

State of Hawaii
Department of Health
Adult Mental Health Division

Request for Proposals

RFP No. HTH 420-3-09 **Assessment Services – Statewide**

Date Issued: September 23, 2008

Proposal Submittal Deadline: October 27, 2008
Orientation Session: October 2, 2008

Note: If this RFP was downloaded from the State Procurement Office RFP Website each applicant must provide contact information to the RFP contact person for this RFP to be notified of any changes. For your convenience, you may download the RFP Interest form, complete and e-mail or mail to the RFP contact person. The State shall not be responsible for any missing addenda, attachments or other information regarding the RFP if a proposal is submitted from an incomplete RFP.

September 23, 2008

REQUEST FOR PROPOSALS

ASSESSMENT SERVICES – STATEWIDE RFP No. HTH 420-3-09

NOTICE

The Department of Health, Adult Mental Health Division (“DIVISION”), is requesting proposals from qualified applicants to provide Assessment Services – Statewide. The contract term will be from January 1, 2009 through December 31, 2009. Multiple contracts will be awarded under this request for proposals.

SUBMITTAL DEADLINE

All proposals mailed by the United State Postal Service (USPS) shall be postmarked by October 27, 2008 to the mail-in address and received no later than ten days from the submittal deadline. Hand delivered proposals shall be received no later than October 27, 2008, 4:00 p.m., Hawaii Standard Time (HST) at the drop-off site.

Proposals postmarked or hand delivered after the designated deadline shall be considered late and rejected. Deliveries by private mail services such as FEDEX shall be considered hand deliveries and shall be rejected if received after the submittal deadline.

MAIL-INS: Department of Health
Adult Mental Health Division
P.O. Box 3378, Room 256
Honolulu, Hawaii 96801-3378

HAND DELIVERIES (DROP-OFF SITE): Department of Health
Adult Mental Health Division
1250 Punchbowl Street, Room 256
Honolulu, Hawaii 96813

Applicants are encouraged to attend the Orientation Meeting. (See Section 1)

INQUIRIES:

Inquiries regarding this RFP should be directed to the RFP contact person:

Enid Kagesa
1250 Punchbowl Street
Honolulu, HI 96813
Telephone: (808) 586-4689
Facsimile: (808) 586-4745

RFP Table of Contents

Section 1 Administrative Overview

I.	Procurement Timetable.....	1-1
II.	Websites Referenced in this RFP.....	1-1
III.	The Procurement Process.....	1-2
IV.	Requirements for Awardees.....	1-5

Section 2 - Service Specifications

I.	Overview, Purpose or Need and Goals of Service.....	2-1
II.	Planning Activities.....	2-1
III.	Demographics and Funding	2-1
IV.	Service Activities	2-3
V.	Qualifications	2-4
VI.	Pricing Structure	2-8
VII.	Other	2-9
VIII.	Reporting Requirements for Program and Fiscal Data.....	2-9
IX.	Monitoring and Evaluation	2-9

Section 3 - Proposal Application Instructions

I.	Instructions for Completing the Proposal Application	3-1
II.	Submission of Proposal Application Documents	3-1
III.	Proposal Application Short Form 1 (SPO-H-250).....	3-2

Section 4 – Proposal Evaluation

I.	Evaluation Process	4-1
II.	Evaluation Criteria.....	4-2

Section 5 – Attachments

Attachment A.	Proposal Application Checklist
Attachment B.	Sample Proposal Table of Contents
Attachment C.	Draft of Special Conditions
Attachment D.	Certifications
Attachment E.	Form SPO-H-205A Instructions

Section 1

Administrative Overview

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
Public notice announcing RFP	9/23/08
RFP orientation session	10/2/08
Due date for written questions	10/6/08
State purchasing agency’s response to written questions	10/9/08
Proposal submittal deadline	10/27/08
Proposal evaluation period	11/3/08 – 11/19/08
Final revised proposals (optional)	
Provider selection	12/1/08
Notice of statement of findings and decision	12/1/08
Contract start date	1/1/09

II. Websites References in this RFP

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...” and “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

	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	http://www.hawaii.gov/campaign

(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)

III. The Procurement Process

Authority. This RFP is issued under the provisions of the Hawaii Revised Statutes (HRS), 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. Failure to comply with any requirements may result in the rejection of the proposal.

Applicants are advised that the entire RFP, appendices, amendments, memorandum, written responses to questions and answers, and the corresponding proposal shall be a part of the contract with the successful applicant.

RFP Organization. This RFP is organized into 4 sections:

Section 1, Administrative Overview - The procurement process; requirements for awardees.

Section 2, Service Specifications – Services to be delivered, applicant responsibilities, requirements for the proposal application.

Section 3, Evaluation – The method by which proposal applications will be evaluated.

Section 4, Attachments - Information and forms necessary to complete the application.

RFP Orientation Session. An orientation session to familiarize applicants with the procurement process and the requirements of the RFP shall be held. Applicants are encouraged to submit written questions prior to the orientation. Questions at the orientation are permitted, but oral questions should be submitted in writing by the date indicated in the Procurement Timetable to ensure an official written response.

Date and time: October 2, 2008, 8:30 – 9:30 a.m.

