to promote uniform purchasing practices among state purchasing agencies procuring health and human services under Chapter 103F, HRS, state purchasing agencies will utilize standard cost principles outlined in Form SPO-H-201, which is available on the SPO website (See No. 5, Website Reference, page 1-2 of the RFP.) Nothing in this section shall be construed to create an exemption from any cost principle arising under federal law.

SECTION 2:

SERVICE SPECIFICATIONS

Section 2

Service Specifications

Enforcing Underage Drinking Laws Program

I. Introduction

A. Overview, Purpose, and Need

The mission of the Alcohol and Drug Abuse Division (ADAD) is to provide the leadership necessary for the development and delivery of quality substance abuse prevention, intervention and treatment services for the residents of the State of Hawaii. The division plans, coordinates, provides technical assistance, conducts research and evaluation to ensure that statewide substance abuse resources are utilized in the most effective and efficient manner possible.

Chapter 321, HRS mandates the Department of Health with the responsibility of coordinating all substance abuse services and programs including rehabilitation, treatment, education, research, and prevention activities. Chapter 334, HRS requires the State to provide a “comprehensive mental health system utilizing public and private resources to reduce the incidence of mental or emotional disorders and substance abuse . . .”

The goal of ADAD is to prevent or reduce the severity and disabling effects related to alcohol and other drug use, abuse and dependence by assuring an effective, accessible public and private community-based system of prevention and treatment services designed to empower individuals, and communities to make health-enhancing choices regarding the use of alcohol and other drugs.

In Hawaii, persons who have attained the legal age of 21 may purchase alcohol. The purpose of this service is to reduce underage drinking by expanding the number of communities taking a comprehensive approach to this problem. In addition, this increasing service includes State level planning and changing community norms and attitudes concerning underage drinking.

Signed into law on July 17, 1984, the National Minimum Drinking Age Act (Public Law 98-363) gave the States strong encouragement to set a minimum purchase and public possession age of 21 by withholding Federal highway construction funds from States that were not in compliance. By 1988, all States and the District of Columbia had complied. The primary reason for enacting this Federal legislation was the strong evidence that minimum drinking age laws reduce highway crash fatalities involving drivers in the affected age group. Another reason for Federal action to encourage a uniform drinking age was to eliminate "blood borders." This term refers to borders between States with different drinking ages. Young people would travel to different States to take advantage of lower drinking ages, causing an increase in crash fatalities in the border areas.

B. Planning activities conducted in preparation for this RFP

In fiscal year (FY) 1998, Congress called on the Office of Juvenile Justice and Delinquency Prevention (OJJDP) to address the growing problem of underage drinking. Through the Appropriations Act for the Department of Commerce, Justice, and State, the Judiciary, and Related Agencies, funds were appropriated to support and enhance efforts by States, in cooperation with local jurisdictions, to prohibit the sale of alcoholic beverages to— or the consumption of alcoholic beverages by—minors (persons under age 21).

Block grants of \$360,000 were made available to States and the District of Columbia to build these types of approaches into a State strategy. In addition, OJJDP made available \$5 million for discretionary awards and \$1,640,000 was made available for training and technical assistance to support the programs.

As part of its planning process the Alcohol and Drug Abuse Division (ADAD) scheduled one (1) public request for information (RFI) forum to gather information for the “Enforcing Underage Drinking Laws” (EUDL) program on Oahu. The Oahu RFI forum was held on July 21, 2006 at the Kapolei conference room, Kakuhihewa Building from 9:00 am to 12:00 noon, with six (6) participants. The participants at the RFI forum were issued a draft copy of the Request For Proposal (RFP), Section 2, Service Specifications. Copies of these handouts were also attached to the request for information notice on the State Procurement Office (SPO) website for participants who would not be able to attend. Participants were also informed by e-mail any additional comments to ADAD by July 26, 2006.

- A recommendation expressed in the RFI forum was to have one agency overseeing the grant. This recommendation states that it would be easier for the general public to identify with one agency as the focal point of addressing underage drinking.

ADAD has taken this into consideration and will implement this recommendation. The geographic coverage served by this project is statewide and having one agency overseeing the county coalitions shall be structured so that the minutes, activities and campaigns are well documented.

- Another recommendation expressed in an email is to have Media outreach component that engages and networks parents so that they are mindful and proactive in creating the environment that does not promote or is oblivious to underage drinking.

This recommendation is covered under Services Activities, A. 4.

C. Description of the goals of the service

Over the last ten years, there has been a government-wide move toward accountability. Justification for funding and evidence of program impact are common requests from most funding sources. The Government Performance and Results Act (GPRA), Public Law 103-62, requires that recipients of federal grant awards collect, analyze, and report data that measure the results of strategies implemented with federal funds. OJJDP, like all Federal agencies, must meet the following performance measures required by this grant: (See Section 5, Attachment C)

Performance measurement is a system of tracking progress in accomplishing goals, objectives, and outcomes. It monitors a few vital signs related to program performance and is less rigorous than program evaluation.

Award recipients will be required to collect and report data in support of these measures.

- Develop strategic plans that specify what they will accomplish over a 3 to 5-year period;
- Develop baseline data of the current underage drinking problem in your community. A well-planned underage drinking program is based on information that gives you an understanding of the current situation and a realistic prediction of the future situation.
- Set annual performance measurements related to their strategic plan and baseline data gathered.
- Report annually on whether your performance measurements were met.

ADAD is emphasizing an outcome-focused framework. Successful applicants will be required to collect data and information to report quarterly, or at other frequencies as determined by the Alcohol and Drug Abuse Division, on these performance measures.

D. Description of the target population to be served

The target population includes communities and youth under the age of 21 who are willing to be trained to function in the capacity of peer leaders and community advocates for changing attitudes regarding underage drinking and the accessibility of alcohol to minors.

E. Geographic coverage of service

The geographic coverage served by this project is statewide. The applicant shall demonstrate actual capacity to provide the required services.

F. Probable funding amounts, source, and period of availability.

Total Funding: \$75,000.00

The applicants shall have a plan for continuation beyond the grant period describing how services will be sustained and/or the availability of other resources.

The contract is funded through federal EUDL grant appropriated funds and the award of the contract shall be subject to the availability of appropriated funds. The intended use of EUDL funds is for intervention in underage drinking practices at the local and state level. Renewal or extension for continuation of the award shall be based on the provider's satisfactory performance and the availability of funds. Future funding is dependent upon Congressional action. EUDL funds are to be used strictly for underage drinking. The funds **may not** be used to replace eliminated or reduced funds from other sources.

Funds **may not** be used for major capital improvements or other costs listed as unallowable in Chapter 103F, HRS, Cost Principles for Purchases of Health and Human Services identified in SPO-H-201 (Effective 10/1/98), which can be found on the State Procurement Office (SPO) website. (See No. 5, Website Reference, page 1-2 of the RFP.)

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

1. The applicant shall complete and submit the **Certifications and Assurances** contained in Section 5, Attachments D and E of this RFP with their proposal.
2. If awarded the contract, the applicant shall:
 - a. Arrange for a financial and compliance audit to be done and submitted to the Department as directed in accordance with "Government OMB Circular A-133" if the applicant expends \$500,000 or more in federal funds in a year.
 - b. Provide their most recent Financial Audit when total agency funding, whether for more or less than \$500,000, is from multiple funding sources, whether or not such funds equal or exceed \$500,000.
 - c. Comply with Chapter 103F, HRS, Cost Principles for Purchases of Health and Human Services identified in SPO-H-201 (Effective 10/1/98), which can be found on the State Procurement Office (SPO) website. (See No. 5, Website

Reference, page 1-2 of the RFP.)

- d. Reconcile the amount of an advanced payment by month five of the first year of the contract should such an advancement occur.
- e. Refund to the STATE any funds unexpended or expended inappropriately.

B. Secondary purchaser participation

Although ADAD does not anticipate any secondary purchases in conjunction with this RFP, after-the-fact secondary purchases will be allowed.

C. Multiple or alternate proposals

Allowed Unallowed

D. Single or multiple contracts to be awarded

Single Multiple Single & Multiple

E. Single or multi-term contracts to be awarded

Single term (< 2 yrs.) Multi-term (>2 yrs.)

The initial period shall commence on the contract start date or the State's Notice to Proceed. Contracts will be awarded for a one-year period. Renewal or extension for continuation of the award shall be based on the provider's satisfactory performance and the availability of funds. Future funding is dependent upon Congressional action. Contractors shall be informed of contract renewals sixty (60) days before the end of each contract year.

F. RFP contact person

The individual listed below is the sole point of contact from the date of release of the RFP until the selection of the winning provider or providers. Written questions should be submitted to the RFP contact person and received on or before the day and time specified in Section I, (Procurement Timetable) of this RFP.

Contact Person: Alan M. Yamamoto at (808) 692-7540

III. Scope of Work

A. Service Activities

Enforcing the Underage Drinking Laws (EUDL) Grant Program (formerly titled Combating Underage Drinking Program); activities to be funded represent the

following three categories.

- Innovative programs to prevent and reduce underage drinking.
- Public advertising programs to educate establishments about statutory prohibitions and sanctions.
- Statewide task forces of State and local law enforcement and prosecutorial agencies to target establishments suspected of a pattern of violations of State laws governing the sale and consumption of alcohol by minors.

