

State of Hawaii
Department of Public Safety
Hawaii Paroling Authority

Request for Proposals

**RFP No.: PSD 09-HPA-53
Multiple Substance Abuse Treatment
Services
for Female and Male Violent Offender
Parolees
on the Island of Oahu**

May 17, 2009

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

May 17, 2009

REQUEST FOR PROPOSALS

**MULTIPLE SUBSTANCE ABUSE TREATMENT SERVICES
FOR
FEMALE AND MALE VIOLENT OFFENDER PAROLEES
ON THE ISLAND OF OAHU**

RFP No. PSD 09-HPA-53

The Department of Public Safety, Hawaii Paroling Authority, is requesting proposals from qualified applicants to provide multiple substance abuse treatment services for female and male violent offender parolees on the island of Oahu. The initial contract term will be for a twelve month period. Subject to the availability of funds, satisfactory performance, and prior mutual agreement, this contract shall have the option to extend the contract term for not more than two (2) additional twelve month periods or portions thereof. Multiple contracts will be awarded under this request for proposals.

Proposals must be postmarked by the US mail before midnight on **June 16, 2009**, or hand delivered by 4:30PM, Hawaii Standard Time (HST), at the drop-off sites that are designated on the Proposal Mail-in and Deliver Information Sheet.

Proposals postmarked after midnight on **June 16, 2009**, or hand delivered after 4:30PM H.S.T. on **June 16, 2009** will not be considered and will be late returned to the applicant. There are no exceptions to this requirement.

The Department of Public Safety, Hawaii Paroling Authority, will conduct an orientation on **May 22, 2009** from **11:00 AM to 12:00 PM HST**, at 919 Ala Moana Boulevard, Room 413, Honolulu, Hawaii. All prospective applicants are encouraged to attend the orientation.

The deadline for submission of written questions is 4:30 p.m., HST, on **May 27, 2009**. All written questions will receive a written response from the State on or about **May 29, 2009**.

Inquiries regarding this RFP should be in writing to the RFP contact person, Mr. Marc Yamamoto at 919 Ala Moana Boulevard, Honolulu, Hawaii 96814, or may be made by e-mail at marc.s.yamamoto@hawaii.gov.

PROPOSAL MAIL-IN AND DELIVERY INFORMATION SHEET

NUMBER OF COPIES TO BE SUBMITTED: 4 (One – original + 3 – copies)

ALL MAIL-INS SHALL BE POSTMARKED BY THE UNITED STATES POSTAL SERVICE (USPS) NO LATER THAN *June 16, 2009* and received by the state purchasing agency no later than 10 days from the submittal deadline.

Mail-in and Drop-off

Department of Public Safety
Administrative Services Office – Purchasing and
Contracts Section
919 Ala Moana Blvd., Room 413
Honolulu, Hawaii 96814

RFP COORDINATOR

Marc Yamamoto
For further info. or inquiries
e-mail: marc.s.yamamoto@hawaii.gov
Phone: 587-1215
Fax: 587-1244

ALL HAND DELIVERIES SHALL BE ACCEPTED AT THE FOLLOWING SITES UNTIL **4:30 P.M., Hawaii Standard Time (HST), *June 16, 2009***. Deliveries by private mail services such as FEDEX shall be considered hand deliveries. Hand deliveries shall not be accepted if received after 4:30 p.m., *June 16, 2009*.

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Section 1

Administrative Overview

Section 1

Administrative Overview

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

I. Procurement Timetable

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

<u>Activity</u>	<u>Scheduled Date</u>
Public notice announcing Request for Proposals (RFP)	<u>May 17, 2009</u>
Distribution of RFP	<u>May 17, 2009</u>
RFP orientation session	<u>May 22, 2009</u>
Closing date for submission of written questions for written responses	<u>May 27, 2009</u>
State purchasing agency's response to applicants' written questions	<u>May 29, 2009</u>
Discussions with applicant prior to proposal submittal deadline (optional)	Not <u>Applicable</u>
Proposal submittal deadline	<u>June 16, 2009</u>
Discussions with applicant after proposal submittal deadline (optional)	Not <u>Applicable</u>
Final revised proposals (optional)	<u>June 18, 2009</u>
Proposal evaluation period	<u>June 17 to June 19, 2009</u>
Provider selection	<u>June 22, 2009</u>
Notice of statement of findings and decision	<u>June 23, 2009</u>
Contract start date	<u>July 1, 2009</u>

II. Website Reference

The State Procurement Office (SPO) website is <http://hawaii.gov/spo/>

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

Non-SPO websites

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

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

III. Authority

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

IV. RFP Organization

This RFP is organized into five sections:

Section 1, Administrative Overview: Provides applicants with an overview of the procurement process.

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

Section 3, Proposal Application Instructions: Describes the required format and content for the proposal application.

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

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

V. Contracting Office

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

Attn: Mr. Michael D. Knott

1177 Alakea Street, 1st Floor, Honolulu, HI 96813

Phone (808) 587-1299

Fax: (808) 587-1314

VI. Orientation

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

Date: May 22, 2009 **Time:** 11:00 AM to 12:00 PM, HST

Location: 919 Ala Moana Boulevard, Room 413
Honolulu, Hawaii 96813

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

VII. Submission of Questions

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

Deadline for submission of written questions:

Date: May 27, 2009 **Time:** 4:30 pm HST

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

Date: May 29, 2009

VIII. Submission of Proposals

- A. **Forms/Formats** - Forms, with the exception of program specific requirements, may be found on the State Procurement Office website referred to in II. Website Reference. Refer to the Proposal Application Checklist for the location of program specific forms.
1. **Proposal Application Identification (Form SPO-H-200).** Provides applicant proposal identification.
 2. **Proposal Application Checklist.** Provides applicants with information on where to obtain the required forms; information on program specific requirements; which forms are required and the order in which all components should be assembled and submitted to the state purchasing agency.
 3. **Table of Contents.** A sample table of contents for proposals is located in Section 5, Attachments. This is a sample and meant as a guide. The table of contents may vary depending on the RFP.
 4. **Proposal Application (Form SPO-H-200A).** Applicant shall submit comprehensive narratives that address all of the proposal requirements contained in Section 3 of this RFP, including a cost proposal/budget if required.
- B. **Program Specific Requirements.** Program specific requirements are included in Sections 2, Service Specifications and Section 3, Proposal Application Instructions, as applicable. If required, Federal and/or State certifications are listed on the Proposal Application Checklist located in Section 5.
- C. **Multiple or Alternate Proposals.** Multiple or alternate proposals shall not be accepted unless specifically provided for in Section 2 of this RFP. In the event alternate proposals are not accepted and an applicant submits alternate proposals, but clearly indicates a primary proposal, it

shall be considered for award as though it were the only proposal submitted by the applicant.