Location: Kinau Hale Building, 1250 Punchbowl Street, 1st Floor, Office of Health Planning Conference Room

Submission of Questions. Applicants may submit written questions to the RFP Contact Person identified in the Notice. The written response by the State purchasing agency will be available to all applicants and placed on the RFP website.

Deadline for submission of written questions: October 6, 2008, 2:30 pm HST

Discussions with Applicants. Discussions may be conducted with potential applicants to promote understanding of the purchasing agency's requirements prior to the submittal deadline. Discussions may also 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 HAR Section 3-143-403.

Multiple or Alternate Proposals – Multiple/alternate proposals are not applicable to this RFP.

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.

Opening of Proposals. Upon receipt by a state purchasing agency at the designated location(s), proposal application shall be date-stamped, and when possible, time-stamped, held in a secure place and not examined for evaluation purposes until the submittal deadline.

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

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

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 best and final offer/proposal.

Cancellation of Request for Proposal. The request for proposals may be canceled when it is determined to be in the best interests of the State in accordance with section 3-143-613, HAR.

Costs for Proposal Preparation. Any costs incurred by applicants in preparing or submitting a proposal are the applicant's sole responsibility.

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 release of a request for proposals, shall not disqualify providers from submitting proposals if conducted in accordance with sections 3-142-202, 3-142-203, HAR.

Rejection of Proposals. A proposal offering a set of terms and conditions contradictory to those included in this RFP may be rejected. A proposal may be rejected for any of the following reasons: 1) Failure to cooperate or deal in good faith (Section 3-141-201, HAR); 2) 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).

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 awardee prior to the contract commencement date. The State of Hawaii is not liable for any costs incurred prior to the official starting date.

Upon receipt and acceptance of the winning proposal, the DIVISION shall initiate the contracting process. The applicant who has been awarded a contract shall be notified in writing that the DIVISION intends to contract with the applicant. This letter shall serve as notification that the applicant should begin to develop its programs, materials, policies and procedures for the contract. The DIVISION will not reimburse applicants for costs incurred related to services not delivered.

Protests. Any applicant may file a protest against the awarding of the contract. The Notice of Protest form, SPO-H-801, all other forms and a detailed description of procedures are on the SPO website. Only the following matters may be protested:

- (1) A state purchasing agency's failure to follow procedures established by Chapter 103F, HRS;
- (2) A state purchasing agency's failure to follow any rule established by Chapter 103F, HRS; 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 the head of the state purchasing agency conducting the protested procurement and the procurement officer conducting the procurement (as indicated below) within five (5) 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: Chiyome L. Fukino, M.D.	Name: Amy Yamaguchi
Title: Director of Health	Title: Administrative Officer, Adult Mental Health Division
Mailing Address: P.O. Box 3378 Honolulu, Hawaii 96801-3378	Mailing Address: P.O. Box 3378 Honolulu, Hawaii 96801-3378
Business Address: 1250 Punchbowl Street, Room 256, Honolulu, Hawaii 96813	Business Address: 1250 Punchbowl Street, Room 256, Honolulu, Hawaii 96813

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

IV. Requirements for Awardees

Tax Clearance. If awarded, 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 upon notice of award.

Wages and Labor Law Compliance. Prior to contract execution for 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.”

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 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 paragraph II, Website Reference.)

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 paragraph II, Website Reference.)

Monitoring and Evaluation. Criteria by which contracts will be monitored and evaluated is in Section 2.

General and Special Conditions of Contract. The general conditions that will be imposed contractually are on the SPO website. Special conditions may also be imposed contractually by the state purchasing agency, as deemed necessary.

Section 2

Service Specifications

I. Overview, Purpose or Need and Goals of Service

The Adult Mental Health Division (“DIVISION”) of the Hawaii State Department of Health (“DEPARTMENT”) is responsible for coordinating public and private human services into an integrated and responsive delivery system for mental health needs. Provision of direct services to consumers in the public sector is offered through programs offered by the Community Mental Health Centers (“CENTERS”) and the Hawaii State Hospital (“HOSPITAL”). In addition, the DIVISION contracts on a purchase of service basis with private providers for mental health services to supplement the efforts of the CENTERS and the HOSPITAL.

Hawai’i’s adult mental health service delivery system is based on the concept of recovery, that consumers can lead fulfilling lives even in the presence of a severe and persistent mental illness. Services are focused on the need of the individual, not only on symptom relief and stabilization, but on consumer empowerment and the skills needed to lead satisfying, hopeful and contributing lives.

II. Planning Activities

The DIVISION published a Request for Information on May 19, 2008 seeking the public’s input in the design of the revised scopes of services for Assessment Services – Statewide, the availability of potential service providers, and the staffing capabilities of providers.

III. Demographics and Funding

Target population to be served: Registered DIVISION consumers and potential DIVISION consumers

Geographic coverage of service: Statewide

Probable funding amounts, source, and period of availability:

The source of funding is state funds or a combination of state and federal funds. Both profit and non-profit organizations are eligible for state funds. Please note that based on the availability of state funds, the amount allocated to providers who are awarded contracts may change.