Minimum and/or mandatory tasks and responsibilities encompass the

following task and responsibilities. Successful applications shall include, but not be limited to, the following:

1. Coordinate, maintain and sustain an interagency task force coalition (Hawaii Partnerships to Prevent Underage Drinking) comprised of relevant and county agencies (justice, highway safety, alcohol and drug prevention services, liquor commission, and police), other state and local organization, and youth leadership appropriate to address the problem of underage drinking through a multidisciplinary approach. An underage drinking coalition shall be part of a comprehensive community program.
 - a. Develop and implement the community strategic plan that includes best and most promising practices on underage drinking (See Section 5, Attachment C). The strategic plan shall include a logic model (See Section 5, Attachment C) and gather baseline data for your community on underage drinking.
 - b. Review and improve policies, regulations, and laws.
2. Train and involve youth in leadership roles, and participation in coalition activities and meetings.
3. Advocate for adoption of one new local policy, or improvement in at least one existing local policy (which may include college policies), related to underage drinking based on an assessment of local policy impact on underage drinking.
4. Implement programs to educate establishments, parents, and the public about statutory prohibition, sanctions and laws on underage drinking.
5. Develop and implement innovative comprehensive community defined evidence based practices on underage drinking projects designed to reduce the availability of alcoholic beverages to minors.

6. Convene a statewide conference on underage drinking.
7. Involve youth in the development of activities directed at changing behaviors perceived as normative and acceptable by minors.
8. Develop and implement statewide media campaign(s) designed to reduce underage drinking.
9. Develop an annual legislative packet that informs lawmakers about the need for strong underage drinking legislation.
10. Attend the annual required OJJDP National Leadership Conference.

B. Management Requirements (Minimum and/or mandatory requirements)

1. Personnel

The applicant is required to provide written acknowledgement agreeing to comply with the **Personnel Requirements** in Section 5, Attachment E-1.

2. Administrative

The applicant is required to provide written acknowledgement agreeing to comply with the **Administrative Requirements** in Section 5, Attachment E-2.

3. Quality assurance and evaluation specifications

The applicant is required to provide written acknowledgement agreeing to comply with the **Quality Assurance and Evaluation Specifications Requirements** in Section 5, Attachment E-3.

4. Output and performance/outcome measurements

The Government Performance and Results Act (GPRA), Public Law 103-62, requires that recipients of federal grant awards collect analyze and report data that measure the results of strategies implemented with federal funds. To ensure compliance with GPRA, the applicant shall be required to collect and report data that measure the results of the program implemented with this grant. (Section 5, Attachment C-3 through C-5)

5. Experience

Applicants must have at least two-years of experience in implementing an alcohol/drug program before applying for EUDL funds. Those who are eligible are for-profit and non-profit organizations. For-profit and non-profit organizations shall have a minimum of three years of existence and proven output and outcome evaluation.

6. Coordination of services

The Applicant shall demonstrate the capability to coordinate services with other agencies and resources in the community. In addition, the applicant shall describe how coordination with other agencies enhances the proposed services and facilitates the attainment of the indicated performance-based targets.

7. Reporting requirements for program and fiscal data

Required Fiscal Reports:

- The Applicant shall submit monthly the **Statement of Revenue and Expenditures Report** (ADAD Fiscal Form 200, 9/95).
- The Applicant receiving federal funds shall submit to ADAD its **final invoice** no later than 45 days after the end of each contract year, or by August 15, whichever comes first. Lapsing of funds will occur if final invoices are not received by ADAD in a timely manner.
- Within 45 calendar days after the expiration of each contract year, the applicant shall submit to ADAD the **Statement of Revenue and Expenditures** summarizing the actual expenditures for the fiscal year.

Note: The State will perform an audit of the applicant to assure appropriateness and allow ability of the reported invoices. The audit shall include, at a minimum, evaluating the financial statements, receipts, invoices, and other documents as requested by the STATE.

Required Program Reports

- Monthly the applicant shall complete and submit the Grantee Progress Report (See Section 5, Attachment C-4) and EUDL Progress Report (See Sections 5, Attachment C-3) the number of public service announcements or other forms of information developed for attracting community partners.
- The Applicant shall submit **Monthly, Quarterly and Year End Reports** summarizing and analyzing outcome data and accomplishments and challenges. Monthly reports are due 15 days after the end of each month. Quarterly reports are due 15 days after the end of each quarter. Year-End Reports are due 45 days after the end of each fiscal year.

For contracts beginning July 1, due dates for reports are as follows:

Monthly:	Reports due by 15 th of the following month	
Quarter 1:	July 1 – Sept. 30	Report due Oct.15
Quarter 2:	Oct.1 – Dec.31	Report due Jan.15
Quarter 3:	Jan.1 – Mar. 31	Report due Apr. 15
Quarter 4:	Apr. 1- June 30	Report due July 15
Year End:	July 1 – June 30	Report due Aug. 15

8. Pricing structure or pricing methodology to be used

Pricing structure is cost reimbursement.

Cost Reimbursement

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

9. Units of service and unit rate

Not Applicable

10. Method of compensation and payment

- a. ADAD reserves the right to reallocate the above amounts to other funded organizations if, at any time after three (3) months into each fiscal year, there is either a monthly pattern of poor or low performance, or underutilization of funds such that it appears the provider will not be able to expend all allocated funds by the end of each fiscal year. The criteria used for the reallocation of funds shall be the same as the basis for the initial allocation of funds as specified in the RFP packet, Section 4, Proposal Evaluation.
- b. A maximum of \$25,000 may be advanced for start-up costs for new programs, upon completion of an executed contract.
- c. If an applicant materially fails to comply with the terms and conditions of the contract, ADAD may, as appropriate under the circumstances:
 - 1) Temporarily withhold payments pending correction of a deficiency or a non-submission of a report by the applicant.
 - 2) Disallow all or part of the invoice submitted by the

- applicant.
- 3) Suspend or terminate the contract.
- c. The applicant can submit to ADAD proposals for requested contract amendments or any changes affecting the scope of services, target population, time of performance, and total funds, but this must be approved in writing before changes can be made. Proposals shall be submitted no later than four (4) months prior to the end of each contract year, unless prior approval is given by ADAD.
- f. In the event that additional funds become available for similar services, the DEPARTMENT reserves the right to increase funding amounts.

IV. Facilities

The Applicant shall provide a description of its facilities and demonstrate its adequacy in relation to the proposed services. If facilities are not presently available, describe plans to secure facilities. In addition, the applicant shall describe how the facilities meet Americans Disability Act (ADA) requirements, as applicable, and special equipment that may be required for the services. If the facility of another organization is used, the Applicant shall attach letters of agreement from the owner of the facility.

SECTION 3:

**POS PROPOSAL
APPLICATION
INSTRUCTIONS
FOR
440-8-4**

Section 3 Proposal Application Instructions

General instructions for completing applications:

- *Proposal Applications shall be submitted to the state purchasing agency using the prescribed format outlined in this section.*
- *The numerical outline for the application, the titles/subtitles, and the applicant organization and RFP identification information on the top right hand corner of each page should be retained. The instructions for each section however may be omitted.*
- *Page numbering of the Proposal Application should be consecutive, beginning with page one and continuing through for each section. See sample table of contents in Section 5.*
- *Proposals may be submitted in a three ring binder (Optional).*
- *Tabbing of sections (Recommended).*
- *Applicants must also include a Table of Contents with the Proposal Application. A sample format is reflected in Section 5, Attachment B of this RFP.*
- *A written response is required for **each** item unless indicated otherwise. Failure to answer any of the items will impact upon an applicant's score.*
- *Applicants are **strongly** encouraged to review evaluation criteria in Section 4, Proposal Evaluation when completing the proposal.*
- *This form (SPO-H-200A) is available on the SPO website (see Section 1, paragraph II, Website Reference). However, the form will not include items specific to each RFP. If using the website form, the applicant must include all items listed in this section.*

The Proposal Application comprises the following sections:

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

I. Program Overview (Do Not Exceed 1 Page)

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

This section shall clearly and concisely summarize and highlight the contents of the proposal in such a way as to provide the State with a broad understanding of the entire proposal. Include a brief description of the applicant's organization, the goals and objectives related to the service activity, and how the proposed service is designed to meet the problem/need identified in the service specifications.

The applicant shall provide the following information in its narrative:

- A brief description of the applicant's organization and mission;
- A description of the relationship between the specified problems/needs identified in this RFP, the assessed problems/needs in the applicant's geographic area, and the proposed services designed to meet them; and,
- Identification of the project goals, objectives, and long-range, intermediate, and immediate outcomes.

II. Experience and Capability (Do Not Exceed 5 Pages)

A. Necessary Skills (1 page)

The applicant shall demonstrate that it has the necessary skills, abilities, knowledge of and experience relating to the delivery of the proposed services.

The applicant shall describe how the applicant organization is structured and who will carry out the project design. Specifically, the application must indicate all principal individuals and their positions in the project management design, their time commitment, major tasks, and milestones. Its organization-wide capability to deliver the proposed services including:

- Administrative and staff capability;
- Knowledge of the field of substance abuse prevention and current and research-based theories; and,
- A history of experience in the delivery of the proposed substance abuse prevention services.

B. Experience (1 page)

- A listing of specific, verifiable experience within the past five years of having worked directly with youth on the issue of underage drinking;
- Examples of collaborative projects undertaken with other organizations;
- A description of accomplishments, successes, strengths, weaknesses, and

key learning from projects related to this RFP.

