

**SECTION 2:**

**SERVICE  
SPECIFICATIONS**

**This RFP contains separate specifications for each of the following sub-RFPs.**

**HTH 440-2A**

**City and County of Honolulu**  
**HTH 440-2B County of Hawaii**  
**HTH 440-2C County of Maui**  
**HTH 440-2D County of Kauai**

**SECTION 2:**

**SERVICE  
SPECIFICATIONS**

**HTH 440-2A**  
**City and County of  
Honolulu**

## **Section 2**

# **Service Specifications**

## **City and County of Honolulu**

### **I. Introduction**

#### **A. Overview, purpose or need**

The Alcohol and Drug Abuse Division (ADAD), the designated single state authority to apply for and expend federal substance abuse funds administered under P.L. 102-321, the federal Substance Abuse Prevention and Treatment Block Grant, is focused on supporting community efforts to reduce the use of alcohol, tobacco, and other drugs among children and youth and other at-risk populations.

Contracts awarded through this RFP will be contracts between the state and local community-based organizations that will be the lead organization to coordinate and leverage community resources and services, expand prevention approaches at the community level, improve the quality of comprehensive community-based prevention efforts and reduce substance use through the implementation of evidence-based prevention strategies.

#### **B. Planning activities conducted in preparation for this RFP**

A Request for Information (RFI) was held on Kauai on November 13, 2007; on the island of Hawaii on November 14, 2007; on Maui on November 15, 2007; and on Oahu on November 16, 2007 to gather input related to this RFP. Topics of discussion centered on community needs; community capacity and readiness to implement prevention services; the existence of current county-level prevention plans; the prevalence of evidence-based programs, practices, and strategies; and the community's ability to evaluate prevention outcomes.

Data from the *2003 Hawaii Student Alcohol, Tobacco, and Other Drug Use Survey* were used to support this RFP. The full report of this survey may be found on the Department of Health website:

<http://hawaii.gov/health/substance-abuse/prevention-treatment/survey/adsurv.htm>.

**C. Description of the goals of the service**

The overall goals for communities funded through this RFP are to reduce drug and alcohol use by at-risk youth and their families by mobilizing individuals and organizations in local communities; improving data-driven planning for prevention; filling gaps in community prevention services; and implementing evidence-based prevention approaches which have demonstrated a reduction of the risk factors or enhancement of the protective factors identified within the population to be served.

APPLICANTS awarded funds through this RFP shall be the lead organization in a community-based partnership and shall collaborate and coordinate with community stakeholders to implement and evaluate a data-driven comprehensive action plan to prevent or reduce drug use among the identified population that includes evidence-based and culturally appropriate prevention policies, practices, or strategies.

**D. Description of the target population to be served**

The target population for services is at-risk youth and their families, schools and/or communities as identified by a community-based needs assessment.

The combination of substance use consequences and intervening variables (including risk and protective factors) determines at-risk groups or individuals associated with alcohol and other drug problems. Of particular emphasis for this RFP are:

- Children or youth whose parents are substance abusers;
- Victims of physical, sexual, or psychological abuse;
- Children or youth who have experienced academic difficulties or chronic failure in school;
- Youth who have become pregnant or are at risk of becoming pregnant;
- Children, youth, and families who are economically disadvantaged;
- Youth who have committed a violent or delinquent act;
- Youth who have experienced mental health problems;
- Recently arrived immigrant populations.

The Institute of Medicine (IOM) prevention classification scheme is used in this RFP to delineate target populations and the differing objectives of various interventions for each target population. The IOM system classifies prevention interventions into three (3) categories; 1) **Universal**, 2) **Selective**, and 3) **Indicated**. Descriptions of populations included in

each category may be found on the Western Center for Prevention Technology's (WestCAPT) website at <http://casat.unr.edu/bestpractices/bptype.htm>.

**E. Geographic coverage of service**

Provided that there are an adequate number of responsive and responsible proposals submitted, ADAD anticipates funding lead organizations working with community partners to provide substance abuse prevention services in the City and County of Honolulu, and the Counties of Maui, Kauai, and Hawaii. The APPLICANT shall submit a separate proposal for each geographic area to be served. ADAD reserves the right to award contracts based on the best configuration of services and to best meet the needs of the STATE. Considerations shall include, but not be limited to, geographic areas at high risk; populations at high risk; underserved geographic areas or populations; gaps in services within a geographic area; the community's readiness to implement evidence-based prevention services; the APPLICANT's capacity for working with other community stakeholders including youth and Native Hawaiian organizations; and cost effectiveness as determined by estimated per participant costs.

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

**Total Funding:**

Both federal and state funds are anticipated to be available through this RFP. The anticipated fund amounts stated in this RFP (by geographic areas and other defined service areas) are estimated based on current resource allocations. It is important to note that funding amounts when executing actual contract awards may be significantly different from the stated anticipated funding amounts due to evolving budgetary circumstances.

A total of \$409,000 of federal funds and \$2,000,000 in state funds is available statewide through RFP HTH 440-2. This total is allocated through four (4) separate sub-RFPs as follows: HTH 440-2A for the City and County of Honolulu, HTH 44-2B for the County of Hawaii, HTH 440-2C for the County of Maui, and HTH 440-2D for the County of Kauai. The STATE reserves the right to increase or decrease funds at its discretion among the four sub-RFPs in order to best meet the needs of the STATE as well as to operate within budgetary limitations. If applying for more than one sub-RFP, the APPLICANT shall submit a separate proposal for each sub-RFP. The STATE reserves the option to use the same or separate evaluation committees for each county.

**Federal Funds:**

The following federal funds are anticipated to be available through this

RFP:

\$409,037 (7/1/09-06/30/10)\*  
\$409,037 (7/1/10-06/30/11)\*

\*Funding is contingent upon the availability of funds. The State anticipates funding each awarded APPLICANT for two (2) years. Contracts may be extended for up to one (1) additional twelve (12) month period. Options for renewal or extension shall be based on the provider's satisfactory performance of the contracted service(s), the availability of funds to continue the service(s), and if the STATE determines that the service(s) are still needed. APPLICANTS should have a plan describing how services will be sustained beyond the funding period.

The source of Federal funds is the Substance Abuse Prevention and Treatment (SAPT) Block Grant. In each contract year, a minimum of thirty percent (30%) of the SAPT Block Grant funds in each contract shall be spent for services to Native Hawaiians. Priorities for federal funds will include land (ʻāina) based programs, mentoring, and gender-specific services.

Only government agencies and non-profit organizations, including faith-based organizations, are eligible for federal funds. Organizations that are currently providing services funded by RFP HTH 440-2-11 may apply for funding through this RFP if the proposed services target a different population and do not duplicate existing services.

**State General Funds:**

The following state general funds are anticipated to be available for the City and County of Honolulu through this RFP:

\$400,000 (7/1/09-06/30/10)\*  
\$400,000 (7/1/09-06/30/11)\*

\*Funding is contingent upon the availability of state funds. While no exact funding amounts have been pre-determined, ADAD anticipates each award to be approximately \$100,000.

The STATE reserves the right to make awards based on the uniqueness and appropriateness of the proposals in addressing prevention issues of specific communities and the best configuration of prevention services statewide. Should an inadequate number of responsive and responsible proposals be submitted for the City and County of Honolulu or should sufficient monies be available, ADAD reserves the right to allocate additional funds to those APPLICANTS who have submitted acceptable proposals.

The State anticipates funding each awarded APPLICANT for two (2) years. Contracts may be extended for up to one (1) additional twelve (12) years.

month period. Options for renewal or extension shall be based on the provider's satisfactory performance of the contracted service(s), the availability of funds to continue the service(s), and if the STATE determines that the service(s) are still needed. APPLICANTS should have a plan describing how services will be sustained beyond the funding period.

State and county governmental agencies, for-profit entities, and non-profit organizations, which may include faith-based organizations are eligible to apply for state general funds. Organizations that are currently providing services funded by RFP HTH 440-2-11 may apply for funding through this RFP if the proposed services target a different population or geographic area and do not duplicate existing services.

NOTE:

1. 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 determined by ADAD at its discretion in order to best meet the needs of the STATE.
2. A maximum of \$25,000 may be advanced for start-up costs for new programs, upon completion of an executed contract and the submission of an invoice requesting the advancement of funds. A new program is defined as a service provided by an organization which has not previously contracted with ADAD or an organization that has contracted with ADAD but is establishing a service that has not previously been provided in the target community or for the selected population.
3. If an APPLICANT materially fails to comply with the terms and conditions of the contract, ADAD may, as appropriate under the circumstances:
  - a. Temporarily withhold payments pending correction of any deficiency or because of non-submission of a report by the APPLICANT.
  - b. Disallow all or part of the invoice submitted by the APPLICANT.
  - c. Suspend or terminate the contract.

4. The APPLICANT may 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 such requests 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.
5. ADAD reserves the right to make modifications to any section of the service contract, including but not limited to, the scope of services, target population, time of performance, geographic service areas and total award amounts that it is unable to anticipate currently. There may be unique circumstances which may require these modifications be made in order to continue programs, improve services, as well as adjust to evolving budgetary circumstances. Additionally, ADAD reserves the right to increase or decrease funds at its discretion in order to best meet the needs of the state as well as operate within budgetary limitations.

## II. General Requirements

### A. Specific qualifications or requirements, including but not limited to licensure or accreditation

NOTE: If applying for federal SAPT Block Grant funds, the APPLICANT shall complete and submit the **Certifications and Assurances** contained in Attachment C of this RFP with its proposal. APPLICANTS that do not receive federal funds shall not be required to meet the federally required qualifications or requirements stated under the General Requirements section. Please note that as budgetary circumstance changes, ADAD reserves the right to change the anticipated source of funds to support needed program and services.

If awarded a contract, the APPLICANT shall:

1. Arrange for a financial and compliance audit to be done and submitted to ADAD as directed in accordance with “Government OMB Circular A-133” if the applicant expends \$500,000 or more in federal funds in a year.
2. Provide its most recent Financial Audit.
3. Not use funds 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: <http://hawaii.gov/spo/spoh/methods-of-procurement-source-selection/costprinciples.pdf/?searchterm=costprinciples>.

4. Reconcile the amount of an advanced payment by month five of the first year of the contract should such an advancement occur.
5. Refund to the STATE any funds unexpended or expended inappropriately.
6. Assure under the actual expenditure method of reimbursement, that all equipment and unused supplies and materials purchased with funds paid to it shall become the property of the STATE upon completion or termination of the contract.
7. Assure under the actual performance method of reimbursement, that program income and/or surplus earned during the contract shall be used to further the program objectives, subject to audit verification by the STATE.
8. Obtain from a company authorized by law to issue such insurance in the State of Hawaii commercial general liability insurance ("liability insurance") in an amount not less than ONE MILLION DOLLARS (\$1,000,000) PER OCCURANCE and TWO MILLION DOLLARS (\$2,000,000) IN THE AGGREGATE (the maximum amount paid for claims during a policy term). The certificate of insurance shall include the contract log number, contract dates, and the following statement:

"It is agreed that the State of Hawaii, its officers, employees and agents are named as additional insured, but only with respect to operation arising out of the operation performed by the named insured."