- D. **Tax Clearance.** Pursuant to HRS Section 103-53, as a prerequisite to entering into contracts of \$25,000 or more, providers shall be required to submit a tax clearance certificate issued by the Hawaii State Department of Taxation (DOTAX) and the Internal Revenue Service (IRS). The certificate shall have an original green certified copy stamp and shall be valid for six (6) months from the most recent approval stamp date on the certificate. Tax clearance applications may be obtained from the Department of Taxation website. (Refer to this section's part II. Website Reference.)
- E. **Wages and Labor Law Compliance.** If applicable, by submitting a proposal, the applicant certifies that the applicant is in compliance with HRS Section 103-55, Wages, hours, and working conditions of employees of contractors performing services. Refer to HRS Section 103-55, at the Hawaii State Legislature website. (See part II, Website Reference.)
- **Compliance with all Applicable State Business and Employment Laws.** All providers shall comply with all laws governing entities doing business in the State. Prior to contracting, owners of all forms of business doing business in the state except sole proprietorships, charitable organizations unincorporated associations and foreign insurance companies be registered and in good standing with the Department of Commerce and Consumer Affairs (DCCA), Business Registration Division. Foreign insurance companies must register with DCCA, Insurance Division. More information is on the DCCA website. (See part II, Website Reference.)
- F. **Hawaii Compliance Express (HCE).** Providers may register with HCE for online proof of DOTAX and IRS tax clearance Department of Labor and Industrial Relations (DLIR) labor law compliance, and DCCA good standing compliance. There is a nominal annual fee for the service. The "Certificate of Vendor Compliance" issued online through HCE provides the registered provider's current compliance status as of the issuance date, and is accepted for both contracting and final payment purposes. Refer to this section's part II. Website Reference for HCE's website address.
- G. **Campaign Contributions by State and County Contractors.** Contractors are hereby notified of the applicability of HRS Section 11-205.5, which states that campaign contributions are prohibited from specified State or county government contractors during the term of the contract if the contractors are paid with funds appropriated by a legislative body. For more information, FAQs are available at the Campaign Spending Commission webpage. (See part II, Website Reference.)

- H. **Confidential Information.** If an applicant believes any portion of a proposal contains information that should be withheld as confidential, the applicant shall request in writing nondisclosure of designated proprietary data to be confidential and provide justification to support confidentiality. Such data shall accompany the proposal, be clearly marked, and shall be readily separable from the proposal to facilitate eventual public inspection of the non-confidential sections of the proposal.

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

- I. **Proposal Submittal.** All mail-ins shall be postmarked by the United States Postal System (USPS) and received by the State purchasing agency no later than the submittal deadline indicated on the attached Proposal Mail-in and Delivery Information Sheet. All hand deliveries shall be received by the State purchasing agency by the date and time designated on the Proposal Mail-In and Delivery Information Sheet. Proposals shall be rejected when:
- Postmarked after the designated date; or
 - Postmarked by the designated date but not received within 10 days from the submittal deadline; or
 - If hand delivered, received after the designated date and time.

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

IX. Discussions with Applicants

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

X. Opening of Proposals

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

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

XI. Additional Materials and Documentation

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

XII. RFP Amendments

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

XIII. Final Revised Proposals

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

XIV. Cancellation of Request for Proposal

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

XV. Costs for Proposal Preparation

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

XVI. Provider Participation in Planning

Provider participation in a state purchasing agency's efforts to plan for or to purchase health and human services prior to the state purchasing agency's release of a RFP, including the sharing of information on community needs, best practices, and providers' resources, shall not disqualify providers from submitting proposals if conducted in accordance with HAR Sections 3-142-202 and 3-142-203.

XVII. Rejection of Proposals

The State reserves the right to consider as acceptable only those proposals submitted in accordance with all requirements set forth in this RFP and which demonstrate an understanding of the problems involved and comply with the service specifications. Any proposal offering any other set of terms and

conditions contradictory to those included in this RFP may be rejected without further notice.

A proposal may be automatically rejected for any one or more of the following reasons:

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

XVIII. Notice of Award

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

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

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

XIX. Protests

Any applicant may file a protest against the awarding of the contract. The Notice of Protest form, SPO-H-801, is available on the SPO website. (See paragraph II, Website Reference.) Only the following matters may be protested:

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

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

Head of State Purchasing Agency	Procurement Officer
Name: Clayton A. Frank	Name: Clifford N. Asato
Title: Director	Title: Acting Business Management Officer
Mailing Address: 919 Ala Moana Boulevard, Room 400 Honolulu, Hawaii 96814	Mailing Address: 919 Ala Moana Boulevard, Room 413 Honolulu, Hawaii 96814
Business Address: same as above	Business Address: same as above

XX. Availability of Funds

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

XXI. General and Special Conditions of Contract

The general conditions that will be imposed contractually are on the SPO website. (See paragraph II, Website Reference). Special conditions may also be imposed contractually by the state purchasing agency, as deemed necessary.

XXII. Liability Insurance

The Contractor shall maintain insurance acceptable to the State in full force and effect throughout the term of this contract. The policy or policies of insurance maintained by the Contractor shall provide the following limit(s) and coverage:

<u>Coverage</u>	<u>Limits</u>
Commercial General Liability (occurrence form)	\$2,000,000 combined single limit per occurrence for bodily injury and property damage
Automobile, if applicable	Bodily injury \$2,000,000/person \$2,000,000/occurrence Property damage \$2,000,000/accident
Professional Liability, if applicable	\$2,000,000/claim

Each insurance policy required by this contract shall contain the following clauses:

1. *“The insurance shall not be canceled, limited in scope of coverage or non-renewed until after 30 days written notice has been given to the State of Hawaii, Department of Public Safety, PPB Office, 919 Ala Moana Boulevard, Room 413, Honolulu, Hawaii 96814.”*
2. *“The State of Hawaii, Department of Public Safety, is added as an additional insured as respects to operations performed for the State of Hawaii.”*
3. *“It is agreed that any insurance maintained by the State of Hawaii will apply in excess of, and not contribute with, insurance provided by this policy.”*

Each insurance policy shall be written by insurance companies licensed to do business in the State or meet Section 431:8-301, HRS, if utilizing an insurance company not licensed by the State of Hawaii.

The Contractor agrees to deposit with the State of Hawaii, on or before the effective date of this contract, certificate(s) of insurance necessary to satisfy the State that the insurance provisions of this contract have been complied with and to keep such insurance in effect and the certificate(s) therefore on deposit with the State during the entire term of this contract. Upon request by the State, Contractor shall furnish a copy of the policy or policies.

Failure of the Contractor to provide and keep in force such insurance shall be regarded as material default under this contract, entitling the State to exercise any or all of the remedies provided in this contract for a default of the Contractor.

The procuring of such required policy or policies of insurance shall not be construed to limit Contractor's liability hereunder nor to fulfill the indemnification provisions and requirements of this contract. Notwithstanding said policy or policies of insurance, Contractor shall be obliged for the full and total amount of any damage, injury, or loss caused by negligence or neglect connected with this contract.

If the Contractor is authorized by the Department Coordinator to subcontract, subcontractor(s) is not excused from the indemnification and/or insurance provisions of this contract. In order to indemnify the State, the Contractor agrees to require its subcontractor(s) to obtain insurance in accordance with the insurance provisions of this contract.