C. Quality Assurance and Evaluation (1 page)

The applicant shall describe its own plans for quality assurance and evaluation for the proposed services, including methodology.

The applicant shall describe its evaluation procedures in Section IV – Service Delivery.

- The applicant has described the sufficiency of quality assurance and evaluation plans for the proposed services, including methodology.
- The applicant has demonstrated that the program model, its implementation strategies and overall methodology are consistent with the needs of the targeted population.
- The program model is well-integrated with the applicant’s overall philosophy and mission.
- The applicant have described specific experience, accomplishments, successes, strengths and weaknesses, and key learning from same or related projects carried out within the past year.
- The applicant has written policies and procedures to ensure compliance with the safeguarding, use of and access to personal data.
- The applicant’s internal controls ensure compliance with the program’s monitoring and evaluation guidelines and with relevant service quality standards.

D. Coordination of services (1½ pages)

The applicant shall demonstrate the capability to coordinate services with other agencies and resources in the community and shall define both the nature of the collaboration and how the collaboration shall actually enhance the proposed services and facilitate the attainment of the indicated performance measurements.

The applicant shall obtain letters of commitment from other agencies, businesses, coalition, etc. who will be involved in the proposed services.

Applicants shall also describe what State and local initiatives are under way or have recently been attempted to address underage drinking, including task force building and accomplishments, including 1) engaging a task force with relevant organizations (public, private and nonprofit), and community coalitions; 2) developing a strategic plan that emphasizes statewide enforcement of alcoholic beverage control laws; 3) involving youth in planning activities; or 4) initiating other activities to improve the State infrastructure for addressing illegal sales and underage consumption of alcoholic beverages. Applicants shall describe how these efforts have linked to, and coordinated with, the locally focused discretionary program, if one has been established, as well as other prevention

services within the community.

E. Facilities (1/2 page)

The applicant shall provide a description of its facilities and demonstrate its adequacy in relation to the proposed services. If facilities are not presently available, describe plans to secure facilities. Also, describe how the facilities meet ADA requirements, as applicable, and special equipment that may be required for the services. If the facility of another organization is used, the Applicant shall attach letters of agreement from the owner of the facility.

III. Project Organization and Staffing (Do Not Exceed 5 Pages)

The applicant shall provide the following information in its narrative:

A. Staffing

1. Proposed Staffing (2 pages)

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

Discuss how the proposed staffing pattern of choice, including lines of authority and supervision, is best suited to address the implementation requirements of the scope of services as outlined in the Request For Proposal. (Refer to the personnel requirements in the Service Specifications, as applicable.) Describe the involvement of volunteers, if appropriate.

2. Staff Qualifications (1 page)

The applicants shall provide the minimum qualifications (including experience) for staff assigned to the program. (See Section 5, Attachment C-1)

Provide the resumes of key staff that have been identified and the Job Descriptions of staff who will be providing prevention services. Include documented experience in working directly with 18-20 year olds, experience in addressing issues related to underage drinking, and experience in collaboration and social marketing. (See Section 5, Attachment E-7)

B. Project Organization

1. Supervision and Training (1 page)

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

- The skills, experience and substance abuse prevention knowledge of the prevention staff's supervisor(s);
- A training plan for substance abuse prevention staff, including volunteers, in preparation for service delivery; and,
- A plan, including rationale for selection of topic areas, for ongoing training, opportunities to enable prevention staff, including volunteers, to remain abreast of changes in the substance abuse prevention field.

2. Organization Chart (1 page)

The applicant shall reflect the position of each staff and the line of responsibility and supervision. (Include position title, name and full time equivalency.) The "Organization-wide" and organization chart and program specific staffing position (See Section 5, Attachment C) shall be attached to the Proposal Application.

This information should also be provided for any sub-contracted organizations that will be providing services for this RFP.

IV. Service Delivery (Do Not Exceed 15 Pages)

The applicant shall include a detailed discussion of the applicant's approach to applicable service activities and management requirements from Section 2, Item III - Scope of Work, including (as indicated) a work plan of all service activities and tasks to be completed, related work assignments/responsibilities and timelines/schedules.

The applicant shall state intended outcomes and performance measurements to be achieved by the service. Examples of forms and records used should be included.

The narrative shall also include:

- Clearly defined target population.
- Clearly defined description, coordination, and recommendations in working with State and local underage drinking council;
- Clearly defined description of training and preparing youth to become leaders by participating in coalition activities, meetings, and advocacy on underage drinking.

- Clearly defined description of the planning and implementing media campaign on underage drinking. Include how media data will be collected.
- A comprehensive time/task chart, encompassing the two years stipulated in this RFP, which clearly illustrates what, when, and by who actions will be taken and products delivered every six months to ADAD for OJJDP. Timely completion of the community needs assessment and strategic plan will be critical in demonstrating results within the performance period. The timeline should include reports as deliverables. The applicant should include sufficient time for final products to be reviewed and revised. The timeline/task chart should include sufficient time for the following:
 - 1) A strategic plan (Logic Model) to direct program activities in each county coalition based on underage drinking problems within the county showing immediate, intermediate, and long-range outcomes;
 - 2) Working with county coalitions to develop innovative programs which address underage drinking. (See Section 5, Attachment C)
 - 3) Develop youth leadership skills and involve youths in participating in planning and program activities at the State and local levels;
 - 4) Number of media presentations and/or other advocacy efforts by youth;
 - 5) Quarterly evaluation of timeline/program progress of each county coalition;
 - 6) Plan to update the current Strategic Plan at the State and local levels;
 - 7) Develop a planning committee to convene an underage drinking conference in April, coinciding with the Alcohol Awareness month; and,
 - 8) Attend the required annual OJJDP National Leadership conference.

V. Financial

A. Pricing Structure

The applicant shall submit a cost proposal utilizing the pricing structure designated by the state-purchasing agency. Pricing structure for this RFP shall be based on cost reimbursement. The cost proposal shall be attached to the Proposal Application.

Proposed cost shall also include cost associated with the convening of an underage drinking conference in April and staff participation in the required annual OJJDP Conference.

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

1. Form SPO-H205 Budget
2. Form SPO-H205B Organization - Wide Budget By Programs (Instructions are located in Section 5)
3. Form SPO-H206A Personnel - Salaries and Wages
4. Form SPO-H206B Personnel - Payroll Taxes, Assessments, and Fringe
5. Form SPO-H206C Travel - Inter-island
6. Form SPO-H206E Contractual Services - Administrative
7. Form SPO-H206F Contractual Services - Subcontracts
8. Form SPO-H206H Program Activities
9. Form SPO-H206I Equipment Purchases
10. Form SPO-H206J Motor Vehicle
11. Form C-1 Organization – Wide RFP Information
12. Form C-2 Staffing Position Chart

Forms C-1 and C-2 are presented in this RFP in Section 5, Attachment C.

B. Other Financial Related Materials

1. Accounting System

In order to determine the adequacy of the applicant's accounting system as described under the administrative rules, the following documents are requested as part of the Proposal Application (may be attached):

- a. Latest Single Audit Report or Financial Audit (no earlier than June 30, 2005).
- b. Cost Allocation Plan, this provides an explanation of how cost is allocated to various sources of funding.
- c. Once ADAD notifies the applicant of the award, an original or certified copy of a current, valid tax clearance certificate issued by the Hawaii State Department of Taxation (DOTAX) and the Internal Revenue Service (IRS) needs to be submitted to ADAD.

VI. Other

A. Litigation

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

SECTION 4:

PROPOSAL EVALUATION

FOR

440-8-4

Section 4 Proposal Evaluation for 440-8-4

I. Introduction

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

II. Evaluation Process

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

The evaluation will be conducted in three phases as follows:

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

A. Evaluation Categories and Thresholds

Evaluation Categories

Administrative Requirements

Proposal Application

Program Overview	0 points
Experience and Capability	20 points
Project Organization and Staffing	15 points
Service Delivery	55 points
Financial	10 Points

Possible Points

100 Points

TOTAL POSSIBLE POINTS

100 Points

III. Evaluation Criteria

A. Phase 1 - Evaluation of Proposal Requirements

1. Administrative Requirements

- Application Checklist
- Registration (if not pre-registered with the State Procurement Office)
- Certifications and Assurances

2. Proposal Application Requirements

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

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

Not Addressed	Low Quality	Good Quality	High Quality
Did not address the required element in this section.	Required element in this section is vague, unclear and conflicting	The proposal addresses all the required elements with little understanding of the requirements.	The elements are addressed in detail and the proposal demonstrates a clear understanding of the requirements.
0	.5	.75	1.25

Weighted scoring is a decision making tool that takes factors that are not quantifiable, and attempts to put numbers to them. Various factors are weighted differently. The underlines numbers are weighted for these particular categories.

Program Overview: No points are assigned to Program Overview. The intent is to give the applicant an opportunity to orient evaluators as to the service(s) being offered.