If the insurer is not licensed by the State of Hawaii, the following statement must be displayed on the insurance certificate:

"This insurance contract is issued by an insurer which is not licensed by the State of Hawaii and is not subject to its regulation or examination. If the insurer is found insolvent, claims under this contract are not covered by any guaranty fund of the State of Hawaii."

In addition, automobile insurance shall be no less than ONE MILLION DOLLARS (\$1,000,000) PER INCIDENT.

Execution of the contract shall be dependent upon the APPLICANT'S submittal of a current tax clearance and a statement of good standing from the Department of Commerce and Consumer Affairs.

**B. Secondary purchaser participation**

(Refer to §3-143-608, HAR)

After-the-fact secondary purchases will be allowed.

Planned secondary purchases: None

**C. Multiple or alternate proposals**

(Refer to §3-143-605, HAR)

Allowed                       Unallowed

**D. Single or multiple contracts to be awarded**

(Refer to §3-143-206, HAR)

Single                       Multiple                       Single & Multiple

Criteria for multiple awards: Contracts may be for one site or may include multiple sites when services are similar. Separate contracts may be awarded if services are distinct or are located on different islands.

**E. Single or multi-term contracts to be awarded**

(Refer to §3-149-302, HAR)

Single term ( $\leq$  2 yrs)                       Multi-term ( $>$  2 yrs.)

Contract terms: The initial period may commence on the contract start date or the State's Notice to Proceed. Contracts will be awarded for a two-year period with funding for the second year contingent upon satisfactory performance in the first year and the availability of funds. After the initial two-year contract period, the STATE reserves the right to extend contracts for up to one (1) additional twelve-month period. Options for renewal or extension shall be based on the provider's satisfactory performance of the contracted service(s), the availability of funds to continue the service(s), and if the STATE determines that the service(s) are still needed.

**F. RFP contact person**

The individual listed below is the sole point of contact from the date of release of this RFP until the selection of the successful 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 1, paragraph I (Procurement Timetable) of this RFP.

Virginia Jackson, Phone: (808) 692-7510  
Email: [Virginialeee.jackson@doh.hawaii.gov](mailto:Virginialeee.jackson@doh.hawaii.gov)

### III. Scope of Work

The scope of work encompasses the following tasks and responsibilities:

#### A. Service Activities (Minimum and/or mandatory tasks and responsibilities)

The APPLICANT shall also agree to participate in process and outcome evaluation as specified by ADAD. **Please see Section 2. Service Specifications, paragraph III. Scope of Work, subparagraph B. Management Requirements, 4. Output and Performance/Outcome Measures.**

The APPLICANT shall agree to engage in workforce development activities as approved and directed by ADAD. Such activities shall include coursework required as a prerequisite for the Certified Substance Abuse Prevention Specialist (CSAPS) certification.

NOTE:

The APPLICANT is advised to examine **Section 3, Proposal Application Instructions** and **Section 4, Proposal Evaluation** of this RFP which provide points to be addressed in the proposal which will be evaluated by the proposal reviewers.

#### 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 D-1 of this RFP.

The APPLICANT shall assure that its own workforce and that of any partnering organizations meet the minimum qualifications set forth by the organization that employs them. The APPLICANT or its partner organizations shall assure that the supervision of Certified Substance Abuse Prevention Specialist (CSAPS) candidates shall be assigned to preceptors who have a Certified Substance Abuse Prevention Specialist (CSAPS) credential or a

bachelors or masters degree and at least one year experience in substance abuse prevention. Preceptors are individuals responsible for training and supervising the CSAPS candidate.

**2. Administrative**

The APPLICANT is required to provide written acknowledgement agreeing to comply with the **Administrative Requirements** in Section 5, Attachment D-2 of this RFP.

**3. Quality assurance and evaluation specifications**

The APPLICANT is required to provide written acknowledgement agreeing to comply with the **Quality Assurance and Evaluation Specifications** in Section 5, Attachment D-3, of this RFP.

Using approved measurement tools, the APPLICANT shall document the achievement of stated goals in its program evaluation. For those contracts funded by federal SAPT Block Grant funds, the Government Performance and Results Act (GPRA) survey for youth ages 12-17 or adults shall be completed by participants pre- and post-service.

**4. Output and performance/outcome measurements**

This RFP focuses on specific changes to be achieved by participation in the proposed prevention services. The APPLICANT shall track and report progress toward these performance measurements to ADAD through a monthly standard outcome reporting format. Performance measurement results will be reviewed by ADAD and may result in the APPLICANT making program corrections as necessary.

Within this outcome-based framework, the APPLICANT shall:

- Describe the substance use consumption patterns and consequences of substance abuse in the identified community or target population.
- State measurable outcomes to be achieved.
- Prioritize the intervening variables (including risk factors or protective factors) to be addressed by the proposed service.
- If awarded a contract, administer pre- and post-tests to measure information and skills gained through participation in the prevention activity or use qualitative data to

demonstrate behavioral changes made as a result of participation in the prevention program. For those contracts funded by federal SAPT Block Grant funds, the Government Performance and Results Act (GPRA) survey for youth ages 12-17 or adults shall be completed by participants pre- and post-service.

The APPLICANT shall demonstrate that the proposed program, practice, or strategy will address one or more of the performance measures shown in the following table:

<b>DESIRED OUTCOME/DOMAIN</b>	<b>PERFORMANCE MEASURE</b>
Drug/Alcohol	<ul style="list-style-type: none"> <li>• Continue to abstain from drug/alcohol use or reduce use during the past 30 days.</li> <li>• Increase in age of first use.</li> <li>• Increase perception that drug and alcohol use is harmful.</li> <li>• Increase perception of drug use as unacceptable.</li> </ul>
School/Employment	<ul style="list-style-type: none"> <li>• Increase school attendance and enrollment.</li> <li>• Reduce ATOD-related suspensions and expulsions/terminations.</li> <li>• Reduce drug-related workplace injuries.</li> </ul>
Criminal Justice	<ul style="list-style-type: none"> <li>• Reduce alcohol-related car crashes and injuries.</li> <li>• Reduce drug-related offenses (school/job).</li> <li>• Reduce drug-related crime.</li> </ul>
Social Connectiveness	<ul style="list-style-type: none"> <li>• Increase family communication around drug use.</li> <li>• Increase the prevalence of clear family/community standards regarding substance use.</li> <li>• Increase parent participation in prevention activities.</li> </ul>
Access to Services (service capacity)	<ul style="list-style-type: none"> <li>• Increase the number of persons served by age, gender, race, ethnicity.</li> </ul>

**5. Experience**

The APPLICANT shall document its past five years experience in providing prevention services and specifically substance abuse prevention services provided for universal (direct and indirect), selective, and/or indicated populations. The APPLICANT shall document experience serving the identified population and working in the targeted geographic area. At least three (3) references from key stakeholders shall be provided to verify experience.

**6. Coordination of services**

The APPLICANT (as the lead organization) shall coordinate the mobilization of service providers and other stakeholders in planning, implementing, and evaluating the proposed services.

The proposed services shall fill service gaps in the community and be coordinated with other services within the community. The proposed services shall not duplicate existing services.

If the APPLICANT is providing programs and services in coordination with elementary, middle/intermediate or high schools within their communities, the APPLICANT shall actively participate in periodic planning and coordination meetings with other school-based substance abuse prevention providers, substance abuse treatment providers and relevant school faculty/staff members within the school complex. While the primary participants are substance abuse prevention and treatment providers, other relevant school-based social service providers should also be included if the services they provide will impact the targeted population.

**7. Reporting requirements for program and fiscal data**

**a. Required program reports:**

Each month, the APPLICANT shall input into the online **ADAD management information system** documentation of the implementation of activities related to the chosen evidence-based programs, practices and strategies according to the six (6) Center for Substance Abuse Prevention strategies. The unduplicated count of individuals served by each program, practice, or strategy shall be reported online monthly. The APPLICANT shall also report monthly, through the management information

system, the number of population-based strategies used and an estimation of the number of persons impacted. The deadline for inputting monthly data is 30 calendar days after the end of each month. Currently, the Minimum Data Set is used as ADAD's management information system. The APPLICANT shall be prepared to transition to the KIT Solutions<sup>®</sup> management information system when it becomes available online.

The APPLICANT shall also submit narrative **Monthly** and **Year-End Reports** summarizing and analyzing outcome data and accomplishments and challenges. The required program reports shall be accompanied by fiscal reports detailing expenditures incurred during the specific month. Monthly reports are due within 30 calendar days after the end of each month. Year-End Reports are due within 45 calendar days after the end of each fiscal year.

NOTES:

1. In January and July of each contract year, **contracts funded by federal funds** shall also report pre- and post-service outcomes utilizing the Government Performance and Results Act (**GPRA**) survey instrument. The January report covering services conducted during July through December of the previous calendar year. The July report shall cover services conducted from January through June of the current calendar year.
2. National Outcome Measures shall be reported by recipients of either federal or state general funds. The National Outcome Measures are shown in the table in Section 2, paragraph III. Scope of Work, B. Management Requirements, 4. Output and Performance/Outcome Measurements.

**b. Required fiscal reports:**

- (1) The APPLICANT shall submit monthly the **Statement of Revenue and Expenditures Report** (ADAD Fiscal Form 200, 9/95).
- (2) The APPLICANT shall submit to ADAD its **final invoice** no later than 45 calendar 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 within 45 calendar days of the last day of the contract year.

- (3) 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 and the **Year-End Program Report**, which includes summaries of output and outcome data, accomplishments, and challenges.

## 8. Pricing structure or pricing methodology to be used

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

The APPLICANT'S budget shall include the cost of staff travel to attend quarterly provider meetings and to participate in quarterly trainings.

APPLICANTS are advised to consider the following in preparing the proposal budget:

- The Institute of Medicine classification of the targeted population(s)—Universal (direct and indirect recipients of services), Selective, and Indicated.
- The optimal number of participants recommended for the specific evidence-based program to be used.
- The professional level of staff required to implement specific programs or strategies.
- The cost of training for staff to implement evidence-based curricula or to prepare for prevention specialist certification.

## 9. Units of service and unit rate

Not applicable.

## **10. Method of compensation and payment**

If awarded a contract, the APPLICANT shall be paid monthly upon ADAD's approval of the narrative **Monthly Report** and the **Statement of Revenue and Expenditures Report** (ADAD Fiscal Form 200, 9/95). Any start-up payment shall be reconciled by the end of the fourth month of the contract. Final payment for each contract year shall be made upon acceptance of the provider's **Year-End Report** and **Final Invoice**.

Original monthly invoices must be submitted by the APPLICANT within thirty (30) calendar days after the last day of each calendar month. All corrections to submitted invoices must be received by ADAD no later than ninety (90) days after the last day of the billing month. Invoices may not be accepted after the ninety (90) day period. If the APPLICANT is unable to submit an invoice within the ninety (90) day period, the APPLICANT must provide justification as to the reasons for the delay and the anticipated submission date. If a formal request for an extension is not received prior to the end of the ninety (90) day period, ADAD may deny the request for extension and will not be held liable for payment of the invoice. All provider reporting data must be submitted in the manner and format specified by ADAD.