The DIVISION considers itself the payor of last resort, and expects providers to obtain third party reimbursement as applicable. The DIVISION gives priority to the uninsured.

If an applicant materially fails to comply with terms and conditions of the contract, the DIVISION may, as appropriate under the circumstances:

1. Temporarily withhold payments pending correction of a deficiency or a non-submission of a report by a provider.
2. Disallow all or part of the cost.
3. Restrict, suspend or terminate the contract.

In the event that the additional funds become available for similar services, the DEPARTMENT reserves the right to increase funding amounts.

Competition is encouraged among as many applicants as possible.

Single or multiple contracts to be awarded

(Refer to HAR Section 3-143-206)

Single Multiple Single & Multiple

Criteria for multiple awards:

The state needs the flexibility to award funding to more than one (1) applicant. In the event that more than one (1) applicant's proposal for a service meets the minimum requirements, the proposal will be reviewed in accordance with the following additional criteria in determining the funding allocations:

1. Interest of the State to have a variety of providers in order to provide choices for consumers.
2. Interest of the State to have geographic accessibility.
3. Readiness to initiate or resume services.
4. Ability to maximize QUEST funding, if possible.
5. Proposed budget in relation to the proposed total number of service recipients.
6. If funded in the past by the DIVISION, ability of applicant to fully utilize funding.
7. Previous DIVISION contract compliance status (e.g. timely submittal of reports and corrective action plans).
8. Accreditation status.
9. Applicants past fiscal performance based on the DIVISION's fiscal monitoring.
10. Applicants past program performance, based on the DIVISION's program monitoring.

Term of Contract(s)

Initial term of contract:	<u>1 year</u>
Length of each extension:	<u>1 year</u>
Number of possible extensions:	5
Maximum length of contract:	<u>6 years</u>
The initial period shall commence on the contract start date or Notice to Proceed, whichever is later.	

IV. Service Activities

The DIVISION Assessment Program shall provide access and coordination for standardized mental health assessments. Standardized eligibility mental health assessments are required to determine an individual’s eligibility to receive ongoing behavioral health treatment and services through the DIVISION. The purpose of this RFP is to seek qualified clinicians, skilled in providing comprehensive eligibility assessments which include risk assessment, biopsychosocial assessment, alcohol and substance abuse assessments, multi-axial diagnoses and level of care determination to conduct these assessments. These assessments are generally done in urgent, emergent or routine situations. Assessments may be required after business hours, on weekends and holidays in non-clinic settings and on neighbor islands. Assessment clinicians must be highly skilled and may be required to serve in the DIVISION Assessment Program’s appeal review as needed. The DIVISION Access Line will provide assessment scheduling and will require assessment clinicians to provide their schedules with available times for assessment.

Individual clinicians or any group of clinicians that apply for this RFP should not have a conflict of interest. For example, DIVISION employed clinicians would be considered having a conflict of interest. Clinicians employed or contracted with any DIVISION contracted purchase of service provider would also be considered as having a conflict of interest.

The scope of work encompasses the following tasks and responsibilities:

Service Requirements

(Minimum and/or mandatory tasks and responsibilities)

1. Provide assessment services to individuals referred to DIVISION for the purpose of eligibility determination, community treatment and/or hospital admission. Referrals shall be taken only from the DIVISION Access Line.
2. Assessments shall be conducted through face-to-face interviews.
3. Use assessment protocols as determined to be appropriate by the DIVISION. All providers shall receive training in the use of these protocols prior to providing assessment services. Assessment protocols are based upon Best Practice/

Evidence-Based Practice methods and the Diagnostic and Statistical Manual of Mental Disorders IV-TR (or most recent edition) to formulate multi-axial assessment. Clinical summaries and treatment service recommendations shall be required.

4. Conduct semi-structured interviews and collect collateral information (e.g. criminal record, pre-sentence reports, previous mental health evaluation, interviews with family members, progress notes, etc) in forming a mental health assessment.
5. Assess an individual's health status, illness, response to illness, patterns of behavior, resources, strengths, weaknesses, coping behaviors, and responses to the environment of individuals and families.
6. Assessments shall occur in the community at scheduled sites, which may include hospital emergency rooms, licensed crisis residential facilities, inpatient facilities, jail/prison, CENTERS, private homes, homeless shelters, and other locations. Assessments may require evening, weekend, or holiday appointments, and may require the provider to travel to neighbor islands.
7. Follow all Level of Care and Service Criteria as defined and established by the DIVISION.
8. The provider shall not deliver services or provide any other direct treatment or case management services to the person being assessed.
9. The provider shall not subcontract this assessment service to any other provider.
10. The provider shall complete each assessment, and include any assessment tools as may be required by the DIVISION, as an attached, typed summary/report of the assessment. These reports shall be either faxed or brought in person to the DIVISION's Utilization Management unit within forty-eight (48) hours of completion of the assessment.
11. The assessments shall be completed as quickly and efficiently as possible, based on the needs of the consumer.
12. Complete all DIVISION required clinical and billing documents.
13. Attend training sessions as required by the DIVISION.