1. Experience and Capability (20 Points)

The State will evaluate the applicant's experience and capability relevant to the proposal contract, which shall include :

a. Necessary Skills

3

- The applicant have demonstrated skills, abilities, and knowledge relating to the delivery of the proposed services.
- The applicant has described how the applicant organization is structured and who will carry out the project design.

b. Experience 3

- The applicant has demonstrated verifiable experience in providing this service, or similar services, to the same or similar population during the past five years.
- The applicant has given examples of collaborative project undertaken with other organizations.
- If the proposed program is new to the applicant, a realistic start-up implementation timetable is provided.

c. Quality Assurance and Evaluation 4

- The applicant has described the sufficiency of quality assurance and evaluation plans for the proposed services, including methodology.
- The applicant has demonstrated that the program model, its implementation strategies and overall methodology are consistent with the needs of the targeted population.
- The program model is well-integrated with the applicant's overall philosophy and mission.
- The applicant have described specific experience, accomplishments, successes, strengths and weaknesses, and key learning from same or related projects carried out within the past year.
- The applicant has written policies and procedures to ensure compliance with the safeguarding, use of and access to personal data.
- The applicant's internal controls ensure compliance with the program's monitoring and evaluation guidelines and with relevant service quality standards.

d. Coordination of Services 5

- The applicant has demonstrated its capability to coordinate services with other agencies and resources in the community.
- The applicant has an adequate history of community and/or statewide networking and collaborative relationships.
- The applicant has provided documentation that appropriate and comprehensive linkages with other services within the

applicant's organization and/or service area has been made.

e. Facilities 1

- The applicant has or will arrange for, adequacy of facilities relative to the proposed services.
- The applicant has/will have the equipment and facilities required to operate the proposed program.
- The applicant has/will have the equipment and resources necessary to provide the service are justified.
- The applicant has/will have described how its location and physical structure meet ADA requirements or how the applicant can make reasonable accommodations to serve handicapped persons.

2. Project Organization and Staffing (15 points)

The State will evaluate the APPLICANT's overall staffing approach to the service that shall include the degree to which the APPLICANT describes:

a. Staffing 4

- Proposed Staffing: that the proposed staffing pattern, client/staff ratio and proposed caseload capacity is reasonable to insure viability of the services.
- The proposed staffing pattern ensures that services can be made available at hours and places to meet the goals of the program.
- Staff Qualifications; describe minimum qualifications (including experience), skills, and attributes for staff assigned to the program.

b. Project Organization 4

Supervision and Training:

- Adequate supervisory experience and capabilities are described.
- The applicant profiles the skills, attributes, experience required of the program coordinator, and other key staff is described.
- The applicant describes how it will recruit and train a program coordinator, other key staff, and others in order to comply with the timeline for service delivery.

- The applicant has demonstrated the ability to supervise, train, and provide administrative direction to staff relative to the delivery of the proposed services is described.

c. Organizational Chart 4

- The organizational structure reflects supervisory capability, oversight, and accountability.
- An appropriate organization chart showing the approach and rationale for the structure, functions, and overall service activity and tasks is provided.

3. Service Delivery (55 Points)

Evaluation criteria for this section will assess the applicant's approach to the services activities and management requirements outlined in the Proposal Application.

This includes an assessment of the logic of the work plan for the major services activities and tasks to be completed, including clarity in work assignments and responsibilities, and the realism of the timelines and schedules, as applicable.

a. Outcomes Statement (10 points)

- The applicant clearly states their immediate, intermediate, and long-range outcome(s). 4
- The applicant identifies the risk factor to be reduced and protective factors to be increased for the targeted population. 4

b. Performance Measures (15 points)

- The applicant has demonstrated how it will measure and analyze the performance as required by this RFP. (Section 5, Attachment C) 5
- The applicant has described the Management Information System to collect and analyze the data required by this RFP. 3
- The applicant has clearly defined and demonstrated how they will collect the required data on media campaign(s). (Section 5, Attachment C) 4

c. The Applicant's Product or Approach (30 points)

- The applicant has clearly demonstrated the required elements of the EUDL program as requested in the narrative portion of Section 3, Proposal Application, IV, Service Delivery. 5
- The applicant has demonstrated and provided a monthly schedule of the proposed activities, which indicates the intensity, and duration of the program. 4
- The applicant has demonstrated and provided a clear logic model working with county coalitions. 5
- The applicant has demonstrated developing youth leaders that will participate in planning program activities at the state and local levels. 5
- The applicant has clearly demonstrated how they will work with county coalitions in implementing Promising and/or Best Practices. (Section 5, Attachment C) 5

4. Financial (10 Points)Pricing structure based on cost reimbursement:

- The budget fully support the scope of services and requirements of the Request for Proposal 4
- The cost allocation worksheet submitted, including the explanation of how costs are allocated to various programs is reasonable 2
- Adequacy of accounting system 2

IV. Phase 3 – Recommendation for Award

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

SECTION 5:

ATTACHMENTS

Section 5

Attachments

- A. Competitive Proposal Application Checklist
- B. Sample Table of Contents
- C. Workplan Forms
 - C-1 Staffing Position Chart
 - C-2 Organization-Wide Request for Proposal Information
 - C-3 Performance Measures Goal Achievement Form
 - C-4 EUDL Progress Report
 - C-5 EUDL Performance Measures
 - C-6 Logic Model Worksheet
 - C-7 Proposed Best and Most Promising Practices
- D. Certifications
 - D-1 Debarment and Suspension
 - D-2 Lobbying
 - D-3 Program Fraud Civil Remedies Act
 - D-4 Environmental Tobacco Smoke
 - D-5 Drug Free Workplace Requirements
- E. Program Specific Requirements
 - E-1 Management Requirements – Personnel
 - E-2 Management Requirements – Administrative
 - E-3 Management Requirements – Quality Assurance
 - E-4 Assurance Regarding Fiscal, Statistical and Administrative Records
 - E-5 Assurance Regarding Recognition of the DEPARTMENT and the Use of OJJDP and SAPT Block Grant funds
 - E-6 Assurance Regarding Confidentiality of Alcohol and Drug Abuse Patient Records

SECTION 5

ATTACHMENT A:

COMPETITIVE POS

APPLICATION CHECKLIST

Competitive POS Application Checklist

Applicant: _____

RFP No: HTH 440-8-4

The Applicant's proposal must contain the following components in the order shown below. This checklist must be signed, dated and returned to the state purchasing agency as part of the POS Proposal Application.

Item	Reference in RFP	Formant/Instructions Provided	Required by Purchasing Agency	Completed by Applicant
General:				
1. POS Proposal Application Title Page (SPO-H-200)	Section 1, RFP	SPO Website*	X	
2. Competitive POS Application Checklist	Section 1, RFP	Section 5, Attachment A (This document)	X	
3. Table of Contents	Section 3, RFP	Section 5, Attachment B	X	
4. POS Proposal Application (SPO-H-200A)	Section 3, RFP	SPO Website*	X	
5. Registration Form (SPO-H-100A)	Section 1, RFP	SPO Website*	(Required if not Pre-registered)	
6. Tax Clearance Certificate (Form A-6)	Section 3, RFP	SPO Website*	(Required ONLY upon notification of an award)	
7. Cost Proposal (Budget)		SPO Website*		
SPO-H-205	Section 3, RFP	SPO Website*	X	
SPO-H-205A	Section 3, RFP	SPO Website*	No	
SPO-H-205B	Section 3, RFP	SPO Website*	X	
SPO-H-206A	Section 3, RFP	SPO Website*	X	
SPO-H-206B	Section 3, RFP	SPO Website*	X	
SPO-H-206C	Section 3, RFP	SPO Website*	X	
SPO-H-206D	Section 3, RFP	SPO Website*	X	
SPO-H-206E	Section 3, RFP	SPO Website*	X	
SPO-H-206F	Section 3, RFP	SPO Website*	X	
SPO-H-206G	Section 3, RFP	SPO Website*	Not Allowed	
SPO-H-206H	Section 3, RFP	SPO Website*	X	
SPO-H-206I	Section 3, RFP	SPO Website*	X	
SPO-H-206J	Section 3, RFP	SPO Website*	X	
Certifications:				
8. Federal Certifications	Section 1, RFP	POS Manual	X	
Debarment & Suspension	Section 2, RFP	Section 5, Attachment D	X	
Lobbying	Section 2, RFP	Section 5, Attachment D	X	
Environmental Tobacco Smoke	Section 2, RFP	Section 5, Attachment D	X	
Program Specific Requirements:				
9. Audit	Section 2, RFP	Section 2, RFP	X	
10. Forms	Section 3, RFP	Section 5, Attachment C	X	

Signature_____
Date

SECTION 5

ATTACHMENT B:

SAMPLE TABLE OF

CONTENTS FOR THE

POS PROPOSAL

APPLICATION

Organization: _____
RFP No: HTH 440-8-4 _____

Sample

**POS Proposal Application
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SECTION 5

ATTACHMENT C:

WORKPLAN FORMS

Submit the following with Attachment C:

- C-1 Staffing Position Chart**
- C-2 Organization-Wide Request for Proposal Information**
- C-3 Performance Measures Goal Achievement Form**
- C-4 EUDL Progress Report**
- C-5 EUDL Performance Measures**
- C-6 Logic Model Worksheet**
- C-7 Proposed Best and Most Promising Practices**