XXIII. Cost Principles

In order to promote uniform purchasing practices among state purchasing agencies procuring health and human services under HRS Chapter 103F, state purchasing agencies will utilize standard cost principles outlined in Form

SPO-H-201, which is available on the SPO website (see paragraph II, Website Reference). Nothing in this section shall be construed to create an exemption from any cost principle arising under federal law.

Section 2

Service Specifications

Section 2

Service Specifications

I. Introduction

A. Overview, purpose or need

Drug abuse is a serious problem in the State of Hawaii, and current policies and practices in the criminal justice system have not adequately addressed the issue. Within Hawaii's criminal justice system, there is a major shift in philosophy on how to deal with the needs of drug offenders.

The research in the area of substance abuse demonstrates the destructive impact of alcohol and other substance abuse on personal health and health care costs, the spread of communicable disease, educational performance and attainment, work force participation, safety and productivity in the workplace, and financial stability. These indicators of social erosion are in turn, related to crime in many obvious ways, but are hard to measure. Given the recognized relationship between crime and substance abuse and addiction, it is necessary and appropriate to use, adapt, and expand the resources and remedies available within the criminal justice system to address the problem of substance abuse dependency, and thereby to help reduce the demand for illicit drugs and the incidence of drug-related crimes.

Studies reveal that a large percentage of persons who are arrested for both drug and nondrug offenses (such as thefts, burglaries, robberies, assaults, rapes, and homicides) test positive for recent drug use. Adults who are under the influence of a controlled substance or alcohol commit many offenses to raise revenues to support their habits. Some mind and mood altering drugs induce criminal and often-violent behavior, reducing the person's inhibitions as well as the person's ability to anticipate future consequences, thereby undermining the deterrent thrust of the criminal law.

Finally, some crimes, including crimes of violence, are committed in the normal course of conducting illicit drug businesses and enterprises. These include strong-arm robberies and "rip-offs," violent retaliations for these offenses, and efforts to protect markets and "turf" by means of intimidation and terrorism directed against "would be" competitors and drug purchasers who patronize competing drug distributors.

Most addicted offenders who are convicted of serious crimes and who are sentenced to terms of imprisonment will eventually be released back into the community either on parole or at the expiration of their sentences. Without proper treatment, an offender is at risk to continue to be drug dependent and to commit new offenses, resulting in further injury to victims, loss of property, and the expenditure of limited resources to identify, apprehend, prosecute, and return the offender to confinement.

The Hawaii Paroling Authority is responsible for supervising a parole population of more than 2,300. During fiscal year 2004-2005, there were

three hundred eighty three (383) parole violation hearings statewide. Of these 383 hearings, about eighty five (85) percent of the violations, were for drug related reasons.

The State of Hawaii has incorporated a continuum of “best practice-evidence based” services as opposed to the reliance on a single program intervention. The designed continuum of care service delivery system comprises of substance abuse education programming for the low-risk offender, standard and intensive outpatient programming for the medium-to-low-risk offender and day treatment, short-term and long-term residential treatment for high risk offenders. This service delivery continuum is based on the assessment and matching process that is critical in the effort to maximize positive client outcomes and the effective use of funding, time and resources.

The Hawaii Paroling Authority believes that based upon all of the available research, if a parolee’s substance abuse problem is left untreated, their likelihood for succeeding on parole is severely diminished. By treating this significant criminogenic need, the parolees’ ability to conform to the terms and conditions of his/her parole will be greatly enhanced. A continuum of gender appropriate multi-disciplinary treatment services for male and female parolees is critical in providing a smooth transition from incarceration to parole. This continuum of gender appropriate services shall include (but not be limited to) Residential, Intensive Outpatient, Outpatient, and Aftercare. This continuum of treatment services will permit the service provider to match the parolee with the appropriate level of treatment, depending on the extent of the substance abuse problem.

B. Planning activities conducted in preparation for this RFP

Due to no changes in the nature or circumstances of the services for this solicitation, a waiver pursuant to Hawaii Administrative Rules, §3-142-202(e) was obtained from the head of the purchasing agency.

C. Description of the goals of the service

The goal of the program is to prevent re-incarceration, by providing parolees with histories of substance abuse, the skills to assist them in remaining drug and alcohol free. The applicant shall develop an individualized treatment plan for each female and male parolee and link the offenders with the appropriate treatment services in the community.

D. Description of the target population to be served

The target population consists of female and male violent offender parolees on the island of Oahu, who have a problem with substance abuse. A violent offender is an individual who has been convicted of any of the violent offenses listed in the ***Hawaii Revised Statutes, Chapter 707, Section 700-769 and Chapter 708, Section 840-842.*** A violent offense is a crime that involves personal injury, threat of injury, and theft of property or attempted theft by force or threat of force, including murder, manslaughter, rape, other

sexual assault, robbery, assault, extortion, intimidation, criminal endangerment, child abuse, and other offenses involving confrontational force or threat of force. There are currently about 519 violent offenders that are on parole. All referrals must come from the Hawaii Paroling Authority. All clients shall have been assessed by the Hawaii Paroling Authority as being at medium-to-high risk for recidivism, due to the presence of substance dependence, and shall meet the **DSM-IV** criteria for substance abuse dependence. All clients in any level of treatment shall meet the most current version of the **American Society for Addiction Medicine Patient Placement Criteria, Second Edition Revised (ASAM PPC-2R)** for admission, continuance, and discharge.

E. Geographic coverage of service

Services shall be provided to female and male violent offender parolees on the island of Oahu referred by the Hawaii Paroling Authority.

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

Funding for the Multiple Substance Abuse Treatment Services for Female and Male Violent Offender Parolees on Oahu is estimated at \$100,000 (\$70,000 for Initial Screening/Assessment Services and Residential Treatment modalities and \$30,000 for Initial Screening/Assessment Services, Intensive Outpatient, Outpatient and Aftercare modalities) for the period commencing on the date indicated on the Notice to Proceed for a period of 12 months. This contract may be extended for not more than two (2) additional twelve (12) month periods or fraction thereof, subject to the availability of funds, satisfactory performance and upon mutual agreement in writing.

II. General Requirements

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

1. The applicant shall have licenses and certificates, as applicable, in accordance with federal, state and county regulations, and comply with all applicable Hawaii Administrative Rules (HAR).
 - (a) Residential programs, in accordance with Title 11, Chapter 98, Treatment Facility, must have a Special Treatment Facility license at the time of application and abide by applicable administrative rules governing accreditation of substance abuse programs.
 - (b) All applicants shall comply with Title 11, Chapter 175, Mental Health and Substance Abuse System.
 - (c) All applicants shall complete and submit the Drug Free Workplace Assurance and the Federal certifications in Section 5 Attachment D.