V. QUALIFICATIONS

1. Experience

The applicant shall provide a description of experience/projects/contracts

pertinent to the services required. Applicant shall include points of contact, addresses, e-mail/phone numbers. The State reserves the right to contact references to verify experience.

2. Organization

- a. The applicant shall cooperate with the DIVISION in approved research, training, and service projects provided that such projects do not substantially interfere with the applicant's service requirements as outlined in this RFP.
- b. The applicant shall comply with all specified, applicable existing policies, procedures, directives, and provider manual of the DIVISION and, any applicable policies, procedures, directives, and provider manual developed in the future.
- c. The applicant shall assign staff to attend provider meetings as scheduled by the DIVISION.
- d. Consumer Management Requirements:
 - 1) Consumers shall receive services in a manner compatible with their cultural health beliefs, practices and preferred language.
 - 2) In accordance with Chapter 11-175, Hawaii Administrative Rules, and any appropriate federal guidelines, the applicants shall respect and uphold consumer rights. The applicant shall recognize the rights of authority of the consumer in the delivery of services, in deciding on appropriate treatment and services and in providing input into decisions of all aspects of service.
 - 3) The applicant shall comply with any applicable Federal and State laws such as title VI of the Civil Rights Act of 1964 as implemented by regulations at 45 C.F.R. part 80, the Age Discrimination Act 1975 as implemented by regulations at 45 C.F.R. part 91, the Rehabilitation Act of 1973, and titles II and III of the Americans with Disabilities Act.
 - 4) The applicant shall describe how they protect confidential information. The applicant shall not use or disclose patient health information (PHI) in any manner that is not in full compliance with HIPAA regulations or with the laws of the State of Hawaii. The applicant shall maintain safeguards, as necessary, to ensure that PHI is not used or disclosed except as provided by the Agreement or by law. The applicant shall not use or further disclose PHI for any purpose other than the specific purposes stated in DIVISION

contracts or as provided by law and shall immediately report to DIVISION any use of disclosure of PHI that is not provided in the Agreement or by law.

- 5) The applicant shall maintain confidential records on each consumer pursuant to section 334-5, Hawaii Revised Statutes, 42 U.S.C. sections 290dd-3 and 290ee.3 and the implementing federal regulations, 42 C.F.R. Part 2, if applicable, and any other applicable confidentiality statute or rule. Such records shall be made available to the DIVISION upon request.
- 6) Written consumer consent shall be obtained for individuals and services funded by the DIVISION including:
 - a) Consent for evaluation and treatment;
 - b) Consent to release information by DIVISION funded service providers as needed for continuity of care, including after care services;
 - c) Consent to enter registration and treatment information in the confidential Statewide DIVISION information system; and
 - d) Other consent documents as needed.

Consumer consent is not required for oversight activities of the DIVISION and its agents.

e. Financial Requirements

- 1) Eligibility and enrollment is determined through the assessment process by DIVISION assessors. Eligible consumers are:
 - a) At least 18 years old,
 - b) Live in Hawaii, and
 - c) Have severe and persistent mental illness, be in a state of crisis (short-term services), be victims of natural disasters and terrorism, or court ordered for treatment by the DIVISION.
- 2) The applicant shall submit claims electronically in the HIPAA compliant 837 format unless a waiver permitting use of the CMS 1500 is granted from the DIVISION. Claims shall be submitted for payment within sixty (60) days of the provision of services.

Claims for payment received after sixty (60) days of the provision of services shall be denied for untimeliness. For claims that have been denied by the DIVISION, the applicant shall have thirty (30) days from the date of denial, to re-submit a claim for payment. Claims submitted after thirty (30) days of the date of denial shall be denied for untimeliness.

- 3) If the applicant is required to provide encounter data, the HIPAA compliant 837 format shall be utilized to submit that data electronically.
 - f. The applicant shall have licenses and certificates, as applicable, in accordance with federal, state and county regulations, and comply with all applicable Hawaii Administrative Rules.
3. Personnel
- a. Assessments shall be conducted and completed by a Qualified Mental Health Professional (QMHP). A Qualified Mental Health Professional is defined as a Licensed Psychiatrist, Licensed Clinical Psychologist (Ph.D. or Psy.D.), Licensed Clinical Social Worker (“LCSW”), Licensed Marriage and Family Therapist (“LFMT”), or a Licensed Advanced Practice Registered Nurse (“APRN”) in behavioral health, currently licensed in the State of Hawaii.
 - b. Must have a minimum of five (5) years or practical work experience with at least two (2) years experience using the DSM IV-TR and formulating multi-axial assessments.
 - c. Certification as a substance abuse counselor or in a mental health specialty is desired, but not required.
 - d. Must possess a valid Hawaii Driver’s license.
4. Facilities - Not applicable
5. Administrative
- a. Services shall be authorized by the DIVISION’s utilization management process, by prior authorization or registration, and in accordance with the DIVISION’s processes as outlined in current DIVISION policies and procedures and directives from the DIVISION Chief. It is the responsibility of each program to understand and follow these policies, procedures, and directives in order that reimbursement can be approved by the DIVISION. Authorization of services is not a guarantee of payment.