Instructions for Completing Form C-2 ORGANIZATION-WIDE RFP INFORMATION

<p>Instructions:</p> <p>This form is to be used to report all organizational funds that support the program that will be providing services under this RFP. For HTH 440-1 and 440-3 (Treatment RFPs) and HTH 440-2 and 440-8 (Prevention RFPs), the services/modalities listed should match those listed in Attachment C-3, Performance Based Budget and Attachment C-4, Service Delivery Tables, of the RFP.</p>
<p>Page ____ of ____: Indicate the correct page number for this page and total number of pages.</p>
<p>Applicant/Awardee: Enter your agency name.</p>
<p>Period: Enter the Period of Availability from the 440-X* Sub-category, Section 2, I.F.</p>
<p>RFP No.: Enter the number (RFP No.: 440-X-XX*) from the upper right-hand corner of the RFP Subcategory you are responding to. The final digit(s) represent the specific RFP Sub-category specified in Section 2.</p>
<p>Funding Sources: Show all sources of support (anticipated or applied for) for this program by service/modality. Examples: DOH/ADAD, DHS, City & County, Federal, Private Insurance, QUEST, Client fees, fund raising, food stamps, etc.</p>
<p>Services: List the specific service/modality the funding source targets.</p>
<p>RFP # ID #: Enter the appropriate RFP or other Identification number of the Funding Source, as applicable.</p>
<p>Actual FY: List all the actual funds received (or anticipated to be received) for this services/modality during the current fiscal year.</p>
<p>Amount Requested: Enter the amount of funds you are requesting from each funding source. Where ADAD is the funding source, do not enter an amount greater than the Probable Funding Amount listed in Section 2, I.F of the RFP Sub-category, for the geographic area/target population you are applying for.</p>
<p>TOTAL: Provide summary Totals for the Actual FY and Amount Requested columns (by FY).</p>
<p>Prepared by: /Title:/Phone No./Date: Type or print the name of the person who prepared this form, their title and phone number and the date of preparation. If there are any questions, this person will be contracted for further information and clarification.</p>

*For 440-X, "X" should be replaced with the appropriate RFP number: 440-1 or 440-3 for Treatment RFPs and 440-2 or 440-8 for Prevention RFPs. For 440-X-XX, "XX" should be replaced with the appropriate sub-category number, as listed in each individual RFP.

ORGANIZATIONAL-WIDE RFP INFORMATION

Applicant/Awardee _____ Period _____ RFP/ID#: _____

FUNDING SOURCES	SERVICES	RFP#/ ID#	ACTUAL FY 2006-07*	AMOUNT REQUESTED			
				SFY 2006-07	SFY 2007-08	SFY 2008-09	SFY 2009-10
TOTAL							

Prepared by: _____

Phone No.: _____

Title: _____

Date: _____

*SFY (State Fiscal Year) 2007 period is from July 1, 2006 to June 30, 2007

FY 2005 EUDL Block Grant Performance Measures

The Government Performance and Results Act (GPRA), Public Law 103-62, requires that recipients of federal grant awards collect, analyze, and report data that measure the results of strategies implemented with federal funds. To ensure compliance with GPRA, grantees will be required to collect and report data that measure the results of the program implemented with this grant. The following performance measures are required:

Youth/Statewide Task Forces

Number of youth involved in educational work with law enforcement on underage drinking operations (e.g., decoys for compliance checks or shoulder tap operations).

Number of youth actively involved in grantee/coalition activities or underage drinking prevention. Active involvement includes, but is not limited to, participation in a task force, board of directors, committee, or subcommittee.

Media Campaigns

Number of grantees involved in statewide and local underage drinking media campaigns. Number of grantees involved in underage drinking media campaigns aimed at adults and number of grantees involved in underage drinking media campaigns aimed at youth. Types of media that will be used during the media campaign (print, radio, television).

Number and type of earned media (press releases, letters to the editors, interviews for radio and television programs, op-ed articles, articles published in printed media, and press conferences) generated by the EUDL grant.

Innovative Programs

Number of grantees or communities that will implement an underage drinking enforcement activity that is not currently being implemented at the community level.

Number of grantees that will make innovative changes to commonly used underage drinking enforcement operations, such as compliance check operations, controlled party dispersal, and saturation patrols. Innovative changes could be developed to overcome logistical challenges and to address specific population characteristics.

Number of grantees who plan to incorporate an innovative data gathering or evaluation component to their underage drinking enforcement operations.

Award recipients will be required to collect and report data in support of these measures. Recipients' assistance in obtaining this information will facilitate future program planning and will allow OJP to provide Congress with measurable program results of federally funded programs.

Performance Measures

Enforcing Underage Drinking Laws Program

FY 2005

Youth/Statewide Task Forces

#	OUTPUT MEASURES	ACTIVITIES	OBJECTIVES	DEFINITION	REPORTING FORMAT
1	12 Youth Involved	Compliance Check	Reduce non-compliance rate by retailers to 10%	The number of youth involved in compliance check operations that will reduce the rate of non-compliance by retailers.	Random Sample Survey
2	12 Youth Involved	Shoulder Tap	Reduce the number of adults purchasing alcohol for youth.	The number of youth involved in shoulder taps operations that will reduce the rate of youth asking adults to purchase alcohol.	Random Sample Survey
3	85 Youth Involved	Coalition/Task Force	Improve underage activities in the State.	An unduplicated count of the number of youth involved during the reporting period.	Total number of youth involved in addressing underage drinking.
4	35 Youth Involved	Educational Work with law enforcement	Improve underage activities in the State.	An unduplicated count of the number of youth served by the program during the reporting period.	Total number of youth involved in addressing underage drinking.

Media Campaigns

#	OUTPUT MEASURES	ACTIVITIES	OBJECTIVES	DEFINITION	REPORTING FORMAT
1	3 Statewide media campaigns	Statewide media campaigns	Increase public awareness on underage drinking	The number of materials that were developed and available in this reporting period.	Number of program materials developed and shown.
2	2 local media campaigns	Local media campaigns	Increase public awareness on underage drinking	The number of materials that were developed and available in this reporting period.	Number of program materials developed and shown.
3	3 adults media campaigns	Adult media campaigns	Increase adults knowledge and involvement on underage drinking	The number of materials that were developed and available in this reporting period.	Number of program materials developed and shown.
4	3 youth media campaigns	Youth media campaigns	Increase youth knowledge and involvement on underage drinking.	The number of materials that were developed and available in this reporting period.	Number of program materials developed and shown.
5	4 types of media campaigns	Types <ul style="list-style-type: none"> ▪ Print ▪ Radio ▪ Television ▪ Cinema Adds 	The types of media campaigns used to address underage drinking in this reporting period.	The number of types of media campaigns used to address underage drinking during this reporting period.	The number of times the types of media aired, shown to the public.
6	31 earned media	Types <ul style="list-style-type: none"> ▪ Press Release ▪ Letters to editors ▪ Interview – Radio ▪ Interview – Television ▪ Articles published in print media ▪ Press Conference ▪ Public Service Announcements-Radio ▪ Public Service Announcements-TV 	The types of media campaigns used to address underage drinking in this reporting period.	The number of types of media campaigns used to address underage drinking during this reporting period.	The number of times earned media campaigns have appeared in newspapers, press release notice went out, interviewed, and public service announcement is shown.