## **II. Facilities**

The APPLICANT shall use facilities that are adequate for the delivery of the proposed services. If facilities are not presently available, the APPLICANT shall plan to secure such facilities. Facilities shall meet the Americans with Disabilities Act (ADA) requirements, as applicable, and the APPLICANT shall have a plan for obtaining alternative sites and/or special equipment that may be needed to accommodate those with physical disabilities. The APPLICANT shall also have a plan for making services accessible to those with other handicapping conditions (e.g., speech, hearing, psychological, etc.).

**SECTION 2:**

**SERVICE  
SPECIFICATIONS**

**HTH 440-2B**  
**County of Hawaii**

## **Section 2**

# **Service Specifications**

## **County of Hawaii**

### **I. Introduction**

#### **A. Overview, purpose or need**

The Alcohol and Drug Abuse Division (ADAD), the designated single state authority to apply for and expend federal substance abuse funds administered under P.L. 102-321, the federal Substance Abuse Prevention and Treatment Block Grant, is focused on supporting community efforts to reduce the use of alcohol, tobacco, and other drugs among children and youth and other at-risk populations.

Contracts awarded through this RFP will be contracts between the state and local community-based organizations that will be the lead organization to coordinate and leverage community resources and services, expand prevention approaches at the community level, improve the quality of comprehensive community-based prevention efforts and reduce substance use through the implementation of evidence-based prevention strategies.

#### **B. Planning activities conducted in preparation for this RFP**

A Request for Information (RFI) was held on Kauai on November 13, 2007; on the island of Hawaii on November 14, 2007; on Maui on November 15, 2007; and on Oahu on November 16, 2007 to gather input related to this RFP. Topics of discussion centered on community needs; community capacity and readiness to implement prevention services; the existence of current county-level prevention plans; the prevalence of evidence-based programs, practices, and strategies; and the community's ability to evaluate prevention outcomes.

Data from the *2003 Hawaii Student Alcohol, Tobacco, and Other Drug Use Survey* were used to support this RFP. The full report of this survey may be found on the Department of Health website:

<http://hawaii.gov/health/substance-abuse/prevention-treatment/survey/adsurv.htm>.

**C. Description of the goals of the service**

The overall goals for communities funded through this RFP are to reduce drug and alcohol use by at-risk youth and their families by mobilizing individuals and organizations in local communities; improving data-driven planning for prevention; filling gaps in community prevention services; and implementing evidence-based prevention approaches which have demonstrated a reduction of the risk factors or enhancement of the protective factors identified within the population to be served.

APPLICANTS awarded funds through this RFP shall be the lead organization in a community-based partnership and shall collaborate and coordinate with community stakeholders to implement and evaluate a data-driven comprehensive action plan to prevent or reduce drug use among the identified population that includes evidence-based and culturally appropriate prevention policies, practices, or strategies.

**D. Description of the target population to be served**

The target population for services is at-risk youth and their families, schools and/or communities as identified by a community-based needs assessment.

The combination of substance use consequences and intervening variables (including risk and protective factors) determines at-risk groups or individuals associated with alcohol and other drug problems. Of particular emphasis for this RFP are:

- Children or youth whose parents are substance abusers;
- Victims of physical, sexual, or psychological abuse;
- Children or youth who have experienced academic difficulties or chronic failure in school;
- Youth who have become pregnant or are at risk of becoming pregnant;
- Children, youth, and families who are economically disadvantaged;
- Youth who have committed a violent or delinquent act;
- Youth who have experienced mental health problems;
- Recently arrived immigrant populations.

The Institute of Medicine (IOM) prevention classification scheme is used in this RFP to delineate target populations and the differing objectives of various interventions for each target population. The IOM system classifies prevention interventions into three (3) categories; 1) **Universal**, 2) **Selective**, and 3) **Indicated**. Descriptions of populations included in

each category may be found on the Western Center for Prevention Technology's (WestCAPT) website at <http://casat.unr.edu/bestpractices/bptype.htm>.

**E. Geographic coverage of service**

Provided that there are an adequate number of responsive and responsible proposals submitted, ADAD anticipates funding lead organizations working with community partners to provide substance abuse prevention services in the City and County of Honolulu, and the Counties of Maui, Kauai, and Hawaii. The APPLICANT shall submit a separate proposal for each geographic area to be served. ADAD reserves the right to award contracts based on the best configuration of services and to best meet the needs of the STATE. Considerations shall include, but not be limited to, geographic areas at high risk; populations at high risk; underserved geographic areas or populations; gaps in services within a geographic area; the community's readiness to implement evidence-based prevention services; the APPLICANT's capacity for working with other community stakeholders including youth and Native Hawaiian organizations; and cost effectiveness as determined by estimated per participant costs.

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

**Total Funding:**

Both federal and state funds are anticipated to be available through this RFP. The anticipated fund amounts stated in this RFP (by geographic areas and other defined service areas) are estimated based on current resource allocations. It is important to note that funding amounts when executing actual contract awards may be significantly different from the stated anticipated funding amounts due to evolving budgetary circumstances.

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The following federal funds are anticipated to be available through this

RFP:

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\*Funding is contingent upon the availability of funds. The State anticipates funding each awarded APPLICANT for two (2) years. Contracts may be extended for up to one (1) additional twelve (12) month period. Options for renewal or extension shall be based on the provider's satisfactory performance of the contracted service(s), the availability of funds to continue the service(s), and if the STATE determines that the service(s) are still needed. APPLICANTS should have a plan describing how services will be sustained beyond the funding period.

The source of Federal funds is the Substance Abuse Prevention and Treatment (SAPT) Block Grant. In each contract year, a minimum of thirty percent (30%) of the SAPT Block Grant funds in each contract shall be spent for services to Native Hawaiians. Priorities for federal funds will include land (ʻāina) based programs, mentoring, and gender-specific services.

Only government agencies and non-profit organizations, including faith-based organizations, are eligible for federal funds. Organizations that are currently providing services funded by RFP HTH 440-2-11 may apply for funding through this RFP if the proposed services target a different population and do not duplicate existing services.

**State General Funds:**

The following state general funds are anticipated to be available for the County of Hawaii through this RFP:

\$600,000 (7/1/09-06/30/10)\*  
\$600,000 (7/1/09-06/30/11)\*

\*Funding is contingent upon the availability of state funds. While no exact funding amounts have been pre-determined, ADAD anticipates each award to be approximately \$100,000.

The STATE reserves the right to make awards based on the uniqueness and appropriateness of the proposals in addressing prevention issues of specific communities and the best configuration of prevention services statewide. Should an inadequate number of responsive and responsible proposals be submitted for the County of Hawaii or should sufficient monies be available, ADAD reserves the right to allocate additional funds to those APPLICANTS who have submitted acceptable proposals.

The State anticipates funding each awarded APPLICANT for two (2) years. Contracts may be extended for up to one (1) additional twelve (12) month period. Options for renewal or extension shall be based on the

provider's satisfactory performance of the contracted service(s), the availability of funds to continue the service(s), and if the STATE determines that the service(s) are still needed. APPLICANTS should have a plan describing how services will be sustained beyond the funding period.

State and county governmental agencies, for-profit entities, and non-profit organizations, which may include faith-based organizations are eligible to apply for state general funds. Organizations that are currently providing services funded by RFP HTH 440-2-11 may apply for funding through this RFP if the proposed services target a different population or geographic area and do not duplicate existing services.

NOTE:

1. 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 determined by ADAD at its discretion in order to best meet the needs of the STATE.
2. A maximum of \$25,000 may be advanced for start-up costs for new programs, upon completion of an executed contract and the submission of an invoice requesting the advancement of funds. A new program is defined as a service provided by an organization which has not previously contracted with ADAD or an organization that has contracted with ADAD but is establishing a service that has not previously been provided in the target community or for the selected population.
3. If an APPLICANT materially fails to comply with the terms and conditions of the contract, ADAD may, as appropriate under the circumstances:
  - a. Temporarily withhold payments pending correction of any deficiency or because of non-submission of a report by the APPLICANT.
  - b. Disallow all or part of the invoice submitted by the APPLICANT.
  - c. Suspend or terminate the contract.
4. The APPLICANT may 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 such requests 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.

5. ADAD reserves the right to make modifications to any section of the service contract, including but not limited to, the scope of services, target population, time of performance, geographic service areas and total award amounts that it is unable to anticipate currently. There may be unique circumstances which may require these modifications be made in order to continue programs, improve services, as well as adjust to evolving budgetary circumstances. Additionally, ADAD reserves the right to increase or decrease funds at its discretion in order to best meet the needs of the state as well as operate within budgetary limitations.

## II. General Requirements

### A. Specific qualifications or requirements, including but not limited to licensure or accreditation

NOTE: If applying for federal SAPT Block Grant funds, the APPLICANT shall complete and submit the **Certifications and Assurances** contained in Section 5, Attachment C of this RFP with its proposal. APPLICANTS that do not receive federal funds shall not be required to meet the federally required qualifications or requirements stated under the General Requirements section. Please note that as budgetary circumstance changes, ADAD reserves the right to change the anticipated source of funds to support needed program and services.

If awarded a contract, the APPLICANT shall:

1. Arrange for a financial and compliance audit to be done and submitted to ADAD as directed in accordance with "Government OMB Circular A-133" if the applicant expends \$500,000 or more in federal funds in a year.
2. Provide its most recent Financial Audit.
3. Not use funds 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: <http://hawaii.gov/spo/spoh/methods-of-procurement-source-selection/costprinciples.pdf/?searchterm=costprinciples>.

4. Reconcile the amount of an advanced payment by month five of the first year of the contract should such an advancement occur.
5. Refund to the STATE any funds unexpended or expended inappropriately.
6. Assure under the actual expenditure method of reimbursement, that all equipment and unused supplies and materials purchased with funds paid to it shall become the property of the STATE upon completion or termination of the contract.
7. Assure under the actual performance method of reimbursement, that program income and/or surplus earned during the contract shall be used to further the program objectives, subject to audit verification by the STATE.
8. Obtain from a company authorized by law to issue such insurance in the State of Hawaii commercial general liability insurance (“liability insurance”) in an amount not less than ONE MILLION DOLLARS (\$1,000,000) PER OCCURANCE and TWO MILLION DOLLARS (\$2,000,000) IN THE AGGREGATE (the maximum amount paid for claims during a policy term). The certificate of insurance shall include the contract log number, contract dates, and the following statement:

“It is agreed that the State of Hawaii, its officers, employees and agents are named as additional insured, but only with respect to operation arising out of the operation performed by the named insured.”

If the insurer is not licensed by the State of Hawaii, the following statement must be displayed on the insurance certificate:

“This insurance contract is issued by an insurer which is not licensed by the State of Hawaii and is not subject to its regulation or examination. If the insurer is found insolvent, claims under this contract are not covered by any guaranty fund of the State of Hawaii.”

In addition, automobile insurance shall be no less than ONE MILLION DOLLARS (\$1,000,000) PER INCIDENT.

Execution of the contract shall be dependent upon the APPLICANT'S submittal of a current tax clearance and a statement of good standing from the Department of Commerce and Consumer Affairs.