2. If the applicant is awarded a contract, the applicant will be required to arrange for a financial and compliance audit to be done and submitted to the department as directed in accordance with **Government OMB Circular A-133** if the applicant expends \$500,000 or more in Federal Funds in a year.
3. The applicant shall comply with the 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 SPO Website (see Section 5, POS Proposal Checklist, for the website address).
4. The applicant receiving advanced payment for services shall reconcile the amount of the advance by the end of the first quarter of the contract.
5. After contract execution, the applicant shall submit a copy of its operating policies and procedures to the department when requested. The copy is to be provided at the applicant's expense.
6. The applicant shall assign staff to attend provider meetings as scheduled by the department.
7. All substance abuse records shall be kept confidential pursuant to **42 Code of Federal Regulations (42CFR), Part 2, Confidentiality of Alcohol and Drug Abuse Patient Records** and if necessary, the applicant shall resist in judicial proceedings, any efforts to obtain access to patient records, except as permitted by such regulations, and **Section 334-5, HRS, Confidentiality of Records**.
8. The applicant shall adopt and implement a policy regarding Acquired Immune Deficiency Syndrome (AIDS), which states that it:
 - (a) Does not discriminate against any client who has tested positive for antibodies against Human Immunodeficiency Virus (HIV) at admission or throughout participation
 - (b) Assures staff education on HIV and AIDS at least once per year
 - (c) Provides AIDS education to all clients
 - (d) Maintains the confidentiality of any results of HIV antibody testing pursuant to **Sec. 325-101, HRS**
 - (e) Administers an AIDS Risk Assessment as part of the treatment psycho/social evaluation and encourages high-risk clients to have a blood test for HIV antibodies.
9. The applicant shall adopt a policy regarding tuberculosis (TB) which states it provides for TB education as appropriate.
10. The applicant shall develop and maintain fiscal, statistical, and

administrative records pertaining to services as specified by the department.

11. The applicant shall incorporate best practices/evidence-based practices in any substance abuse service. Best practices/evidence-based practices are defined as a body of contemporaneous empirical research findings that produce the most efficacious outcomes for persons with substance abuse problems, has literature to support the practices, is supported by national consensus, has a system for implementing and maintaining program integrity, and conformance to professional standards. For best practices in specific areas of substance abuse, the applicant may consult the Substance Abuse and Mental Health Services Administration (SAMHSA) **Treatment Improvement Protocol Series (TIPS)**, the National Institute on Drug Abuse's (NIDA) **Principles of Drug Addiction Treatment**, and/or access website resources listed in **Attachment E-7, "Important Website Addresses."**
12. The applicant shall have a mechanism for receiving, documenting, and responding to consumer grievances, including an appeals process.
13. The applicant shall have a written plan for disaster preparedness.
14. The applicant must have by-laws or policies that describe the manner in which business is conducted and policies that relate to nepotism and management of potential conflict of interest situations.
15. The applicant shall have a minimum of one (1) year experience in the provision of substance abuse treatment services for substance abuse clients plus a minimum of one (1) additional year of successful experience in the provision of substance abuse treatment services for the parole population.
16. The applicant shall be required to accept parolees who have been assessed by the department as being appropriate for services, unless the applicant presents to the department, justifiable reason(s) that a parolee should not be accepted into the program.

B. Secondary purchaser participation
(Refer to HAR Section 3-143-608)

After-the-fact secondary purchases will be allowed.

Planned secondary purchases: there are no planned secondary purchases.

C. Multiple or alternate proposals
(Refer to HAR Section 3-143-605)

Allowed Unallowed

D. Single or multiple contracts to be awarded

(Refer to HAR Section 3-143-206)

Single Multiple Single & Multiple

Criteria for multiple awards:

Award(s), if any shall be based on the applicant's ability to perform in-patient and/or out-patient services as required herein, the evaluation score the applicant's proposal receives and the number of clients the applicant proposes to service.

E. Single or multi-term contracts to be awarded

(Refer to HAR Section 3-149-302)

Single term (2 years or less) Multi-term (more than 2 years)

Contract terms:

Initial term of contract: For the twelve month period commencing on the start date stated on the Notice to Proceed.

Length of each extension: Twelve months

Number of possible extensions: Two (2)

Maximum length of contract: Thirty-six months

The initial period shall commence on the contract start date of July 1, 2009 or Notice to Proceed, whichever is later.

Conditions for extension: This contract may be extended for two additional twelve month periods or portions thereof, subject to the availability of funds beyond June 30, 2009.

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(s). Written questions should be submitted to the RFP contact person and received by the day and time specified in Section 1, paragraph I (Procurement Timetable) of this RFP.

Mr. Marc Yamamoto
Department of Public Safety
Administrative Services Office
919 Ala Moana Boulevard, Room 413
Honolulu, Hawaii 96813

Telephone: (808) 587-1215 Fax: (808) 587-1244
E-mail: marc.s.yamamoto@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)

1. The overall rehabilitation approach of the offender treatment shall be cognitive and behavioral with heavy emphasis on relapse prevention. The therapeutic approach shall be holistic, with a focus on the bio-psycho-social needs of the parolees (physical, mental, social, emotional, familial, and spiritual). Services shall be designed to help offenders change their thought process, attitudes, values and behaviors from negative and dysfunctional to positive and self-fulfilling. Treatment services shall follow the principles of effective treatment intervention, based in part on the National Institute on Drug Abuse principles of drug addiction treatment as follows:
 - Assessment of offenders, to include risk of re-offending, substance abuse treatment needs, and criminogenic needs are essential
 - Match level of services to level of risk
 - Match treatment with appropriate levels of care that meet individual needs based on assessment of parolee characteristics, such as learning style, and responsivity
 - Treatment models should be research based and include social learning and cognitive behavioral techniques
 - Relapse/recidivism prevention of both substance abuse and criminal behaviors needs to be the focus of treatment
 - Treatment must target criminogenic issues, such as antisocial attitudes, chemical dependency, criminal companions, physical and mental health, social relationships, vocational/financial, residence/neighborhood, and education
 - Length of stay in treatment must be sufficient for change to occur, but not so long as to reduce treatment effectiveness
 - Treatment providers must be responsive to the parolee population and goals of the overall program
 - Possible drug use during treatment must be monitored continuously
 - Medications are an important element of treatment for many, especially when combined with counseling and behavioral therapies
 - Aftercare is essential
2. The multiple substance abuse treatment services for parolees shall be comprehensive and include a continuum of services such as Initial Screening and Assessment Services, Residential, Intensive Outpatient, Outpatient and Aftercare modalities as defined below.

Services under this section shall be provided to only those parolees referred by the Hawaii Paroling Authority.

a. Initial Screening and Assessment Services

The applicant shall conduct screening and assessment services of parolees referred for treatment **within fourteen (14) days of referral** and shall not exceed one hour per individual.

Assessment results shall be present in writing to the referring parole officer **within five (5) working days** of the assessment session. Based on the assessment results, plans shall be developed for those individuals who have been identified as having moderate to serious substance abuse problems. Treatment plans shall include problem areas to be addressed in treatment, treatment services recommended (group, individual, and family counseling), projected time in treatment, short and long range treatment goals, and shall measure a parolee's progress in treatment.