Performance Measures

Enforcing Underage Drinking Laws Program

FY 2005

Innovative Programs

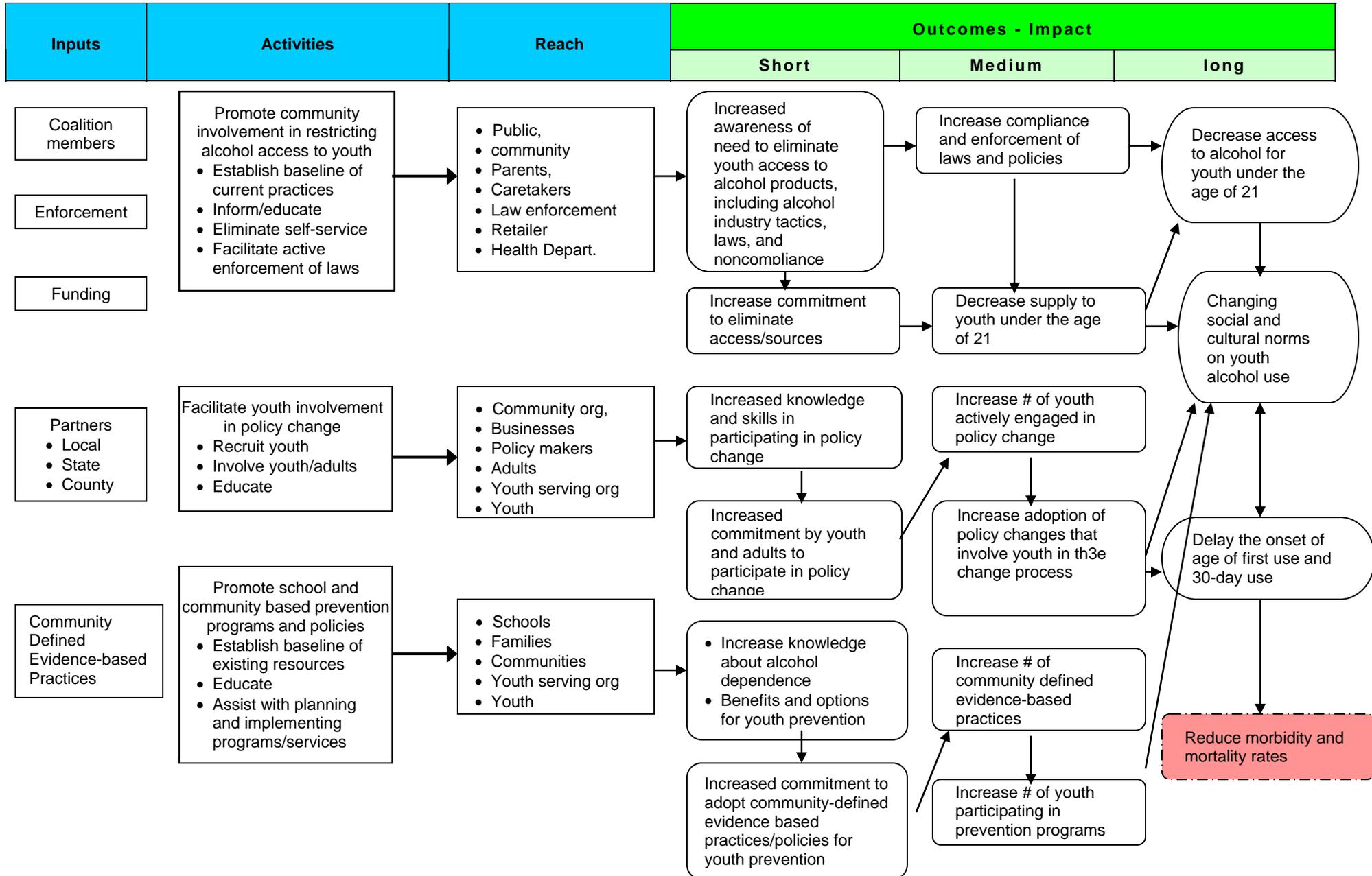
#	OUTPUT MEASURES	ACTIVITIES	OBJECTIVES	DEFINITION	REPORTING FORMAT
1	9 Communities	Communities to implement underage drinking enforcement activities	Increase the number of communities to 12 that will implement underage drinking enforcement activity the end of this reporting period.	Report whether the 9 communities that implemented evidence-based underage drinking activities helped in decreasing underage drinking.	Develop and conduct a simple survey from these communities.
2	3 Areas of focus	Develop innovative changes to these specific populations of UH, Military and the Housing complex to overcome logistical challenges addressing underage drinking.	Increase the awareness of these specific populations in addressing underage drinking in their own communities.	<ul style="list-style-type: none"> A. Total number of weekend the UH dorm is alcohol free. B. Total number of underage military service men is arrested. C. Total number of Housing activities that are alcohol free. 	Develop and conduct a simple survey for the 3 areas of focus addressing underage drinking.
3	2 data gathering survey	Conduct Random Sample Survey to collect rates the retailers are in compliant or not. Conduct the peer survey gathered by youth.	To decrease our non-compliant rate to 10% in this reporting period. To increase the awareness of underage drinking by youth.	Report whether the Random Sample Survey decreases the rate of non-compliance by retailers. Report whether the peer survey made a difference to youth in their respective communities.	Random Sample Survey Peer Student Survey

Logic Model Worksheet

Linking Program Design and Evaluation

INPUTS	OUTPUTS		OUTCOMES - IMPACT		
	Activities	Participation	Immediate	Short Term	Long Term
What do we need to achieve our goals?	What do we have to do to insure our goals are met?	Who needs to - Participate? be involved? be reached?	What are the Immediate changes we expect? LEARNING	What are the medium changes we desire? ACTION	What ultimate impact is hoped for? IMPACT
					

Logic Model: Reducing and Preventing Youth Alcohol Use



Logic Model Worksheet

Linking Program Design and Evaluation

INPUTS	OUTPUTS		OUTCOMES - IMPACT		
	Activities	Participation	Immediate	Short Term	Long Term
What do we need to achieve our goals?	What do we have to do to insure our goals are met?	Who needs to - Participate? be involved? be reached?	What are the Immediate changes we expect? LEARNING	What are the medium changes we desire? ACTION	What ultimate impact is hoped for? IMPACT



SAMPLE

**Coalition Strategic Planning Logic Model
Capacity Building**

Theory of Change
When a community coalition implements a strategic substance abuse prevention plan, it is more likely to decrease rates of substance abuse over time.

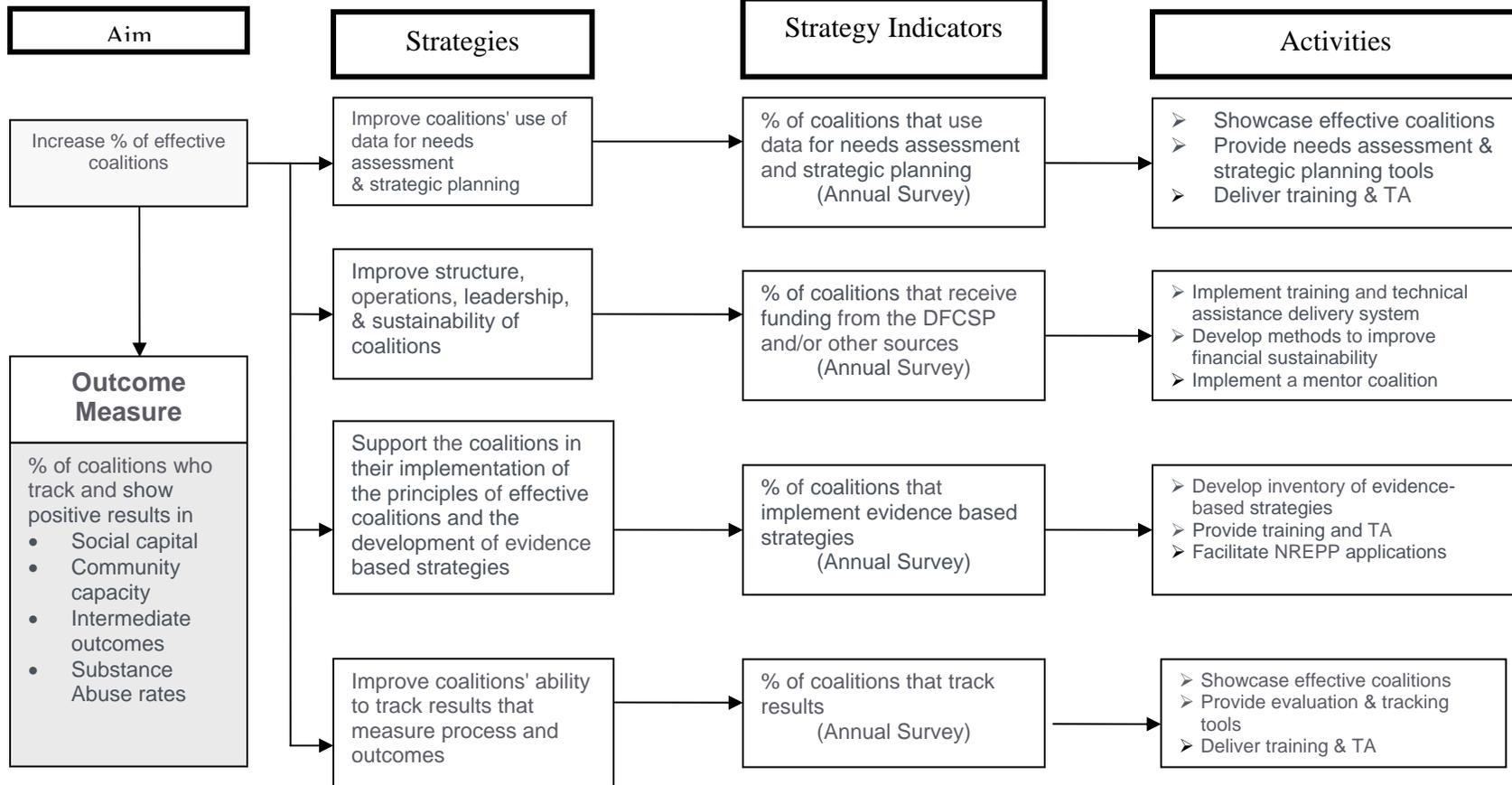


Table I
Wake Forest University School of Medicine
National Evaluation of the Enforcing Underage Drinking Laws
Program
Proposed Best and Most Promising Practices

Black - Header

Red - Best

Blue - Promising

- **Compliance checks**
 - ◆ Conduct regular enforcement actions involving the use of underage decoys who attempt to purchase alcohol
 - ◆ Conduct "compliance checks" with citizens' groups, who lack enforcement authority, but can publicize the results of underage purchase attempts
- **Local Policy**
 - ◆ Restrict zoning (outlet locations and density)
 - ◆ Restrict hours of sale
 - ◆ Prohibit entry of persons under 21 into bars/nightclubs and other "adult" locations
 - ◆ Require or encourage the use of driver's license scanners
 - ◆ Enact keg registration laws or ordinances
 - ◆ Restrict the availability of alcohol at community festivals and other community events
 - ◆ Restrict alcohol industry sponsorship of public events
 - ◆ Require conditional use permits
 - ◆ Ban concurrent sales of alcohol and gasoline
 - ◆ Restrict alcohol marketing
- **DWI**
 - ◆ Enhance enforcement of drinking and driving laws
 - ◆ Sobriety checkpoints
 - ◆ Driving under the influence emphasis patrols
 - ◆ Enact .08 blood alcohol content laws for the general population
 - ◆ Enact zero tolerance laws for youth
- **State Policy**
 - ◆ Increase excise tax
 - ◆ Restrict zoning (outlet locations and density)
 - ◆ Enact .08 blood alcohol content laws for the general population
 - ◆ Enact zero tolerance laws for youth
 - ◆ Directly increase prices in "control" states in which prices are set by the state
 - ◆ Enact, or strengthen existing, dram shop liability laws
 - ◆ Restrict hours of sale
 - ◆ Require or encourage the use of driver's license scanners
 - ◆ Increase the comprehensiveness of laws on possession and use of alcohol by people under the age of 21
 - ◆ Enhance driver's license to facilitate recognition of underage purchase attempts and make license more difficult to falsify
 - ◆ Enact and promote the use of civil penalties
 - ◆ Ban concurrent sales of alcohol and gasoline
 - ◆ Restrict alcohol marketing
- **Other Enforcement Approaches (including training)**
 - ◆ Enhance enforcement of drinking and driving laws
 - ◆ Law enforcement monitoring or patrolling of alcohol outlet parking lots to enforce laws prohibiting furnishing alcohol to underage individuals
 - ◆ "Party patrols" to identify and direct law enforcement efforts at underage parties