- b. The applicant shall accept all referrals deemed appropriate by the DIVISION’s utilization management process. If the applicant is unable to meet the needs of the referral, the applicant shall work conjointly to find an alternate approach that will adequately meet the needs of the referred case.
- c. There will be a single point of accountability for each consumer entering the system that will be responsible for the continuity of communication, care, and follow up regardless of service, setting, or provider. In most cases, the single point of accountability will be the DIVISION designated case manager.
- d. Individuals who are receiving services from the Child and Adolescent Mental Health Division (CAMHD), and will no longer be eligible for services (age 21) with CAMHD, will also need to be transitioned to the DIVISION, if determined to meet DIVISION eligibility criteria, or back to their QUEST health plan or Medicaid fee-for-service if they are determined to no longer meet DIVISION criteria for continued enrollment.

If the consumer is to be enrolled in the DIVISION from a QUEST health plan, CAMHD, Fee-for-Service Program, or Community Care Services, the disenrolling program and the applicant shall equally assist the consumer in the transition process.

- e. All providers shall submit a rate schedule which outlines charges made to consumers for service(s) rendered.
- f. The DIVISION’s Assessment Program shall monitor the provider and the compliance of the provider with the terms and conditions specified herein and shall evaluate services performed. Unacceptable professionalism in accordance with the licensing laws specific to their profession shall be sufficient cause to suspend, relieve individual service under provisions of the Agreement.
- g. The applicant shall keep accurate financial records of all transactions regarding the agreed assessment services, and if requested, shall provide financial information to the DIVISION.

VI. Pricing Structure

The DIVISION will use a fixed unit of service rate pricing for this service.

Billing Code Services

TBD	Assessment Services	\$265.00 per assessment, per individual
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This is an all-inclusive rate with the exception of travel expenses when neighbor island travel is required to complete an assessment. Neighbor island travel costs will be assumed by the DIVISION.

VII. Other

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. *Statements regarding litigation will not carry any point value, but are valid.*

VIII. Reporting Requirements for Program and Fiscal Data

1. Reports shall be submitted in the format and by the due dates prescribed by the DIVISION.
2. The required content and format of all reports shall be subject to ongoing review and modification by the DIVISION as needed.
3. At the discretion of the DIVISION, providers may be required to submit reports in an approved electronic format, replacing some written reports.

The applicant shall be required to meet ongoing informational needs of the DIVISION over the course of the Agreement period through the production of informational responses in both paper and computer format. The specific content of these requests cannot be readily specified in advance as the DIVISION is required to provide a variety of ad hoc reports to funding sources including the legislature and other branches of State government, as well as to national tracking and research groups, the Federal government, advocacy organizations, accreditation bodies, professional groups, stakeholder groups, and others.

IX. Monitoring and Evaluation

1. The purpose of quality management is to monitor, evaluate, and improve the results of the applicant's services in an ongoing manner. Quality care includes, but is not limited to:
 - a. Provision of services in a timely manner with reasonable waiting times;
 - b. Provision of services in a manner which is sensitive to the cultural differences of consumers;
 - c. Appropriate documentation, in accordance with defined standards;
 - d. Consumer satisfaction; and

- e. Upholds consumer rights.

Section 3

Proposal Application Instructions

I. Instructions for Completing the Proposal Application

- *Proposal Applications shall be submitted to the state purchasing agency using the prescribed format outlined in this section.*
- *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 should be submitted utilizing a 12 pt. font size.*
- *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.*
- *Each section shall be scored in its entirety. Information submitted in another section, shall not be considered.*
- *Applicants are **strongly** encouraged to review evaluation criteria in Section 4, Proposal Evaluation when completing the proposal.*

II. Submission of Proposal Application Documents

The proposal application documents are as follows and shall be submitted in the following order:

- *Proposal Application Identification Form (SPO-H-200) Identifies the proposal application*
- *Table of Content – Include a listing of all documents included in the application*
- *Proposal Application Short-Form 1 (SPO-H-250)*
 - *Qualifications*
 - *Pricing*
 - *Other - Litigation*
- *Attachments*

The required format for the Proposal Application Short Form 1 (SPO-H 250) follows. Note that the form is available on the SPO website (see Section 1, paragraph II, Website Reference). The form on the website will not include items specific to each RFP. If using the website form, the applicant must incorporate all items listed on the next page.

Proposal Application Short Form 1

I. Qualifications

Experience

The applicant shall demonstrate that it has the necessary skills, experience, abilities, and knowledge relating to the delivery of the proposed services. The applicant shall provide a description of projects/contracts, including references, pertinent to the proposed services. The applicant shall include points of contact, addresses, e-mail addresses, and phone numbers. The State reserves the right to contact references to verify experience.

Organization

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 (if indicated) a work plan of all service activities which the applicant is proposing to provide and tasks to be completed, related work assignments/responsibilities and timelines/schedules.

The applicant shall provide:

1. A detailed description of the service which the applicant is proposing to provide including the hours of operation;
2. The services provided and the qualifications of staff providing the services;
3. A description of the accessibility of services for the target population, and a description of impediments to services and efforts to overcome barriers;
4. A statement that the applicant shall not refuse a referral if the program is not at full capacity and the referral meets the DIVISION's criteria for this service. The applicant shall not have an exclusionary policy that is inconsistent with the DIVISION'S guidelines;
5. A description by the applicant of the involvement of the consumer in the decisions regarding the services the consumer receives;
6. A statement by the applicant that it is ready, able, and willing to provide services throughout the time of the contract period; and
7. A statement by the applicant that it has read and understands the RFP and will comply with the DIVISION requirements.