**B. Secondary purchaser participation**

(Refer to §3-143-608, HAR)

After-the-fact secondary purchases will be allowed.

Planned secondary purchases: None

**C. Multiple or alternate proposals**

(Refer to §3-143-605, HAR)

Allowed                       Unallowed

**D. Single or multiple contracts to be awarded**

(Refer to §3-143-206, HAR)

Single                       Multiple                       Single & Multiple

Criteria for multiple awards: Contracts may be for one site or may include multiple sites when services are similar. Separate contracts may be awarded if services are distinct or are located on different islands.

**E. Single or multi-term contracts to be awarded**

(Refer to §3-149-302, HAR)

Single term ( $\leq 2$  yrs)                       Multi-term ( $> 2$  yrs.)

Contract terms: The initial period may commence on the contract start date or the State's Notice to Proceed. Contracts will be awarded for a two-year period with funding for the second year contingent upon satisfactory performance in the first year and the availability of funds. After the initial two-year contract period, the STATE reserves the right to extend contracts for up to one (1) additional twelve-month period. Options for renewal or extension shall be based on the provider's satisfactory performance of the contracted service(s), the availability of funds to continue the service(s), and if the STATE determines that the service(s) are still needed.

**F. RFP contact person**

The individual listed below is the sole point of contact from the date of release of this RFP until the selection of the successful 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 1, paragraph I (Procurement Timetable) of this RFP.

Virginia Jackson, Phone: (808) 692-7510  
Email: [Virginialeee.jackson@doh.hawaii.gov](mailto:Virginialeee.jackson@doh.hawaii.gov)

### III. Scope of Work

The scope of work encompasses the following tasks and responsibilities:

#### A. Service Activities (Minimum and/or mandatory tasks and responsibilities)

The APPLICANT shall also agree to participate in process and outcome evaluation as specified by ADAD. **Please see Section 2. Service Specifications, paragraph III. Scope of Work, subparagraph B. Management Requirements, 4. Output and Performance/Outcome Measures.**

The APPLICANT shall agree to engage in workforce development activities as approved and directed by ADAD. Such activities shall include coursework required as a prerequisite for the Certified Substance Abuse Prevention Specialist (CSAPS) certification.

NOTE:

The APPLICANT is advised to examine **Section 3, Proposal Application Instructions** and **Section 4, Proposal Evaluation** of this RFP which provide points to be addressed in the proposal which will be evaluated by the proposal reviewers.

#### 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 D-1 of this RFP.

The APPLICANT shall assure that its own workforce and that of any partnering organizations meet the minimum qualifications set forth by the organization that employs them. The APPLICANT or its partner organizations shall assure that the supervision of Certified Substance Abuse Prevention Specialist (CSAPS) candidates shall be assigned to preceptors who have a Certified Substance Abuse Prevention Specialist (CSAPS) credential or a

bachelors or masters degree and at least one year experience in substance abuse prevention. Preceptors are individuals responsible for providing training and supervising the CSAPS candidate.

2. **Administrative**

The APPLICANT is required to provide written acknowledgement agreeing to comply with the **Administrative Requirements** in Section 5, Attachment D-2 of this RFP.

3. **Quality assurance and evaluation specifications**

The APPLICANT is required to provide written acknowledgement agreeing to comply with the **Quality Assurance and Evaluation Specifications** in Section 5, Attachment D-3, of this RFP.

Using approved measurement tools, the APPLICANT shall document the achievement of stated goals in its program evaluation. For those contracts funded by federal SAPT Block Grant funds, the Government Performance and Results Act (GPRA) survey for youth ages 12-17 or adults shall be completed by participants pre- and post-service.

4. **Output and performance/outcome measurements**

This RFP focuses on specific changes to be achieved by participation in the proposed prevention services. The APPLICANT shall track and report progress toward these performance measurements to ADAD through a monthly standard outcome reporting format. Performance measurement results will be reviewed by ADAD and may result in the APPLICANT making program corrections as necessary.

Within this outcome-based framework, the APPLICANT shall:

- Describe the substance use consumption patterns and consequences of substance abuse in the identified community or target population.
- State measurable outcomes to be achieved.
- Prioritize the intervening variables (including risk factors or protective factors) to be addressed by the proposed service.
- If awarded a contract, administer pre- and post-tests to measure information and skills gained through participation

in the prevention activity or use qualitative data to demonstrate behavioral changes made as a result of participation in the prevention program. For those contracts funded by federal SAPT Block Grant funds, the Government Performance and Results Act (GPRA) survey for youth ages 12-17 or adults shall be completed by participants pre- and post-service.

The APPLICANT shall demonstrate that the proposed program, practice, or strategy will address one or more of the performance measures shown in the following table:

<b>DESIRED OUTCOME/DOMAIN</b>	<b>PERFORMANCE MEASURE</b>
Drug/Alcohol	<ul style="list-style-type: none"> <li>• Continue to abstain from drug/alcohol use or reduce use during the past 30 days.</li> <li>• Increase in age of first use.</li> <li>• Increase perception that drug and alcohol use is harmful.</li> <li>• Increase perception of drug use as unacceptable.</li> </ul>
School/Employment	<ul style="list-style-type: none"> <li>• Increase school attendance and enrollment.</li> <li>• Reduce ATOD-related suspensions and expulsions/terminations.</li> <li>• Reduce drug-related workplace injuries.</li> </ul>
Criminal Justice	<ul style="list-style-type: none"> <li>• Reduce alcohol-related car crashes and injuries.</li> <li>• Reduce drug-related offenses (school/job).</li> <li>• Reduce drug-related crime.</li> </ul>
Social Connectiveness	<ul style="list-style-type: none"> <li>• Increase family communication around drug use.</li> <li>• Increase the prevalence of clear family/community standards regarding substance use.</li> <li>• Increase parent participation in prevention activities.</li> </ul>
Access to Services (service capacity)	<ul style="list-style-type: none"> <li>• Increase the number of persons served by age, gender, race, ethnicity.</li> </ul>

**5. Experience**

The APPLICANT shall document its past five years experience in providing prevention services and specifically substance abuse prevention services provided for universal (direct and indirect), selective, and/or indicated populations. The APPLICANT shall document experience serving the identified population and working in the targeted geographic area. At least three (3) references from key stakeholders shall be provided to verify experience.

**6. Coordination of services**

The APPLICANT (as the lead organization) shall coordinate the mobilization of service providers and other stakeholders in planning, implementing, and evaluating the proposed services.

The proposed services shall fill service gaps in the community and be coordinated with other services within the community. The proposed services shall not duplicate existing services.

If the APPLICANT is providing programs and services in coordination with elementary, middle/intermediate or high schools within their communities, the APPLICANT shall actively participate in periodic planning and coordination meetings with other school-based substance abuse prevention providers, substance abuse treatment providers and relevant school faculty/staff members within the school complex. While the primary participants are substance abuse prevention and treatment providers, other relevant school-based social service providers should also be included if the services they provide will impact the targeted population.

**7. Reporting requirements for program and fiscal data**

**a. Required program reports:**

Each month, the APPLICANT shall input into the online **ADAD management information system** documentation of the implementation of activities related to the chosen evidence-based programs, practices and strategies according to the six (6) Center for Substance Abuse Prevention strategies. The unduplicated count of individuals served by each program, practice, or strategy shall be reported online monthly. The APPLICANT shall also report monthly, through the management information

system, the number of population-based strategies used and an estimation of the number of persons impacted. The deadline for inputting monthly data is 30 calendar days after the end of each month. Currently, the Minimum Data Set is used as ADAD's management information system. The APPLICANT shall be prepared to transition to the KIT Solutions<sup>®</sup> management information system when it becomes available online.

The APPLICANT shall also submit narrative **Monthly** and **Year-End Reports** summarizing and analyzing outcome data and accomplishments and challenges. The required program reports shall be accompanied by fiscal reports detailing expenditures incurred during the specific month. Monthly reports are due within 30 calendar days after the end of each month. Year-End Reports are due within 45 calendar days after the end of each fiscal year.

NOTES:

1. In January and July of each contract year, **contracts funded by federal funds** shall also report pre- and post-service outcomes utilizing the Government Performance and Results Act (**GPRA**) survey instrument. The January report covering services conducted during July through December of the previous calendar year. The July report shall cover services conducted from January through June of the current calendar year.
2. National Outcome Measures shall be reported by recipients of either federal or state general funds. The National Outcome Measures are shown in the table in Section 2 Service Specifications, paragraph III. Scope of Work, B. Management Requirements, 4. Output and Performance/Outcome Measurements.

**b. Required fiscal reports:**

- (1) The APPLICANT shall submit monthly the **Statement of Revenue and Expenditures Report** (ADAD Fiscal Form 200, 9/95).
- (2) The APPLICANT shall submit to ADAD its **final invoice** no later than 45 calendar 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 within 45 days of the last day of the contract year.

- (3) 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 and the **Year-End Program Report**, which includes summaries of output and outcome data, accomplishments, and challenges.

#### 8. **Pricing structure or pricing methodology to be used**

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

The APPLICANT'S budget shall include the cost of staff travel to attend quarterly provider meetings and to participate in quarterly trainings.

APPLICANTS are advised to consider the following in preparing the proposal budget:

1. The Institute of Medicine classification of the targeted population(s)—Universal (direct and indirect recipients of services), Selective, and Indicated.
2. The optimal number of participants recommended for the specific evidence-based program to be used.
- b. The professional level of staff required to implement specific programs or strategies.
- c. The cost of training for staff to implement evidence-based curricula or to prepare for prevention specialist certification.

#### 9. **Units of service and unit rate**

Not applicable.

#### 10. **Method of compensation and payment**

If awarded a contract, the APPLICANT shall be paid monthly upon ADAD's approval of the narrative **Monthly Report** and the

**Statement of Revenue and Expenditures Report** (ADAD Fiscal Form 200, 9/95). Any start-up payment shall be reconciled by the end of the fourth month of the contract. Final payment for each contract year shall be made upon acceptance of the provider's **Year-End Report** and **Final Invoice**.

Monthly invoices must be submitted by the APPLICANT within thirty (30) calendar days after the last day of each calendar month. All corrections to submitted invoices must be received by ADAD no later than ninety (90) days after the last day of the billing month. Invoices may not be accepted after the ninety (90) day period. If the APPLICANT is unable to submit an invoice within the ninety (90) day period, the APPLICANT must provide justification as to the reasons for the delay and the anticipated submission date. If a formal request for an extension is not received prior to the end of the ninety (90) day period, ADAD may deny the request for extension and will not be held liable for payment of the invoice. All provider reporting data must be submitted in the manner and format specified by ADAD.

### **III. Facilities**

The APPLICANT shall use facilities that are adequate for the delivery of the proposed services. If facilities are not presently available, the APPLICANT shall plan to secure such facilities. Facilities shall meet the Americans with Disabilities Act (ADA) requirements, as applicable, and the APPLICANT shall have a plan for obtaining alternative sites and/or special equipment that may be needed to accommodate those with physical disabilities. The APPLICANT shall also have a plan for making services accessible to those with other handicapping conditions (e.g., speech, hearing, psychological, etc.).

**SECTION 2:**

**SERVICE  
SPECIFICATIONS**

**HTH 440-2C**  
**County of Maui**

## **Section 2**

# **Service Specifications**

## **County of Maui**

### **I. Introduction**

#### **A. Overview, purpose or need**

The Alcohol and Drug Abuse Division (ADAD), the designated single state authority to apply for and expend federal substance abuse funds administered under P.L. 102-321, the federal Substance Abuse Prevention and Treatment Block Grant, is focused on supporting community efforts to reduce the use of alcohol, tobacco, and other drugs among children and youth and other at-risk populations.

Contracts awarded through this RFP will be contracts between the state and local community-based organizations that will be the lead organization to coordinate and leverage community resources and services, expand prevention approaches at the community level, improve the quality of comprehensive community-based prevention efforts and reduce substance use through the implementation of evidence-based prevention strategies.

#### **B. Planning activities conducted in preparation for this RFP**

A Request for Information (RFI) was held on Kauai on November 13, 2007; on the island of Hawaii on November 14, 2007; on Maui on November 15, 2007; and on Oahu on November 16, 2007 to gather input related to this RFP. Topics of discussion centered on community needs; community capacity and readiness to implement prevention services; the existence of current county-level prevention plans; the prevalence of evidence-based programs, practices, and strategies; and the community's ability to evaluate prevention outcomes.

Data from the *2003 Hawaii Student Alcohol, Tobacco, and Other Drug Use Survey* were used to support this RFP. The full report of this survey may be found on the Department of Health website:

<http://hawaii.gov/health/substance-abuse/prevention-treatment/survey/adsurv.htm>.

**C. Description of the goals of the service**

The overall goals for communities funded through this RFP are to reduce drug and alcohol use by at-risk youth and their families by mobilizing individuals and organizations in local communities; improving data-driven planning for prevention; filling gaps in community prevention services; and implementing evidence-based prevention approaches which have demonstrated a reduction of the risk factors or enhancement of the protective factors identified within the population to be served.

APPLICANTS awarded funds through this RFP shall be the lead organization in a community-based partnership and shall collaborate and coordinate with community stakeholders to implement and evaluate a data-driven comprehensive action plan to prevent or reduce drug use among the identified population that includes evidence-based and culturally appropriate prevention policies, practices, or strategies.

**D. Description of the target population to be served**

The target population for services is at-risk youth and their families, schools and/or communities as identified by a community-based needs assessment.

The combination of substance use consequences and intervening variables (including risk and protective factors) determines at-risk groups or individuals associated with alcohol and other drug problems. Of particular emphasis for this RFP are:

- Children or youth whose parents are substance abusers;
- Victims of physical, sexual, or psychological abuse;
- Children or youth who have experienced academic difficulties or chronic failure in school;
- Youth who have become pregnant or are at risk of becoming pregnant;
- Children, youth, and families who are economically disadvantaged;
- Youth who have committed a violent or delinquent act;
- Youth who have experienced mental health problems;
- Recently arrived immigrant populations.

The Institute of Medicine (IOM) prevention classification scheme is used in this RFP to delineate target populations and the differing objectives of various interventions for each target population. The IOM system classifies prevention interventions into three (3) categories; 1) **Universal**, 2) **Selective**, and 3) **Indicated**. Descriptions of populations included in

each category may be found on the Western Center for Prevention Technology's (WestCAPT) website at <http://casat.unr.edu/bestpractices/bptype.htm>.

**E. Geographic coverage of service**

Provided that there are an adequate number of responsive and responsible proposals submitted, ADAD anticipates funding lead organizations working with community partners to provide substance abuse prevention services in the City and County of Honolulu, and the Counties of Maui, Kauai, and Hawaii. The APPLICANT shall submit a separate proposal for each geographic area to be served. ADAD reserves the right to award contracts based on the best configuration of services and to best meet the needs of the STATE. Considerations shall include, but not be limited to, geographic areas at high risk; populations at high risk; underserved geographic areas or populations; gaps in services within a geographic area; the community's readiness to implement evidence-based prevention services; the APPLICANT'S capacity for working with other community stakeholders including youth and Native Hawaiian organizations; and cost effectiveness as determined by estimated per participant costs.

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

**Total Funding:**

Both federal and state funds are anticipated to be available through this RFP. The anticipated fund amounts stated in this RFP (by geographic areas and other defined service areas) are estimated based on current resource allocations. It is important to note that funding amounts when executing actual contract awards may be significantly different from the stated anticipated funding amounts due to evolving budgetary circumstances.

A total of \$409,000 of federal funds and \$2,000,000 in state funds is available statewide through RFP HTH 440-2. This total is allocated through four (4) separate sub-RFPs as follows: HTH 440-2A for the City and County of Honolulu, HTH 44-2B for the County of Hawaii, HTH 440-2C for the County of Maui, and HTH 440-2D for the County of Kauai. The STATE reserves the right to increase or decrease funds at its discretion among the four sub-RFPs in order to best meet the needs of the STATE as well as to operate within budgetary limitations. If applying for more than one sub-RFP, the APPLICANT shall submit a separate proposal for each sub-RFP. The STATE reserves the option to use the same or separate evaluation committees for each county.

**Federal Funds:**

The following federal funds are anticipated to be available through this

RFP:

\$409,037 (7/1/09-06/30/10)\*  
\$409,037 (7/1/10-06/30/11)\*

\*Funding is contingent upon the availability of funds. The State anticipates funding each awarded APPLICANT for two (2) years. Contracts may be extended for up to one (1) additional twelve (12) month period. Options for renewal or extension shall be based on the provider's satisfactory performance of the contracted services(s), the availability of funds to continue the service(s), and if the STATE determines that the service(s) are still needed. APPLICANTS should have a plan describing how services will be sustained beyond the funding period.

The source of Federal funds is the Substance Abuse Prevention and Treatment (SAPT) Block Grant. In each contract year, a minimum of thirty percent (30%) of the SAPT Block Grant funds in each contract shall be spent for services to Native Hawaiians. Priorities for federal funds will include land (ʻāina) based programs, mentoring, and gender-specific services.

Only government agencies and non-profit organizations, including faith-based organizations, are eligible for federal funds. Organizations that are currently providing services funded by RFP HTH 440-2-11 may apply for funding through this RFP if the proposed services target a different population and do not duplicate existing services.

**State General Funds:**

The following state general funds are anticipated to be available for the County of Maui (including the Islands of Molokai and Lanai) through this RFP:

\$600,000 (7/1/09-06/30/10)\*  
\$600,000 (7/1/09-06/30/11)\*

\*Funding is contingent upon the availability of state funds. While no exact funding amounts have been pre-determined, ADAD anticipates each award to be approximately \$100,000.

The STATE reserves the right to make awards based on the uniqueness and appropriateness of the proposals in addressing prevention issues of specific communities and the best configuration of prevention services statewide. Should an inadequate number of responsive and responsible proposals be submitted for the County of Maui (including the Islands of Molokai and Lanai) or should sufficient monies be available, ADAD reserves the right to allocate additional funds to those APPLICANTS who have submitted acceptable proposals.

The State anticipates funding each awarded APPLICANT for two (2)

years. Contracts may be extended for up to one (1) additional twelve (12) month period. Options for renewal or extension shall be based on the provider's satisfactory performance of the contracted service(s), the availability of funds to continue the service(s), and if the STATE determines that the service(s) are still needed. APPLICANTS should have a plan describing how services will be sustained beyond the funding period.

State and county governmental agencies, for-profit entities, and non-profit organizations, which may include faith-based organizations are eligible to apply for state general funds. Organizations that are currently providing services funded by RFP HTH 440-2-11 may apply for funding through this RFP if the proposed services target a different population or geographic area and do not duplicate existing services.

NOTE:

1. 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 determined by ADAD at its discretion in order to best meet the needs of the STATE.
2. A maximum of \$25,000 may be advanced for start-up costs for new programs, upon completion of an executed contract and the submission of an invoice requesting the advancement of funds. A new program is defined as a service provided by an organization which has not previously contracted with ADAD or an organization that has contracted with ADAD but is establishing a service that has not previously been provided in the target community or for the selected population.
3. If an APPLICANT materially fails to comply with the terms and conditions of the contract, ADAD may, as appropriate under the circumstances:
  - a. Temporarily withhold payments pending correction of any deficiency or because of non-submission of a report by the APPLICANT.
  - b. Disallow all or part of the invoice submitted by the APPLICANT.
  - c. Suspend or terminate the contract.

4. The APPLICANT may 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 such requests 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.
5. ADAD reserves the right to make modifications to any section of the service contract, including but not limited to, the scope of services, target population, time of performance, geographic service areas and total award amounts that it is unable to anticipate currently. There may be unique circumstances which may require these modifications be made in order to continue programs, improve services, as well as adjust to evolving budgetary circumstances. Additionally, ADAD reserves the right to increase or decrease funds at its discretion in order to best meet the needs of the state as well as operate within budgetary limitations.

## II. General Requirements

### A. Specific qualifications or requirements, including but not limited to licensure or accreditation

NOTE: If applying for federal SAPT Block Grant funds, the APPLICANT shall complete and submit the **Certifications and Assurances** contained in Section 5, Attachment C of this RFP with its proposal. APPLICANTS that do not receive federal funds shall not be required to meet the federally required qualifications or requirements stated under the General Requirements section. Please note that as budgetary circumstance changes, ADAD reserves the right to change the anticipated source of funds to support needed program and services.

If awarded a contract, the APPLICANT shall:

1. Arrange for a financial and compliance audit to be done and submitted to ADAD as directed in accordance with “Government OMB Circular A-133” if the applicant expends \$500,000 or more in federal funds in a year.
2. Provide its most recent Financial Audit.
3. Not use funds 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: <http://hawaii.gov/spo/spoh/methods-of-procurement-source-selection/costprinciples.pdf/?searchterm=costprinciples>.

4. Reconcile the amount of an advanced payment by month five of the first year of the contract should such an advancement occur.
5. Refund to the STATE any funds unexpended or expended inappropriately.
6. Assure under the actual expenditure method of reimbursement, that all equipment and unused supplies and materials purchased with funds paid to it shall become the property of the STATE upon completion or termination of the contract.
7. Assure under the actual performance method of reimbursement, that program income and/or surplus earned during the contract shall be used to further the program objectives, subject to audit verification by the STATE.
8. Obtain from a company authorized by law to issue such insurance in the State of Hawaii commercial general liability insurance ("liability insurance") in an amount not less than ONE MILLION DOLLARS (\$1,000,000) PER OCCURANCE and TWO MILLION DOLLARS (\$2,000,000) IN THE AGGREGATE (the maximum amount paid for claims during a policy term). The certificate of insurance shall include the contract log number, contract dates, and the following statement:

"It is agreed that the State of Hawaii, its officers, employees and agents are named as additional insured, but only with respect to operation arising out of the operation performed by the named insured."

If the insurer is not licensed by the State of Hawaii, the following statement must be displayed on the insurance certificate:

"This insurance contract is issued by an insurer which is not licensed by the State of Hawaii and is not subject to its regulation or examination. If the insurer is found insolvent, claims under this contract are not covered by any guaranty fund of the State of Hawaii."

In addition, automobile insurance shall be no less than ONE MILLION DOLLARS (\$1,000,000) PER INCIDENT.

Execution of the contract shall be dependent upon the APPLICANT'S submittal of a current tax clearance and a statement of good standing from the Department of Commerce and Consumer Affairs.

**B. Secondary purchaser participation**

(Refer to §3-143-608, HAR)

After-the-fact secondary purchases will be allowed.

Planned secondary purchases: None

**C. Multiple or alternate proposals**

(Refer to §3-143-605, HAR)

Allowed                       Unallowed

**D. Single or multiple contracts to be awarded**

(Refer to §3-143-206, HAR)

Single                       Multiple                       Single & Multiple

Criteria for multiple awards: Contracts may be for one site or may include multiple sites when services are similar. Separate contracts may be awarded if services are distinct or are located on different islands.

**E. Single or multi-term contracts to be awarded**

(Refer to §3-149-302, HAR)

Single term ( $\leq 2$  yrs)                       Multi-term ( $> 2$  yrs.)

Contract terms: The initial period shall commence on the contract start date or the State's Notice to Proceed. Contracts will be awarded for a two-year period with funding for the second year contingent upon satisfactory performance in the first year and the availability of funds. After the initial two-year contract period, the STATE reserves the right to extend contracts for up to one (1) additional twelve-month period. Options for renewal or extension shall be based on the provider's satisfactory performance of the contracted service(s), the availability of funds to continue the service(s), and if the STATE determines that the service(s) are still needed.

**F. RFP contact person**

The individual listed below is the sole point of contact from the date of release of this RFP until the selection of the successful 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 1, paragraph I (Procurement Timetable) of this RFP.

Virginia Jackson, Phone: (808) 692-7510  
Email: [Virginialeee.jackson@doh.hawaii.gov](mailto:Virginialeee.jackson@doh.hawaii.gov)

### III. Scope of Work

The scope of work encompasses the following tasks and responsibilities:

#### A. Service Activities (Minimum and/or mandatory tasks and responsibilities)

The APPLICANT shall also agree to participate in process and outcome evaluation as specified by ADAD. **Please see Section 2, Service Specifications, paragraph III. Scope of Work, subparagraph B. Management Requirements, 4. Output and Performance/Outcome Measures.**

The APPLICANT shall agree to engage in workforce development activities as approved and directed by ADAD. Such activities shall include coursework required as a prerequisite for the Certified Substance Abuse Prevention Specialist (CSAPS) certification.

NOTE:

The APPLICANT is advised to examine **Section 3, Proposal Application Instructions** and **Section 4, Proposal Evaluation** of this RFP which provide points to be addressed in the proposal which will be evaluated by the proposal reviewers.

#### 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 D-1 of this RFP.

The APPLICANT shall assure that its own workforce and that of any partnering organizations meet the minimum qualifications set forth by the organization that employs them. The APPLICANT or its partner organizations shall assure that the supervision of Certified Substance Abuse Prevention Specialist (CSAPS) candidates shall be assigned to preceptors who have a Certified Substance Abuse Prevention Specialist (CSAPS) credential or a

bachelors or masters degree and at least one year experience in substance abuse prevention. Preceptors are individuals responsible for training and supervising the CSAPS candidate.

**2. Administrative**

The APPLICANT is required to provide written acknowledgement agreeing to comply with the **Administrative Requirements** in Section 5, Attachment D-2 of this RFP.

**3. Quality assurance and evaluation specifications**

The APPLICANT is required to provide written acknowledgement agreeing to comply with the **Quality Assurance and Evaluation Specifications** in Section 5, Attachment D-3, of this RFP.

Using approved measurement tools, the APPLICANT shall document the achievement of stated goals in its program evaluation. For those contracts funded by federal SAPT Block Grant funds, the Government Performance and Results Act (GPRA) survey for youth ages 12-17 or adults shall be completed by participants pre- and post-service.

**4. Output and performance/outcome measurements**

This RFP focuses on specific changes to be achieved by participation in the proposed prevention services. The APPLICANT shall track and report progress toward these performance measurements to ADAD through a monthly standard outcome reporting format. Performance measurement results will be reviewed by ADAD and may result in the APPLICANT making program corrections as necessary.

Within this outcome-based framework, the APPLICANT shall:

- Describe the substance use consumption patterns and consequences of substance abuse in the identified community or target population.
- State measurable outcomes to be achieved.
- Prioritize the intervening variables (including risk factors or protective factors) to be addressed by the proposed service.
- If awarded a contract, administer pre- and post-tests to measure information and skills gained through participation in the prevention activity or use qualitative data to demonstrate behavioral changes made as a result of

participation in the prevention program. For those contracts funded by federal SAPT Block Grant funds, the Government Performance and Results Act (GPRA) survey for youth ages 12-17 or adults shall be completed by participants pre- and post-service.

The APPLICANT shall demonstrate that the proposed program, practice, or strategy will address one or more of the performance measures shown in the following table:

<b>DESIRED OUTCOME/DOMAIN</b>	<b>PERFORMANCE MEASURE</b>
Drug/Alcohol	<ul style="list-style-type: none"> <li>• Continue to abstain from drug/alcohol use or reduce use during the past 30 days.</li> <li>• Increase in age of first use.</li> <li>• Increase perception that drug and alcohol use is harmful.</li> <li>• Increase perception of drug use as unacceptable.</li> </ul>
School/Employment	<ul style="list-style-type: none"> <li>• Increase school attendance and enrollment.</li> <li>• Reduce ATOD-related suspensions and expulsions/terminations.</li> <li>• Reduce drug-related workplace injuries.</li> </ul>
Criminal Justice	<ul style="list-style-type: none"> <li>• Reduce alcohol-related car crashes and injuries.</li> <li>• Reduce drug-related offenses (school/job).</li> <li>• Reduce drug-related crime.</li> </ul>
Social Connectiveness	<ul style="list-style-type: none"> <li>• Increase family communication around drug use.</li> <li>• Increase the prevalence of clear family/community standards regarding substance use.</li> <li>• Increase parent participation in prevention activities.</li> </ul>
Access to Services (service capacity)	<ul style="list-style-type: none"> <li>• Increase the number of persons served by age, gender, race, ethnicity.</li> </ul>

**5. Experience**

The APPLICANT shall document its past five years experience in providing prevention services and specifically substance abuse prevention services provided for universal (direct and indirect), selective, and/or indicated populations. The APPLICANT shall document experience serving the identified population and working in the targeted geographic area. At least three (3) references from key stakeholders shall be provided to verify experience.

**6. Coordination of services**

The APPLICANT (as the lead organization) shall coordinate the mobilization of service providers and other stakeholders in planning, implementing, and evaluating the proposed services.

The proposed services shall fill service gaps in the community and be coordinated with other services within the community. The proposed services shall not duplicate existing services.

If the APPLICANT is providing programs and services in coordination with elementary, middle/intermediate or high schools within their communities, the APPLICANT shall actively participate in periodic planning and coordination meetings with other school-based substance abuse prevention providers, substance abuse treatment providers and relevant school faculty/staff members within the school complex. While the primary participants are substance abuse prevention and treatment providers, other relevant school-based social service providers should also be included if the services they provide will impact the targeted population.

**7. Reporting requirements for program and fiscal data**

**a. Required program reports:**

Each month, the APPLICANT shall input into the online **ADAD management information system** documentation of the implementation of activities related to the chosen evidence-based programs, practices and strategies according to the six (6) Center for Substance Abuse Prevention strategies. The unduplicated count of individuals served by each program, practice, or strategy shall be reported online monthly. The APPLICANT shall also report monthly, through the management information

system, the number of population-based strategies used and an estimation of the number of persons impacted. The deadline for inputting monthly data is 30 calendar days after the end of each month. Currently, the Minimum Data Set is used as ADAD's management information system. The APPLICANT shall be prepared to transition to the KIT Solutions<sup>®</sup> management information system when it becomes available online.

The APPLICANT shall also submit narrative **Monthly** and **Year-End Reports** summarizing and analyzing outcome data and accomplishments and challenges. The required program reports shall be accompanied by fiscal reports detailing expenditures incurred during the specific month. Monthly reports are due within 30 calendar days after the end of each month. Year-End Reports are due within 45 calendar days after the end of each fiscal year.

NOTES:

1. In January and July of each contract year, **contracts funded by federal funds** shall also report pre- and post-service outcomes utilizing the Government Performance and Results Act (**GPRA**) survey instrument. The January report covering services conducted during July through December of the previous calendar year. The July report shall cover services conducted from January through June of the current calendar year.
2. National Outcome Measures shall be reported by recipients of either federal or state general funds. The National Outcome Measures are shown in the table in Section 2. Service Specifications, paragraph III. Scope of Work, subparagraph B. Management Requirements, 4. Output and Performance/Outcome Measurements.

**b. Required fiscal reports:**

- (1) The APPLICANT shall submit monthly the **Statement of Revenue and Expenditures Report** (ADAD Fiscal Form 200, 9/95).
- (2) The APPLICANT shall submit to ADAD its **final invoice** no later than 45 calendar 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 within 45 days of the last day of the contract year.

- (3) 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 and the **Year-End Program Report**, which includes summaries of output and outcome data, accomplishments, and challenges.

## 8. Pricing structure or pricing methodology to be used

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

The APPLICANT'S budget shall include the cost of staff travel to attend quarterly provider meetings and to participate in quarterly trainings.

APPLICANTS are advised to consider the following in preparing the proposal budget:

- The Institute of Medicine classification of the targeted population(s)—Universal (direct and indirect recipients of services), Selective, and Indicated.
- The optimal number of participants recommended for the specific evidence-based program to be used.
- The professional level of staff required to implement specific programs or strategies.
- The cost of training for staff to implement evidence-based curricula or to prepare for prevention specialist certification.

## 9. Units of service and unit rate

Not applicable.

## 10. Method of compensation and payment

If awarded a contract, the APPLICANT shall be paid monthly upon ADAD's approval of the narrative **Monthly Report** and the **Statement of Revenue and Expenditures Report** (ADAD Fiscal Form 200, 9/95). Any start-up payment shall be reconciled by the end of the fourth month of the contract. Final payment for each contract year shall be made upon acceptance of the provider's **Year-End Report** and **Final Invoice**.

Original monthly invoices must be submitted by the APPLICANT within thirty (30) calendar days after the last day of each calendar month. All corrections to submitted invoices must be received by ADAD no later than ninety (90) days after the last day of the billing month. Invoices may not be accepted after the ninety (90) day period. If the APPLICANT is unable to submit an invoice within the ninety (90) day period, the APPLICANT must provide justification as to the reasons for the delay and the anticipated submission date. If a formal request for an extension is not received prior to the end of the ninety (90) day period, ADAD may deny the request for extension and will not be held liable for payment of the invoice. All provider reporting data must be submitted in the manner and format specified by ADAD.

## II. Facilities

The APPLICANT shall use facilities that are adequate for the delivery of the proposed services. If facilities are not presently available, the APPLICANT shall plan to secure such facilities. Facilities shall meet the Americans with Disabilities Act (ADA) requirements, as applicable, and the APPLICANT shall have a plan for obtaining alternative sites and/or special equipment that may be needed to accommodate those with physical disabilities. The APPLICANT shall also have a plan for making services accessible to those with other handicapping conditions (e.g., speech, hearing, psychological, etc.).

**SECTION 2:**

**SERVICE  
SPECIFICATIONS**

**HTH 440-2D**  
**County of Kauai**

## **Section 2**

# **Service Specifications**

## **County of Kauai**

### **I. Introduction**

#### **A. Overview, purpose or need**

The Alcohol and Drug Abuse Division (ADAD), the designated single state authority to apply for and expend federal substance abuse funds administered under P.L. 102-321, the federal Substance Abuse Prevention and Treatment Block Grant, is focused on supporting community efforts to reduce the use of alcohol, tobacco, and other drugs among children and youth and other at-risk populations.

Contracts awarded through this RFP will be contracts between the state and local community-based organizations that will be the lead organization to coordinate and leverage community resources and services, expand prevention approaches at the community level, improve the quality of comprehensive community-based prevention efforts and reduce substance use through the implementation of evidence-based prevention strategies.

#### **B. Planning activities conducted in preparation for this RFP**

A Request for Information (RFI) was held on Kauai on November 13, 2007; on the island of Hawaii on November 14, 2007; on Maui on November 15, 2007; and on Oahu on November 16, 2007 to gather input related to this RFP. Topics of discussion centered on community needs; community capacity and readiness to implement prevention services; the existence of current county-level prevention plans; the prevalence of evidence-based programs, practices, and strategies; and the community's ability to evaluate prevention outcomes.

Data from the *2003 Hawaii Student Alcohol, Tobacco, and Other Drug Use Survey* were used to support this RFP. The full report of this survey may be found on the Department of Health website:

<http://hawaii.gov/health/substance-abuse/prevention-treatment/survey/adsurv.htm>.

**C. Description of the goals of the service**

The overall goals for communities funded through this RFP are to reduce drug and alcohol use by at-risk youth and their families by mobilizing individuals and organizations in local communities; improving data-driven planning for prevention; filling gaps in community prevention services; and implementing evidence-based prevention approaches which have demonstrated a reduction of the risk factors or enhancement of the protective factors identified within the population to be served.

APPLICANTS awarded funds through this RFP shall be the lead organization in a community-based partnership and shall collaborate and coordinate with community stakeholders to implement and evaluate a data-driven comprehensive action plan to prevent or reduce drug use among the identified population that includes evidence-based and culturally appropriate prevention policies, practices, or strategies.

**D. Description of the target population to be served**

The target population for services is at-risk youth and their families, schools and/or communities as identified by a community-based needs assessment.

The combination of substance use consequences and intervening variables (including risk and protective factors) determines at-risk groups or individuals associated with alcohol and other drug problems. Of particular emphasis for this RFP are:

- Children or youth whose parents are substance abusers;
- Victims of physical, sexual, or psychological abuse;
- Children or youth who have experienced academic difficulties or chronic failure in school;
- Youth who have become pregnant or are at risk of becoming pregnant;
- Children, youth, and families who are economically disadvantaged;
- Youth who have committed a violent or delinquent act;
- Youth who have experienced mental health problems;
- Recently arrived immigrant populations.

The Institute of Medicine (IOM) prevention classification scheme is used in this RFP to delineate target populations and the differing objectives of various interventions for each target population. The IOM system classifies prevention interventions into three (3) categories; 1) **Universal**, 2) **Selective**, and 3) **Indicated**. Descriptions of populations included in

each category may be found on the Western Center for Prevention Technology's (WestCAPT) website at <http://casat.unr.edu/bestpractices/bptype.htm>.

**E. Geographic coverage of service**

Provided that there are an adequate number of responsive and responsible proposals submitted, ADAD anticipates funding lead organizations working with community partners to provide substance abuse prevention services in the City and County of Honolulu, and the Counties of Maui, Kauai, and Hawaii. The APPLICANT shall submit a separate proposal for each geographic area to be served. ADAD reserves the right to award contracts based on the best configuration of services and to best meet the needs of the STATE. Considerations shall include, but not be limited to, geographic areas at high risk; populations at high risk; underserved geographic areas or populations; gaps in services within a geographic area; the community's readiness to implement evidence-based prevention services; the APPLICANT's capacity for working with other community stakeholders including youth and Native Hawaiian organizations; and cost effectiveness as determined by estimated per participant costs.

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

**Total Funding:**

Both federal and state funds are anticipated to be available through this RFP. The anticipated fund amounts stated in this RFP (by geographic areas and other defined service areas) are estimated based on current resource allocations. It is important to note that funding amounts when executing actual contract awards may be significantly different from the stated anticipated funding amounts due to evolving budgetary circumstances.

A total of \$409,000 of federal funds and \$2,000,000 in state funds is available statewide through RFP HTH 440-2. This total is allocated through four (4) separate sub-RFPs as follows: HTH 440-2A for the City and County of Honolulu, HTH 44-2B for the County of Hawaii, HTH 440-2C for the County of Maui, and HTH 440-2D for the County of Kauai. The STATE reserves the right to increase or decrease funds at its discretion among the four sub-RFPs in order to best meet the needs of the STATE as well as to operate within budgetary limitations. If applying for more than one sub-RFP, the APPLICANT shall submit a separate proposal for each sub-RFP. The STATE reserves the option to use the same or separate evaluation committees for each county.

**Federal Funds:**

The following federal funds are anticipated to be available through this

RFP:

\$409,037 (7/1/09-06/30/10)\*  
\$409,037 (7/1/10-06/30/11)\*

\*Funding is contingent upon the availability of funds. The State anticipates funding each awarded APPLICANT for two (2) years. Contracts may be extended for up to one (1) additional twelve (12) month period. Options for renewal or extension shall be based on the provider's satisfactory performance of the contracted service(s), the availability of funds to continue the service(s), and if the STATE determines that the service(s) are still needed. APPLICANTS should have a plan describing how services will be sustained beyond the funding period.

The source of Federal funds is the Substance Abuse Prevention and Treatment (SAPT) Block Grant. In each contract year, a minimum of thirty percent (30%) of the SAPT Block Grant funds in each contract shall be spent for services to Native Hawaiians. Priorities for federal funds will include land (ʻāina) based programs, mentoring, and gender-specific services.

Only government agencies and non-profit organizations, including faith-based organizations, are eligible for federal funds. Organizations that are currently providing services funded by RFP HTH 440-2-11 may apply for funding through this RFP if the proposed services target a different population and do not duplicate existing services.

**State General Funds:**

The following state general funds are anticipated to be available for the County of Kauai through this RFP:

\$400,000 (7/1/09-06/30/10)\*  
\$400,000 (7/1/09-06/30/11)\*

\*Funding is contingent upon the availability of state funds. While no exact funding amounts have been pre-determined, ADAD anticipates each award to be approximately \$100,000.

The STATE reserves the right to make awards based on the uniqueness and appropriateness of the proposals in addressing prevention issues of specific communities and the best configuration of prevention services statewide. Should an inadequate number of responsive and responsible proposals be submitted for the County of Kauai or should sufficient monies be available, ADAD reserves the right to allocate additional funds to those APPLICANTS who have submitted acceptable proposals.

The State anticipates funding each awarded APPLICANT for two (2) years. Contracts may be extended for up to one (1) additional twelve (12) month period. Options for renewal or extension shall be based on the

provider's satisfactory performance of the contracted service(s), the availability of funds to continue the service(s), and if the STATE determines that the service(s) are still needed. APPLICANTS should have a plan describing how services will be sustained beyond the funding period.

State and county governmental agencies, for-profit entities, and non-profit organizations, which may include faith-based organizations are eligible to apply for state general funds. Organizations that are currently providing services funded by RFP HTH 440-2-11 may apply for funding through this RFP if the proposed services target a different population or geographic area and do not duplicate existing services.

NOTE:

1. 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 determined by ADAD at its discretion in order to best meet the needs of the STATE.
2. A maximum of \$25,000 may be advanced for start-up costs for new programs, upon completion of an executed contract and the submission of an invoice requesting the advancement of funds. A new program is defined as a service provided by an organization which has not previously contracted with ADAD or an organization that has contracted with ADAD but is establishing a service that has not previously been provided in the target community or for the selected population.
3. If an APPLICANT materially fails to comply with the terms and conditions of the contract, ADAD may, as appropriate under the circumstances:
  - a. Temporarily withhold payments pending correction of any deficiency or because of non-submission of a report by the APPLICANT.
  - b. Disallow all or part of the invoice submitted by the APPLICANT.
  - c. Suspend or terminate the contract.
4. The APPLICANT may 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 such requests 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.

5. ADAD reserves the right to make modifications to any section of the service contract, including but not limited to, the scope of services, target population, time of performance, geographic service areas and total award amounts that it is unable to anticipate currently. There may be unique circumstances which may require these modifications be made in order to continue programs, improve services, as well as adjust to evolving budgetary circumstances. Additionally, ADAD reserves the right to increase or decrease funds at its discretion in order to best meet the needs of the state as well as operate within budgetary limitations.

## II. General Requirements

### A. Specific qualifications or requirements, including but not limited to licensure or accreditation

NOTE: If applying for federal SAPT Block Grant funds, the APPLICANT shall complete and submit the **Certifications and Assurances** contained in Attachment C of this RFP with its proposal. APPLICANTS that do not receive federal funds shall not be required to meet the federally required qualifications or requirements stated under the General Requirements section. Please note that as budgetary circumstance changes, ADAD reserves the right to change the anticipated source of funds to support needed program and services.

If awarded a contract, the APPLICANT shall:

1. Arrange for a financial and compliance audit to be done and submitted to ADAD as directed in accordance with "Government OMB Circular A-133" if the applicant expends \$500,000 or more in federal funds in a year.
2. Provide its most recent Financial Audit.
3. Not use funds 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: <http://hawaii.gov/spo/spoh/methods-of-procurement-source-selection/costprinciples.pdf/?searchterm=costprinciples>.

4. Reconcile the amount of an advanced payment by month five of the first year of the contract should such an advancement occur.
5. Refund to the STATE any funds unexpended or expended inappropriately.
6. Assure under the actual expenditure method of reimbursement, that all equipment and unused supplies and materials purchased with funds paid to it shall become the property of the STATE upon completion or termination of the contract.
7. Assure under the actual performance method of reimbursement, that program income and/or surplus earned during the contract shall be used to further the program objectives, subject to audit verification by the STATE.
8. Obtain from a company authorized by law to issue such insurance in the State of Hawaii commercial general liability insurance (“liability insurance”) in an amount not less than ONE MILLION DOLLARS (\$1,000,000) PER OCCURANCE and TWO MILLION DOLLARS (\$2,000,000) IN THE AGGREGATE (the maximum amount paid for claims during a policy term). The certificate of insurance shall include the contract log number, contract dates, and the following statement:

“It is agreed that the State of Hawaii, its officers, employees and agents are named as additional insured, but only with respect to operation arising out of the operation performed by the named insured.”

If the insurer is not licensed by the State of Hawaii, the following statement must be displayed on the insurance certificate:

“This insurance contract is issued by an insurer which is not licensed by the State of Hawaii and is not subject to its regulation or examination. If the insurer is found insolvent, claims under this contract are not covered by any guaranty fund of the State of Hawaii.”

In addition, automobile insurance shall be no less than ONE MILLION DOLLARS (\$1,000,000) PER INCIDENT.

Execution of the contract shall be dependent upon the APPLICANT'S submittal of a current tax clearance and a statement of good standing from the Department of Commerce and Consumer Affairs.

**B. Secondary purchaser participation**

(Refer to §3-143-608, HAR)

After-the-fact secondary purchases will be allowed.

Planned secondary purchases: None

**C. Multiple or alternate proposals**

(Refer to §3-143-605, HAR)

Allowed  Unallowed

**D. Single or multiple contracts to be awarded**

(Refer to §3-143-206, HAR)

Single  Multiple  Single & Multiple

Criteria for multiple awards: Contracts may be for one site or may include multiple sites when services are similar. Separate contracts may be awarded if services are distinct or are located on different islands.

**E. Single or multi-term contracts to be awarded**

(Refer to §3-149-302, HAR)

Single term ( $\leq 2$  yrs)  Multi-term ( $> 2$  yrs.)

Contract terms: The initial period shall commence on the contract start date or the State's Notice to Proceed. Contracts will be awarded for a two-year period with funding for the second year contingent upon satisfactory performance in the first year and the availability of funds. After the initial two-year contract period, the STATE reserves the right to extend contracts for up to one (1) additional twelve-month period. Options for renewal or extension shall be based on the provider's satisfactory performance of the contracted service(s), the availability of funds to continue the service(s), and if the STATE determines that the service(s) are still needed.

**F. RFP contact person**

The individual listed below is the sole point of contact from the date of release of this RFP until the selection of the successful 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 1, paragraph I (Procurement Timetable) of this RFP.

Virginia Jackson, Phone: (808) 692-7510  
Email: [Virginialeee.jackson@doh.hawaii.gov](mailto:Virginialeee.jackson@doh.hawaii.gov)

### III. Scope of Work

The scope of work encompasses the following tasks and responsibilities:

#### A. Service Activities (Minimum and/or mandatory tasks and responsibilities)

The APPLICANT shall also agree to participate in process and outcome evaluation as specified by ADAD. **Please see Section 2 Service Specifications, paragraph III. Scope of Work, subparagraph B. Management Requirements, 4. Output and Performance/Outcome Measures.**

The APPLICANT shall agree to engage in workforce development activities as approved and directed by ADAD. Such activities shall include coursework required as a prerequisite for the Certified Substance Abuse Prevention Specialist (CSAPS) certification.

NOTE:

The APPLICANT is advised to examine **Section 3, Proposal Application Instructions** and **Section 4, Proposal Evaluation** of this RFP which provide points to be addressed in the proposal which will be evaluated by the proposal reviewers.

#### 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 D-1 of this RFP.

The APPLICANT shall assure that its own workforce and that of any partnering organizations meet the minimum qualifications set forth by the organization that employs them. The APPLICANT or its partner organizations shall assure that the supervision of Certified Substance Abuse Prevention Specialist (CSAPS) candidates shall be assigned to preceptors who have a Certified Substance Abuse Prevention Specialist (CSAPS) credential or a

bachelors or masters degree and at least one year experience in substance abuse prevention. Preceptors are individuals responsible for training and supervising the CSAPS candidate.

**2. Administrative**

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**3. Quality assurance and evaluation specifications**

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Using approved measurement tools, the APPLICANT shall document the achievement of stated goals in its program evaluation. For those contracts funded by federal SAPT Block Grant funds, the Government Performance and Results Act (GPRA) survey for youth ages 12-17 or adults shall be completed by participants pre- and post-service.

**4. Output and performance/outcome measurements**

This RFP focuses on specific changes to be achieved by participation in the proposed prevention services. The APPLICANT shall track and report progress toward these performance measurements to ADAD through a monthly standard outcome reporting format. Performance measurement results will be reviewed by ADAD and may result in the APPLICANT making program corrections as necessary.

Within this outcome-based framework, the APPLICANT shall:

- Describe the substance use consumption patterns and consequences of substance abuse in the identified community or target population.
- State measurable outcomes to be achieved.
- Prioritize the intervening variables (including risk factors or protective factors) to be addressed by the proposed service.
- If awarded a contract, administer pre- and post-tests to measure information and skills gained through participation in the prevention activity or use qualitative data to

demonstrate behavioral changes made as a result of participation in the prevention program. For those contracts funded by federal SAPT Block Grant funds, the Government Performance and Results Act (GPRA) survey for youth ages 12-17 or adults shall be completed by participants pre- and post-service.

The APPLICANT shall demonstrate that the proposed program, practice, or strategy will address one or more of the performance measures shown in the following table:

<b>DESIRED OUTCOME/DOMAIN</b>	<b>PERFORMANCE MEASURE</b>
Drug/Alcohol	<ul style="list-style-type: none"> <li>• Continue to abstain from drug/alcohol use or reduce use during the past 30 days.</li> <li>• Increase in age of first use.</li> <li>• Increase perception that drug and alcohol use is harmful.</li> <li>• Increase perception of drug use as unacceptable.</li> </ul>
School/Employment	<ul style="list-style-type: none"> <li>• Increase school attendance and enrollment.</li> <li>• Reduce ATOD-related suspensions and expulsions/terminations.</li> <li>• Reduce drug-related workplace injuries.</li> </ul>
Criminal Justice	<ul style="list-style-type: none"> <li>• Reduce alcohol-related car crashes and injuries.</li> <li>• Reduce drug-related offenses (school/job).</li> <li>• Reduce drug-related crime.</li> </ul>
Social Connectiveness	<ul style="list-style-type: none"> <li>• Increase family communication around drug use.</li> <li>• Increase the prevalence of clear family/community standards regarding substance use.</li> <li>• Increase parent participation in prevention activities.</li> </ul>
Access to Services (service capacity)	<ul style="list-style-type: none"> <li>• Increase the number of persons served by age, gender, race, ethnicity.</li> </ul>

**5. Experience**

The APPLICANT shall document its past five years experience in providing prevention services and specifically substance abuse prevention services provided for universal (direct and indirect), selective, and/or indicated populations. The APPLICANT shall document experience serving the identified population and working in the targeted geographic area. At least three (3) references from key stakeholders shall be provided to verify experience.

**6. Coordination of services**

The APPLICANT (as the lead organization) shall coordinate the mobilization of service providers and other stakeholders in planning, implementing, and evaluating the proposed services.

The proposed services shall fill service gaps in the community and be coordinated with other services within the community. The proposed services shall not duplicate existing services.

If the APPLICANT is providing programs and services in coordination with elementary, middle/intermediate or high schools within their communities, the APPLICANT shall actively participate in periodic planning and coordination meetings with other school-based substance abuse prevention providers, substance abuse treatment providers and relevant school faculty/staff members within the school complex. While the primary participants are substance abuse prevention and treatment providers, other relevant school-based social service providers should also be included if the services they provide will impact the targeted population.

**7. Reporting requirements for program and fiscal data**

**a. Required program reports:**

Each month, the APPLICANT shall input into the online **ADAD management information system** documentation of the implementation of activities related to the chosen evidence-based programs, practices and strategies according to the six (6) Center for Substance Abuse Prevention strategies. The unduplicated count of individuals served by each program, practice, or strategy shall be reported online monthly. The APPLICANT shall also report monthly, through the management information

system, the number of population-based strategies used and an estimation of the number of persons impacted. The deadline for inputting monthly data is 30 days after the end of each month. Currently, the Minimum Data Set is used as ADAD's management information system. The APPLICANT shall be prepared to transition to the KIT Solutions<sup>®</sup> management information system when it becomes available online.

The APPLICANT shall also submit narrative **Monthly** and **Year-End Reports** summarizing and analyzing outcome data and accomplishments and challenges. The required program reports shall be accompanied by fiscal reports detailing expenditures incurred during the specific month. Monthly reports are due within 30 calendar days after the end of each month. Year-End Reports are due within 45 calendar days after the end of each fiscal year.

NOTES:

1. In January and July of each contract year, **contracts funded by federal funds** shall also report pre- and post-service outcomes utilizing the Government Performance and Results Act (**GPRA**) survey instrument. The January report covering services conducted during July through December of the previous calendar year. The July report shall cover services conducted from January through June of the current calendar year.
2. National Outcome Measures shall be reported by recipients of either federal or state general funds. The National Outcome Measures are shown in the table in Section 2. Service Specifications, paragraph III. Scope of Work, subparagraph B. Management Requirements, 4. Output and Performance/Outcome Measurements.

**b. Required fiscal reports:**

- (1) The APPLICANT shall submit monthly the **Statement of Revenue and Expenditures Report** (ADAD Fiscal Form 200, 9/95).
- (2) The APPLICANT shall submit to ADAD its **final invoice** no later than 45 calendar 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 within 45 calendar days of the last day of the contract year.

- (3) 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 and the **Year-End Program Report**, which includes summaries of output and outcome data, accomplishments, and challenges.

## 8. Pricing structure or pricing methodology to be used

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

The APPLICANT'S budget shall include the cost of staff travel to attend quarterly provider meetings and to participate in quarterly trainings.

APPLICANTS are advised to consider the following in preparing the proposal budget:

- The Institute of Medicine classification of the targeted population(s)—Universal (direct and indirect recipients of services), Selective, and Indicated.
- The optimal number of participants recommended for the specific evidence-based program to be used.
- The professional level of staff required to implement specific programs or strategies.
- The cost of training for staff to implement evidence-based curricula or to prepare for prevention specialist certification.

## 9. Units of service and unit rate

Not applicable.

## 10. Method of compensation and payment

If awarded a contract, the APPLICANT shall be paid monthly upon ADAD's approval of the narrative **Monthly Report** and the **Statement of Revenue and Expenditures Report** (ADAD Fiscal Form 200, 9/95). Any start-up payment shall be reconciled by the end of the fourth month of the contract. Final payment for each contract year shall be made upon acceptance of the provider's **Year-End Report** and **Final Invoice**.

Original monthly invoices must be submitted by the APPLICANT within thirty (30) calendar days after the last day of each calendar month. All corrections to submitted invoices must be received by ADAD no later than ninety (90) days after the last day of the billing month. Invoices may not be accepted after the ninety (90) day period. If the APPLICANT is unable to submit an invoice within the ninety (90) day period, the APPLICANT must provide justification as to the reasons for the delay and the anticipated submission date. If a formal request for an extension is not received prior to the end of the ninety (90) day period, ADAD may deny the request for extension and will not be held liable for payment of the invoice. All provider reporting data must be submitted in the manner and format specified by ADAD.

## II. Facilities

The APPLICANT shall use facilities that are adequate for the delivery of the proposed services. If facilities are not presently available, the APPLICANT shall plan to secure such facilities. Facilities shall meet the Americans with Disabilities Act (ADA) requirements, as applicable, and the APPLICANT shall have a plan for obtaining alternative sites and/or special equipment that may be needed to accommodate those with physical disabilities. The APPLICANT shall also have a plan for making services accessible to those with other handicapping conditions (e.g., speech, hearing, psychological, etc.).