- ◆ Enforcement and education efforts focused on parents and landlords who allow underage drinking parties to take place on their property
- ◆ Training of law enforcement officers to promote better enforcement efforts
- **School Policy**
 - ◆ Enact alcohol policies on secondary school grounds and at school-sponsored events
 - ◆ Alcohol-free events - high schools
 - ◆ Enact policies establishing substance abuse free dorms in colleges
 - ◆ Enact alcohol policies on college grounds and at college-sponsored events

SECTION 5

ATTACHMENT D:

CERTIFICATIONS

- D-1 Debarment and Suspension**
- D-2 Lobbying**
- D-3 Program Fraud Civil Remedies Act**
- D-4 Environmental Tobacco Smoke**
- D-5 Drug Free Workplace Requirements**

**Instructions for Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion—
Lower Tier Covered Transactions**

1. By signing and submitting this proposal, the prospective lower tier participant* is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the Department of Health, Alcohol and Drug Abuse Division (ADAD) if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.
4. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact ADAD for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled “Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction,” without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

*Note: *Prospective lower tier participant* is a federal term that refers to an applicant that is not the primary (direct) recipient of the federal funds. In this case, a *prospective lower tier participant* is an applicant that is submitting a proposal to the Department of Health, Alcohol and Drug Abuse Division, which is the primary recipient of the federal funds.

CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION—LOWER TIER COVERED TRANSACTIONS

This certification is pursuant to 28 CFR Part 67 and 45 CFR Part 76:

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal Department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Organization Name

Name of Authorized Representative

Title

Signature

Date

CERTIFICATION REGARDING LOBBYING

Title 31, United States Code, Section 1352, entitled "Limitation on use of appropriated funds to influence certain Federal contracting and financial transactions," generally prohibits recipients of Federal grants, contracts, loans, and cooperative agreements from using Federal (appropriated) funds for lobbying the Executive or Legislative Branches of the Federal Government in connection with a SPECIFIC grant, contract, loan, or cooperative agreement. Section 1352 also requires that each person who requests or receives a Federal grant, contract, loan, or cooperative agreement must disclose lobbying undertaken with non-Federal (non-appropriated) funds. These requirements apply to Federal grants, contracts, loans, and cooperative agreements EXCEEDING \$100,000 in total costs (45 CFR Part 93).

The undersigned (authorized official signing for the applicant organization) certifies, to the best of his or her knowledge and belief, that:

- (1) No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federally appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. (Please submit Standard Form-LLL "Disclosure of Lobbying Activities," to the Department of Health, Alcohol and Drug Abuse Division ONLY if it is applicable to your organization as described herein. If needed, Standard Form-LLL and its instructions follow this certification form.)
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Organization Name

Name of Authorized Representative

Title

Signature

Date

**CERTIFICATION REGARDING PROGRAM FRAUD CIVIL
REMEDIES ACT (PFCRA)**

The undersigned (authorized official signing for the applicant organization) certifies that the statements herein are true, complete, and accurate to the best of his or her knowledge, and that he or she is aware that any false, fictitious, or fraudulent statements or claims may subject him or her to criminal, civil, or administrative penalties. The undersigned agrees that the applicant organization will comply with the terms and conditions of the contract if a contract is awarded as a result of this application.

Organization Name

Name of Authorized Representative

Title

Signature

Date

CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE

Public Law 103-227, also known as the Pro-Children Act of 1994 (Act), requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by any entity and used routinely or regularly for the provision of health, day care, early childhood development services, education or library services to children under the age of 18, if the services are funded by Federal programs either directly or through the State or local governments, by Federal grant, contract, loan or loan guarantee. The law also applies to children's services that are provided in indoor facilities that are constructed, operated, or maintained with such federal funds. The law does not apply to children's services provided in private residences; portions of facilities used for inpatient drug or alcohol treatment; service providers whose sole source of applicable Federal funds is Medicare or Medicaid; or facilities where WIC coupons are redeemed.

Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1,000 for each violation and/or the imposition of an administrative compliance order on the responsible entity.

By signing this certification, the undersigned certifies that the applicant organization will comply with the requirements of the Act and will not allow smoking within any portion of any indoor facility used for the provision of services for children as defined by the Act.

The applicant organization agrees that it will require that the language of this certification be included in any subawards which contain provisions for children's services and that all subrecipients shall certify accordingly.

The Public Health Services strongly encourages all grant recipients to provide a smoke-free workplace and promote the non-use of tobacco products. This is consistent with the PHS mission to protect and advance the physical and mental health of the American people.

Organization Name

Name of Authorized Representative

Title

Signature

Date

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

The undersigned (authorized official signing for the applicant organization) certifies that the applicant will, or will continue to, provide a drug-free workplace in accordance with 45 CFR Part 76 by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantees workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about –
 - (1) The dangers of drug use in the workplace;
 - (2) The grantee’s policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance program; and,
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a) above;
- (d) Notifying the employee in the statement required by paragraph (a), above, that, as a condition of employment under the grant, the employee will –
 - (1) Abide by the terms of the statement; and,
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted –
 - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

- (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency; and,
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

Organization Name

Name of Authorized Representative

Title

Signature

Date

SECTION 5

ATTACHMENT E:

**PROGRAM SPECIFIC
REQUIREMENTS
AND ASSURANCES**

- E-1 Management Requirements - Personnel**
- E-2 Management Requirements - Administrative**
- E-3 Management Requirements – Quality Assurance**
- E-4 Assurance Regarding Fiscal, Statistical and
Administrative Records**
- E-5 Assurance Regarding Recognition of the
DEPARTMENT and the Use of OJJDP and SAPT
Block Grant Funds**
- E-6 Assurance Regarding Confidentiality of Alcohol and
Drug Abuse Patient Records**
- E-7 Program Specific – Job Description**

Management Requirements

1. Personnel

The APPLICANT agrees to comply with the Personnel Management Requirements of this RFP.

The APPLICANT shall:

- Conduct, at a minimum, a criminal history record check for any person who is employed or volunteers in an administrative or program position, which necessitates close proximity to clients. For administrative and program staff working in a position which necessitates close proximity to children or adolescents, the criminal history check shall also include fingerprinting. A copy of the criminal history record check and fingerprinting check shall be placed in the employee's or volunteer's personnel file and shall be available for review.
- Possess and document knowledge, capacity, skills and experience in working with the targeted population, as well as the community it proposes to serve. The APPLICANT shall ensure that staff receive training in any curriculum, strategies, or program model it will implement before the start of operation. The cost of staff training shall be included in the APPLICANT's proposed budget.
- Coordinate, plan and organize the delivery of age-appropriate curricula or activities to the targeted population. The APPLICANT shall possess the knowledge, planning capacities, skills and experience in delivering curriculum-based programs, working with the targeted population, as well as the community at large, and this shall be documented in the resumes of key staff.
- Conduct an initial orientation for prevention personnel within 30 days of employment for all new employees and document such in the personnel record of the employee. The orientation shall include acquainting staff with the organization's policies and procedures, expected codes of conduct, and expected practices for prevention staff including use of current prevention concepts and program strategies, theory, research, and best practice findings upon which prevention services and programs of the agency are based
- Maintain and update annually a description of its organization-staffing pattern, including an organization chart showing lines of authority for prevention services.

- Designate, and indicate on the APPLICANT's organization chart, an individual(s) responsible for the supervision of prevention professionals, paraprofessionals, volunteers, and services.
- Provide documentation of the APPLICANT's successful experience in providing substance abuse prevention services to minorities. The APPLICANT's staff and volunteers shall possess in-depth understanding of the culture(s) in the geographical region it proposes to serve.
- Attend ongoing prevention specialist training(s) offered by ADAD, including but not limited to the Substance Abuse Prevention Specialist Training (SAPST), Client Confidentiality Training, as well as an Overview of Substance Abuse.
- Ensure that staff receive training in the ADAD management information system and in ADAD's procedures for reporting fulfillment of the RFP requirements and evaluations of capacity, process, and outcomes.
- Abide by the Code of Ethical Conduct for Prevention Professionals as created by the National Association of Prevention Professionals and Advocates. A signed copy shall be placed in the personnel file of each staff member employed by this program. In the RFP for youth programs, the Code is in the APPLICANT Guide, Section 5, Attachment F, Part 10.
- Attend substance abuse prevention providers' meetings as scheduled by ADAD.
- Supervise any volunteers, if used by the APPLICANT, and training them in client confidentiality issues, program quality assurance requirements and requiring them to adhere to the Code of Ethical Conduct for Prevention Professionals included in the APPLICANT Guide, Section 5, Attachment F, Part 10. A signed copy of the Code of Ethical Conduct for Prevention Professions shall be placed in the file of each volunteer affiliated with this program.
- Develop and implement a written safety plan which includes policies and procedures for handling personal injury, threats, emergencies, or disasters. Post evacuation routes in facilities used by the program.
- Maintain documentation for each employee of an initial tuberculosis (TB) skin test or chest X-ray. A copy of the test results shall be placed in the personnel file of each staff member employed by this program.