Personnel

The applicant shall describe in this section of its proposal how it will ensure its compliance with the personnel requirements, which includes, but are not limited to, licensure, educational degrees, and experience for staff assigned to the program. (Refer to the qualifications in the Service Specifications, as applicable.)

The applicant shall describe, if applicable, the proposed staffing pattern and proposed assessment capacity appropriate for the viability of the services. If applicable, the applicant shall describe its ability to supervise, train and provide administrative direction relative to the delivery of the proposed services. The applicant shall give the number and title of the positions needed to provide the specific service activities. Positions descriptions shall also be submitted.

Facilities - Not Applicable

II. Pricing

Applicant shall submit a cost proposal utilizing the pricing structure designated by the state purchasing agency. The cost proposal shall be attached to the Proposal Application.

The DIVISION will use a fixed unit of service rate pricing structure for Assessment services described in the RFP. The applicant is requested to furnish a reasonable estimate of the maximum number of service units he or she can provide. 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 forms shall be submitted with the Proposal Application:

- SPO-H-205 – Budget
- SPO-H-205A – Organization-Wide Budget by Source of Funds (special instructions are located in Section 5)
- SPO-H-206A – Budget Justification – Personnel: Salaries & Wages
- SPO-H-206B – Budget Justification – Personnel: Payroll Taxes, Assessments & Fringe Benefits
- SPO-H-206E – Budget Justification – Contractual Services - Administrative
- SPO-H-206H – Budget Justification – Program Activities

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. The applicant shall submit a cost allocation plan showing how costs are allocated across different funding sources.
 - b. Also, the applicant shall submit a copy of its most recent audited or compiled financial statements.
2. The applicant shall describe all eligible sources of revenue from third parties and plans to pursue additional sources of revenue and how the applicant will prevent billing more than one (1) payer and submit overpayments to the DIVISION. The applicant may not bill other payers for services already paid for by the DIVISION or bill the DIVISION for services eligible for payment by another payer.
 3. The applicant shall describe its billing/claims process and how it ensures accurate and timely submission of billing/claims based on written documentation which supports the bill/claim, and how it processes adjustments, reconciles payment, and posts payment.

III. Other

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

Evaluation Process

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

Evaluation Criteria

The evaluation will be conducted in three phases as follows:

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

Evaluation Categories and Thresholds

Evaluation Categories

Possible Points

Administrative Requirements

Qualifications

Experience	65 points
Organization	15 points
Personnel	10 points
Facilities	0 points

Pricing 10 Points

TOTAL POSSIBLE POINTS

100 Points

I. Phase 1 - Evaluation of Proposal Requirements

A. Administrative Requirements

B. 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)

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

Ensure that each section is answered completely and thoroughly. Each section shall be scored individually and separately from another section. Applicants are responsible to place the appropriate information in each section to be scored.

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

1. Experience ***Total 65 Points***

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

- a. Necessary Skills
 - 1) Demonstrated skills, abilities, and knowledge relating to the delivery of the proposed services.
 - 2) Demonstrate the ability to respond to consumer complaints, appeals and grievances including those brought to the attention of the DIVISION.
- b. Experience

Possesses the skills, abilities, knowledge of, and experience relating to the delivery of the proposed services including,

but not limited, to previous and current contract performance with the DIVISION and other agencies.

2. Organization Total 15 Points

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 (if indicated) a work plan of all service activities which the applicant is proposing to provide and tasks to be completed, related work assignments/responsibilities and timelines/schedules.

The applicant shall be evaluated on how they will involve consumers in the decisions regarding the services the consumer receives; and on how they shall not refuse a referral if the program is not at full capacity and the referral meets the DIVISION's criteria for this service. The applicant shall not have an exclusionary policy that is inconsistent with the DIVISION'S guidelines;

3. Personnel Total 10 Points

The applicant shall be evaluated on how they propose to ensure compliance with the personnel requirements, which includes, but are not limited to, licensure, educational degrees, and experience for staff assigned to the program. (Refer to the qualifications in the Service Specifications, as applicable.)

The applicant shall also be evaluated, if applicable, the proposed staffing pattern and proposed assessment capacity appropriate for the viability of the services. If applicable, the applicant shall describe its ability to supervise, train and provide administrative direction relative to the delivery of the proposed services. The applicant shall give the number and title of the positions needed to provide the specific service activities. Position descriptions shall also be submitted.

4. Pricing Total 10 Points

a. Pricing structure based on a fixed unit of service rate cost

- 1) Applicant's proposal budget is reasonable, given program resources and operational capacity.
- 2) A cost allocation plan clearly describing the allocation of funds across different funding sources.