Applicant shall develop and have a mechanism for periodic review and updating of the treatment plan as the parolee progresses through treatment with **monthly** written progress reports being submitted to the referring parole officer. Progress reports shall include:

1. The first and last name of the offender
2. The date of the report
3. The time period the report covers
4. The name of the agency providing services
5. The location (facility) where the service was delivered
6. The number of attended sessions versus the total number of sessions offered during the time period covered by the report

Each progress report for each inmate shall be stamped CONFIDENTIAL in the upper right corner on the first page. Reports shall focus on the content of the individual's progress. Progress reports for group sessions will include the stated goals covered during the reporting period; the parolee's improved performance to reach to stated goal; any problems (i.e. when parolees lack the support of their family members in treatment) encountered during the reporting period, and how these problems were addressed. Inadequate progress reports will be grounds for contract termination.

Upon acceptance to applicant's program, parole officers shall provide a copy of the Level of Service Inventory-Revised (LSI-R) to the applicant. Applicant shall **openly communicate** with the referring parole officer.

The applicant shall **immediately** notify the referring parole officer when a parolee is not accepted into the program, when parolees do not contact the program, when parolees are terminated or when parolees do not attend their initial sessions within five (5) working days of the referral.

As ruled by the Office of Information Practices, the Hawaii Paroling Authority may withhold from inspection by the parolee or his attorney, all

confidential progress reports, assessment reports, and treatment recommendations provided by the applicant, unless instructed otherwise by the Department of the Attorney General.

Whenever the applicant is requested by the offender, his/her family, or his/her attorney, to provide assessment reports or treatment progress reports to the parolee, his family, or his attorney, the applicant shall inform the requesting party that such reports are the property of the Hawaii Paroling Authority, and that all requests should be directed to the contracting officer. The applicant shall notify the contracting officer, that such a request was made. The applicant shall not release such reports directly to the parolee or to any party representing the parolee. Hawaii Revised Statutes Chapter 92 Section F-22 (1) (B) prohibits the release of confidential records that were previously submitted to criminal justice agencies.

b. Residential

Provides 24-hour per day non-medical, non-acute care in a residential treatment facility that provides support, typically for more than thirty (30) days for persons with alcohol and other drug problems and/or addiction.

It includes a planned regimen of professionally directed evaluation, treatment, case management, and other ancillary and special services. Observation, monitoring, and treatment area available twenty-four (24) hours a day, seven (7) days a week.

The program shall consist of **twenty-four (24) hours per week** of face-to-face activities that shall include, but are not limited to, group counseling, education, skill building, recreational therapy, and family services. **One (1) hour per week of individual counseling** shall be scheduled with each client.

c. Intensive Outpatient Program

Non-residential outpatient alcohol and/or other drug treatment services will provide a **minimum of nine (9) hours up to a maximum of nineteen (19) hours per client per week** of face-to-face treatment. Clients will participate in accordance with an approved individualized treatment plan.

Intensive Outpatient services may include, but are not limited to: assessment, individual and group counseling, crisis intervention, occupational therapy, activity therapies, expressive therapies (art, drama, poetry, music, movement), referral and information, drug-screening urinalysis, medication administration, medical services, case management services and nutrition counseling; however, the listed below must be provided.

Intensive Outpatient Programs shall include, but are not limited to, the following face-to-face activities: assessment services, individual and

group counseling services, crisis intervention services, and activity therapies and/or alcoholism and other drug addiction client education.

The scheduling of a **one (1) hour per client per week session of individual counseling** shall be included.

d. Outpatient Program

Provides non-residential comprehensive specialized services on a scheduled basis for individuals with substance abuse problems. Professionally directed evaluation, treatment, case management, and recovery services are provided to clients with less problematic substance abuse related behavior that would be found in a residential or day treatment program.

Outpatient Programs consist of:

- **Individual Counseling**, which provides the utilization of special skills by a clinician to assist individuals and/or their families/significant others in achieving treatment objectives through the exploration of alcohol and other drug problems and/or addiction and their ramifications, including an examination of attitudes and feelings, consideration of alternative solutions and decision making, and/or discussing didactic materials with regard to alcohol and other drug related problems.
- **Group Counseling**, which provides the utilization of special skills by a clinician to assist two or more individuals and/or their families/significant others in achieving treatment objectives through the exploration of alcohol and other drug problems and/or addiction and their ramifications, including an examination of attitudes and feelings, consideration of alternative solutions and decision making, and/or discussing didactic materials with regard to alcohol and other drug related problems.
- **Family/Couple Counseling**, which provides counseling for alcohol and/or drug treatment with a client's family member or significant other, typically delivered as a scheduled hourly event. In some instances, the client may not be present during these sessions.
- **Skills Development**, which provides activities to develop a range of skills to help maximize client community integration and independent living. Services may be provided in individual or group settings. They need not be scheduled events, but may be applied in the context of other normal activities, such as education or employment.
- **Case Management**, which provides services to assist and support clients in developing their skills to gain access to needed medical, social, educational and other services essential to meeting basic human services, linkages and training for the client served in the use

of basic community resources, and monitoring of overall service delivery. Staff whose primary function is case management, generally provide this service.

An Outpatient Program regularly provides between **one (1) and eight (8) hours per client per week** of face-to-face treatment and **one (1) hour of scheduled individual counseling per client per month**. The scheduling of **one (1) hour per client per week of individual counseling** is recommended when clinically indicated.

e. Aftercare

A reduced intensity Outpatient Program, for purposes of this RFP referred to as “**Aftercare,**” provides a minimum of **one (1) per client per week of face-to-face treatment**, generally in a group setting, **prior to clinical discharge**, for a twelve week period, although there may be variations according to individual transitional plan of each parolee. Aftercare groups will be no more than 20 participants.

Aftercare is essential. APPLICANTS shall develop an aftercare component for those parolees that have been clinically discharged from the intensive outpatient and/or outpatient treatment phase of the program. A strong support system needs to be established to maintain an abstinent life style and prevent the parolees from reverting back to old patterns of dealing with stressful situations. The establishment of a group support system with professional guidance will provide a framework that will strengthen an effective social support system, health and coping skills.

Aftercare sessions will focus upon personal stress factors, vocational and family issues, and relapse prevention strategies. Aftercare services are open-ended. The groups will be offered continuously with participants starting and stopping according to their transitional treatment.

Applicants will work with the Hawaii Paroling Authority to develop a mechanism for transitioning each parolee to appropriate treatment in the community. Proposals must describe the following items:

- Frequency and duration of services
 - Types of services
 - Procedures for linking parolees with community services
 - Description of how the applicant will provide basic and treatment services to a fluctuating population with changing needs
 - Unit cost for aftercare and maintenance as well as the estimated number of units to be provided
3. Clients in any level of treatment shall meet the most current version of the American Society for Addictive Medicine Patient Placement Criteria (**ASAMPPC**) for admission, continuance, and discharge. The applicant

shall document in writing in the client's chart, that ASAM criteria have been met.

