

State of Hawaii
Department of Health
Alcohol and Drug Abuse Division
Prevention Branch

Request for Proposals

RFP No. HTH 440-17-16G Substance Abuse Prevention Services: Innovative Interventions

Date Issued
January 7, 2016

Date Due
February 9, 2016

Note: *It is the applicant's responsibility to check the public procurement notice website, the request for proposals website, or to contact the RFP point-of-contact identified in the RFP for any addenda issued to this RFP. The State shall not be responsible for any incomplete proposal submitted as a result of missing addenda, attachments or other information regarding the RFP.*

January 7, 2016

**REQUEST FOR PROPOSALS
SUBSTANCE ABUSE PREVENTION SERVICES:
INNOVATIVE INTERVENTIONS
RFP No. HTH 440-17-16G**

The Department of Health, Alcohol and Drug Abuse Division (ADAD), Prevention Branch, is requesting proposals from qualified applicants to provide substance abuse prevention services statewide. The contract term will be from July 1, 2016 through June 30, 2018. Multiple contracts will be awarded under this request for proposals.

Proposals shall be postmarked by the United States Postal Service (USPS) on or before February 9, 2016, and received no later than 10 days from the submittal deadline. Hand delivered proposals shall be received no later than 4:30 p.m., Hawaii Standard Time (HST), on February 9, 2016, at the drop-off site designated on the Proposal Mail-in and Delivery Information Sheet. Proposals postmarked or hand delivered after the submittal deadline shall be considered late and rejected. There are no exceptions to this requirement.

ADAD will conduct an orientation on January 14, 2016 from 9:00 A.M. to 12:00 P.M. HST, at the Kakuhikewa Building, 601 Kamokila Boulevard, Room 111 A/B, Kapolei, HI. All prospective applicants are encouraged to attend the orientation. Participation in the RFP Orientation meeting is not required to submit a proposal for this or any future solicitation the purchasing agency may issue.

The deadline for submission of written questions is 4:30 P.M., HST, on January 19, 2016. All written questions will receive a written response from the State by January 22, 2016.

Inquiries regarding this RFP should be directed to the RFP contact person, Mr. Alan Yamamoto at 601 Kamokila Boulevard, Suite 360, Kapolei, Hawaii 96707, telephone: (808) 692-7514, fax: (808) 692-7521, email: alan.yamamoto@doh.hawaii.gov.

PROPOSAL MAIL-IN AND DELIVERY INFORMATION SHEET

NUMBER OF COPIES TO BE SUBMITTED: 1 original and 3 copies

ALL MAIL-INS SHALL BE POSTMARKED BY THE UNITED STATES POSTAL SERVICE (USPS) NO LATER THAN **February 9, 2016** and received by the state purchasing agency no later than **10 days from the submittal deadline.**

All Mail-ins

Department Health
Alcohol and Drug Abuse Division
Prevention Branch
601 Kamokila Boulevard, Suite 360
Kapolei, Hawaii 96707

Department of Health RFP Coordinator

Alan Yamamoto
Program Specialist
Phone: (808) 692-7514
Fax: (808) 692-7521
Email: alan.yamamoto@doh.hawaii.gov

ALL HAND DELIVERIES SHALL BE ACCEPTED AT THE FOLLOWING SITE UNTIL **4:30 P.M., Hawaii Standard Time (HST), February 9, 2016.** 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., **February 9, 2016.**

Drop-off Site

Department Health
Alcohol and Drug Abuse Division
Prevention Branch
601 Kamokila Boulevard, Suite 360
Kapolei, Hawaii 96707

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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.

1.1 Procurement Timetable

Note that the procurement timetable represents the State's best estimated schedule. If an activity on this schedule is delayed, the rest of the schedule will likely be shifted by the same number of days. 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)	January 7, 2016
Distribution of RFP	January - February
RFP orientation session	January 14, 2016
Closing date for submission of written questions for written responses	January 19, 2016
State purchasing agency's response to applicants' written questions	January 22, 2016
Discussions with applicant prior to proposal submittal deadline (optional)	January - February
Proposal submittal deadline	February 9, 2016
Discussions with applicant after proposal submittal deadline (optional)	February – March
Final revised proposals (optional)	TBD
Proposal evaluation period	March – April
Provider selection	March – April
Notice of statement of findings and decision	April
Contract start date	July 1, 2016 or Notice to Proceed

1.2 Website Reference

Item	Website
1 Procurement of Health and Human Services	http://spo.hawaii.gov/for-vendors/vendor-guide/methods-of-procurement/health-human-services/competitive-purchase-of-services-procurement-method/cost-principles-table-hrs-chapter-103f-2/
2 RFP website	http://hawaii.gov/spo2/health/rfp103f/
3 Hawaii Revised Statutes (HRS) and Hawaii Administrative Rules (HAR) for Purchases of Health and Human Services	http://spo.hawaii.gov Click on the “References” tab.
4 General Conditions, AG-103F13	http://hawaii.gov/forms/internal/department-of-the-attorney-general/ag-103f13-1/view
5 Forms	http://spo.hawaii.gov Click on the “Forms” tab.
6 Cost Principles	http://spo.hawaii.gov Search: Keywords “Cost Principles”
7 Protest Forms/Procedures	http://spo.hawaii.gov/for-vendors/vendor-guide/protests-for-health-and-human-services/
8 Hawaii Compliance Express (HCE)	http://spo.hawaii.gov/hce/
9 Hawaii Revised Statutes	http://capitol.hawaii.gov/hrscurrent
10 Department of Taxation	http://tax.hawaii.gov
11 Department of Labor and Industrial Relations	http://labor.hawaii.gov
12 Department of Commerce and Consumer Affairs, Business Registration	http://cca.hawaii.gov click “Business Registration”
13 Campaign Spending Commission	http://ags.hawaii.gov/campaign/
14 Internal Revenue Service	http://www.irs.gov/
(Please note: website addresses may change from time to time. If a State link is not active, try the State of Hawaii website at http://hawaii.gov)	

1.3 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.

1.4 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.

1.5 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 Health
Alcohol and Drug Abuse Division
Kakuhihewa Building
601 Kamokila Boulevard, Suite 360
Kapolei, HI 96707
Phone (808) 692-7517
Fax: (808) 692-7521

1.6 RFP Point-of-Contact

From the release date of this RFP until the selection of the successful provider(s), any inquiries and requests shall be directed to the sole point-of-contact identified below.

Mr. Alan Yamamoto
Program Specialist
Alcohol and Drug Abuse Division
Prevention Branch
Telephone: (808) 692-7514
Email: alan.yamamoto@doh.hawaii.gov

1.7 Orientation

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

Date: January 14, 2016 **Time:** 9:00 AM – 12:00 PM
Location: Kakuhihewa Building
601 Kamokila Boulevard, Room 111 A/B
Kapolei, Hawaii 96707

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 subsection 1.8, Submission of Questions.

1.8 Submission of Questions

Applicants may submit questions to the RFP point-of-contact identified in Section 1.6. Written questions should be received by the date and time specified in Section 1.1 Procurement Timetable. The purchasing agency will respond to written questions by way of an addendum to the RFP.

Deadline for submission of written questions:

Date: January 19, 2016 **Time:** 4:30 PM HST

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

Date: January 22, 2016

1.9 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 Section 1.2, Website Reference. Refer to the Section 5, Proposal Application Checklist for the location of program specific forms.

1. **Proposal Application Identification (Form SPOH-200)**. Provides applicant proposal identification.
2. **Proposal Application Checklist**. The checklist provides applicants specific program requirements, reference and location of required RFP proposal forms, and the order in which all proposal components should be collated 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 SPOH-200A).** Applicant shall submit comprehensive narratives that address all proposal requirements specified in Section 3, Proposal Application Instructions, including a cost proposal/budget, if required.
- B. **Program Specific Requirements.** Program specific requirements are included in Sections 2 and 3, as applicable. Required Federal and/or State certifications are listed on the Proposal Application Checklist in Section 5.
- C. **Multiple or Alternate Proposals.** Multiple or alternate proposals shall not be accepted unless specifically provided for in Section 2. 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. **Provider Compliance.** All providers shall comply with all laws governing entities doing business in the State.
- **Tax Clearance.** Pursuant to HRS §103-53, as a prerequisite to entering into contracts of \$25,000 or more, providers are required to have a tax clearance from the Hawaii State Department of Taxation (DOTAX) and the Internal Revenue Service (IRS). Refer to Section 1.2, Website Reference for DOTAX and IRS website address.
 - **Labor Law Compliance.** Pursuant to HRS §103-55, providers shall be in compliance with all applicable laws of the federal and state governments relating to workers' compensation, unemployment compensation, payment of wages, and safety. Refer to Section 1.2, Website Reference for the Department of Labor and Industrial Relations (DLIR) website address.
 - **Business Registration.** Prior to contracting, owners of all forms of business doing business in the state except sole proprietorships, charitable organizations, unincorporated associations and foreign insurance companies shall be registered and in good standing with the Department of Commerce and Consumer Affairs (DCCA), Business Registration Division. Foreign insurance companies must register with DCCA, Insurance Division. More information is on the DCCA website. Refer to Section 1.2, Website Reference for DCCA website address.

Providers may register with Hawaii Compliance Express (HCE) for online compliance verification from the DOTAX, IRS, DLIR, and DCCA. There is a nominal annual registration fee (currently \$12) for the service. The HCE's online "Certificate of Vendor Compliance" 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 Section 1.2, Website Reference, for HCE's website address.

Providers not utilizing the HCE to demonstrate compliance shall provide paper certificates to the purchasing agency. All applications for applicable clearances are the responsibility of the providers. All certificates must be valid on the date it is received by the purchasing agency. The tax clearance certificate shall have an original green certified copy stamp and shall be valid for six months from the most recent approval stamp date on the certificate. The DLIR certificate is valid for six months from the date of issue. The DCCA certificate of good standing is valid for six months from date of issue.

- E. **Wages Law Compliance.** If applicable, by submitting a proposal, the applicant certifies that the applicant is in compliance with HRS §103-55, Wages, hours, and working conditions of employees of contractors performing services. Refer to Section 1.2, Website Reference for statutes and DLIR website address.
- F. **Campaign Contributions by State and County Contractors.** HRS §11-355 prohibits campaign contributions from certain State or county government contractors during the term of the contract if the contractors are paid with funds appropriated by a legislative body. Refer to Section 1.2, Website Reference for statutes and Campaign Spending Commission website address.
- G. **Confidential Information.** If an applicant believes any portion of a proposal contains information that should be withheld as confidential, the applicant shall request in writing nondisclosure of designated proprietary data to be confidential and provide justification to support confidentiality. Such data shall accompany the proposal, be clearly marked, and shall be readily separable from the proposal to facilitate eventual public inspection of the non-confidential sections of the proposal.

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

- H. **Proposal Submittal.** All mail-ins shall be postmarked by the United States Postal System (USPS) and received by the State purchasing agency no later than the submittal deadline indicated on the attached Proposal Mail-in and Delivery Information Sheet, or as amended. 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, or as amended. Proposals shall be rejected when:
1. Postmarked after the designated date; or
 2. Postmarked by the designated date but not received within 10 days from the submittal deadline; or
 3. 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.

1.10 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 with HAR §3-143-403.

1.11 Opening of Proposals

Upon the state purchasing agency's receipt of a proposal 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.

1.12 Additional Materials and Documentation

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

1.13 RFP Amendments

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

1.14 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 final revised proposal. *The applicant shall submit **only** the section(s) of the proposal that are amended, along with the Proposal Application Identification Form (SPOH-200).* After final revised proposals are received, final evaluations will be conducted for an award.

1.15 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 interest of the State.

1.16 Costs for Proposal Preparation

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

1.17 Provider Participation in Planning

Provider(s), awarded a contract resulting from this RFP,

are required

are not required

to participate in the purchasing agency's future development of a service delivery plan pursuant to HRS §103F-203.

Provider participation in a state purchasing agency's efforts to plan for or to purchase health and human services prior to the release of a 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 §§3-142-202 and 3-142-203.

1.18 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:

- A. Rejection for failure to cooperate or deal in good faith. (HAR §3-141-201)
- B. Rejection for inadequate accounting system. (HAR §3-141-202)
- C. Late proposals (HAR §3-143-603)
- D. Inadequate response to request for proposals (HAR §3-143-609)
- E. Proposal not responsive (HAR §3-143-610(a)(1))
- F. Applicant not responsible (HAR §3-143-610(a)(2))

1.19 Notice of Award

A statement of findings and decision shall be provided to each responsive and responsible applicant 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 provider(s) awarded a contract prior to the contract commencement date. The State of Hawaii is not liable for any costs incurred prior to the official starting date.

1.20 Protests

Pursuant to HRS §103F-501 and HAR Chapter 148, an applicant aggrieved by an award of a contract may file a protest. The Notice of Protest form, SPOH-801, and related forms are available on the SPO website. Refer to Section 1.2, Website Reference for website address. Only the following matters may be protested:

- A. A state purchasing agency’s failure to follow procedures established by Chapter 103F of the Hawaii Revised Statutes;
- B. A state purchasing agency’s failure to follow any rule established by Chapter 103F of the Hawaii Revised Statutes; and
- C. 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: Virginia Pressler, M.D.	Name: Edward Mersereau, LCSW, CSAC
Title: Director of Health	Title: Chief, Alcohol and Drug Abuse Division
Mailing Address: State of Hawaii Department of Health P. O. Box 3378 Honolulu, HI 96801	Mailing Address: Department of Health Alcohol and Drug Abuse Division 601 Kamokila Blvd., Ste. 360 Kapolei, HI 96707
Business Address: State of Hawaii Department of Health 1250 Punchbowl St. Honolulu, HI 96813	Business Address: Department of Health Alcohol and Drug Abuse Division 601 Kamokila Blvd., Ste. 360 Kapolei, HI 96707

1.21 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.

1.22 General and Special Conditions of Contract

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

1.23 Cost Principles

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 as outlined on the SPO website. Refer to Section 1.2 Website Reference for website address. 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

2.1 Introduction

A. Overview, purpose or need

The mission of the Alcohol and Drug Abuse Division (ADAD) is to provide the leadership for the development and delivery of quality substance abuse prevention, intervention and treatment services for the residents of the State of Hawaii. ADAD's goal is to prevent and reduce the severity and disabling effects related to alcohol and other drug use, abuse and dependence by assuring an effective, accessible public and private community-based system of prevention services designed to empower individuals and communities to make health-enhancing choices regarding the use of alcohol and other drugs. To this end, ADAD plans and coordinates services, provides technical assistance, conducts needs assessments, and establishes mechanisms for training, data collection, research and evaluation to ensure that statewide substance abuse resources are utilized in the most effective and efficient manner possible to support community efforts to reduce the use of alcohol, tobacco and other drugs among children and youth and other at-risk populations.

The Strategic Prevention Framework

Since receiving a State Incentive Grant (SIG) in 2005 from the U.S. Department of Health and Human Services (DHHS), Substance Abuse and Mental Health Services Administration (SAMHSA), Center for Substance Abuse Prevention (CSAP), ADAD has been exploring the Strategic Prevention Framework (SPF), a structured planning process that can be applied to prevention systems at both the state and local level. Focused on systems development, the SPF reflects a public health, or community-based, data-driven approach to selecting and delivering effective prevention interventions appropriate for the community. Such an approach identifies problems to be prioritized, who is affected most by the problems, why the problems are occurring (contributing factors), and what programs, practices, and policies are most effective in addressing these problems and contributing factors.

The SPF is a five-step process that includes 1) Assessment, 2) Capacity Building, 3) Planning, 4) Implementation, and 5) Evaluation. These steps are guided by the principles of cultural competence and sustainability, and each step contains key milestones and products that are essential to the validity of the process. Through implementation of the SPF, underage drinking was identified as a prevention priority statewide, and ADAD has directed available prevention resources to services and activities to address this priority and related issues and contributing factors. More detailed information about the SPF can be found at SAMHSA's website: <http://www.samhsa.gov/capt/applying-strategic-prevention-framework>.

Funding Resources

State general funds and federal grant resources are utilized to procure substance abuse prevention (SAP) services to meet Hawaii's needs. ADAD procures for SAP implemented by strategies identified by CSAP (see Section 5, Attachment C) to populations categorized by the Institute of Medicine (IOM) as Universal, Selected, and Indicated. Refer to *Mapping Interventions to Different Levels of Risk*, available on SAMHSA's website, for more information on the IOM categories: <http://www.samhsa.gov/capt/sites/default/files/resources/mapping-interventions-different-level-risks.pdf>.

For this particular RFP, ADAD is seeking to assist communities to develop innovative SAP intervention programs which demonstrate the effectiveness and credibility in positive behavior change. Many innovative programs do not have the opportunity and ability to demonstrate effectiveness, due to lack of guidance, support, and difficulties of conceptualizing and designing evaluation designs. ADAD recognizes these challenges and encourages organizations and communities to work towards proving effectiveness and credibility of local prevention programs.

Innovative SAP programs are defined as substance abuse prevention programs that test new approaches and theories as interventions with at-risk populations. The programs are based on a strong theoretical/conceptual framework that links the proposed intervention to the risk and protective factor(s), target population and desired outcomes.

Awards issued as a result of this RFP will promote coordination and leverage community resources and services, expand prevention approaches, improve the quality of comprehensive community-based prevention efforts and prevent substance use through the implementation of the SPF process and innovative interventions.

B. Planning activities conducted in preparation for this RFP

ADAD initiated a Request for Information (RFI) on July 9, 2015 to receive comments and data to inform and guide the development of the RFP to promote a statewide, culturally appropriate, comprehensive SAP system of services to meet the needs of Hawaii's communities. RFI meetings were held in each county during the month of July to gather input regarding the feasibility, practicality, readiness, anticipated costs, challenges, and/or interest in providing services to address SAP needs. More than twenty-seven attendees representing public agencies and non-profit community-based organizations provided feedback related to their definitions of community, identified priorities, and the current capacity of communities to address the components of the SPF, the CSAP strategies, and to implement evidence-based programs and strategies to address substance use/abuse issues and priorities. Comments, suggestions and other feedback were also sent to ADAD via email and fax and are available upon request.

In conjunction with the RFI, priority issues to be addressed in this RFP were also

influenced by past reports and available data. ADAD considered recommendations made in the *2013 Strategic Prevention Framework State Incentive Grant (SPF-SIG) Final Evaluation Report* and follow up consultation. The Hawaii State Epidemiology Outcomes Workgroup (SEOW) also provided state and county epidemiological profiles using available data related to youth and adult use of alcohol and other drugs from the past several years. As first identified during the SPF-SIG period and further supported by the findings of the SEOW, underage drinking remains a SAP priority. Alcohol use is more prevalent among youth ages 12-17 and young adults ages 18-20 than any other substance. According to the Youth Risk Behavior Survey (YRBS), 38.4% of 12th grade students, 25.7% of 11th grade students, 19.3% of 10th grade students, and 18.3% of 9th grade students reported having at least one drink of alcohol in the past 30 days in 2013.

C. Description of the service goals

The goal of the requested service is to build the capacity of community-based organizations throughout the State of Hawaii to implement and evaluate innovative SAP interventions to prevent and reduce underage drinking, and other substance abuse and related problems among youth ages 12-17 and young adults ages 18-20.

D. Description of the target population to be served

The target populations are at-risk youth ages 12-17 and young adults ages 18-20 and their families. The IOM prevention classification will be used in describing target populations and understanding the differing objectives of various interventions.

The target population includes, but is not limited to the following subpopulations:

- Children and youth whose parents are substance abusers;
- Victims of physical, sexual, or psychological abuse;
- Children and youth who have experienced academic difficulties or chronic failure in school;
- Pregnant women and youth at risk of pregnancy;
- Children, youth and families who are economically disadvantaged;
- Children, youth and families who have committed or are at risk of committing a violent or delinquent act;
- Children, youth and families who have experienced mental health problems;
- Children, youth and families who are physically disabled;
- Children, youth and families who recently arrived immigrant populations;
- Youth at risk for suicide;
- Lesbian, Bisexual, Gay, Transgender, Questioning, and In transition individuals (LBGTQI);
- Homeless children, youth and families;
- Military personnel and dependents; and
- Native Hawaiian.

E. Geographic coverage of service

The possible service areas for this RFP consist of all communities statewide. ADAD reserves the right to award contracts based on the best configuration of services that meet the needs of the State.

The APPLICANT shall submit a separate proposal for each geographic area to be served.

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

State general funds are available to procure SAP services. An anticipated annual amount of approximately \$650,000 of State general funds are available for this service. The availability of funds is based on current resource allocations. ADAD anticipates funding up to five (5) awards from this RFP. 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. ADAD reserves the right to increase or decrease funds at its discretion to best meet the needs of the State as well as to operate within budgetary limitations.

ADAD 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 this RFP or should sufficient monies be available, ADAD reserves the right to allocate additional funds to those APPLICANTS who have submitted acceptable proposals.

State General Funds:

State and county government agencies, for-profit entities, and non-profit organizations, which may include faith-based organizations, are eligible to apply for State general funds.

<u>Period of Availability:</u>	<u>Approximate Total Funds</u>
July 1, 2016 – June 30, 2017	\$650,000
July 1, 2017 – June 30, 2018	\$650,000

NOTE:

ADAD reserves the right to reallocate the above amounts to other ADAD funded organizations if, at any time after three (3) months into each fiscal year, there is 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.

The APPLICANT may request a maximum of one-twelfth (1/12) of the total award for the first year to be advanced for startup 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. Start-up costs are only for the first year of the contract.

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

- Temporarily withhold payments pending correction of any deficiency or because of non-submission of a report by the APPLICANT;
- Disallow all or part of the invoice submitted by the APPLICANT; and/or
- Suspend or terminate the contract.

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.

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.

ADAD will not reimburse applicants for any costs associated with submitting any proposals.

2.2 Contract Monitoring and Evaluation

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

- A. Performance/Outcome Measures
- B. Output Measures
- C. Quality of Care/Quality of Services
- D. Financial Management

- E. Administrative Requirements
- F. Program Reports
- G. Fiscal Reports

2.3 General Requirements

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

Please note that as budgetary circumstances change, ADAD reserves the right to change the anticipated source of funds to support needed program and services.

1. The APPLICANT shall provide its most recent audited Financial Statement.
2. If awarded a contract, the APPLICANT shall:
 - a) Shall 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 (revised 9/11), which can be found on the State Procurement Office (SPO) website: <http://hawaii.gov/spo/spoh/for-private-providers/forms-and-instructions-for-private-providers-applicants/costprinciples.PDF>.
 - b) Reconcile the amount of an advanced payment by the fifth (5th) month of the first year of the contract should such an advancement occur.
 - c) Refund to the ADAD any funds unexpended or expended inappropriately.
 - d) 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 ADAD upon completion or termination of the contract.
 - e) 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 ADAD.
3. APPLICANT shall 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 proof of compliance with tax clearance, labor law, and business registration.

B. Secondary purchaser participation

(Refer to HAR §3-143-608)

After-the-fact secondary purchases will be allowed.

Planned secondary purchases “None planned”

C. Multiple or alternate proposals

(Refer to HAR §3-143-605)

Allowed Unallowed

D. Single or multiple contracts to be awarded

(Refer to HAR §3-143-206)

Single Multiple Single & Multiple

E. Single or multi-term contracts to be awarded

(Refer to HAR §3-149-302)

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

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.

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 two (2) additional twelve (12) month periods. 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.

2.4 Scope of Work

The APPLICANT shall use the SPF process to implement and evaluate an innovative SAP intervention for the service area. The proposed innovative intervention service shall be developed based on findings from an assessment, included in the initial comprehensive strategic plan for the service area, as well as the APPLICANT's capacity to implement an innovative SAP intervention. Prior to implementing and evaluating an innovative SAP intervention, the APPLICANT should have completed an assessment including information on the substance abuse problem(s) to be addressed in the identified service area, data on consumption, consequences, risk and protective factors, and capacity (resources and readiness) of the APPLICANT and the identified service area to implement an innovative intervention. The APPLICANT should have also conducted a planning process to identify and prioritize the risk and protective factors; completed a SPF logic model; and developed an action plan for the implementation of the proposed innovative intervention.

The conceptual framework elements of the innovative intervention shall be articulated clearly. Conceptual framework shall consist of (1) Program goals, (2) Program Components, and (3) the Theory of Change. (Note: These elements should be included in the APPLICANT's Comprehensive Strategic Plan)

If awarded, the APPLICANT shall implement and evaluate an innovative SAP intervention and work towards obtaining evidence-based status for the proposed innovative intervention.

A. Service Activities

The APPLICANT shall:

1. Mobilize support and build capacity for the innovative SAP intervention in the identified service area to ensure that the community is aware of the SA problems and is prepared to support the implementation of the selected innovation.
 - a) Increase community awareness of the SA problem and its contributing factors to build community readiness to adopt and successfully implement the innovative intervention.
 - b) Introduce the innovative intervention to stakeholders to obtain buy-in and expand partnerships.

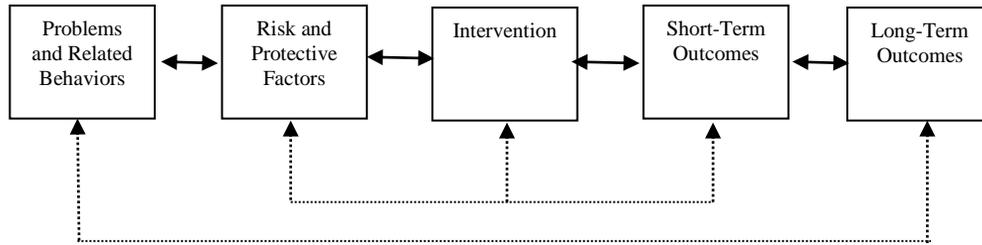
- c) Ensure staff and other interested individuals delivering the innovative SAP intervention service receive proper training before implementation.
2. Plan and build on existing innovative SAP intervention that best fits the community, describe how it was developed, provide a general description, including the conceptual framework elements which consist of:
 - a) Program goals which describe the change the program aims to accomplish.
 - b) Program Components refer to the essential functions and activities that are necessary to produce the desired outcomes and directly related to a program's theory of change.
 - c) Theory of Change explains why the program effects change for the intended target population.
 3. Secure innovative SAP intervention materials, training, and technical assistance to implement the intervention.
 - a) Ensure individuals responsible for implementing the innovative SAP intervention are prepared to implement the key components of the intervention according to the guidelines. This shall include ongoing pre-service and in-service training, and mentoring.
 - b) Develop and maintain materials needed for the successful implementation of the intervention.
 4. Implement and monitor the innovative SAP intervention detailed by the comprehensive strategic plan.
 - a) Ensure that the innovative intervention is delivered and implemented as intended.
 - b) Work together with the developer and an experienced evaluator to monitor implementation to determine if the innovative SAP intervention was delivered the way it was designed. If findings are not what was anticipated, make mid-course corrections to implementation with guidance from staff and stakeholders. Monitoring shall include but not be limited to intended dosage, frequency, time and quality.
 - c) Work together with the developer, an experienced evaluator, staff and stakeholders if adaptations are needed to increase the effectiveness of the intervention. Any adaptations or changes made to the comprehensive strategic plan must be approved by ADAD.

5. Evaluate implementation of the intervention to improve effectiveness and make data-driven decisions, and work towards evidence-based status. The evaluation shall include but not be limited to:
- a) Work together with the developer, an experienced evaluator and ADAD to develop the innovative SAP intervention evaluation plan. The evaluation plan shall be submitted to ADAD within six (6) months of Notice to Proceed. Major revisions to this plan must be approved by ADAD before being implemented. The evaluation plan shall contain the following:
 - 1) Desired outcomes (risk and protective factors, and substance abuse problems and goals);
 - 2) Output, process and outcome indicators;
 - 3) Data sources;
 - 4) Data collection timeline;
 - 5) Data management and analysis;
 - 6) Reporting timeline;
 - 7) How the data will be used, shared, and disseminated; and
 - 8) How the minimum requirements for the submission to become evidence-based will be accomplished. The minimum requirements can be found on SAMHSA's website:
http://www.nrepp.samhsa.gov/04b_reviews_open.aspx.
 - b) Compile, summarize, and share the evaluation information with key stakeholders for the purpose of improving the effectiveness of the innovative SA prevention intervention.
 - c) Develop criteria to track the evidence of effectiveness of the intervention.
 - d) Correspond, communicate, and document the lessons learned and cultural considerations in the implementation of the innovative intervention with staff, community, stakeholders, and others for their support.
6. Engage youth, cultural liaisons, and community stakeholders throughout the SPF process and ensure cultural competence by being respectful and responsive to the beliefs, practices, and cultural and linguistic needs of diverse population groups. Involving diverse stakeholders in the assessment, planning, implementation and evaluation processes will create

buy in and support to address the identified problems.

7. Develop sustainability strategies that can be integrated early on during implementation to ensure the sustainability of outcomes, capacity and infrastructure. Sustainability strategies shall address keys to sustainability, including community support, organization capacity, and effectiveness promoted by the SAMHSA Center for the Application of Prevention Technologies (CAPT). Please refer to CAPT's website for more information: <http://www.samhsa.gov/capt/tools-learning-resources/planning-sustainability>.
8. Update and submit the comprehensive strategic plan to ADAD annually. The comprehensive strategic plan includes:
 - a) A community description;
 - b) A summary of the assessment of SA problems in the identified community including data on consumption, consequences, risk and protective factors;
 - c) A summary of the capacity (resources and readiness) of the APPLICANT and the identified community to implement the innovative SA prevention intervention;
 - d) A description of the target population, including disparate populations;
 - e) A summary of the SPF planning process used to identify problem statements (related to SA) as well as prioritize and select risk and protective factors;
 - f) A SPF Logic Model (see Figure 1) for each problem statement identified that illustrates the relationships between:
 - 1) SA problems and related behaviors (e.g. consequences and consumption patterns);
 - 2) Risk and protective factors;
 - 3) Innovative SAP intervention; and
 - 4) Short and long-term outcomes.

Figure 1. SPF Logic Model



Source: Substance Abuse and Mental Health Services Administration (SAMHSA)

- g) Action plan (see Figure 2) for the innovative SAP intervention identified in the SPF Logic Model, which outlines:
- 1) Prioritized risk and protective factor(s) to be addressed;
 - 2) Activities (specific actions taken as part of an innovative SAP intervention);
 - 3) Timeline;
 - 4) Who is responsible; and
 - 5) Resources needed.

Figure 2. Sample Action Plan Template

Innovative SA Prevention Intervention Description:			
Risk and Protective Factor(s) to be addressed:			
Activities	Persons Responsible	Resources Needed	Timeline

- h) An evaluation plan to improve effectiveness of innovative SA prevention intervention and make data-driven decisions.
- i) The Data Reporting Template, if the innovative SA prevention intervention selected is a curriculum.

Figure 3. Data Reporting Template

Name of the Innovative SA Prevention Intervention	Service Location	# of cycles/yr.	# of sessions	# of persons served/cycle	Start date	End date

9. A description of how the APPLICANT will engage the key staff members, stakeholders and agency in updating the comprehensive strategic plan, evaluation plan and lessons learned in implementing innovative SA prevention.
10. Support annual attendance of prevention staff at prevention related trainings to gain new knowledge and skills to improve implementation efforts and effectively address SA in the community. Trainings or conferences attended may include but are not limited to the following topics:
 - a) Overview of the fundamentals of SAP such as the Substance Abuse Prevention Skills Training (SAPST).
 - b) Partial or day(s)-long trainings on the SPF model, principles and steps as well as other topics such as an overview of SA, community organizing, empowering others, leadership, coalition building, evidence-based strategies, environmental strategies, and youth engagement.
11. Work closely and communicate regularly with ADAD and its contractors for training and technical assistance.
12. Participate in prevention coalitions in the identified geographical area where the services are implemented.
13. Measure, track, and report progress on innovative SA prevention intervention through ADAD's management information system.
14. Obtain prior approval from ADAD for all media and messages intended for public distribution, including but not limited to radio, TV, theater, PowerPoint, video, posters, newsletters, banners, newspaper ads, PSA/s, flyers, and fact sheets.
15. Ensure APPLICANT staff are familiar with materials available through the Hawaii Prevention Resource Center.
16. Ensure APPLICANT staff attend substance abuse prevention providers' meetings as scheduled by ADAD.

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

1. Personnel

The APPLICANT is required to provide written acknowledgement agreeing to comply with the Management Requirements (Section 5, Attachment D, Item 1: Personnel) and Ethics Code of Ethical Conduct of Prevention Professionals (Section 5, Attachment E) in 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 shall encourage and support the APPLICANT staff to obtain certification as a Certified Prevention Specialist (CPS). Please refer to ADAD's website for more information about the minimum qualification for the CPS:
<http://health.hawaii.gov/substance-abuse/counselor-certification>.

The APPLICANT shall immediately notify ADAD in writing of any program staff changes, including a position description and resume for newly hired staff and a plan for the continuance of the duties outlined in the contract.

2. **Administrative**

The APPLICANT is required to provide written acknowledgement agreeing to comply with the Management Requirements (Section 5, Attachment D, Item 2: Administrative).

3. **Quality assurance and evaluation specifications**

The APPLICANT is required to provide written acknowledgement agreeing to comply with the Management Requirements (Section 5, Attachment D, Item 3: Quality Assurance and Evaluation).

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

This RFP focuses on the implementation of innovative SAP efforts and preventing and reducing underage drinking, other substance abuse and related problems among youth ages 12-17 and young adults ages 18-20.

The APPLICANT is required to gather, collect, compile, analyze and disseminate assessment data on underage drinking, other substance abuse and related problems among youth ages 12-17 and young adults ages 18-20. In addition to problem-level data, APPLICANTS are also required to gather data on related risk and protective factors to better understand the community's contributing factors as well as assess the community's capacity to address these problems and related issues. These measures shall also be included in the APPLICANT's evaluation to measure change.

APPLICANTS are required to work with an experienced evaluator and ADAD to develop and implement an evaluation plan to evaluate the implementation of an innovative SAP intervention.

The APPLICANT shall also track and report progress towards the following process measures to ADAD:

- Number of trainings attended by staff;
- Number of individuals served by IOM category;

- Number of individuals served by CSAP strategy;
- Number of population-based strategies used;
- Number of evidence-based strategies implemented;
- Number of innovative SA prevention cycles;
- Number of innovative SA prevention sessions;
- Number of persons served by individual-based programs and strategies; and
- Number of persons served by population-based programs and strategies.

5. **Experience**

The APPLICANT shall have experience operationalizing projects/contracts pertinent to the proposed services, including at least three (3) years of experience:

- a) Providing prevention services, innovative prevention services, substance abuse specific prevention services, services to the identified population, and services within the targeted geographic area; and
- b) Managing government or foundation funded contracts or projects of similar size and complexity.
- c) Additionally, the APPLICANT should have knowledge and experience:
 - 1) Implementing and evaluating innovative SA prevention;
 - 2) Applying the SPF; and
 - 3) Coordinating services with other agencies, providers and resources in the community to avoid duplication of services.

6. **Coordination of services**

The APPLICANT shall fill service gaps in the community and coordinate services with other agencies, providers, and resources within the community to avoid duplication of services. If the APPLICANT is providing programs and services in coordination with elementary, middle/intermediate or high schools the APPLICANT shall actively participate in periodic planning and coordination meetings.

If engaging contractor(s) for any part of the proposed services, the APPLICANT must ensure the subcontractors comply with all laws governing entities doing business with the State requirements as stated in this RFP.

7. Reporting requirements for program and fiscal data

a) Required program reports:

Each month, the APPLICANT shall record the services (single and recurring) into ADAD's management information system and document the activities related to the identified evidence-based programs, and strategies according to the six (6) CSAP strategies (Section 5, Attachment C). The unduplicated count of individuals served by each program, or strategy shall be reported 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 monthly data report is due on the 15th of the following month.

Reporting requirements may include the NOMs that relate to youth 12-17 years old and to adults ages 18 years and older to emphasize:

- 30-day alcohol use among persons aged 12-20; and
- Binge drinking among persons aged 12-20.

The APPLICANT shall also submit narrative Quarterly and Year-End Reports summarizing and analyzing outcome data, accomplishments, adjustments and/or updates and challenges. The required program reports shall be accompanied by fiscal reports detailing expenditures incurred during the specific month. Quarterly reports are due within fifteen (15) calendar days after the end of each quarter. Year-End Reports are due within 45 calendar days after the end of each fiscal year.

b) Required fiscal reports:

The APPLICANT shall submit monthly the Expenditures Report (ADAD Fiscal Form 200, 4/12) and Invoice (Section 5, Attachment F) and supporting documents.

The APPLICANT shall submit to ADAD its final invoice no later than 45 calendar days after the end of each contract year. 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.

Within 45 calendar days after the expiration of each contract year, the APPLICANT shall submit to ADAD the Close-Out Report 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.

C. **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 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.).

2.5 **COMPENSATION AND METHOD OF PAYMENT**

- A. 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 actually incurred in delivering the services specified in the contract, up to a stated maximum obligation. Budgets are required for each year. The APPLICANT shall submit separate budget form(s) for year 1 and year 2.

The APPLICANT's budget shall include the cost of staff travel to attend provider meetings and to participate in trainings. ADAD intends to conduct provider meetings on a quarterly basis.

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

- The optimal number of participants recommended for the specific innovative SA prevention intervention program to be used.
 - The professional level of staff required to implement specific programs or strategies.
 - The cost of purchasing an innovative SA prevention intervention, training required to implement the program, and evaluating the innovative SAP intervention.
 - Allowable inter-island and out-of-state travel.
- B. If awarded a contract, the APPLICANT shall be paid monthly upon ADAD's approval the Expenditures Report, Invoice (ADAD Fiscal Form 200, 4/12) and supporting documents. Any initial advance payment shall be reconciled by the end of the fifth month of the contract. Final payment for each contract year shall be made upon acceptance of the provider's Year-End Reports, Supporting Documents and Final Invoice.

The APPLICANT must submit original monthly invoices through ADAD's management information system 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.

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 (SPOH-200A) is available on the SPO website (Refer to Section 1.2 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 is comprised of the following sections:

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

3.1 Program Overview (Not to exceed one (1) page)

The APPLICANT shall give a brief overview to orient evaluators as to the prevention services proposed. This section shall clearly and concisely summarize and highlight the contents of the proposal in such a way as to provide a broad understanding of the entire proposal. This section is not scored during the proposal evaluation. Include in this section:

- A description of the service to be provided;
- Why the service is needed;
- A description of the population who will be served;
- How the population to be served was selected;
- Who will implement the prevention service;
- When and where the service will be provided; and
- A statement of the outcomes to be achieved.

3.2 Experience and Capability (Not exceed three (3) pages)

A. Necessary Skills

The APPLICANT shall demonstrate that it has the necessary skills, abilities, and knowledge relating to the delivery of the proposed services. 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 shall describe its history and record of accomplishments in providing SA prevention services.

The APPLICANT shall describe how the proposed services fit within its mission.

The APPLICANT shall describe information and/or data to support how it has achieved intended outcomes in the past.

The APPLICANT shall demonstrate a thorough understanding of the purpose and scope of the service activity.

B. Experience

The APPLICANT shall provide a description of its current and past experience in operationalizing projects/contracts pertinent to the proposed services.

The APPLICANT shall describe at least three (3) years of experience:

1. Providing prevention services, SAP services, and innovative intervention services to the identified population within the targeted geographic area;
2. Implementing and evaluating evidence-based prevention services;

3. Applying the SPF;
4. Managing government or foundation funded contracts or projects of similar size and complexity.

The APPLICANT shall include as an appendix the addresses, e-mail addresses and phone numbers of at least three (3) key stakeholders other than ADAD staff who can verify the APPLICANT's experience.

C. Quality Assurance and Evaluation

The APPLICANT shall describe its quality assurance and evaluation capabilities, including a quality assurance plan that identifies the mission of the organization as well as outlines the methodology used to identify strengths and deficiencies of the services, indicates corrective actions to be taken, and validates corrections.

The APPLICANT shall describe how the quality assurance process serves as a source of information to improve the quality of services and how findings are integrated and reviewed by the quality assurance committee or governing body (e.g. Board of Directors).

D. Coordination of Services

The APPLICANT shall describe how the proposed services will be coordinated with other service providers and other stakeholders in on-going assessment, planning, implementation and evaluation of proposed services in the identified geographical area.

The APPLICANT shall include Letters of Collaboration and Memorandum of Understanding (MOU) to demonstrate the APPLICANT's ability to coordinate and collaborate the proposed services. The Letters of Collaboration and MOU(s) will not count in the page limit to the APPLICANT's proposal.

The APPLICANT shall describe its procedure for developing and administering sub-contracts, if any, as well as the management controls for ensuring that subcontractors are meeting their responsibilities for providing services and collecting data. The APPLICANT shall also describe procedures for informing ADAD of any subcontractor activities. If engaging subcontractor(s) for any part of the proposed services, the APPLICANT must ensure the subcontractors comply with all laws governing entities doing business with the State and federal requirements.

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. If using facilities under the control of another entity, the APPLICANT shall include a copy of the use agreement. The APPLICANT shall also describe how the facilities meet Americans with

Disabilities Act (ADA) requirements, as applicable and how the APPLICANT obtains special equipment or accommodations made to serve populations needing special assistance in order to benefit from the services provided.

3.3 Project Staffing and Organization (Not to exceed two (2) pages)

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. The APPLICANT shall list all staff responsible for the proposed services on the Staff Position Chart (Section 5, Attachment G). The Staff Position Chart will not count in the page limit to the APPLICANT's proposal.

2. Staff Qualifications

The APPLICANT shall provide the minimum qualifications (including education, job descriptions, resumes and experience) for staff assigned to the proposed project. The resume and job descriptions of key staff that will be providing supervision and/or staff services should be provided as attachments to the Proposal Application and will not count in the page limit for this section of the RFP.

B. Project Organization

1. Supervision and Training

The APPLICANT shall describe the training that will be provided for staff to strengthen their capability to effectively provide the proposed services.

The APPLICANT shall describe its ability to supervise, train and provide administrative direction relative to the delivery of the proposed services and comply with ADAD Management Requirements. The description shall include frequency and method of conducting supervision and documentation of the same.

2. Organization Chart

The APPLICANT shall include organization and program specific charts that reflect the position of each staff and lines of responsibility/supervision. The organization and program specific charts will not count in the page limit for this section of the RFP.

3.4 Service Delivery (Not to exceed fifteen (15) pages)

The APPLICANT shall include a detailed narrative of the approach to service activities and management requirements from Section 2.4, Scope of Work, including the comprehensive strategic plan.

A. Comprehensive Strategic Plan

The APPLICANT shall include a comprehensive strategic plan in the Proposal Application. The comprehensive strategic plan shall include the following:

1. A community description.
2. A summary of the assessment of SA problems in the identified community including data on consumption, consequences, and risk and protective factors.
3. A summary of the capacity (resources and readiness) of the APPLICANT and the identified community to implement the innovative SA prevention intervention.
4. A description of the target population, including disparate populations.
5. A summary of the SPF planning process used to identify problem statements and corresponding goals (related to SA) as well as prioritize and select risk and protective factors, which includes:
 - a) Identification of problem statements and corresponding goals;
 - b) Prioritization process to select risk and protective factors; and
 - c) Description on how the APPLICANT identified the SAP interventions that best fits the community, how it was selected, a description of the innovative SAP intervention, and its core components.
6. A SPF Logic Model for each identified problem statement that illustrates the relationships between:
 - a) SA problems and related behaviors (e.g. consequences and consumption patterns);
 - b) Risk and protective factors;
 - c) Identified innovative SAP intervention; and
 - d) Short and long-term outcomes.

7. An action plan for the innovative SAP intervention identified in the SPF Logic Model, which outlines:
 - a) Prioritized risk and protective factor(s) to be addressed;
 - b) Activities (specific actions taken as part of the selected innovative SAP intervention);
 - c) Timeline;
 - d) Who is responsible; and
 - e) Resources needed.
8. A description of how the APPLICANT will engage the key staff members, stakeholders and agency in updating the comprehensive strategic plan, evaluation plan and lessons learned in implementing the intervention.
9. A Data Reporting Template if the intervention selected is a curriculum.

B. Mobilizing and Support

The APPLICANT shall describe how will it mobilize support and build capacity for the selected intervention in the service area to ensure that the community is aware of the substance abuse problems and prepared to implement the selected innovative SAP intervention.

C. Materials, Training, and Technical Assistance

The APPLICANT shall described how it will secure materials, training, and technical assistance to implement the innovative SAP intervention with fidelity as intended by the developer.

D. Delivery of Innovative SA Prevention Intervention

1. The APPLICANT shall describe how it will deliver the innovative SAP intervention as detailed by the comprehensive strategic plan.
2. The APPLICANT shall describe how it intends to monitor the identified intervention as intended.

E. Evaluation

The APPLICANT shall describe its plans to work with an experienced evaluator to develop an evaluation plan to evaluate the implementation of the innovative SAP intervention, improve effectiveness of the intervention, and make data-driven decisions.

F. Engaging Stakeholders

The APPLICANT shall describe how it will engage youth, cultural liaisons, and community stakeholders throughout the SPF process and ensure cultural competence by being respectful and responsive to the beliefs, practices, and cultural and linguistic needs of diverse population groups.

G. Sustainability

The APPLICANT shall describe how it will develop sustainability strategies to ensure the sustainability of positive program outcomes and maintain capacity and infrastructure during the implementation and evaluation phase of the SPF process.

3.5 Financial**A. Pricing Structure**

The pricing structure for this RFP is cost reimbursement.

The cost reimbursement pricing structure reflects a purchase arrangement in which the State pays the contractor for budgeted costs that actually incurred in delivering the services specified in the contract, up to a stated maximum obligation. Budgets are required for each year. The APPLICANT shall submit separate budget form(s) for year 1 and year 2.

ONLY the following budget form(s), which are contained on the SPO Website, shall be submitted with the Proposal Application, instructions and samples are located on the SPO website (see Section 1. Administrative Overview, paragraph II Website Reference referred to in this RFP). The following budget form(s) shall be submitted with the Proposal Application:

1. Form SPO-H205 Budget
2. Form SPO-H205A Organization-Wide By Source of Funds
3. Form SPO-H205B Organization-Wide Budget By Programs
4. Form SPO-H206A Personnel – Salaries and Wages
5. Form SPO-H206B Personnel – Payroll Taxes, Assessments, and Fringe
6. Form SPO-H206C Travel – Inter-Island
7. Form SPO-H206D Travel – Out-of State
8. Form SPO-H206E Contractual Services – Administrative
9. Form SPO-H206F Contractual Services – Subcontracts
10. Form SPO-H206G Depreciation
11. Form SPO-H206H Program Activities
12. Form SPO-H206I Equipment Purchases

The proposed budget shall include any related meeting, consultation and training expenditures.

B. Other Financial Related Materials

Accounting System

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:

1. Latest Single Audit Report and Audit Financial Statements.
2. Cost Allocation Plan, which provides an explanation of how cost is allocated to various sources of funding.

3.6 Other

Litigation

The applicant shall disclose and explain 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

4.1 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.

4.2 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 Threshold

<u>Evaluation Categories</u>	<u>POSSIBLE POINTS</u>
<i>Administrative Requirements</i>	(Not Scored)
<i>Proposal Application</i>	100 Points
Program Overview	0 Points
Experience and Capability	20 Points
Project Organization and Staffing	15 Points
Service Delivery	55 Points
Financial	10 Points
TOTAL POSSIBLE POINTS	100 Points

4.3 Evaluation Criteria

A. Phase 1 - Evaluation of Proposal Requirements

1. Administrative Requirements (Not Scored)

The APPLICANT shall provide written acknowledgement agreeing to comply with the Management Requirements in Section 5, Attachment D of this RFP. Mandatory proposal requirements are items that must be submitted with the application or addressed in order for the proposal to be evaluated. They do not receive a rating.

2. Proposal Application Requirements

- Proposal Application Identification Form (Form SPO-H-200)
- Proposal Application check list
- 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)
- Litigation disclosure (for review and determination)
- Administrative Assurance

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

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

1. *Experience and Capability (Maximum of 20 Points)*

The STATE will evaluate the APPLICANT's experience and capability relevant to the proposal which shall include:

- | | | |
|----|--|----------|
| A. | <i>Necessary Skills</i> | 5 |
| | <ul style="list-style-type: none"> • Demonstrated the necessary skills, abilities, and knowledge relating to the delivery of the proposed services. • Described its history and record of accomplishments in providing SAP services • Described how the proposed services fit within the APPLICANT's mission. • Described information and/or data to support how it has achieved intended outcomes in the past. • Demonstrated a thorough understanding of the purpose and scope of the service activity. | |

- B. ***Experience*** **5**
- Described at least three (3) years of experience providing SAP services, evidence-based prevention services or innovative interventions, services to the identified population, and services within the targeted geographic area.
 - Described at least three (3) years of experience implementing and evaluating SAP services.
 - Described at least three (3) years of experience applying the SPF process.
 - Described at least three (3) years of experience managing government, foundation funded contracts, or projects of similar size and complexity.
 - Included at least three (3) key stakeholders other than ADAD staff who can verify the APPLICANT's experience.
- C. ***Quality Assurance and Evaluation*** **3**
- Described an adequate quality assurance and evaluation capability, including a quality assurance plan that identifies the mission of the organization as well as outlines the methodology used to identify strengths and deficiencies of the services, indicates corrective actions to be taken, and validates corrections.
 - Described how the quality assurance process serves as a source of information to improve the quality of services and how findings are integrated and reviewed by the quality assurance committee or governing body (e.g. Board of Directors).
- D. ***Coordination of Service*** **5**
- Described experience and approach to collaboration, with other service provider and stakeholders.
 - Described the APPLICANT's procedures for developing and administering sub-contracts, if any, well as the management controls for ensuring that partnering organizations (sub-contractors) are meeting their responsibilities for providing services and for data collection.
 - Described procedures for informing ADAD of any subcontractor activities, if applicable.
 - Included Letters of Collaboration and Memorandum of Understanding (MOU) to demonstrate the APPLICANT's coordination and collaboration to provide proposed innovative intervention services.
- E. ***Facilities*** **2**
- Described the facilities and clearly demonstrated their adequacy in relation to the proposed services. Described

- Described how the facilities meet or will meet ADA requirements, as applicable and the availability of any special equipment that may be required for the services. Described a viable alternate plan to meet ADA requirement if facilities do not meet ADA requirements.

Total **20**

2. *Project Staffing and Organization (15 Points)*

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

a) ***Staffing*** **8**

Proposed Staffing:

- Described a proposed staffing pattern that is consistent with personnel requirements and appropriate for the viability of the services.
- Included the Staff Position Chart that list all staff responsible for the proposed services.

Staff Qualifications:

- Provided the minimum qualifications for each staff/position assigned to the proposed project.
- Included resumes and job descriptions of key staff that will be providing supervision and/or services.

b) ***Project Organization*** **7**

Supervision and Training:

- Provided assurance that staff will receive training opportunities and supervision to prepare them for their roles and responsibilities.
- Demonstrated capability to supervise, train, and provide administrative direction relative to the delivery of the proposed services.

Organization Chart:

- Included organization and program specific charts that reflect the position of each staff and lines of responsibility/supervision.

Total **15**

3. *Service Delivery (Maximum of 55 Points)*

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

- a) ***Comprehensive Strategic Plan*** **15**
 Included in the proposal application is the initial comprehensive strategic plan to implement the selected innovative SA prevention intervention, including:
- A community description;
 - A summary of the assessment of SA problems in the identified community including data on consumption, consequences, risk and protective factors;
 - A summary of the capacity (resources and readiness) of the APPLICANT and the identified community to implement the innovative SAP intervention;
 - A description of the target population, including disparate populations;
 - A summary of the SPF planning process used to identify problem statements and corresponding goals (related to SA) as well as prioritize and select risk and protective factors;
 - A SPF Logic Model for each problem statement identified that illustrates the substance abuse problems and related behaviors (e.g. consequences and consumption patterns), risk and protective factors, innovative SAP intervention, short and long-term outcomes;
 - An action plan for the innovative SAP intervention identified in the SPF Logic Model, which outlines the prioritized risk and protective factors, activities (specific actions taken as part of a innovative SA prevention intervention), timeline, who is responsible and the resources needed.
 - A description of how the APPLICANT has engaged and will engage the key staff members and stakeholders in updating the comprehensive strategic plan, evaluation plan and lessons learned in implementing the intervention; and
 - A Data Reporting Template if the intervention is a curriculum.
- b) ***Mobilizing and Support*** **6**
 - Described how it will mobilize support and build capacity for the selected innovative SAP intervention in the service area(s) to ensure that the community is aware of the substance abuse problems and prepared to implement the selected intervention.
- c) ***Materials, Training, and Technical Assistance*** **3**
 - Described how it will secure materials, training, and technical assistance to implement the intervention with fidelity as intended by the developer.

d)	<i>Delivery of Service</i>	12
	<ul style="list-style-type: none"> • Described how it will deliver the innovative SAP intervention with fidelity as intended by the developer and detailed by the action plan. • Described how it intends to monitor the fidelity of the identified intervention as intended by the developer. 	
e)	<i>Evaluation</i>	15
	<ul style="list-style-type: none"> • Described how it will to work with an experienced evaluator to develop an evaluation plan to evaluate implementation of the innovative SAP intervention, improve effectiveness of the intervention, and make data-driven decisions. • Described how APPLICANT will work towards obtaining evidence-based status for the proposed innovative SAP intervention. 	
f)	<i>Engaging stakeholders</i>	2
	<ul style="list-style-type: none"> • Described how it will engage youth, cultural liaisons, and community stakeholders throughout the SPF process and ensure cultural competence by being respectful and responsive to the beliefs, practices, and cultural and linguistic needs of diverse population groups. 	
g)	<i>Sustainability</i>	2
	<ul style="list-style-type: none"> • Described sustainability strategies it will use to ensure the sustainability of positive SAP intervention outcomes and maintained capacity and infrastructure during the implementation and evaluation phase of the SPF process. 	
	Total	55

4. ***Financial (10 Points)***

In order to determine the adequacy of the APPLICANT's accounting system, the APPLICANT shall have submitted with its proposal a copy of the organization's most recent financial audit including any management letter that accompanied that audit.

The APPLICANT shall describe a pricing structure based on cost reimbursement:

- The required budget forms are complete, accurate and support the scope of service and requirements of the RFP.
- The APPLICANT's proposed budget is reasonable, given program resources and operational capacity.
- The cost allocation worksheet includes an explanation of how costs are allocated to various programs.
- The Single Audit Report or Financial Audit indicates minimal or

- no material deficiencies.
- Separate budget form(s) for year 1 and year 2 are submitted with the proposal application.

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. The APPLICANT is advised that awards may be made conditional upon changes suggested by the evaluation committee. Recommended funding amounts are subject to restrictions that may be imposed due to evolving economic conditions and the availability of funds.

Section 5

Attachments

- A. Proposal Application Checklist
- B. Sample Table of Contents
- C. Center for Substance Abuse Prevention (CSAP) Strategies
- D. Management Requirements
- E. Ethics Code of Ethical Conduct for Prevention Professionals
- F. ADAD Form 200 (04/12) Expenditure Report
- G. Staff Position Chart

Proposal Application Checklist

Applicant: _____ RFP No.: _____

The applicant's proposal must contain the following components in the order shown below. Return this checklist to the purchasing agency as part of the Proposal Application. SPOH forms are on the SPO website.

Item	Reference in RFP	Format/Instructions Provided	Required by Purchasing Agency	Applicant to place "X" for items included in Proposal
General:				
Proposal Application Identification Form (SPOH-200)	Section 1, RFP	SPO Website*	X	
Proposal Application Checklist (Sample)	Section 1, RFP	Attachment A	X	
Table of Contents	Section 5, RFP	Section 5, RFP	X	
Proposal Application (SPOH-200A)	Section 3, RFP	SPO Website*	X	
Provider Compliance	Section 1, RFP	SPO Website*	X	
Cost Proposal (Budget)			X	
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	X	
SPO-H-206A	Section 3, RFP	SPO Website*	X	
SPO-H-206B	Section 3, RFP	SPO Website*	X	
SPO-H-206C	Section 3, RFP	SPO Website*	X	
SPO-H-206D	Section 3, RFP	SPO Website*	X	
SPO-H-206E	Section 3, RFP	SPO Website*	X	
SPO-H-206F	Section 3, RFP	SPO Website*	X	
SPO-H-206G	Section 3, RFP	SPO Website*	X	
SPO-H-206H	Section 3, RFP	SPO Website*	X	
SPO-H-206I	Section 3, RFP	SPO Website*	X	
SPO-H-206J	Section 3, RFP	SPO Website*		
Program Specific Requirements				
Staff Position Chart	Section 3, RFP	Section 5, RFP	X	
Resume	Section 3, RFP		X	
Job Descriptions	Section 3, RFP		X	
Letters of Collaboration	Section 3, RFP		X	
Memorandum of Understanding (MOU)	Section 3, RFP		X	
Organization Chart	Section 3, RFP		X	
Program Chart	Section 3, RFP		X	

*Refer to Section 1.2, Website Reference for website address.

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CENTER FOR SUBSTANCE ABUSE PREVENTION (CSAP) STRATEGIES

Each State/Territory shall develop and implement a comprehensive prevention program which includes a broad array of prevention strategies directed at individuals not identified to be in need of treatment. The comprehensive program shall be provided either directly or through one or more public or nonprofit private entities. The comprehensive primary prevention program shall include activities and services provided in a variety of settings for both the general population as well as targeting sub-groups who are at high risk for substance abuse.

In implementing the prevention program the State shall use a variety of strategies as appropriate for each target group including but not limited to the following:

1. Information Dissemination

This strategy provides awareness and knowledge of the nature and extent of alcohol, tobacco and drug use abuse and addiction and their effects on individuals, families and communities. It also provides knowledge and awareness of available prevention programs and services. Information dissemination is characterized by one way communication from the source to the audience with limited contact between the two. Examples of activities conducted and methods used for this strategy include (but are not limited to) the following:

- (1) Clearinghouse/information resource center(s);
- (2) Resource directories;
- (3) Media campaigns;
- (4) Brochures;
- (5) Radio/TV public service announcements;
- (6) Speaking engagements;
- (7) Health fairs/health promotion; and
- (8) Information lines.

2. Education

This strategy involves two-way communication distinguished from the Information Dissemination strategy by the fact that interaction between the educator/facilitator and the participants is the basis of its activities. Activities under this strategy aim to affect critical life and social skills including decision making, refusal skills, critical analysis (e.g. of media messages) and systematic judgment abilities. Examples of activities conducted and methods used for this strategy include (but are not limited to) the following:

- (1) Classroom and/or small group sessions (all ages);
- (2) Parenting and family management classes;
- (3) Peer leader/helper programs;
- (4) Education programs for youth groups; and
- (5) Children of substance abusers groups.

3. Alternatives

This strategy provides for the participation of target populations in activities that exclude alcohol, tobacco and other drug use. The assumption is that constructive and healthy activities offset the attraction to or otherwise meet the needs usually filled by alcohol, tobacco and other drugs and would therefore minimize or obviate resort to the latter. Examples of activities conducted and methods used for this strategy include (but are not limited to) the following:

Source: Federal Register, Vol 58 No 60, Department of Health and Human Services 45 CFR Part 96 Substance Abuse Prevention and Treatment Block Grants, Interim Final Rule, Wednesday March 31, 1993

- (1) Drug free dances and parties;
- (2) Youth/adult leadership activities;
- (3) Community drop-in centers; and
- (4) Community service activities.

4. *Problem Identification and Referral*

This strategy aims at identification of those who have indulged in illegal/age-inappropriate use of tobacco or alcohol and those individuals who have indulged in the first use of illicit drugs in order to assess if their behavior can be reversed through education. It should be noted, however, that this strategy does not include any activity designed to determine if a person is in need of treatment. Examples of activities conducted and methods used for this strategy include (but are not limited to) the following:

- (1) Employee assistance programs;
- (2) Student assistance programs; and
- (3) Driving while under the influence/driving while intoxicated education programs.

5. *Community-Based Process*

This strategy aims to enhance the ability of the community to more effectively provide prevention and treatment services for alcohol, tobacco and drug abuse disorders. Activities in this strategy include organizing, planning, enhancing efficiency and effectiveness of services implementation, inter-agency collaboration, coalition building and networking. Examples of activities conducted and methods used for this strategy include (but are not limited to) the following:

- (1) Community and volunteer training (e.g. neighborhood action training, training of key people in the system, state/officials training,);
- (2) Systematic planning;
- (3) Multi-agency coordination and collaboration;
- (4) Accessing services and funding; and
- (5) Community team-building.

6. *Environmental*

This strategy establishes or changes written and unwritten community standards, codes and attitudes, thereby influencing incidence and prevalence of the abuse of alcohol, tobacco and other drugs used in the general population. This strategy is divided into two subcategories to permit distinction between activities, which center on legal and regulatory initiatives and those which relate to the service and action-oriented initiatives. Examples of activities conducted and methods used for this strategy shall include (but not be limited to) the following:

- (1) Promoting the establishment and review of alcohol, tobacco and drug use policies in schools;
- (2) Technical assistance to communities to maximize local enforcement procedures governing availability and distribution of alcohol, tobacco and other drug use;
- (3) Modifying alcohol and tobacco advertising practices; and
- (4) Product pricing strategies.

Management Requirements

1. The APPLICANT agrees to comply with the following Personnel Management Requirements. The APPLICANT shall:
 - a. Conduct, at a minimum, a criminal history record check for any person who is employed or volunteers in an administrative or program position. Conduct a fingerprint check for any person who is employed or volunteers whose duties necessitates close proximity to vulnerable populations (e.g., school age children and youth, and the elderly). The APPLICANT shall have a written plan for addressing any findings that result from the criminal history record check. A copy of the criminal history record check and fingerprinting check shall be placed in the employee's or volunteer's personnel file and shall be available for review.
 - b. Conduct an initial orientation for personnel within thirty (30) days of employment for all new employees and document such in the personnel record of the employee. The orientation shall include acquainting staff with the organization's policies and procedures, expected codes of conduct, and expected practices for staff including use of current prevention and/or treatment concepts and program strategies, theory, research, and best practice findings upon which prevention and/or treatment services and programs of the agency are based.
 - c. Maintain and update annually a description of its organization-staffing pattern, including an organization chart showing lines of authority and supervision for prevention and/or treatment services.
 - d. Assure that the APPLICANT's workforce and that of any partnering organizations meets the minimum qualifications set forth by the organization that employs them.
 - e. Assure that all key program staff assigned to the project obtain, maintain, and/or are making progress towards obtaining or maintaining Certified Prevention Specialist ("CPS") and/or Certified Substance Abuse Counselor ("CSAC") credentials. The training and supervision of CPS and CSAC candidates shall be assigned to individuals who have a CPS or CSAC credential or have a bachelors or master's degree and at least one (1) year experience in substance abuse prevention and/or treatment.
 - f. Regularly attend training(s) approved by the Alcohol and Drug Abuse Division ("ADAD"), including but not limited to the Substance Abuse Prevention Skills Training ("SAPST"), and Client Confidentiality Training.
 - g. Ensure that staff receive training in the ADAD management information system and in ADAD's procedures for reporting fulfillment of the Request For Proposal ("RFP") requirements and evaluations of capacity, process, and outcomes.
 - h. Attend substance abuse prevention and treatment providers' meetings as scheduled by ADAD.
 - i. Orient staff and volunteers (if used by the APPLICANT) to comply with client confidentiality issues, program quality assurance requirements and the Code of Ethical Conduct for Prevention Professionals ("CECPP"). The CECPP is included as part of the management requirements.

- j. Develop and implement a written safety plan which includes policies and procedures for handling personal injury, threats, emergencies, or disasters. Post evacuation routes in facilities used by the program.
 - k. Maintain documentation for each employee of an initial tuberculosis (“TB”) skin test or chest X-ray. A copy of the test results shall be placed in the personnel file of each staff member employed by this program.
 - l. Implement a tobacco-free policy that includes electronic smoking devices. ADAD strongly encourages the APPLICANT to implement a tobacco-free campus policy or, at minimum, educate the APPLICANT’s administration (and landlord, if applicable) about the benefits of tobacco-free campus policies.
2. The APPLICANT agrees to comply with the following Administrative Management Requirements. The APPLICANT shall:
- a. Develop and maintain fiscal, statistical, and administrative records pertaining to services as specified by the STATE.
 - b. Establish and implement policies and procedures which clearly identify the target population for each type of service, the program content, and methods of service delivery.
 - c. Review all written and/or audio visual material, at a minimum, biannually by staff and by an advisory board or ad hoc committee to assure that it is relevant, current, and age and culturally appropriate.
 - d. Implement procedures for handling complaints and grievances.
 - e. Familiarize staff with materials available at the Hawaii Prevention Resource Center.
 - f. Obtain prior approval from ADAD for all media and messages intended for public distribution, including but not limited to radio, TV, theater, PowerPoint, video, posters, newsletters, banners, newspaper ads, public service announcements, flyers, and fact sheets.
 - g. Acknowledge the STATE, ADAD, and appropriate federal grant as the APPLICANT’s program sponsors by stating such on displays, public service announcements, written or electronic material distributed by the program.
 - h. Refund to the STATE any funds unexpended or expended inappropriately.
 - i. Under the actual expenditure method of reimbursement, assure that all equipment and unused supplies and materials purchased or developed with funds paid to it shall become the property of the STATE upon completion or termination of the contract.
 - j. Under the actual performance method of reimbursement, assure that program income and/or surplus earned during the Contract period shall be used to further the program objectives; otherwise the STATE will deduct the surplus from the total contract amount in determining the net allowable cost on which the state's share or cost is based.

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

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

Organization Name

Name of Authorized Representative (Print)

Title

Signature of Authorized Representative

Date

Code of Ethical Conduct for Prevention Professionals

All developing fields need an ethical code to guide behavior. The field of substance abuse prevention needs to develop a code of ethics to serve as a guide for professional conduct. Circumstances and situations often arise in the helping professions that are both complex and difficult to handle. A code of ethics can help us make good decisions when faced with problematic situations.

The following is a set of ethics for prevention professionals to consider. The National Association of Prevention Professionals and Advocates (NAPPA) originally developed these ethical codes. However, this organization is no longer in existence. As an emerging discipline, ethical codes of conduct need to be developed and advanced for the field of prevention to act as a benchmark for positive professional behavior.

Preamble

The Principles of Ethics are a model of standards of exemplary professional conduct. These Principles of the Code of Ethical Conduct for Prevention Professionals express the professional's recognition of his/her responsibilities to the public, to service recipients and to colleagues. They guide members in the performance of their professional responsibilities and express the basic tenets of ethical and professional conduct. The principles call for commitment to honorable behavior, even at the sacrifice of personal advantage. These Principles should not be regarded as limitations or restrictions, but as goals for which prevention professionals should constantly strive. They are guided by core values and competencies that have emerged in the development of the field.

Principles

1. Nondiscrimination

A prevention professional shall not discriminate against recipients or colleagues based on race, religion, national origin, sex, age, sexual orientation, economic condition, or physical or mental disability, including persons testing positive for HIV. A prevention professional shall broaden his or her understanding and acceptance of cultural and individual differences, and in so doing render services and provide information sensitive to those differences.

2. Competence

A prevention professional shall observe the profession's technical and ethical standards, strive continually to improve personal competence and quality of service delivery, and discharge professional responsibility to the best of his or her ability. Competence is derived from a synthesis of education and experience. It begins with the mastery of a body of knowledge and skill competencies. The maintenance of competence requires a commitment to learning and professional improvement that must continue throughout the professional's life.

- A. Professionals should be diligent in discharging responsibilities. Diligence imposes the responsibility to render services carefully and promptly, to be thorough, and to observe applicable technical and ethical standards.
- B. Due care requires a professional to plan and supervise adequately any professional activity for which she or he is responsible.
- C. A prevention professional should recognize limitations and boundaries of competencies and not use techniques or offer services outside his or her competencies. Each professional is responsible for assessing the adequacy of his or her own competence for the responsibility to be assumed.
- D. When a prevention professional is aware of unethical conduct or practice on the part of an agency or prevention professional, he or she has an ethical responsibility to report the conduct or practices to appropriate authorities or to the public.

3. Integrity

To maintain and broaden public confidence, prevention professionals should perform all professional responsibilities with the highest sense of integrity. Integrity can accommodate the inadvertent error and the honest difference of opinion. It cannot accommodate deceit or subordination of principle.

- A. Personal gain and advantage should not subordinate service and the public trust. All information should be presented fairly and accurately. Each professional should document and assign credit to all contributing sources used in published material or public statements.
- B. Prevention professionals should not misrepresent either directly or by implication professional qualifications or affiliations.

- C. A prevention professional should not be associated directly or indirectly with any services or products in a way that is misleading or incorrect.

4. Nature of Services

Above all, prevention professionals should do no harm to service recipients. Practices shall be respectful and nonexploitative. Services should protect the recipient from harm and the professional and the profession from censure.

- A. Where there is evidence of child or other abuse, the prevention professional shall report the evidence to the appropriate agency and follow up to ensure that appropriate action has been taken.
- B. Where there is evidence of impairment in a colleague or a service recipient, a prevention professional should be supportive of assistance or treatment.
- C. A prevention professional should recognize the effect of impairment on professional performance and should be willing to seek appropriate treatment for himself/ or herself.

5. Confidentiality

Confidential information acquired during service delivery shall be safeguarded from disclosure, including—but not limited to—verbal disclosure, unsecured maintenance of records, or recording of an activity or presentation without appropriate releases.

6. Ethical Obligations to Community and Society

According to their consciences, prevention professionals should be proactive on public policy and legislative issues. The public welfare and the individual's right to services and personal wellness should guide the efforts of prevention professionals who must adopt a personal and professional stance that promotes the well-being of all humankind.

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

Organization Name

Name of Authorized Representative

Title

Signature

Date

**INSTRUCTIONS FOR COMPLETING ADAD FORM 200 (04/12)
EXPENDITURE REPORT**

CONTRACT PERIOD: Refer to your approved executed contract (e.g. Fiscal Year July 1, 20xx to June 30, 20xx; Calendar Year January 20xx to December 20xx)

PROVIDER AND ADDRESS: Enter name and address (as stated in the contract).

INVOICE FOR THE MONTH: Enter the *current billing* month (e.g.: July 1, 20xx – July 31, 20xx; August 1-31, 20xx, etc)

ASO LOG NO.: Enter the assigned number, which is located at the bottom left-hand corner of the signed contract.

PAGE: Indicate number of pages including any attachment.

BUDGET CATEGORIES: Line items are listed in the same order as reflected in the Request for Proposal/contract.

PRIOR MONTH(S) (column 1): Enter the actual expenditure applicable to the specific ADAD contract only. If you are doing report for first month, leave this column blank. If you are doing report for the preceding month, this column will show expenditures for prior month(s).

CURRENT MONTH (column 2): Enter the actual expenditure applicable to the specific ADAD contract only for current month.

YEAR-TO-DATE (column 3): Enter the sum of prior month(s) (column 1) and current expenditure (column 2)

APPR. BUDGET FOR CURRENT YEAR (column 4): Enter the approved/revised ADAD budget for the current contract year.

EXPENDITURE REPORT

(Contract Period _____ to _____)

Page ___ of ___ Pages

PROVIDER: _____

ADDRESS: _____

INVOICE FOR MONTH: _____

ASO LOG NO: _____

	1	2	3	4
B U D G E T C A T E G O R I E S	Prior Month(s)	Current Month	Year-to-Date	Appr. Budget for Current Year
A. PERSONNEL COST				
1. Salaries (ATTACH DETAIL)				
2. Payroll Taxes & Assessments				
3. Fringe Benefits				
TOTAL PERSONNEL COST				
B. OTHER CURRENT EXPENSES				
1. Airfare, Inter-Island				
2. Airfare, Out-of-State				
3. Audit Services				
4. Contractual Services - Administrative				
5. Contractual Services - Subcontracts				
6. Insurance				
7. Lease/Rental of Equipment				
8. Lease/Rental of Motor Vehicle				
9. Lease/Rental of Space				
10. Mileage				
11. Postage, Freight & Delivery				
12. Publication & Printing				
13. Repair & Maintenance				
14. Staff Training				
15. Subsistence/Per Diem				
16. Supplies				
17. Telecommunication				
18. Transportation				
19. Utilities				
20. Program Activities				
21.				
22.				
23.				
TOTAL OTHER CURRENT EXPENSES				
C. EQUIPMENT PURCHASES				
D. MOTOR VEHICLE PURCHASES				
TOTAL (A+B+C+D)				
		For ADAD Use Only		
Prepared By (Please type or print)		Phone		
Signature of Preparer		Date		
Signature of Authorized Official		Date		
Name and Title (Please type or print)				

ADAD Form 200 (04/12)

Invoice

State of Hawaii-Department of Health
Alcohol and Drug Abuse Division
601 Kamokila Blvd., Room 360
123
Kapolei, HI 96707
Phone: (808) 692-7506
1, 2012
Fax: (808) 692-7521

Remit to: Provider Name
1234 Ala Moana Street
Honolulu, HI 96813
Phone: (808) 123-4567
Fax: (808) 123-4567

Invoice #: 1
ASO LOG #: 13-
Invoice Date: July

Month	Description	Total
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Location: Oahu

July 2012

Service description and service date **\$1,000.00**

(e.g. Youth Substance Abuse Prevention
Services on the island of Oahu from
July 1, 2012 to July 31, 2012)

Invoice Total: \$1,000.00