- 3) The submission of a copy of the most recent audit report or compiled financial statement.
- 4) Adequacy of accounting system.
- 5) An indication of the third party reimbursements the applicant is eligible to receive and of the plans the applicant has made or is making to obtain as many third party reimbursements as possible without collecting payment from more than one (1) payer.

b. Eligible Sources of revenue

Description of all eligible sources of revenue from third parties and plans to pursue additional sources or revenue.

D. 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

- A. Proposal Application Checklist**
- B. Sample Table of Contents**
- C. Draft Special Conditions**
- D. Certifications**
- E. Form SPO H 205 A Instructions**

Attachment A

Competitive POS Application Checklist

Proposal Application Checklist

Applicant: _____

RFP No.: HTH 420-3-09

The applicant's proposal must contain the following components in the order shown below. This checklist must be signed, dated and returned to the purchasing agency as part of the Proposal Application. SPOH forms are on the SPO website. See Section 1, paragraph II Website References.*

Item	Reference in RFP	Format/Instructions Provided	Required by Purchasing Agency	Completed by Applicant
General:				
Proposal Application Identification Form (SPO-H-200)	Section 1, RFP	SPO Website*	X	
Proposal Application Checklist	Section 1, RFP	Attachment A	X	
Table of Contents	Section 5, RFP	Section 5, RFP	X	
Proposal Application (SPO-H-200A)	Section 3, RFP	SPO Website*	X	
Tax Clearance Certificate (Form A-6)	Section 1, RFP	Dept. of Taxation Website (Link on SPO website)*		
Cost Proposal (Budget)				
SPO-H-205	Section 3, RFP	SPO Website*	X	
SPO-H-205A	Section 3, RFP	SPO Website* Special Instructions are in Section 5	X	
SPO-H-205B	Section 3, RFP,	SPO Website* Special Instructions are in Section 5		
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*		
SPO-H-206D	Section 3, RFP	SPO Website*		
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*		
SPO-H-206H	Section 3, RFP	SPO Website*	X	
SPO-H-206I	Section 3, RFP	SPO Website*		
SPO-H-206J	Section 3, RFP	SPO Website*		
Certifications:				
Federal Certifications		Section 5, RFP		
Debarment & Suspension		Section 5, RFP	X	
Drug Free Workplace		Section 5, RFP	X	
Lobbying		Section 5, RFP	X	
Program Fraud Civil Remedies Act		Section 5, RFP	X	
Environmental Tobacco Smoke		Section 5, RFP	X	
Program Specific Requirements:				

Authorized Signature

Date

Attachment B

Sample Table of Contents for the POS Proposal Application

Proposal Application Table of Contents

- I. Program Overview.....1**
- II. Experience and Capability1**
 - A. Necessary Skills2
 - B. Experience.....4
 - C. Quality Assurance and Evaluation.....5
 - D. Coordination of Services.....6
 - E. Facilities.....6
- III. Project Organization and Staffing7**
 - A. Staffing.....7
 - 1. Proposed Staffing.....7
 - 2. Staff Qualifications9
 - B. Project Organization10
 - 1. Supervision and Training.....10
 - 2. Organization Chart (Program & Organization-wide)
(See Attachments for Organization Charts).....12
- IV. Service Delivery.....12**
- V. Financial.....20**
See Attachments for Cost Proposal
- VI. Litigation.....20**
- VII. Attachments**
 - A. Cost Proposal
 - SPO-H-205 Proposal Budget
 - SPO-H-206A Budget Justification - Personnel: Salaries & Wages
 - SPO-H-206B Budget Justification - Personnel: Payroll Taxes and Assessments, and Fringe Benefits
 - SPO-H-206C Budget Justification - Travel: Interisland
 - SPO-H-206E Budget Justification - Contractual Services – Administrative
 - B. Other Financial Related Materials
 - Financial Audit for fiscal year ended June 30, 1996
 - C. Organization Chart
 - Program
 - Organization-wide
 - D. Performance and Output Measurement Tables
 - Table A
 - Table B
 - Table C
 - E. Program Specific Requirement

Attachment C

Draft Special Conditions

SPECIAL CONDITIONS

1. Option to Extend Agreement. Unless terminated, this Agreement may be extended by the STATE for specified periods of time not to exceed three (3) years or for not more than three (3) additional twelve (12) month periods, without resolicitation, upon mutual agreement and the execution of a supplemental agreement. This Agreement may be extended provided that the Agreement price shall remain the same or is adjusted per the Agreement Price Adjustment provision stated herein. The STATE may terminate the extended agreement at any time in accordance with General Conditions no. 4.

2. Agreement Price Adjustment. The Agreement price may be adjusted prior to the beginning of each extension period and shall be subject to the availability of state funds.

3. Federal Citation. Pursuant to the Public Health Service Act, Title XIX, Part B, Subparts I and III, as amended, Public Law 106-310, 42 U.S.C. 300X, and the implementing Federal regulations 45 C.F.R. Part 96, the Center for Mental Health Services of the Substance Abuse and Mental Health Services Administration of the United States Department of Health and Human Services has granted federal funds to the STATE under a Community Mental Health Services Block Grant by Grant No. 3B09SM010015-0753, dated July 30, 2007, for the block grant period from October 1, 2006 through September 30, 2008, Catalog of Federal Domestic Assistance No. 93.958, which notice of award, grant application, and other applicable documents and conditions are hereinafter collectively referred to as the "Federal Grant."