- Implement a no-smoking policy.

- Assure that each staff receives at least 12 hours of relevant prevention training per year which shall include:
 - 1) Staff education on HIV and AIDS.
 - 2) Staff education on the risk of TB for those abusing substances.

Documentation of such training shall be included in the personnel file for each staff employed by this program.

NOTE: Because of federal Performance Partnership requirements or as a result of a change in ADAD's prevention Management Information System, the outcome/performance measurements as well as program and fiscal data reporting may change. The APPLICANT must be prepared to comply with a Core Measure data set that may be required by the Center for Substance Abuse Prevention. The current proposed Core Measures are: 1)Lifetime Use, 2) Age of First Use, 3)30 Day Use, 4) Dependency, and 5)Problem Drinking. The other proposed measures are "capacity," "process," and "outcome."

The undersigned (authorized official signing for the applicant organization) certifies that the statements herein are true, complete, and accurate to the best of his or her knowledge, and that he or she is aware that any false, fictitious, or fraudulent statements or claims may subject him or her to criminal, civil, or administrative penalties. The undersigned agrees that the applicant organization shall comply with the terms and conditions of the contract if a contract is awarded as a result of this application.

Organization Name

Name of Authorized Representative

Title

Signature

Date

Management Requirements

2. Administrative

The APPLICANT agrees to comply with the Administrative Management Requirements of this RFP.

The APPLICANT shall:

- Develop and maintain fiscal, statistical, and administrative records pertaining to services as specified by the DEPARTMENT.
- Establish and implement policies and procedures which clearly identify the target population for each type of prevention service, the program content, and methods of service delivery.
- Possess a minimum of one-year's experience providing substance abuse services to the target population in the designated community.
- Review all written and/or audio visual prevention material, at a minimum, biannually by staff and by an advisory board or ad hoc committee to assure that it is relevant, current, and age and culturally appropriate.
- Implement procedures for handling complaints and grievances.
- Familiarize staff with materials available at the Regional Alcohol and Drug Awareness Resource (RADAR) Center and meet with RADAR staff once per quarter for technical assistance.
- Acknowledge the DEPARTMENT and ADAD as the APPLICANT's program sponsor by displaying the DEPARTMENT's logo and the following statement on displays, public service announcements, or written material distributed by the program: "Funded by the State of Hawaii Department of Health, Alcohol and Drug Abuse Division through Federal Substance Abuse Prevention and Treatment (SAPT) Block Grant funds."
- Refund to the DEPARTMENT any funds unexpended or expended inappropriately.

- Under the actual expenditure method of reimbursement, assure that all equipment and unused supplies and materials purchased with funds paid to it shall become the property of the DEPARTMENT upon completion or termination of the contract.

- Under the actual performance method of reimbursement, assure that program income and/or surplus earned during the contract period shall be used to further the program objectives; otherwise the DEPARTMENT will deduct the surplus from the total contact amount in determining the net allowable cost on which the state's share or cost is based.

NOTE: Because of federal Performance Partnership requirements or as a result of a change in ADAD's prevention Management Information System, the outcome/performance measurements as well as program and fiscal data reporting may change. The APPLICANT must be prepared to comply with a Core Measure data set that may be required by the Center for Substance Abuse Prevention. The current proposed Core Measures are: 1)Lifetime Use, 2) Age of First Use, 3)30 Day Use, 4) Dependency, and 5)Problem Drinking. The other proposed measures are "capacity," "process," and "outcome."

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Organization Name

Name of Authorized Representative

Title

Signature

Date

Management Requirements

3. Quality assurance and evaluation specifications

The APPLICANT agrees to comply with the quality assurance and evaluation Management Requirements of this RFP.

The APPLICANT shall:

- Have a quality assurance plan and submit it as part of its proposal identifying the mission of the organization, what services will be provided, how they are delivered, who is qualified to deliver them, who is eligible to receive the services, and what standards are used to assess or evaluate the quality and utilization of services.
- Use the quality assurance plan to serve as procedural guidelines for staff and confer upon designated individuals and committees the authority to fulfill their responsibilities in the areas of quality assurance.
- Use the quality assurance plan to serve as a source of information for parties interested in knowing how the program monitors and improves the quality of its services. Findings shall be integrated and reviewed by the quality assurance committee and information conveyed to the program administrator and the organization's executive officer and governing body at least semi-annually.
- Use the quality assurance system to identify strengths and deficiencies, indicate corrective actions to be taken, validate corrections, and recognize and implement innovative, efficient, or effective methods for the purpose of overall program improvement.
- Reflect in its program evaluation documentation of the achievement of the stated goals of the program using tools and measures consistent with the professional standards of the disciplines involved in the delivery of services.

NOTE: Because of federal Performance Partnership requirements or as a result of a change in ADAD's prevention Management Information System, the outcome/performance measurements as well as program and fiscal data reporting may change. The APPLICANT must be prepared to comply with a Core Measure data set that may be required by the Center for Substance Abuse Prevention. The current proposed Core Measures are: 1)Lifetime Use, 2) Age of First Use, 3)30 Day

Use, 4) Dependency, and 5) Problem Drinking. The other proposed measures are “capacity,” “process,” and “outcome.”

The undersigned (authorized official signing for the applicant organization) certifies that the statements herein are true, complete, and accurate to the best of his or her knowledge, and that he or she is aware that any false, fictitious, or fraudulent statements or claims may subject him or her to criminal, civil, or administrative penalties. The undersigned agrees that the applicant organization shall comply with the terms and conditions of the contract if a contract is awarded as a result of this application.

Organization Name

Name of Authorized Representative

Title

Signature

Date

**ASSURANCE REGARDING FISCAL, STATISTICAL
AND ADMINISTRATIVE RECORDS**

The undersigned (authorized official signing for the applicant organization) certifies the applicant will develop and maintain fiscal, statistical, and administrative records pertaining to services as specified by the DEPARTMENT.

Organization Name

Name and Title of Authorized Representative

Signature

Date

**ASSURANCE REGARDING THE RECOGNITION OF
THE DEPARTMENT AND OF THE USE OF OJJDP**

The undersigned (authorized official signing for the applicant organization) certifies the applicant will acknowledge the DEPARTMENT and ADAD as the APLICANT’S program sponsor; the acknowledgement shall appear on all printed materials through the use of the DEPARTMENT’S logo and the statement: “Funded by the State of Hawaii, Department of Health, Alcohol and Drug Abuse Division through Federal grants from the Office of Juvenile Justice and Delinquency Prevention.”

Organization Name

Name and Title of Authorized Representative

Signature

Date

**ASSURANCE REGARDING THE CONFIDENTIALITY OF
ALCOHOL AND DRUG ABUSE PATIENT RECORDS**

The undersigned (authorized official signing for the applicant organization) certifies the applicant will maintain, if applicable, all substance records in a confidential manner pursuant to 42 Code of Federal Regulations (42 CFR), Part 2, Confidentiality of Alcohol and Drug Abuse Patient Records, and if necessary, the APPLICANT shall resist in judicial proceedings any efforts to obtain access to participant records except as permitted by such regulations.

Organization Name

Name and Title of Authorized Representative

Signature

Date

Job Description Program Coordinator

General Job Description

Responsible for developing networks and brokering relationships among individuals, groups, organizations, and agencies with a vested interest in reducing underage drinking and related problems. Maintains accurate documentation of organizing efforts and produces regular progress reports documenting the planning and results of efforts.

Prerequisite Qualifications

Knowledge of local community, proficiency in word processing, ability to produce written reports for deadlines, and general understanding of alcohol problems are minimal requirements. Knowledge of policy or environmentally based alcohol prevention strategies is desirable.

Mental Abilities/Standards of Conduct

Excellent organizational and interpersonal skills are required. Desired individual must be self-motivated with the ability to communicate well with community representatives from a variety of professional, educational, socio-economic, and racial/ethnic backgrounds. Must be able to listen and demonstrate responsiveness to expressed concerns. Must be able to work as a team member as well as work independently. Must be able to integrate and synthesize information from multiple sources and develop draft action plans based on such information. Must have a flexible schedule allowing for evening meetings.

Other Desirable Characteristics

This individual holding this position should not have a strong affiliation or reputation as an advocate on this issue. The person should also not hold a personal vested interest in project outcomes. Rather, the individual holding this position should ideally be perceived as an "honest broker" who can be trusted to listen objectively to a variety of viewpoints (oftentimes opposing viewpoints), identify areas and opportunities for collaboration, and proceed accordingly.

Primary Job Functions

1. Establishes or joins established networks and/or coalitions addressing underage drinking in order to implement project activities and work toward project goals.
2. Attends, hosts, and facilitates community-level meetings (day and evening) as well as meetings with State Discretionary Grant Manager and other meeting related to project goals.
3. Identifies areas for needed training and technical assistance in order to implement project activities.
4. Manages documentation for project including activity tracking and submission of progress reports.