4. Each part of the continuum shall include, as appropriate, the face-to-face activities, which are defined in ADAD'S **Substance Abuse Treatment Guidelines** found in Section 5, Attachment E-1.
5. The applicant that provides Outpatient, Intensive Outpatient, Residential levels of treatment shall develop and implement an appropriate transition plan for each client in the final phase of treatment prior to discharge. The plan shall address transition and recovery issues and relapse prevention.
6. All clients appropriate for transfer to a less restrictive level of service shall be referred for transfer as established in **Sec. 334-104**, Least Restrictive Level of Service.
7. Adult treatment programs shall administer the **Addiction Severity Index (ASI)** as part of the initial assessment and upon discharge to all clients admitted for treatment. Results of the **ASI** must be included in the Client Data System Admission form.
8. The applicant shall adopt and implement a policy on alcohol and other drug use (including psychotropic, mood stabilizing medication and methadone) while clients are in treatment. **Client cannot be excluded solely on the basis of use of medically prescribed medication.**
9. The applicant shall routinely make available tuberculosis (TB) services to all clients either directly or through arrangements with public or nonprofit agencies. If the program is unable to accept a person requesting services, the program shall refer the person to a provider of TB services. TB services shall include, but not be limited to, counseling; testing to determine whether the individual has contracted the disease and to determine the appropriate form of treatment; and treatment.

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

1. Personnel

- a. The applicant shall ensure that staff receives appropriate supervision including clinical supervision, and administrative direction. Individuals performing the following functions shall be Hawaii State certified substance abuse counselors (CSACs) pursuant to **321- 193 (10)**, **Hawaii Revised Statutes (HRS)**, or hold an advanced degree in Behavioral health sciences unless otherwise approved ADAD:

- Clinical supervision

CSACs and individuals who hold an advanced degree in behavioral health sciences preferably, shall perform the following

functions; however, non CSACs or non-Master's level providers may be utilized as long as they are directly supervised by a CSAC or Masters level counselor, and are working toward certification:

- Clinical evaluation
- Treatment planning
- Individual, group, and family counseling

Direct supervision means a minimum of one hour of supervision for every seven hours of performance. This involves teaching the supervisee about each core function of a substance abuse counselor, demonstrating how each core function is accomplished, the supervisee sitting in while the supervisor performs the function, the supervisee performing the function with the supervisor present, and finally, the supervisee performing the function independently, but with review and feedback from the supervisor. In addition, supervisees shall be required to attend ADAD-approved CSAC preparatory training when available.

- b. The applicant shall assure at least 12 hours of relevant clinical training per year for each staff person providing clinical services per **11-175-14(e)(1)-(4), HAR**, which shall include:
 1. Staff education on HIV and AIDS.
 2. Staff education on the risks of TB for those abusing substances.
- c. The applicant shall document verifiable experience of staff in any specialized therapeutic activities, such as psychotherapy or family therapy, and/or experience in working with relevant specialized populations such as women, minorities, or adolescents.
- d. Staffing shall reflect a multi-disciplinary team effort to the greatest extent possible.
- e. The applicant shall have on the premises, at least one person currently certified for First Aid and Cardiopulmonary Resuscitation (CPR).
- f. The applicant shall maintain documentation for each employee of an initial and annual tuberculosis (TB) skin test or chest X-ray.
- g. The applicant shall conduct, at a minimum, a criminal history record check for any person who is employed or volunteers in an administrative or program position which necessitates close proximity to clients. For administrative and program staff working in a position which necessitates close proximity to children or adolescents, the criminal history check shall also include fingerprinting. A copy of the criminal history record check shall be placed in the employee's or volunteer's personnel file and shall be available for review.

2. Administrative

- a. The applicant shall operate their program in accordance with the rules, regulations, and policies of the Department of Public Safety.
- b. The applicant is required to meet the qualifying requirements specified in Chapter 103F, Hawaii Revised Statutes.
- c. The applicant shall comply with all codes and ordinances as required by the State of Hawaii and the City and County of Honolulu.
- d. The applicant shall have the ability to supervise, train, and provide administrative direction relative to the delivery of services.
- e. The applicant shall maintain and show proof of a liability insurance policy of at least one million dollars. The State of Hawaii shall be named as an additional insured and shall be notified at least thirty (30) days prior to cancellation of the policy.

3. Quality assurance and evaluation specifications

- a. The applicant shall have a quality assurance plan which identifies:
 - The mission of the organization
 - What services will be provided
 - How services are delivered
 - Who is qualified to deliver them
 - Who is eligible to receive the services
 - What standards are used to assess or evaluate the quality and utilization of services
- b. The quality assurance plan shall:
 - Serve as procedural guidelines for staff, and will
 - Confer designated individuals and committees with the authority to fulfill their responsibilities in the areas of quality assurance
- c. The quality assurance system shall:
 - Identify strengths and deficiencies
 - Indicate corrective actions to be taken and validate corrections
 - Recognize and implement innovative, efficient, or effective methods for the purpose of overall program improvement
- d. Program evaluation shall reflect the documentation of the achievement of the stated goals of the program using tools and measures consistent with the professional standards of the disciplines involved in the delivery of services.

- e. Applicant will allow the appropriate agency's (i.e. Hawaii Paroling Authority, Department of Public Safety, Attorney General, and Judiciary) staff to use the Correctional Program Checklist (CPC).

4. Output and performance/outcome measurements

- a. Performance measures shall be summarized and analyzed and based on the data specified below, on a yearly basis. The applicant shall set a threshold percentage of achievement for each of the following:
 - (1) Number of clients completing treatment
 - (2) Employment status at follow-up
 - (3) Living arrangements at follow-up
 - (4) Number of clients receiving substance abuse treatment since discharge
 - (5) Number of clients currently in substance abuse treatment
 - (6) In the past thirty (30) days, number of clients experiencing significant periods of psychological distress
 - (7) In the past thirty (30) days, number of days of work/school missed because of drinking/drug use
 - (8) Number of arrests since discharge
 - (9) Number of emergency room visits since discharge
 - (10) Number of times client has been hospitalized for medical problems since discharge
 - (11) Frequency of use thirty (30) days prior to follow-up
 - (12) Usual route of administration
- b. The applicant shall submit a **Client Data System Follow-Up Report** form for all clients admitted to the program six (6) months after termination, regardless of the reason for discharge. Sufficient staff time shall be allocated for follow-up to ensure at least three (3) attempts to contact clients using at least two (2) different methods (e.g., mail out, telephone, face-to-face) are made, and to assure that unless the client has died or left no forwarding address they will be contacted.

5. Experience

- a. The applicant shall describe the experience of its staff and the ability to hire and retain qualified substance abuse counselors. Applicant to report the success it has had in recruiting and retaining quality staff.
- b. The applicant shall provide a listing of verifiable experience with projects or contracts that clearly shows one (1) year experience in the provision of substance abuse treatment services for substance abuse clients plus a minimum of one (1) additional year of successful experience in the provision of substance abuse treatment for parolees.

- c. For those applicants that do not meet the one (1) year experience requirement, an exception can be made. The request for an exception shall include at a minimum, a discussion of the following:
 - The reasons why the exception is being requested (i.e. the reasons why the organization does not meet the two (2) year experience requirement, the service for which funds are being requested is a new service, etc.)
 - The qualification and experience of the organization in providing services for other related state programs in the past
 - A description of the activities performed to date, and accompanying statistical data
- d. Applicant to provide a list of experience as an agency providing services to offenders and their families.
 - What services will be provided
 - How services are delivered
 - Who is qualified to deliver them
 - Who is eligible to receive the services
 - What standards are used to assess or evaluate the quality and utilization of services

6. Coordination of services

- a. The applicant intending to provide only part of the continuum shall have and document appropriate linkages to other services on the continuum.
- b. The applicant shall maintain a current base of information and referral sources on alcohol, tobacco and other drug, substance abuse and related problem behaviors and treatment resources. Such information shall be made easily accessible to staff and program recipients.

7. Reporting requirements for program and fiscal data

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

Applicant's current financial statement and any financial audit completed in the last three (3) years

- b. Applicant shall submit to the Contracting Person, a monthly invoice (an original and two copies) for payment of delivered service no later than thirty (30) days after the last treatment intervention for the month.

Each monthly invoice shall include:

- (1) The date and time of each session, whether completed or interrupted, and whether for screening, group, or individual treatment
- (2) A roster for each session of inmates who attended each session, signed by each inmate in his handwriting and by the treating therapists
- (3) A one-page summary roster attendance sheet for the entire reporting period
- (4) For absent parolees, whether they were excused or unexcused, and the reason for the absence if known

The applicant's invoices shall not include costs incurred by subcontracted service providers, unless such costs are paid by the applicant under the terms and conditions provided herein.

The invoice shall be mailed to the following address:

Mr. Michael D. Knott (Contracting Person)
Hawaii Paroling Authority
1177 Alakea Street, Ground Floor
Honolulu, HI 96813

Any discrepancies in regards to the invoice, will be handled in 45 days or less.

C. Facilities

The applicant shall provide a description of the facility(s) and site that will be used to meet the treatment needs of the parolees.

IV. COMPENSATION AND METHOD OF PAYMENT

Pricing shall be based on unit of service pricing structure. The pricing shall include all taxes, shall be all-inclusive cost to the State, and no other charges will be honored.

Units of service and unit rate

The unit of service and unit rate shall be based on price per bed per day based on an estimated number of beds and price per bed day. The unit of service and unit rate shall be based on price per treatment.

The number of beds may be increased provided that funds are available from under utilized vacant bed days. The ability to provide services will be dependent upon the ability to charge the specific dollar amount per day from the program budget.

a. Initial Screening and Assessment Services

- Cost per Intake/Assessment
- b. Residential Substance Abuse Treatment
 - Cost per client per bed day
- c. Intensive Outpatient Substance Abuse Treatment
 - Cost per day which shall include a minimum of three (3) hours per day of face-to-face individual, group and/or family sessions
- d. Outpatient Substance Abuse Treatment
 - Cost per sixty (60) minute individual activity per client
 - Cost per sixty (60) minute group activity per client
 - Cost per sixty (60) minute family counseling activity
- e. Aftercare Services
 - Cost per sixty (60) minute activity per client

Section 3

Proposal Application Instructions

Section 3

Proposal Application Instructions

General instructions for completing applications:

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

The Proposal Application comprises the following sections:

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

I. **Program Overview**

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

II. **Experience and Capability**

A. **Necessary Skills**

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

B. Experience

The applicant shall provide a description of projects/contracts pertinent to the proposed services.

1. The applicant shall provide a description of projects/contracts pertinent to the proposed services.
2. The applicant shall demonstrate that it has the necessary skills, abilities, knowledge of, and experience relating to providing substance abuse services.
3. Applicant to provide a list of contracts performed for the Department of Public Safety.
4. Applicant to provide a list of prior contracts with the public sector in providing services in general for male and female offenders specifically.

Discuss any problems or difficulties encountered in prior contracts. Applicant shall provide a point of contact and telephone number for each contract listed. The Department reserves the rights to contact any of the listed points of contact to inquire about the applicant's past service performance and personnel.

C. Quality Assurance and Evaluation

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

1. The quality assurance program includes the specifications to monitor, evaluate and improve the results of the program. Applicant will present a plan for collecting, analyzing, and reporting the information required to document that the applicant's goals and objectives have been reached.
2. The quality assurance process shall serve as a source of information for internal and external parties interested in knowing how the program monitors and improves the quality of its services:
 - Findings shall be summarized and reviewed by the quality assurance committee
 - Information shall be conveyed at least semi-annually to the program administrator (e.g. clinical supervisor, program director), the organization's executive officer (e.g. executive director) and governing body (e.g. board of directors)

D. Coordination of Services

The applicant shall collaborate with other appropriate services, including, but not limited to health, mental health, social, correctional and criminal justice,

educational, vocational rehabilitation, and employment services. The applicant shall demonstrate the capability to coordinate services with other agencies and resources in the community.

- Describe coordination efforts with other agencies and resources. Efforts towards reduction of fragmentation and/or duplication of services should be described.
- Describe and document arrangements with other agencies to provide levels of care as needed for clients.

E. Facilities

The applicant shall provide a description of its facilities and demonstrate its adequacy in relation to the proposed services. If facilities are not presently available, describe plans to secure facilities. Also describe how the facilities meet ADA requirements, as applicable, and special equipment that may be required for the services.

III. Project Organization and Staffing

A. Staffing

1. Proposed Staffing

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

2. Staff Qualifications

The applicant shall provide the minimum qualifications (including experience) for staff assigned to the program. (Refer to the qualifications in the Service Specifications, as applicable)

- a. List names and submits copies of resumes of all executive/administrative staff already in the employ of the applicant and/or of those likely to be hired.
- b. List names and submit resumes of all program staff already in the employ of the applicant and/or of those likely to be hired.

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

Applicant shall also describe all pre-service and in-service training provided to applicant's staff, including number of training hours, and the method(s) used to evaluate the performance of applicant's staff.

B. Project Organization**1. Supervision and Training**

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

2. Organization Chart

The applicant shall reflect the position of each staff and line of responsibility/supervision. (Include position title, name and full time equivalency) Both the "Organization-wide" and "Program" organization charts shall be attached to the Proposal Application.

IV. Service Delivery

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

- Program philosophy
- Program components
- Admission criteria
- Description of case management services, including record-keeping and and report writing methods
- Description of how the basic services will be provided
 - (1) Initial Screening and Assessment
 - (2) Residential substance abuse treatment
 - (3) Intensive Outpatient substance abuse treatment
 - (4) Outpatient substance abuse treatment
 - (5) Aftercare
- Frequency and duration of the treatment intervention for each
- Maximum number of inmates that will be allowed in each component of treatment
- Discharge criteria for both successful completion and unsuccessful completion
- Procedures for linking parolees with community services

Applicant shall also provide a detailed description of its outcome evaluation and measures of effectiveness.

V. Financial**A. Pricing Structure**

Applicants shall submit a cost proposal utilizing the pricing structure designated by the state-purchasing agency. The cost proposal shall be

attached to the POS Proposal Application. Pricing shall be based on a fixed unit of service pricing structure. Proposals shall include the unit of cost for each component, as well as a reasonable estimate of the number of units to be provided. The pricing shall include all taxes, shall be the all inclusive cost to the State, and no other charges will be honored.

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

Applicant's current financial statement and any financial audit completed in the last three (3) years.

Applicant shall submit to the Contracting Person, a monthly invoice (an original and two copies) for payment of delivered service no later than thirty (30) days after the last treatment intervention for the month.

B. Other Financial Related Materials

1. Accounting System

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

SPO-H-205, Budget

SPO-H-205A, Organization-Wide Budget by Source of Funds

SPO-H-206A, Budget Justification – Personnel – Salaries and Wages

SPO-H-206B, Budget Justification – Personnel – Payroll Taxes, Assessments, and Fringe Benefits

SPO-H-206F, Budget Justification – Contractual Services – Subcontractors

SPO-H-206I, Budget Justification – Equipment Purchases

VI. Other

A. Litigation

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

Section 4

Proposal Evaluation

Section 4 Proposal Evaluation

I. Introduction

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

II. Evaluation Process

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

The evaluation will be conducted in three phases as follows:

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

Evaluation Categories and Thresholds

<u>Evaluation Categories</u>	<u>Possible Points</u>
<i>Administrative Requirements</i>	
<i>Proposal Application</i>	
Program Overview	0 points
Experience and Capability	10 points
Project Organization and Staffing	20 points
Service Delivery	50 points
Financial	10 Points
TOTAL POSSIBLE POINTS	100 Points

III. Evaluation Criteria

A. Phase 1 - Evaluation of Proposal Requirements

1. Administrative Requirements

- a. Application Checklist.
- b. Proof of Liability Insurance

- c. If providing a residential program, a copy of Applicant's Special Treatment Facility License shall be included in the proposal.

2. Proposal Application Requirements

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

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

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

1. *Background and Summary (10 Points)*

The applicant has demonstrated a thorough understanding of the purpose and scope of the service activity.

The goals and objectives are in alignment with the proposed service activity.

The applicant has described how the proposed service is designed to meet the pertinent issues and problems related to the service activity.

2. *Experience and Capability (20 Points)*

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

A. Necessary Skills

4 _____

- Demonstrated skills, abilities, and knowledge relating to the delivery of the proposed services.

B. Experience 4

- Demonstrate skills, abilities, and knowledge relating to the delivery of the proposed services.

Superior service: *+4 points maximum*
 (Superior service to be defined as vendor providing exceptional services per the contract or services beyond the minimum service requirements of the contract.)

Service not yet established *+0 points*
 (For providers not yet established working with the correctional population)

Substandard service *-4 points maximum*
 (Substandard service defined as notices issued to the provider for corrective action which have not been adequately addressed.)

C. Quality Assurance and Evaluation 4

- Sufficiency of quality assurance and evaluation plans for the proposed services, including methodology.

D. Coordination of Services 4

- Demonstrated capability to coordinate services with other agencies and resources in the community.

E. Facilities 4

- Adequacy of facilities relative to the proposed services.

3. Project Organization and Staffing (10 Points)

The State will evaluate the applicant's overall staffing approach to the service that shall include:

A. Staffing 6

- Proposed Staffing: That the proposed staffing pattern, client/staff ratio, and proposed caseload capacity is reasonable to insure viability of the services. 3
- Staff Qualifications: Minimum qualifications (including experience) for staff assigned to the program. 3

- | | |
|---|-----------------|
| B. <i>Project Organization</i> | <u>4</u> |
| <ul style="list-style-type: none"> • Supervision and Training: Demonstrated ability to supervise, train and provide administrative direction to staff relative to the delivery of the proposed services. | <u>2</u> |
| <ul style="list-style-type: none"> • Organization Chart: Approach and rationale for the structure, functions, and staffing of the proposed organization for the overall service activity and tasks. | <u>2</u> |

4. *Service Delivery (50 Points)*

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

The evaluation criteria may also include an assessment of the logic of the work plan for the major service activities and tasks to be completed, including clarity in work assignments and responsibilities, and the realism of the timelines and schedules, as applicable.

- | | |
|--|------------------|
| • Program philosophy | <u>5 points</u> |
| • Program components | <u>15 points</u> |
| • Case management services | <u>10 points</u> |
| • Description of basic services | <u>10 points</u> |
| • Description of the range of services | <u>10 points</u> |

5. *Financial (10 Points)*

- Applicants proposal budget is reasonable, given program resources and operational capacity.
- Adequacy of accounting system.

C. *Phase 3 - Recommendation for Award*

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

Section 5

Attachments

- A. Proposal Application Checklist
- B. Sample Table of Contents

Proposal Application Checklist

Applicant: _____

RFP No.: PSD 09-HPA-53

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

Item	Reference in RFP	Format/Instructions Provided	Required by Purchasing Agency	Completed by Applicant
General:				
Proposal Application Identification Form (SPO-H-200)	Section 1, RFP	SPO Website*	X	
Proposal Application Checklist	Section 1, RFP	Attachment A	X	
Table of Contents	Section 5, RFP	Section 5, RFP	X	
Proposal Application (SPO-H-200A)	Section 3, RFP	SPO Website*	X	
Tax Clearance Certificate (Form A-6)	Section 1, RFP	Dept. of Taxation Website (Link on SPO website)*	X	
Cost Proposal (Budget)				
SPO-H-205	Section 3, RFP	SPO Website*	X	
SPO-H-205A	Section 3, RFP	SPO Website* Special Instructions are in Section 5	X	
SPO-H-205B	Section 3, RFP,	SPO Website* Special Instructions are in Section 5		
SPO-H-206A	Section 3, RFP	SPO Website*	X	
SPO-H-206B	Section 3, RFP	SPO Website*	X	
SPO-H-206C	Section 3, RFP	SPO Website*		
SPO-H-206D	Section 3, RFP	SPO Website*		
SPO-H-206E	Section 3, RFP	SPO Website*		
SPO-H-206F	Section 3, RFP	SPO Website*	X	
SPO-H-206G	Section 3, RFP	SPO Website*		
SPO-H-206H	Section 3, RFP	SPO Website*		
SPO-H-206I	Section 3, RFP	SPO Website*	X	
SPO-H-206J	Section 3, RFP	SPO Website*		
Certifications:				
Federal Certifications		Section 5, RFP		
Debarment & Suspension		Section 5, RFP		
Drug Free Workplace		Section 5, RFP		
Lobbying		Section 5, RFP		
Program Fraud Civil Remedies Act		Section 5, RFP		
Environmental Tobacco Smoke		Section 5, RFP		
Program Specific Requirements:				
Proof of Liability Insurance	Section 1, RFP		X	
DOH-OHCA Licensure	Section 2, RFP		X	

Authorized Signature

Date

Sample

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VII.	Attachments	
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	SPO-H-205 Proposal Budget	
	SPO-H-206A Budget Justification - Personnel: Salaries & Wages	
	SPO-H-206B Budget Justification - Personnel: Payroll Taxes and Assessments, and Fringe Benefits	
	SPO-H-206C Budget Justification - Travel: Interisland	
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	B. Other Financial Related Materials	
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