4. Audit Requirements.

a. Nonprofit organizations that expend \$500,000 or more in a year of federal funds from any source shall have a single audit conducted for that year in accordance with the Single Audit Act Amendments of 1996, Public Law 104-156.

b. If the preceding condition applies, the PROVIDER shall conduct a financial and compliance audit in accordance with the guidelines identified in Exhibit “_” attached hereto and made part hereof. Failure to comply may result in the withholding of payments to the PROVIDER.

c. Nonprofit organizations that expend less than \$500,000 a year in federal funds are exempt from federal audit requirements for that year; however, records shall be available for review or audit by appropriate officials of the federal awarding agency, the STATE, or General Accounting Office.

d. If the PROVIDER is exempt from federal audit requirements in accordance with subparagraph c., above, the cost of any audit conducted on behalf of the PROVIDER shall not be charged to the federal portion of this Agreement.

5. Certification Regarding Environment Tobacco Smoke. The PROVIDER shall comply with the requirements of the Pro-Children Act of 1994 and by signing the “Certification Regarding Environmental Tobacco Smoke,” attached as Exhibit “_” and made a part of this Agreement, acknowledges that is a subgrantee of federal funds to be received under the Federal Grant.

6. If this Agreement is terminated with cause or without cause or at the scheduled expiration of the time of performance specified in this Agreement, all equipment and unused supplies and materials leased or purchased with funds paid to the PROVIDER under this Agreement shall become the property of this STATE as it so specifies and shall be disposed of as directed by the STATE, except as otherwise may be provided under the Federal Grant. The PROVIDER shall have bylaws or policies that describe the manner in which business is conducted and policies that relate to nepotism and management of potential conflicts of interest.

7. The PROVIDER shall have bylaws or policies that describe the manner in which business is conducted and policies that relate to nepotism and management of potential conflicts of interest.

Attachment D

Certifications

CERTIFICATIONS

1. CERTIFICATION REGARDING DEBARMENT AND SUSPENSION

The undersigned (authorized official signing for the applicant organization) certifies to the best of his or her knowledge and belief, that the applicant, defined as the primary participant in accordance with 45 CFR Part 76, and its principals:

- (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal Department or agency;
- (b) have not within a 3-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) are not presently indicted or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and
- (d) have not within a 3-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.

Should the applicant not be able to provide this certification, an explanation as to why should be placed after the assurances page in the application package.

The applicant agrees by submitting this proposal that it will include, without modification, the clause titled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion--Lower Tier Covered Transactions" in all lower tier covered transactions (i.e., transactions with sub-grantees and/or contractors) and in all solicitations for lower tier covered transactions in accordance with 45 CFR Part 76.

2. 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 grantee's 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 abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; 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;
- (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).

For purposes of paragraph (e) regarding agency notification of criminal drug convictions, the DHHS has designated the following central point for receipt of such notices:

Office of Grants and Acquisition Management
Office of Grants Management
Office of the Assistant Secretary for Management and Budget
Department of Health and Human Services
200 Independence Avenue, S.W., Room 517-D
Washington, D.C. 20201

3. 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 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 or cooperative agreement. Section 1352 also requires that each person who requests or receives a Federal grant or cooperative agreement must disclose lobbying undertaken with non-Federal (non-appropriated) funds. These requirements apply to grants 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 under-

signed, 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. (If needed, Standard Form-LLL, "Disclosure of Lobbying Activities," its instructions, and continuation sheet are included at the end of this application 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.

4. 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 Public Health Service terms and conditions of award if a grant is awarded as a result of this application.

5. 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 an 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 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 residence, 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 the 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.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED

Attachment E

Form SPO-H-205A Instructions

**Instructions for Completing
FORM SPO-H-205A ORGANIZATION - WIDE BUDGET BY
SOURCE OF FUNDS**

Applicant/Provider:	Enter the Applicant's legal name.
RFP#:	Enter the Request For Proposal (RFP) identifying number of this service activity.
For all columns (a) thru (d)	<p>Report your total organization-wide budget for this fiscal year by source of funds. Your organization's budget should reflect the total budget of the "organization" legally named. Report each source of fund in separate columns, by budget line item.</p> <p>For the first column on the first page of this form, use the column heading, "Organization Total".</p> <p>For the remaining columns you may use column headings such as: Federal, State, Funds Raised, Program Income, etc. If additional columns are needed, use additional copies of this form.</p>
Columns (b), (c) & (d)	Identify sources of funding in space provided for column titles.
TOTAL (A+B+C+D)	Sum the subtotals for Budget Categories A, B, C and D, for columns (a) through (d).
SOURCE OF FUNDING: (a) (b) (c) (d)	Identify all sources of funding to be used by your organization.
TOTAL REVENUE	Enter the sum of all revenue sources cited above.
Budget Prepared by:	Type or print the name of the person who prepared the budget request and their telephone number. If there are any questions or comments, this person will be contacted for further information and clarification. Provide signature of Applicant's authorized representative, and date of approval.

Special Instructions by the State Purchasing Agency: