

**State of Hawaii
Department of Health
Alcohol and Drug Abuse Division**

**Request for Proposals
RFP No. HTH 440-2**

Substance Abuse Prevention Services
Contract Period: SFY 2009-2011
(July 1, 2009 through June 30, 2011)

October 6, 2008

<u>Sub-RFP</u>	<u>Service Description</u>
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HTH 440-2A	City and County of Honolulu
HTH 440-2B	County of Hawaii
HTH 440-2C	County of Maui
HTH 440-2D	County of Kauai

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

October 6, 2008

**REQUEST FOR PROPOSALS
SUBSTANCE ABUSE PREVENTION SERVICES
HTH 440-2**

The Department of Health, Alcohol and Drug Abuse Division, Program Development Services Office, is requesting proposals from qualified applicants to provide substance abuse prevention services that fill resource gaps and focus on universal, indicated or selected populations of children, youth and families who have been identified through a community-based needs assessment to be at risk for substance abuse. Services may include information, dissemination, education, alternative activities, problem identification and referral, community-based process, or environmental strategies. Applicants shall be able to demonstrate the effectiveness of services in delaying the onset of substance use or in halting the progression of substance use. The contract term shall be from July 1, 2009 through June 30, 2011. Multiple contracts will be awarded under this request for proposals.

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

Proposals shall be mailed and postmarked by the United States Postal Service (USPS) on or before November 17, 2008 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 November 17, 2008, at the drop-off site designated on the Proposal Mail-in and Delivery Information Sheet. Deliveries by private mail services such as Federal Express (FEDEX) or United Parcel Service (UPS) shall be considered hand deliveries. Dated USPS shipping labels are not considered postmarked. Proposals postmarked or hand delivered after the submittal deadline shall be considered late and rejected. There are no exceptions to this requirement.

The Alcohol and Drug Abuse Division will conduct an orientation on Monday, October 13, 2008, from 9:00 a.m. to 12:00 noon HST, at 601 Kamokila Boulevard, Kakuhehiwa Building, Conference Room 111 A/B on the 1st Floor, Kapolei, Hawaii. All prospective applicants are encouraged to attend the orientation.

The deadline for submission of written questions is 4:30 p.m., HST, on Thursday, October 16, 2008. All written questions will receive a written response from the State on or about October 21, 2008.

Inquiries regarding this RFP should be directed to the RFP contact person, Virginialee Jackson, at 601 Kamokila Boulevard, Room 360, Kapolei, Hawaii 96707, telephone: (808) 692-7510, fax: (808) 692-7521, e-mail: virginialee.jackson@doh.hawaii.gov.

DEPARTMENT OF HEALTH, ALCOHOL AND DRUG ABUSE DIVISION
PROPOSAL MAIL-IN AND DELIVERY INFORMATION SHEET

IMPORTANT INFORMATION

**PLEASE SUBMIT ONE (1) ORIGINAL
PLUS THREE (3) COPIES
(COPIES MAY BE ON DISKETTE/CD)**

ALL MAIL-INS MUST BE POSTMARKED BY THE UNITED STATES POSTAL SERVICE (USPS) NO LATER THAN, **MONDAY, NOVEMBER 17, 2008** and received by the state purchasing agency no later than 10 days from the submittal deadline. Dated USPS shipping labels are not considered postmarks.

ALL MAIL-INS & HAND DELIVERIES

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

RFP COORDINATOR

Virginia Jackson
For further information or inquiries
Phone: (808) 692-7510
Fax: (808) 692-7521

ALL HAND DELIVERIES MUST BE ACCEPTED AT THE FOLLOWING SITES UNTIL **4:30 P.M., Hawaii Standard Time (HST), November 17, 2008**. Hand deliveries shall not be accepted if received after 4:30 p.m., November 17, 2008. Deliveries by private mail services such as Federal Express (FEDEX) or United Parcel Service (UPS) shall be considered hand deliveries and shall be rejected if received after the submittal deadline.

Drop-off Site

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

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III. Evaluation Criteria

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SECTION 1:

ADMINISTRATIVE OVERVIEW

HTH 440-2 Including All Sub-RFPS

HTH 440-2A

City and County of Honolulu

HTH 440-2B County of Hawaii

HTH 440-2C County of Maui

HTH 440-2D County of Kauai

Section 1 Administrative Overview

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

I. Procurement Timetable

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

<u>Activity</u>	<u>Scheduled Date</u>
Request for Information	November 2007
Public notice announcing RFP	October 6, 2008
Distribution of RFP	October 7, 2008
RFP orientation session	October 13, 2008
Closing date for submission of written questions for written responses	October 16, 2008
State purchasing agency's response to applicants' written questions	October 21, 2008
Discussions with applicant prior to proposal submittal deadline (optional)	Oct. 22-Nov. 10, 2008
Proposal submittal deadline	November 17, 2008
Discussions with applicant after proposal submittal deadline (optional)	Nov. 18-Dec. 2, 2008
Final revised proposals (optional)	January 5, 2009
Proposal evaluation period	Nov-Dec 2008
Provider selection	January 2009
Notice of statement of findings and decision	January 2009
Contract start date	July 1, 2009

II. Website Reference

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

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

Non-SPO websites

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

	For	Go to
8	Tax Clearance Forms (Department of Taxation Website)	http://www.hawaii.gov/tax/ click "Forms"
9	Wages and Labor Law Compliance, Section 103-055, HRS, (Hawaii State Legislature website)	http://www.capitol.hawaii.gov/ click "Bill Status and Documents" and "Browse the HRS Sections."
10	Department of Commerce and Consumer Affairs, Business Registration	http://www.hawaii.gov/dcca click "Business Registration"
11	Campaign Spending Commission	www.hawaii.gov/campaign
For guidance related to principles and practices of effective prevention services, please refer to the following websites:		
	For	Go to
12	Assessing Needs	http://prevention.samhsa.gov/assessment/default.aspx www.doh.hawaii.gov/substanceabuse/ (click "Alcohol, Tobacco, and Drug Use Survey")
13	Building Capacity	http://prevention.samhsa.gov/capacity/default.aspx http://preventionplatform.samhsa.gov
14	Planning	http://prevention.samhsa.gov/planning/default.aspx http://captus.samhsa.gov/western/resources/bp/index.cfm
15	Identifying and Selecting Evidence-Based Interventions	http://prevention.samhsa.gov/implementation/default.aspx http://www.nrepp.samhsa.gov www.maine.gov/dhhs/osa/prevention/community/spfsig/documents/national/indenselectinterventions.pdf
16	Evaluating Outcomes	http://prevention.samhsa.gov/evaluation/default.aspx

III. Authority

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

IV. RFP Organization

This RFP is organized into five sections:

Section 1, Administrative Overview--Provides applicants with an overview of the procurement process. Section 1, Administrative Overview applies to all sub-RFPs.

A total of \$409,000 of federal funds and \$2,000,000 in state funds is available statewide through RFP HTH 440-2. This total is allocated through four (4) separate sub-RFPs as follows: HTH 440-2A for the City and County of Honolulu, HTH 44-2B

for the County of Hawaii, HTH 440-2C for the County of Maui, and HTH 440-2D for the County of Kauai. The STATE reserves the right to increase or decrease funds at its discretion among the four sub-RFPs in order to best meet the needs of the STATE as well as to operate within budgetary limitations. If applying for more than one sub-RFP, the APPLICANT shall submit a separate proposal for each sub-RFP. The STATE reserves the option to use the same or separate evaluation committees for each county.

Section 2, Service Specifications--Provides applicants with a general description of the tasks to be performed, delineates applicant responsibilities, and defines deliverables (as applicable). RFP HTH 440-2 contains a separate Section 2, Service Specifications for each sub-RFP as follows: HTH 440-2A for the City and County of Honolulu, HTH 440-2B for the County of Hawaii, HTH 440-2C for the County of Maui, and HTH 440-2D for the County of Kauai. If applying for more than one sub-RFP, the APPLICANT shall submit a separate proposal for each sub-RFP.

Section 3, Proposal Application Instructions--Describes the required format and content for the proposal application. RFP HTH 440-2 contains a separate Section 3, Proposal Application Instructions for each sub-RFP as follows: HTH 440-2A for the City and County of Honolulu, HTH 440-2B for the County of Hawaii, HTH 440-2C for the County of Maui, and HTH 440-2D for the County of Kauai. If applying for more than one sub-RFP, the APPLICANT shall submit a separate proposal for each sub-RFP.

Section 4, Proposal Evaluation--Describes how proposals will be evaluated by the state purchasing agency. RFP HTH 440-2 contains a separate Section 4, Proposal Evaluation for each sub-RFP as follows: HTH 440-2A for the City and County of Honolulu, HTH 440-2B for the County of Hawaii, HTH 440-2C for the County of Maui, and HTH 440-2D for the County of Kauai. The STATE reserves the option to use the same evaluation committee for all counties or to use a separate evaluation committee for each sub-RFP. Separate awards shall be made for each sub-RFP. The STATE reserves the right to increase or decrease funds at its discretion among the four (4) sub-RFPs in order to best meet the needs of the STATE as well as to operate within budgetary limitations.

Section 5, Attachments --Provides applicants with information and forms necessary to complete the application. The attachments included in Section 5, Attachments apply to all sub-RFPs.

V. Contracting Office

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

Department of Health
Alcohol and Drug Abuse Division
Kakuhihewa Building

601 Kamokila Boulevard, Room 360
Kapolei, HI 96707
Phone (808) 692-7510 Fax: (808) 692-7521

VI. Orientation

An orientation for applicants in reference to Request for Proposal HTH 440-2 and all sub-RFPs (HTH 440-2A/B/C/D) will be held as indicated below:

Date: October 13, 2008 **Time:** 9:00 A.M. to 12:00 P.M.
Location: Kakuhehiwa Building, 601 Kamokila Boulevard, Conference Room 111
A/B on the 1st Floor, Kapolei, Hawaii.

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

VII. Submission of Questions

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

Deadline for submission of written questions:

Date: October 16, 2008 **Time:** 4:30 P.M. HST

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

Date: October 21, 2008

VIII. Submission of Proposals

A. Forms/Formats - Forms, with the exception of program specific requirements, may be found on the State Procurement Office website (See Section 1, paragraph II. Website Reference). Refer to the Proposal Application Checklist for the location of program specific forms.

- 1. Proposal Application Identification (Form SPO-H-200)** - Provides identification of the proposal.
- 2. Proposal Application Checklist** – Provides applicants with information on where to obtain the required forms; information on program specific requirements; which forms are required and the order in which all components should be assembled and submitted to the state purchasing agency.

3. **Table of Contents** - A sample table of contents for proposals is located in Section 5, Attachments. This is a sample and meant as a guide. The table of contents may vary depending on the RFP.
4. **Proposal Application (Form SPO-H-200A)** - Applicant shall submit a comprehensive narrative that addresses all of the issues contained in the Proposal Application Instructions, including a cost proposal/budget if required. (Refer to Section 3 of this RFP.)
5. **Tax Clearance** – A certified copy of a current valid tax clearance certificate issued by the State of Hawaii, Department of Taxation (DOTAX) and the Internal Revenue Service (IRS) will be required either at the time of proposal submittal or upon notice of award at the discretion of the purchasing agency.

Refer to Section 4, subparagraph III.A.1. Administrative Requirements and Section 5. A. Proposal Application Checklist to determine whether the tax clearance is required at time of proposal submittal for this RFP. Tax clearance application may be obtained from the Department of Taxation website. (See Section 2, paragraph II. Website Reference.)

- B. **Program Specific Requirements** - Additional program specific requirements are included in Section 2 Service Specifications and/or Section 3 Proposal Application Instructions, as applicable. If Federal and/or State certifications are required, they are listed on the Proposal Application Checklist located in Section 5. Attachment A.
- C. **Multiple or Alternate Proposals** - Multiple or alternate proposals shall not be accepted unless specifically provided for in Section 2 of this RFP. In the event alternate proposals are not accepted and an applicant submits alternate proposals, but clearly indicates a primary proposal, it shall be considered for award as though it were the only proposal submitted by the applicant.
- D. **Wages and Labor Law Compliance** - Before a provider enters into a service contract in excess of \$25,000, the provider shall certify that it complies with section 103-55, HRS, Wages, hours, and working conditions of employees of contractors performing services. Section 103-55, HRS may be obtained from the Hawaii State Legislature website. (See Section 1, paragraph II, Website Reference.)
- E. **Compliance with all Applicable State Business and Employment Laws.** All providers shall comply with all laws governing entities doing business in the State. Prior to contracting, owners of all forms of business doing business in the state except sole proprietorships, charitable organizations unincorporated associations and foreign insurance companies shall be registered and in good standing with the Department of Commerce and Consumer Affairs (DCCA), Business Registration Division. Foreign insurance companies must register with DCCA, Insurance Division. More

information is on the DCCA website. (See Section 1, paragraph II. Website Reference.)

- F. Campaign Contributions by State and County Contractors.** Contractors are hereby notified of the applicability of Section 11-205.5, HRS, which states that campaign contributions are prohibited from specified State or county government contractors during the term of the contract if the contractors are paid with funds appropriated by a legislative body. For more information, Act 203/2005 FAQs are available at the Campaign Spending Commission webpage. (See Section 1. paragraph II. Website Reference.)
- 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 Service (USPS) and received by the State purchasing agency no later than the submittal deadline indicated on the attached Proposal Mail-in and Delivery Information Sheet. All hand deliveries shall be received by the State purchasing agency by the date and time designated on the Proposal Mail-In and Delivery Information Sheet. Proposals shall be rejected when:
- Postmarked after the designated date; or
 - Postmarked by the designated date but not received within 10 days from the submittal deadline; or
 - If hand delivered, received after the designated date and time.

Deliveries by private mail services such as Federal Express (FEDEX) or United Parcel Service (UPS) shall be considered hand deliveries and shall be rejected if received after the submittal deadline. Dated USPS shipping labels are not considered postmarks.

The number of copies required is located on the Proposal Mail-In and Delivery Information Sheet. Proposals submitted by diskette/CD are permitted. See section 2-143-504, HAR.

IX. Discussions with Applicants

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

accordance section 3-143-403, HAR.

X. Opening of Proposals

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

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

XI. Additional Materials and Documentation

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

XII. RFP Amendments

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

XIII. Final Revised Proposals

If requested, final revised proposals shall be submitted in the manner, and by the date and time specified by the state purchasing agency. If a final revised proposal is not submitted, the previous submittal shall be construed as the applicant's best and final offer/proposal. *The applicant shall submit **only** the section(s) of the proposal that are amended, along with the Proposal*

Application Identification Form (SPO-H-200). After final revised proposals are received, final evaluations will be conducted for an award.

XIV. Cancellation of Request for Proposal

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

XV. Costs for Proposal Preparation

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

XVI. Provider Participation in Planning

Provider participation in a state purchasing agency's efforts to plan for or to

purchase health and human services prior to the state purchasing agency's release of a request for proposals, including the sharing of information on community needs, best practices, and providers' resources, shall not disqualify providers from submitting proposals if conducted in accordance with sections 3-142-202 and 3-142-203 of the Hawaii Administrative Rules for Chapter 103F, HRS.

XVII. Rejection of Proposals

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

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

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

XVIII. Notice of Award

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

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

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

XIX. Protests

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

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

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

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

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

XX. Availability of Funds

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

XXI. Monitoring and Evaluation

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

- (1) Performance/Outcome Measures

An assessment will be done to determine if the contractor is satisfactorily meeting its short-term outcomes and/or performance objectives as indicated by monthly/quarterly/annual reports and was effective in reducing risk factors or strengthening protective factors among the participants served by the program as measured by variance data in the Year-End Report.

- (2) Process/Output Measures

An assessment will be done to determine if the contractor is satisfactorily meeting its output measures, i.e., serving the specified number of persons, conducting the required frequency or duration of the program, and fully utilizing the contract funding as reported on

monthly/quarterly and Year-End Reports.

(3) Quality of Care/Quality of Services

An assessment will be done to determine if the contractor is meeting established standards for the quality and delivery of services as delineated in the Scope of Services and as evaluated through the Contract Monitoring Report (CMR) and the contractor's Corrective Action Plan (CAP).

(4) Financial Management

An assessment will be done to determine if the contractor is expending funds in accordance with the Generally Accepted Accounting Principles (GAAP), has an adequate internal control system, and is submitting the required fiscal reports and responses to any Corrective Action Plan (CAP) in a timely manner.

(5) Administrative Requirements

An assessment will be done to determine if the contractor has sound administrative policies and procedures as evaluated by the Policy and Procedures section of the Contract Monitoring Report (CMR).

XXII. General and Special Conditions of Contract

The general conditions that will be imposed contractually are on the SPO website (See paragraph II, Website Reference). Special conditions may also be imposed contractually by the state purchasing agency, as deemed necessary. These special conditions may include, but not limited to, Federal Substance Abuse Prevention and Treatment (SAPT) Federal Block Grant requirements under federal statues (42 U.S.C. 300x-21 through 300x-66) and regulations (45 CFR, Part 96); Confidentiality of Alcohol and Drug Abuse Patient Records pursuant to 42 CFR, Part 2; Federal Health Insurance Portability Accountability Act (HIPAA) regulations pursuant to 45 CFR, Part 160 and Subparts A and E of Part 164; Language Access provisions (HRS, Chapter 371, Part II); Discrimination in Public Accommodations (HRS, Chapter 489); Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons, as revised (68 FR 47311), pursuant to Executive Order 13166; Section 504 of the Rehabilitation Act of 1973, as amended, pursuant to 45 CFR, Part 84; Title III of the Americans with Disabilities Act of 1990, as amended, pursuant to 28 CFR, Part 36; Title VI of the Civil Rights Act of 1964 (P.L. 88-352); Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683. and 1685- 1686); Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §§794), Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107); Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended; Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee-3), as amended; and any other nondiscrimination statute(s) which may apply.

XXIII. Cost Principles

In order to promote uniform purchasing practices among state purchasing agencies procuring health and human services under Chapter 103F, HRS, state purchasing agencies will utilize standard cost principles outlined in Form SPO-H-201 which is available on the SPO website (see Section 1, paragraph II, Website Reference). Nothing in this section shall be construed to create an exemption from any cost principle arising under federal law.

SECTION 3:

**PROPOSAL
APPLICATION
INSTRUCTIONS**

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

HTH 440-2A

City and County of Honolulu

HTH 440-2B County of Hawaii

HTH 440-2C County of Maui

HTH 440-2D County of Kauai

SECTION 3:

**PROPOSAL
APPLICATION
INSTRUCTIONS**

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

Section 3

Proposal Application Instructions

If applying for more than one sub-RFP, the APPLICANT shall submit a separate proposal for each sub-RFP.

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).*
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- *Applicants are **strongly** encouraged to review evaluation criteria in Section 4, Proposal Evaluation when completing the proposal.*
- *This form (SPO-H-200A) is available on the SPO website (see Section 1 Administrative Overview, paragraph II. Website Reference). However, the form will not include items specific to each RFP. If using the website form, the applicant must include all items listed in this section.*
- *The applicant shall follow the order of sections as they are presented in Section 3 of this RFP. Narratives regarding each specific topic shall be included within the appropriate section of the proposal. References may be made to related discussions located in other sections of the proposal. References shall also be made to any attachments to the proposal that are related to the specific topic.*

The Proposal Application comprises the following sections:

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

I. Program Overview (Do not exceed one (1) page).

The APPLICANT shall give a brief overview to orient evaluators as to the prevention services being offered. 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.

II. Experience and Capability (Do 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 demonstrate a thorough understanding of the purpose and scope of the RFP and an understanding of substance abuse prevention principles and practices. The APPLICANT shall also demonstrate the capacity to plan and implement evidence-based prevention services. The APPLICANT should review the guidance resources listed in Section 1. Administrative Overview, paragraph II. Website Reference, Items 12-16.

B. Experience

The APPLICANT shall provide a description of the organization's current and past experience in operationalizing projects/contracts pertinent to the proposed services. The APPLICANT shall provide a narrative describing its experience during the past five (5) years providing:

- Prevention services,
- Substance abuse specific prevention services,
- Services to the identified population, and
- Services and community relationships within the targeted geographic area.

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

C. Quality Assurance and Evaluation

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

Please provide the following information on quality assurance procedures:

1. Describe existing or proposed procedures for maintaining an internal quality assurance process to monitor services proposed through the RFP.
2. If the APPLICANT does not have an internal quality assurance program in place, describe how it will collaborate with ADAD to establish quality assurance procedures.
3. The APPLICANT shall describe the methodology used to measure and evaluate achievement of the stated goals. The APPLICANT shall describe how it will maintain successful approaches that lead to achievement of such goals and its process for improving those approaches which do not contribute to successful goal attainment.

D. Coordination of Services

The APPLICANT shall describe how the proposed services will be coordinated with services provided by other agencies and resources in the community. Letters of agreement are required and shall describe the terms of the agreement that the APPLICANT has negotiated with other agencies or organizations. The letters of agreement may be attached to the APPLICANT's proposal and will not count in the page limit for this section of the RFP. The APPLICANT should review the Definitions of Roles in Community Partnerships found in Section 5 of this RFP.

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 special equipment will be obtained or accommodations made to serve populations needing special assistance in order to benefit from the services provided.

III. Project Organization and Staffing (Do not 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. On the Staff Position Chart (Section 5, Attachment G of this RFP), please list all staff who will be responsible for providing each service, including contract oversight functions and direct services to the identified population. For joint ventures, include the number and full-time equivalent of staff and the name of the organization that will employ them. The Staff Position Chart and organization charts may be attached to the proposal and will not count in the page limit for this section.

In the narrative section of the proposal, the APPLICANT shall describe how and by whom supervision will be provided for staff who are pursuing prevention specialist certification.

2. Staff Qualifications

The APPLICANT shall provide the minimum qualifications (including education and experience) for staff assigned to the proposed program. Provide as an attachment to the proposal, the resumes and job descriptions of key staff who will be providing supervision and/or services. On the Staff Position Chart (see Section 5, Attachment G of the RFP), the APPLICANT shall describe the minimum qualifications for each position and the qualifications of the incumbent. The APPLICANT shall describe its plans for preparing its supervisory staff to qualify as preceptors for staff who are candidates for the International Certification and Reciprocity Consortium/AODA's Certified Substance Abuse Prevention Specialist (CSAPS) credential. Preceptors are individuals responsible for the training and supervision of the CSAPS candidate. Qualifications for the Certified Substance Abuse Prevention Specialist may be found on the International Certification and Reciprocity Consortium/AODA's website: <http://www.icrcaoda.org/CPSstandard.asp>.

B. Project Organization

1. Supervision and Training

The APPLICANT shall describe its ability to supervise and train staff who will be delivering the proposed services. The proposal

should describe how staff will participate in provider meetings or trainings that may be held on another island, and the proposed budget shall include any related meeting and training expenditures.

The APPLICANT shall provide assurance that staff will be given training opportunities and supervision to prepare them for the International Certification and Reciprocity Consortium/AODA's Certified Substance Abuse Prevention Specialist (CSAPS) credential. The training and supervision of CSAPS candidates shall be provided by a Certified Prevention Specialist (or a person with a bachelors or masters degree and at least one year experience providing prevention services or who is deemed appropriate by ADAD) who is employed or contracted by the program in which the staff gains the qualifying work experience.

2. Organization Chart

The APPLICANT shall reflect the position of each staff and lines of responsibility/supervision. (Include position title, name and full time equivalency). Include organization charts that indicate the names, titles, and lines of authority within the lead organization and within the proposed project. Also include a diagram of how the lead organization relates to other organizations within the partnership and describe who is responsible for oversight functions. Both the diagram describing the partnership and the "Program-Specific" organization chart shall be attached to the Proposal Application and will not count in the page limit for this section of the RFP.

IV. Service Delivery (Do not exceed ten (10) pages).

The APPLICANT shall include a detailed discussion of the APPLICANT'S approach to applicable service activities and management requirements from Section 2 Service Specifications, paragraph III. Scope of Work, including (if indicated) a work plan of all service activities and tasks to be completed, related work assignments/responsibilities and timelines/schedules.

The comprehensive Community Action Plan (Section 5, Attachment H) shall be completed and made an attachment to the proposal. The completed forms will not count in the page limit for this section.

Within this section of the proposal provide additional information to explain how the Community Action Plan:

- Identifies and prioritizes the consequences or substance use in the community that will be targeted through the proposed services.

- Identifies the intervening variables, including risk factors and protective factors, that will be addressed through the proposed services;
- Articulates a vision for prevention activities to address critical needs in a culturally-sensitive manner;
- Describes necessary infrastructure development and includes plans for sustaining the infrastructure and outcomes beyond the funding period;
- Identifies key milestones and outcomes against which to gauge performance, thereby allowing for system improvement and accountability of all parties involved;
- Specifies timelines for the implementation of evidence-based policies, practices and strategies within the broader service system;
- Identifies/coordinates/allocates resources and sources of continued funding for the plan after the contract period;
- Identifies any training required;
- Includes key policies and relationships among stakeholders;
- Involves public and private service systems in creating a seamless continuum of planning and services;
- Includes plans for making adjustments, based on on-going needs assessment activities; and
- Indicates major tasks and timelines for completing the plan.

The proposal shall describe how and when the outcome/performance measures detailed in Section 2 Service Specifications, paragraph III. Scope of Work, subparagraph B. Management Requirements, 4. Output and Performance/Outcome Measurements will be measured.

V. Financial

A. Pricing Structure

The pricing structure for this RFP shall be based on cost reimbursement. The cost reimbursement pricing structure reflects a purchase arrangement in which the State pays the contractor for budgeted costs that are actually incurred in delivering the services specified in the contract, up to a stated maximum obligation.

All budget forms, instructions and samples are located on the SPO website (see Section 1. Administrative Overview, paragraph II Website Reference referred to in this RFP). Only the following budget forms, which are available on the State Procurement Office website, shall be submitted with the proposal application:

1. Form SPO-H205 Budget
2. Form SPO-H205B Organization-Wide Budget By Programs
3. Form SPO-H206A Personnel – Salaries and Wages

4. Form SPO-H206B Personnel – Payroll Taxes, Assessments, and Fringe
5. Form SPO-H206C Travel – Inter-Island
6. Form SPO-H206E Contractual Services – Administrative
7. Form SPO-H206F Contractual Services – Subcontracts
8. Form SPO-H206H Program Activities
9. Form SPO-H206I Equipment Purchases
10. Form SPO-H206J Motor Vehicle

The applicant shall describe how the program outcomes will be sustained if funding from the State Purchasing Agency is reduced or ceases to exist.

B. Other Financial Related Materials

In order to determine the adequacy of the applicant's accounting system as described under the administrative rules, the following documents are requested as part of the proposal application (shall be attached).

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

VI. Other

A. Litigation

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

SECTION 3:

**PROPOSAL
APPLICATION
INSTRUCTIONS**

HTH 440-2B
County of Hawaii

Section 3

Proposal Application Instructions

If applying for more than one sub-RFP, the APPLICANT shall submit a separate proposal for each sub-RFP.

General instructions for completing applications:

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- *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.*
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- *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.*
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- *Financial*
- *Other*

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- Who will implement the prevention service;
- When and where the service will be provided; and
- A statement of the outcomes to be achieved.

II. Experience and Capability (Do 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 demonstrate a thorough understanding of the purpose and scope of the RFP and an understanding of substance abuse prevention principles and practices. The APPLICANT shall also demonstrate the capacity to plan and implement evidence-based prevention services. The APPLICANT should review the guidance resources listed in Section 1 Administrative Overview, paragraph II. Website Reference, Items 12-16.

B. Experience

The APPLICANT shall provide a description of the organization's current and past experience in operationalizing projects/contracts pertinent to the proposed services. The APPLICANT shall provide a narrative describing its experience during the past five (5) years providing:

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A. Staffing

1. Proposed Staffing

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- Indicates major tasks and timelines for completing the plan.

The proposal shall describe how and when the outcome/performance measures detailed in Section 2 Service Specifications, paragraph III Scope of Work, subparagraph B.4. Output and Performance/Outcome Measurements will be measured.

V. Financial

A. Pricing Structure

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2. Cost Allocation Plan, which provides an explanation of how cost is allocated to various sources of funding.

VI. Other

A. Litigation

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

SECTION 3:

**PROPOSAL
APPLICATION
INSTRUCTIONS**

HTH 440-2C
County of Maui

Section 3

Proposal Application Instructions

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- 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.

II. Experience and Capability (Do not exceed three (3) pages).

A. Necessary Skills

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

C. Quality Assurance and Evaluation

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

Please provide the following information on quality assurance procedures:

1. Describe existing or proposed procedures for maintaining an internal quality assurance process to monitor services proposed through the RFP.
2. If the APPLICANT does not have an internal quality assurance program in place, describe how it will collaborate with ADAD to establish quality assurance procedures.
3. The APPLICANT shall describe the methodology used to measure and evaluate achievement of the stated goals. The APPLICANT shall describe how it will maintain successful approaches that lead to achievement of such goals and its process for improving those approaches which do not contribute to successful goal attainment.

D. Coordination of Services

The APPLICANT shall describe how the proposed services will be coordinated with services provided by other agencies and resources in the community. Letters of agreement are required and shall describe the terms of the agreement that the APPLICANT has negotiated with other agencies or organizations. The letters of agreement may be attached to the APPLICANT's proposal and will not count in the page limit for this section of the RFP. The APPLICANT should review the Definitions of Roles in Community Partnerships found in Section 5 of this RFP.

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 special equipment will be obtained or accommodations made to serve populations needing special assistance in order to benefit from the services provided.

III. Project Organization and Staffing (Do not 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. On the Staff Position Chart (Section 5, Attachment G of this RFP), please list all staff who will be responsible for providing each service, including contract oversight functions and direct services to the identified population. For joint ventures, include the number and full-time equivalent of staff and the name of the organization that will employ them. The Staff Position Chart and organization charts may be attached to the proposal and will not count in the page limit for this section.

In the narrative section of the proposal, the APPLICANT shall describe how and by whom supervision will be provided for staff who are pursuing prevention specialist certification.

2. Staff Qualifications

The APPLICANT shall provide the minimum qualifications (including education and experience) for staff assigned to the proposed program. Provide as an attachment to the proposal, the resumes and job descriptions of key staff who will be providing supervision and/or services. On the Staff Position Chart (see Section 5 of the RFP), the APPLICANT shall describe the minimum qualifications for each position and the qualifications of the incumbent. The APPLICANT shall describe its plans for preparing its supervisory staff to qualify as preceptors for staff who are candidates for the International Certification and Reciprocity Consortium/AODA's Certified Substance Abuse Prevention Specialist (CSAPS) credential. Preceptors are individuals responsible for the training and supervision of the CSAPS candidate. Qualifications for the Certified Substance Abuse Prevention Specialist may be found on the International Certification and Reciprocity Consortium/AODA's website: <http://www.icrcaoda.org/CPSstandard.asp>.

B. Project Organization

1. Supervision and Training

The APPLICANT shall describe its ability to supervise and train staff who will be delivering the proposed services. The proposal

should describe how staff will participate in provider meetings or trainings that may be held on another island, and the proposed budget shall include any related meeting and training expenditures.

The APPLICANT shall provide assurance that staff will be given training opportunities and supervision to prepare them for the International Certification and Reciprocity Consortium/AODA's Certified Substance Abuse Prevention Specialist (CSAPS) credential. Supervision of CSAPS candidates shall be provided by a Certified Prevention Specialist (or a person with a bachelors or masters degree and at least one year experience providing prevention services or who is deemed appropriate by ADAD) who is employed or contracted by the program in which the staff gains the qualifying work experience.

2. Organization Chart

The APPLICANT shall reflect the position of each staff and lines of responsibility/supervision. (Include position title, name and full time equivalency). Include organization charts that indicate the names, titles, and lines of authority within the lead organization and within the proposed project. Also include a diagram of how the lead organization relates to other organizations within the partnership and describe who is responsible for oversight functions. Both the diagram describing the partnership and the "Program-Specific" organization chart shall be attached to the Proposal Application and will not count in the page limit for this section of the RFP.

IV. Service Delivery (Do not exceed ten (10) pages).

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

The comprehensive Community Action Plan (Section 5, Attachment **H**) shall be completed and made an attachment to the proposal. The completed forms will not count in the page limit for this section.

Within this section of the proposal provide additional information to explain how the Community Action Plan:

- Identifies and prioritizes the consequences or substance use in the community that will be targeted through the proposed services.

- Identifies the intervening variables, including risk factors and protective factors, that will be addressed through the proposed services;
- Articulates a vision for prevention activities to address critical needs in a culturally-sensitive manner;
- Describes necessary infrastructure development and includes plans for sustaining the infrastructure and outcomes beyond the funding period;
- Identifies key milestones and outcomes against which to gauge performance, thereby allowing for system improvement and accountability of all parties involved;
- Specifies timelines for the implementation of evidence-based policies, practices and strategies within the broader service system;
- Identifies/coordinates/allocates resources and sources of continued funding for the plan after the contract period;
- Identifies any training required;
- Includes key policies and relationships among stakeholders;
- Involves public and private service systems in creating a seamless continuum of planning and services;
- Includes plans for making adjustments, based on on-going needs assessment activities; and
- Indicates major tasks and timelines for completing the plan.

The proposal shall describe how and when the outcome/performance measures detailed in Section 2 Service Specifications, paragraph III Scope of Work, subparagraph B.4. Output and Performance/Outcome Measurements will be measured.

V. Financial

A. Pricing Structure

The pricing structure for this RFP shall be based on cost reimbursement. The cost reimbursement pricing structure reflects a purchase arrangement in which the State pays the contractor for budgeted costs that are actually incurred in delivering the services specified in the contract, up to a stated maximum obligation.

All budget forms, instructions and samples are located on the SPO website (see Section 1 Administrative Overview, paragraph II Website Reference referred to in this RFP). Only the following budget forms, which are available on the State Procurement Office website, shall be submitted with the proposal application:

1. Form SPO-H205 Budget
2. Form SPO-H205B Organization-Wide Budget By Programs
3. Form SPO-H206A Personnel – Salaries and Wages

4. Form SPO-H206B Personnel – Payroll Taxes, Assessments, and Fringe
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7. Form SPO-H206F Contractual Services – Subcontracts
8. Form SPO-H206H Program Activities
9. Form SPO-H206I Equipment Purchases
10. Form SPO-H206J Motor Vehicle

The applicant shall describe how the program outcomes will be sustained if funding from the State Purchasing Agency is reduced or ceases to exist.

B. Other Financial Related Materials

In order to determine the adequacy of the applicant's accounting system as described under the administrative rules, the following documents are requested as part of the proposal application (shall be attached).

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

VI. Other

A. Litigation

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

SECTION 3:

**PROPOSAL
APPLICATION
INSTRUCTIONS**

HTH 440-2D
County of Kauai

Section 3

Proposal Application Instructions

If applying for more than one sub-RFP, the APPLICANT shall submit a separate proposal for each sub-RFP.

General instructions for completing applications:

- *Proposal Applications shall be submitted to the state purchasing agency using the prescribed format outlined in this section.*
- *The numerical outline for the application, the titles/subtitles, and the applicant organization and RFP identification information on the top right hand corner of each page should be retained. The instructions for each section however may be omitted.*
- *Page numbering of the Proposal Application should be consecutive, beginning with page one and continuing through for each section. See sample table of contents in Section 5.*
- *Proposals may be submitted in a three ring binder (Optional).*
- *Tabbing of sections (Recommended).*
- *Applicants must also include a Table of Contents with the Proposal Application. A sample format is reflected in Section 5, Attachment B of this RFP.*
- *A written response is required for **each** item unless indicated otherwise. Failure to answer any of the items will impact upon an applicant's score.*
- *Applicants are **strongly** encouraged to review evaluation criteria in Section 4, Proposal Evaluation when completing the proposal.*
- *This form (SPO-H-200A) is available on the SPO website (see Section 1 Administrative Overview,, paragraph II, Website Reference). However, the form will not include items specific to each RFP. If using the website form, the applicant must include all items listed in this section.*
- *The applicant shall follow the order of sections as they are presented in Section 3 of this RFP. Narratives regarding each specific topic shall be included within the appropriate section of the proposal. References may be made to related discussions located in other sections of the proposal. References shall also be made to any attachments to the proposal that are related to the specific topic.*

The Proposal Application comprises the following sections:

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

I. Program Overview (Do not exceed one (1) page).

The APPLICANT shall give a brief overview to orient evaluators as to the prevention services being offered. 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.

II. Experience and Capability (Do 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 demonstrate a thorough understanding of the purpose and scope of the RFP and an understanding of substance abuse prevention principles and practices. The APPLICANT shall also demonstrate the capacity to plan and implement evidence-based prevention services. The APPLICANT should review the guidance resources listed in Section 1 Administrative Overview, paragraph II. Website Reference, Items 12-16.

B. Experience

The APPLICANT shall provide a description of the organization's current and past experience in operationalizing projects/contracts pertinent to the proposed services. The APPLICANT shall provide a narrative describing its experience during the past five (5) years providing:

- Prevention services,
- Substance abuse specific prevention services,
- Services to the identified population, and
- Services and community relationships within the targeted geographic area.

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

C. Quality Assurance and Evaluation

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

Please provide the following information on quality assurance procedures:

1. Describe existing or proposed procedures for maintaining an internal quality assurance process to monitor services proposed through the RFP.
2. If the APPLICANT does not have an internal quality assurance program in place, describe how it will collaborate with ADAD to establish quality assurance procedures.
3. The APPLICANT shall describe the methodology used to measure and evaluate achievement of the stated goals. The APPLICANT shall describe how it will maintain successful approaches that lead to achievement of such goals and its process for improving those approaches which do not contribute to successful goal attainment.

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III. Project Organization and Staffing (Do not 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. On the Staff Position Chart (Section 5, Attachment G of this RFP), please list all staff who will be responsible for providing each service, including contract oversight functions and direct services to the identified population. For joint ventures, include the number and full-time equivalent of staff and the name of the organization that will employ them. The Staff Position Chart and organization charts may be attached to the proposal and will not count in the page limit for this section.

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- Describes necessary infrastructure development and includes plans for sustaining the infrastructure and outcomes beyond the funding period;
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- Specifies timelines for the implementation of evidence-based policies, practices and strategies within the broader service system;
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The proposal shall describe how and when the outcome/performance measures detailed in Section 2 Service Specifications, paragraph III Scope of Work, subparagraph B.4. Output and Performance/Outcome Measurements will be measured.

V. Financial

A. Pricing Structure

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The applicant shall describe how the program outcomes will be sustained if funding from the State Purchasing Agency is reduced or ceases to exist.

B. Other Financial Related Materials

In order to determine the adequacy of the applicant's accounting system as described under the administrative rules, the following documents are requested as part of the proposal application (shall be attached).

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

VI. Other

A. Litigation

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

SECTION 4: PROPOSAL EVALUATION

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

HTH 440-2A

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

SECTION 4:

**PROPOSAL
EVALUATION**

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

Section 4 Proposal Evaluation

I. Introduction

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

ADAD staff shall screen applications for eligibility and conformity with the specifications in this RFP. To be eligible for review by the evaluation committee, ADAD staff will verify with the proper authority and through a preliminary review of the application that:

1. The application was postmarked on time or received on time.
2. The APPLICANT is in good standing with the State Department of Commerce and Consumer Affairs.
3. If a non-profit organization, the APPLICANT has met the 501(c)(3) standards of the Internal Revenue Service.
4. The entire application is complete, including appendices.

Those applications that fail this eligibility screen will not be reviewed.

II. Evaluation Process

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

The STATE reserves the option to use the same evaluation committee for all counties or to use a separate evaluation committee for each sub-RFP. Separate awards shall be made for each sub-RFP. The STATE reserves the right to increase or decrease funds at its discretion among the four (4) sub-RFPs in order to best meet the needs of the STATE as well as to operate within budgetary limitations.

The evaluation will be conducted in three phases as follows:

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

A. Evaluation Categories and Threshold

EVALUATION CATEGORIES

POSSIBLE POINTS

Administrative Requirements

(Not Scored)

Proposal Application

100 Points

Program Overview	0 Points
Experience and Capability	20 Points
Project Organization and Staffing	15 Points
Service Delivery:	55 Points
Community Assessment	8.70 points
Capacity Building	8.52 points
Planning	13.68 points
Implementation	13.68 points
Evaluation	10.42 points
Financial	10 Points

In the interest of the STATE, ADAD reserves the right to score submitted proposals and determine funding allocations based on the following additional factors:

- Efforts that implement evidence-based prevention approaches that address the individual youth, the family, the school, and the community domains;
- Efforts that ADAD determines provide the best configuration of services statewide to meet the needs of communities and to fill identified resource gaps;
- Efforts that support communities that data indicates have the greatest need due to the consequences of substance use or the existence of a high number of risk factors accompanied by few protective factors;
- Efforts that support community partnerships that are ready to plan, manage, deliver, and evaluate prevention services and that have active involvement by youth and Native Hawaiian organizations.
- Efforts that support community partnerships that are able to achieve and sustain output and outcomes measurements listed in this RFP.

III. Evaluation Criteria

A. Phase 1 - Evaluation of Proposal Requirements

1. Administrative Requirements (Not Scored)

If seeking federal funding the APPLICANT has completed and submitted the **Certifications and Assurances** contained in Section 5, Attachment C of this RFP with its proposal.

The APPLICANT has provided written acknowledgement agreeing to comply with the **Personnel Requirements** in Section 5, Attachment D-1

of this RFP.

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

The APPLICANT has provided written acknowledgement agreeing to comply with the **Quality Assurance and Evaluation Specifications** in Section 5, Attachment D-3.

The **Checklist** and **Table of Contents** are not a basis for rejection if missing, however it is encouraged that the APPLICANT use these tools for assuring completeness of the proposal and easing navigation through the document. Other Administrative Requirements may include registration (if the APPLICANT is not pre-registered) with the State Procurement Office and a tax clearance certificate. (A current tax clearance certificate may be required when a contract is awarded). NOTE: Contracts are not considered executed until the necessary tax clearance and insurance certificates are approved by the funding agency. Successful APPLICANTS are encouraged to obtain such documents as soon as they are notified of the award. Services cannot begin until the contract is executed.

2. Proposal Application Requirements

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

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

ADAD will convene an evaluation committee consisting of State government staff who will conduct a review of each proposal, in accordance with the review criteria. For each county, the evaluation committee will score applications for funding in the priority order of the scores (highest score = most highly recommended for funding). The STATE reserves the option to use the same evaluation committee for all counties or to use a separate evaluation committee for this sub-RFP.

Applications accepted for review shall be evaluated according to the following

criteria. The number of points shown after each heading or subheading is the maximum number of points that the evaluation committee may assign to that category.

SCORING PROCEDURE: For each of the categories, evaluators will read the corresponding section in the APPLICANT’S proposal. They will check “Yes” or “No” on the Rating Sheet to indicate whether the proposal meets the criteria specified in Sections 2 and 3 of the RFP. An appropriate numerical rating will be given for each category as follows:

- If the proposal addresses all of the elements in a logical, comprehensive, detailed manner, an “above satisfactory” rating of three (3) will be given.
- If the proposal addresses all the specified elements for a category as specified in the criteria on the Rating Sheet, a “satisfactory” rating of two (2) will be given.
- If the proposal does not address all of the specified elements a “less than satisfactory” rating of one (1) will be given.
- A rating of zero (0) will be awarded for any category that is “not addressed” in any way.

Any ratings above or below satisfactory (2) will be explained. Comments are optional if the rating is satisfactory (2). The evaluation committee will rate each category on a scale of 0 through 3, then multiply this score by the item weight and convert that rating to a point score. The maximum score for each category is determined by multiplying the weights for each item in the category by three (3), the highest rating possible. For example, the maximum number of points for “Experience and Capability” is 20 points. Ratings will be the consensus of the evaluation panel.

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 proposed services, which shall include the degree to which the APPLICANT describes:

A. Necessary Skills (Maximum = 4 Points)

Documentation of demonstrated skills, abilities, knowledge of, and experience relating to the delivery of the proposed services. The following issues are described:

Criteria	Weight
The APPLICANT has described its history and record of accomplishments in providing substance abuse prevention services.	<u>.34</u>
The APPLICANT has described how the proposed services fit within its mission and the domains identified by any county or coalition plans that may exist.	<u>.33</u>
The APPLICANT has included information or data to support how it	<u>.34</u>

has achieved intended outcomes in the past.	
The APPLICANT has demonstrated a thorough understanding of the purpose and scope of the service activity.	<u>.32</u>

B. Experience (Maximum of 3 Points)

The APPLICANT shall provide a listing of verifiable experience with projects or contracts for the most recent five years that are pertinent to the proposed services. APPLICANTS and partnering organizations have documented a minimum of one year experience in the provision of prevention services or other services to youth in the specific community for which services are proposed.

Criteria	Weight
The APPLICANT has listed government or foundation-funded contracts or projects of similar size and complexity that it has managed and has named the funding source.	<u>.35</u>
The APPLICANT has experience in partnering with other organizations in the management and implementation of projects.	<u>.34</u>
The APPLICANT will collaborate in the delivery of the proposed services with organizations that have appropriate experience in providing prevention or related services to youth.	<u>.31</u>

C. Coordination of Services (Maximum of 9 Points)

The APPLICANT has documented its capability to coordinate services with other organizations and resources in the community. The following issues are described in detail:

Criteria	Weight
The proposal describes the administrative responsibilities of the APPLICANT to other organizations and stakeholders in the implementation and evaluation processes.	<u>.33</u>
The proposal describes how communications and logistical support will occur during the implementation and evaluation stages of the project.	<u>.30</u>
The proposal describes the procedures used for recruiting a broadly representative community partnership.	<u>.30</u>
The proposal describes the APPLICANT'S procedures for developing and administrating sub-contracts, if any.	<u>.33</u>
The proposal describes the management controls for ensuring that partnering organizations (sub-contractors) are meeting their responsibilities for providing services and for data collection.	<u>.36</u>

The proposal describes procedures for informing ADAD of any sub-contractor activities.	<u>.33</u>
The proposal clearly delineates the roles and resources of the APPLICANT and partner organizations and other stakeholders.	<u>.36</u>
The proposal describes how the partnership collaborated to respond to the RFP.	<u>.33</u>
The proposal describes procedures for working together to implement prevention activities.	<u>.36</u>

D. Quality Assurance and Evaluation (Maximum of 3 Points)

Documentation of an adequate quality assurance and evaluation capability is described. The following issues are described:

Criteria	Weight
The APPLICANT has adequate quality assurance systems in place or describes proposed establishment of appropriate procedures.	<u>.19</u>
The APPLICANT describes an adequate procedure for documenting its processes of community mobilization and planning.	<u>.21</u>
The APPLICANT describes an adequate approach to outcome evaluation.	<u>.21</u>
The proposal describes the responsibilities of the APPLICANT, partnering organizations, and stakeholders in the evaluation process.	<u>.19</u>
The APPLICANT has Internet capacity to use web-based evaluation systems.	<u>.20</u>

E. Facilities (Maximum of 1 point)

Facilities that will be used are described and are appropriate to the proposed services.

Criteria	Weight
The proposal describes the facilities and their accessibility to persons with physically-handicapping conditions.	<u>.170</u>
The APPLICANT has described how accommodations will be made for persons with other types of handicapping conditions.	<u>.163</u>

(2) *Project Organization and Staffing* (Maximum of 15 Points)

The State will evaluate the APPLICANT’S overall staffing approach to the service, including staffing patterns, participant/staff ratio, and proposed program participant capacity, as to its reasonableness to insure the viability of the service:

Criteria	Weight
Organization charts are provided for the proposed project, including the APPLICANT and partner organizations that are providing services.	<u>.59</u>
The Staff Position Chart reflects <u>all</u> of the following: staff name (or “to be hired”), title, qualifications for the position, the incumbent’s qualifications, full-time equivalency to the organization and to the project, and supervisor’s name and title.	<u>.69</u>
A diagram is provided to describe how the APPLICANT and partner organizations relate to each other in the delivery, and evaluation of services.	<u>.60</u>
The organizational affiliation of all staff is clearly stated.	<u>.60</u>
A rationale for the proposed staffing pattern is provided	<u>.60</u>
The proposal includes job descriptions and minimum qualifications of all key staff.	<u>.61</u>
Resumes of identified key staff are provided.	<u>.61</u>
The proposal describes the APPLICANT’S capability to supervise, train, and provide administrative support to staff, including those meeting requirements for the Certified Substance Abuse Prevention Specialist certification.	<u>.70</u>

(3) Service Delivery (Maximum of 55 Points)

Proposal evaluation criteria for this section are based on the APPLICANT’S response to information requested in Section 3 of the RFP. The evaluation committee will assess the APPLICANT’S capacity to do the following:

- Describe the community’s substance use related consequences and intervening variables (including risk and protective factors);
- Describe the community’s readiness to provide prevention services or impact public attitudes and policies regarding substance use;
- Mobilize the community or build community capacity by coordinating with other resources;
- Develop a comprehensive community action plan that logically addresses community circumstances related to substance use through evidence-based programs, practices, and strategies;
- Implement the action plan in coordination with other community organizations and with cultural competence.

- Monitor the implementation process, evaluate effectiveness, sustain effective programs/strategies, and improve or replace those that do not meet the intended outcomes.

Community Assessment	
Criteria	Weight
Based on the epidemiological data collected and reviewed by stakeholders and key informants, the proposal describes community demographics, the consequences of substance use and abuse, intervening variables (including risk and protective factors) and populations most at risk.	<u>.60</u>
The APPLICANT has provided an assessment of the community's readiness for mobilization and planning based on focus groups, key informant surveys, or other means.	<u>.58</u>
The APPLICANT has described the community's strengths, challenges, and its most pressing prevention needs and service gaps.	<u>.57</u>
The proposal details how the target population(s) was/were selected and the appropriate level(s) of prevention services (Universal, Selected, or Indicated) was/were determined.	<u>.58</u>
The proposal describes the proposed eligibility criteria for prevention services, strategies for recruiting participants from the target population, and how it will ensure the ongoing involvement of targeted populations.	<u>.57</u>

Capacity Building	
Criteria	Weight
The APPLICANT has described its general approach to forming and maintaining a partnership with other community organizations.	<u>.56</u>
The APPLICANT has identified committed or potential partners and has described the community sector represented by each partner as well as the nature of their contributions in planning, implementing, and evaluating the Community Action Plan.	<u>.56</u>
The APPLICANT has discussed how it will sustain the partnership.	<u>.59</u>
The APPLICANT has described how key stakeholders at the State, County, and community levels will be engaged to plan and implement successful prevention activities that will be sustained over time.	<u>.58</u>
The description identifies who will be responsible for key tasks such as convening stakeholders, building coalitions, training community stakeholders, organizing networks, leveraging resources, and engaging stakeholders to help implement and sustain	<u>.57</u>

the activities.	
The APPLICANT has described existing and/or potential substance abuse prevention resources in the community and identified which of these resources will be involved with the project. The discussion includes a description of how the partnership will coordinate services with those not directly involved in the partnership. The proposal has described how the partnership will attempt to fill identified service gaps.	<u>.56</u>

Planning	
Criteria	Weight
The APPLICANT has provided information on the partnership's proposed approach to community planning using the assessment, capacity building, planning, implementation, and evaluation approach.	<u>.56</u>
The APPLICANT has articulated a vision for the community and has suggested strategies for prioritizing, organizing and implementing prevention efforts to address critical needs.	<u>.56</u>
The APPLICANT has described how the Community Action Plan will be based on documented needs and built on identified resources/strengths.	<u>.57</u>
The proposal describes an approach for using outcome and performance measures, for monitoring progress against baseline data, and adjusting plans as the result of ongoing needs assessment and monitoring activities.	<u>.58</u>
The APPLICANT has described how the issue of sustainability will be addressed throughout each step of planning and implementation and how the partnership plans to create a long-term strategy to sustain policies, programs and practices.	<u>.57</u>
The APPLICANT has also described potential training issues regarding infrastructure development and the implementation and evaluation of evidence-based policies, programs, and practices, including the role of technical assistance consultants and the logistics of their participation.	<u>.58</u>
The APPLICANT has included a timeline presenting a logical sequence of essential tasks to be completed and key milestones to be achieved in implementing and managing the proposed prevention activities.	<u>.58</u>
The Community Action Plan includes the names or titles of persons responsible for accomplishing tasks.	<u>.56</u>

Implementation	
Criteria	Weight
The APPLICANT has demonstrated that local needs assessments guided program selection and has described how the potential programs, policies, and practices logically relate to the populations, risk and protective factors, and outcomes targeted in the community.	<u>.57</u>
The APPLICANT has identified evidence-based prevention programs from the National Registry of Effective Programs and Practices (NREPP) that address the intervening variables and are appropriate for the population to be impacted by the services.	<u>.58</u>
The APPLICANT has described the level of scientific rigor, if any, that has been met, if any, by innovative programs.	<u>.58</u>
The APPLICANT has identified the target population by the relevant Institute of Medicine categories.	<u>.57</u>
The proposal describes how culturally competent adaptations might be made without sacrificing the core elements of the program.	<u>.57</u>
The APPLICANT has described how evidence-based curricula will be acquired, including the purchase cost of curricula, materials and training before implementing these programs.	<u>.56</u>
The APPLICANT has described daily operational procedures for monitoring timelines, keeping track of finances, keeping “tally” of persons served, and monitoring staff’s performance.	<u>.56</u>
The proposal describes administrative procedures including meeting with partners or evaluators, sharing evaluation results with staff and partners, making partners aware of the project’s status, and preparing fiscal and programmatic reports required by ADAD.	<u>.57</u>

Evaluation	
Criteria	Weight
The APPLICANT describes how the partnership will play a critical role in providing on-going monitoring and evaluation of all activities, as well as participating in training and technical assistance regarding evaluation and performance measurement.	<u>.57</u>
The proposal describes how the APPLICANT will assess program effectiveness, ensure service delivery quality, identify successes, encourage needed improvement, and promote sustainability of effective policies, programs, and practices.	<u>.59</u>
The APPLICANT ensures the timely submission of performance data to ADAD on a regular basis, as described in Section 2, III. Scope of Work B.3, Quality Assurance and Evaluation, of this RFP.	<u>.59</u>
The APPLICANT ensures that the partnership is prepared to adjust their implementation plans based on the results of	<u>.57</u>

monitoring/evaluation activities.	
The APPLICANT has specified baseline data against which progress and outcomes of the evidence-based program can be measured.	<u>.58</u>
The APPLICANT has formulated preliminary immediate, intermediate, and long-range outcomes.	<u>.58</u>

(4) Financial (Maximum of 10 Points)

In order to determine the adequacy of the APPLICANT’S accounting system, the APPLICANT has submitted with their proposal a copy of their most recent financial audit including any management letter that accompanied that audit.

The APPLICANT has described a pricing structure based on cost reimbursement:

Criteria	Weight
For pricing structure based on cost reimbursement, personal costs are reasonable and comparable to the positions in the community.	<u>.47</u>
Non-personnel costs are reasonable and adequately justified.	<u>.48</u>
The budget supports the scope of service and requirements of the RFP.	<u>.47</u>
The APPLICANT’s proposed budget is reasonable, given program resources and operational capacity.	<u>.48</u>
The APPLICANT has budgeted for trips to attend quarterly prevention provider meetings.	<u>.47</u>
The cost allocation worksheet includes an explanation of how costs are allocated to various programs.	<u>.48</u>
The Single Audit Report or Financial Audit indicates minimal or no material deficiencies.	<u>.48</u>

IV. Phase 3 - Recommendation for Award

Each notice of award shall contain a statement of findings and decision for the award or non-award of the contract to each applicant. 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 4:

**PROPOSAL
EVALUATION**

HTH 440-2B
County of Hawaii

Section 4 Proposal Evaluation

I. Introduction

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

ADAD staff shall screen applications for eligibility and conformity with the specifications in this RFP. To be eligible for review by the evaluation committee, ADAD staff will verify with the proper authority and through a preliminary review of the application that:

1. The application was postmarked on time or received on time.
2. The APPLICANT is in good standing with the State Department of Commerce and Consumer Affairs.
3. If a non-profit organization, the APPLICANT has met the 501(c)(3) standards of the Internal Revenue Service.
4. The entire application is complete, including appendices.

Those applications that fail this eligibility screen will not be reviewed.

II. Evaluation Process

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

The STATE reserves the option to use the same evaluation committee for all counties or to use a separate evaluation committee for each sub-RFP. Separate awards shall be made for each sub-RFP. The STATE reserves the right to increase or decrease funds at its discretion among the four (4) sub-RFPs in order to best meet the needs of the STATE as well as to operate within budgetary limitations.

The evaluation will be conducted in three phases as follows:

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

A. Evaluation Categories and Threshold

EVALUATION CATEGORIES

POSSIBLE POINTS

Administrative Requirements

(Not Scored)

Proposal Application

100 Points

Program Overview		0 Points
Experience and Capability		20 Points
Project Organization and Staffing		15 Points
Service Delivery:		55 Points
Community Assessment	8.70 points	
Capacity Building	8.52 points	
Planning	13.68 points	
Implementation	13.68 points	
Evaluation	10.42 points	
Financial		10 Points

In the interest of the STATE, ADAD reserves the right to score submitted proposals and determine funding allocations based on the following additional factors:

- Efforts that implement evidence-based prevention approaches that address the individual youth, the family, the school, and the community domains;
- Efforts that ADAD determines provide the best configuration of services statewide to meet the needs of communities and to fill identified resource gaps;
- Efforts that support communities that data indicates have the greatest need due to the consequences of substance use or the existence of a high number of risk factors accompanied by few protective factors;
- Efforts that support community partnerships that are ready to plan, manage, deliver, and evaluate prevention services and that have active involvement by youth and Native Hawaiian organizations.
- Efforts that support community partnerships that are able to achieve and sustain output and outcomes measurements listed in this RFP.

III. Evaluation Criteria

A. Phase 1 - Evaluation of Proposal Requirements

1. Administrative Requirements (Not Scored)

If seeking federal funding the APPLICANT has completed and submitted the **Certifications and Assurances** contained in Section 5, Attachment C of this RFP with its proposal.

The APPLICANT has provided written acknowledgement agreeing to comply with the **Personnel Requirements** in Section 5, Attachment D-1

of this RFP.

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

The APPLICANT has provided written acknowledgement agreeing to comply with the **Quality Assurance and Evaluation Specifications** in Section 5, Attachment D-3.

The **Checklist** and **Table of Contents** are not a basis for rejection if missing, however it is encouraged that the APPLICANT use these tools for assuring completeness of the proposal and easing navigation through the document. Other Administrative Requirements may include registration (if the APPLICANT is not pre-registered) with the State Procurement Office and a tax clearance certificate. (A current tax clearance certificate may be required when a contract is awarded). NOTE: Contracts are not considered executed until the necessary tax clearance and insurance certificates are approved by the funding agency. Successful APPLICANTS are encouraged to obtain such documents as soon as they are notified of the award. Services cannot begin until the contract is executed.

2. Proposal Application Requirements

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

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

ADAD will convene an evaluation committee consisting of State government staff who will conduct a review of each proposal, in accordance with the review criteria. For each county, the evaluation committee will score applications for funding in the priority order of the scores (highest score = most highly recommended for funding). The STATE reserves the option to use the same evaluation committee for all counties or to use a separate evaluation committee for this sub-RFP.

Applications accepted for review shall be evaluated according to the following

criteria. The number of points shown after each heading or subheading is the maximum number of points that the evaluation committee may assign to that category.

SCORING PROCEDURE: For each of the categories, evaluators will read the corresponding section in the APPLICANT’S proposal. They will check “Yes” or “No” on the Rating Sheet to indicate whether the proposal meets the criteria specified in Sections 2 and 3 of the RFP. An appropriate numerical rating will be given for each category as follows:

- If the proposal addresses all of the elements in a logical, comprehensive, detailed manner, an “above satisfactory” rating of three (3) will be given.
- If the proposal addresses all the specified elements for a category as specified in the criteria on the Rating Sheet, a “satisfactory” rating of two (2) will be given.
- If the proposal does not address all of the specified elements a “less than satisfactory” rating of one (1) will be given.
- A rating of zero (0) will be awarded for any category that is “not addressed” in any way.

Any ratings above or below satisfactory (2) will be explained. Comments are optional if the rating is satisfactory (2). The evaluation committee will rate each category on a scale of 0 through 3, then multiply this score by the item weight and convert that rating to a point score. The maximum score for each category is determined by multiplying the weights for each item in the category by three (3), the highest rating possible. For example, the maximum number of points for “Experience and Capability” is 20 points. Ratings will be the consensus of the evaluation panel.

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 proposed services, which shall include the degree to which the APPLICANT describes:

A. Necessary Skills (Maximum = 4 Points)

Documentation of demonstrated skills, abilities, knowledge of, and experience relating to the delivery of the proposed services. The following issues are described:

Criteria	Weight
The APPLICANT has described its history and record of accomplishments in providing substance abuse prevention services.	<u>.34</u>
The APPLICANT has described how the proposed services fit within its mission and the domains identified by any county or coalition plans that may exist.	<u>.33</u>
The APPLICANT has included information or data to support how it	<u>.34</u>

has achieved intended outcomes in the past.	
The APPLICANT has demonstrated a thorough understanding of the purpose and scope of the service activity.	<u>.32</u>

B. Experience (Maximum of 3 Points)

The APPLICANT shall provide a listing of verifiable experience with projects or contracts for the most recent five years that are pertinent to the proposed services. APPLICANTS and partnering organizations have documented a minimum of one year experience in the provision of prevention services or other services to youth in the specific community for which services are proposed.

Criteria	Weight
The APPLICANT has listed government or foundation-funded contracts or projects of similar size and complexity that it has managed and has named the funding source.	<u>.35</u>
The APPLICANT has experience in partnering with other organizations in the management and implementation of projects.	<u>.34</u>
The APPLICANT will collaborate in the delivery of the proposed services with organizations that have appropriate experience in providing prevention or related services to youth.	<u>.31</u>

C. Coordination of Services (Maximum of 9 Points)

The APPLICANT has documented its capability to coordinate services with other organizations and resources in the community. The following issues are described in detail:

Criteria	Weight
The proposal describes the administrative responsibilities of the APPLICANT to other organizations and stakeholders in the implementation and evaluation processes.	<u>.33</u>
The proposal describes how communications and logistical support will occur during the implementation and evaluation stages of the project.	<u>.30</u>
The proposal describes the procedures used for recruiting a broadly representative community partnership.	<u>.30</u>
The proposal describes the APPLICANT'S procedures for developing and administrating sub-contracts, if any.	<u>.33</u>
The proposal describes the management controls for ensuring that partnering organizations (sub-contractors) are meeting their responsibilities for providing services and for data collection.	<u>.36</u>

The proposal describes procedures for informing ADAD of any sub-contractor activities.	<u>.33</u>
The proposal clearly delineates the roles and resources of the APPLICANT and partner organizations and other stakeholders.	<u>.36</u>
The proposal describes how the partnership collaborated to respond to the RFP.	<u>.33</u>
The proposal describes procedures for working together to implement prevention activities.	<u>.36</u>

D. Quality Assurance and Evaluation (Maximum of 3 Points)

Documentation of an adequate quality assurance and evaluation capability is described. The following issues are described:

Criteria	Weight
The APPLICANT has adequate quality assurance systems in place or describes proposed establishment of appropriate procedures.	<u>.19</u>
The APPLICANT describes an adequate procedure for documenting its processes of community mobilization and planning.	<u>.21</u>
The APPLICANT describes an adequate approach to outcome evaluation.	<u>.21</u>
The proposal describes the responsibilities of the APPLICANT, partnering organizations, and stakeholders in the evaluation process.	<u>.19</u>
The APPLICANT has Internet capacity to use web-based evaluation systems.	<u>.20</u>

E. Facilities (Maximum of 1 point)

Facilities that will be used are described and are appropriate to the proposed services.

Criteria	Weight
The proposal describes the facilities and their accessibility to persons with physically-handicapping conditions.	<u>.170</u>
The APPLICANT has described how accommodations will be made for persons with other types of handicapping conditions.	<u>.163</u>

(2) *Project Organization and Staffing* (Maximum of 15 Points)

The State will evaluate the APPLICANT’S overall staffing approach to the service, including staffing patterns, participant/staff ratio, and proposed program participant capacity, as to its reasonableness to insure the viability of the service:

Criteria	Weight
Organization charts are provided for the proposed project, including the APPLICANT and partner organizations that are providing services.	<u>.59</u>
The Staff Position Chart reflects <u>all</u> of the following: staff name (or “to be hired”), title, qualifications for the position, the incumbent’s qualifications, full-time equivalency to the organization and to the project, and supervisor’s name and title.	<u>.69</u>
A diagram is provided to describe how the APPLICANT and partner organizations relate to each other in the delivery, and evaluation of services.	<u>.60</u>
The organizational affiliation of all staff is clearly stated.	<u>.60</u>
A rationale for the proposed staffing pattern is provided	<u>.60</u>
The proposal includes job descriptions and minimum qualifications of all key staff.	<u>.61</u>
Resumes of identified key staff are provided.	<u>.61</u>
The proposal describes the APPLICANT’S capability to supervise, train, and provide administrative support to staff, including those meeting requirements for the Certified Substance Abuse Prevention Specialist certification.	<u>.70</u>

(3) Service Delivery (Maximum of 55 Points)

Proposal evaluation criteria for this section are based on the APPLICANT’S response to information requested in Section 3 of the RFP. The evaluation committee will assess the APPLICANT’S capacity to do the following:

- Describe the community’s substance use related consequences and intervening variables (including risk and protective factors);
- Describe the community’s readiness to provide prevention services or impact public attitudes and policies regarding substance use;
- Mobilize the community or build community capacity by coordinating with other resources;
- Develop a comprehensive community action plan that logically addresses community circumstances related to substance use through evidence-based programs, practices, and strategies;
- Implement the action plan in coordination with other community organizations and with cultural competence.

- Monitor the implementation process, evaluate effectiveness, sustain effective programs/strategies, and improve or replace those that do not meet the intended outcomes.

Community Assessment	
Criteria	Weight
Based on the epidemiological data collected and reviewed by stakeholders and key informants, the proposal describes community demographics, the consequences of substance use and abuse, intervening variables (including risk and protective factors) and populations most at risk.	<u>.60</u>
The APPLICANT has provided an assessment of the community's readiness for mobilization and planning based on focus groups, key informant surveys, or other means.	<u>.58</u>
The APPLICANT has described the community's strengths, challenges, and its most pressing prevention needs and service gaps.	<u>.57</u>
The proposal details how the target population(s) was/were selected and the appropriate level(s) of prevention services (Universal, Selected, or Indicated) was/were determined.	<u>.58</u>
The proposal describes the proposed eligibility criteria for prevention services, strategies for recruiting participants from the target population, and how it will ensure the ongoing involvement of targeted populations.	<u>.57</u>

Capacity Building	
Criteria	Weight
The APPLICANT has described its general approach to forming and maintaining a partnership with other community organizations.	<u>.56</u>
The APPLICANT has identified committed or potential partners and has described the community sector represented by each partner as well as the nature of their contributions in planning, implementing, and evaluating the Community Action Plan.	<u>.56</u>
The APPLICANT has discussed how it will sustain the partnership.	<u>.59</u>
The APPLICANT has described how key stakeholders at the State, County, and community levels will be engaged to plan and implement successful prevention activities that will be sustained over time.	<u>.58</u>
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the activities.	
The APPLICANT has described existing and/or potential substance abuse prevention resources in the community and identified which of these resources will be involved with the project. The discussion includes a description of how the partnership will coordinate services with those not directly involved in the partnership. The proposal has described how the partnership will attempt to fill identified service gaps.	<u>.56</u>

Planning	
Criteria	Weight
The APPLICANT has provided information on the partnership's proposed approach to community planning using the assessment, capacity building, planning, implementation, and evaluation approach.	<u>.56</u>
The APPLICANT has articulated a vision for the community and has suggested strategies for prioritizing, organizing and implementing prevention efforts to address critical needs.	<u>.56</u>
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The Community Action Plan includes the names or titles of persons responsible for accomplishing tasks.	<u>.56</u>

Implementation	
Criteria	Weight
The APPLICANT has demonstrated that local needs assessments guided program selection and has described how the potential programs, policies, and practices logically relate to the populations, risk and protective factors, and outcomes targeted in the community.	<u>.57</u>
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The proposal describes how culturally competent adaptations might be made without sacrificing the core elements of the program.	<u>.57</u>
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Evaluation	
Criteria	Weight
The APPLICANT describes how the partnership will play a critical role in providing on-going monitoring and evaluation of all activities, as well as participating in training and technical assistance regarding evaluation and performance measurement.	<u>.57</u>
The proposal describes how the APPLICANT will assess program effectiveness, ensure service delivery quality, identify successes, encourage needed improvement, and promote sustainability of effective policies, programs, and practices.	<u>.59</u>
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monitoring/evaluation activities.	
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(4) Financial (Maximum of 10 Points)

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Criteria	Weight
For pricing structure based on cost reimbursement, personal costs are reasonable and comparable to the positions in the community.	<u>.47</u>
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The APPLICANT’s proposed budget is reasonable, given program resources and operational capacity.	<u>.48</u>
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The cost allocation worksheet includes an explanation of how costs are allocated to various programs.	<u>.48</u>
The Single Audit Report or Financial Audit indicates minimal or no material deficiencies.	<u>.48</u>

IV. Phase 3 - Recommendation for Award

Each notice of award shall contain a statement of findings and decision for the award or non-award of the contract to each applicant. 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 4:

**PROPOSAL
EVALUATION**

HTH 440-2C
County of Maui

Section 4 Proposal Evaluation

I. Introduction

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

ADAD staff shall screen applications for eligibility and conformity with the specifications in this RFP. To be eligible for review by the evaluation committee, ADAD staff will verify with the proper authority and through a preliminary review of the application that:

1. The application was postmarked on time or received on time.
2. The APPLICANT is in good standing with the State Department of Commerce and Consumer Affairs.
3. If a non-profit organization, the APPLICANT has met the 501(c)(3) standards of the Internal Revenue Service.
4. The entire application is complete, including appendices.

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II. Evaluation Process

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

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

A. Evaluation Categories and Threshold

EVALUATION CATEGORIES

POSSIBLE POINTS

Administrative Requirements

(Not Scored)

Proposal Application

100 Points

Program Overview	0 Points
Experience and Capability	20 Points
Project Organization and Staffing	15 Points
Service Delivery:	55 Points
Community Assessment	8.70 points
Capacity Building	8.52 points
Planning	13.68 points
Implementation	13.68 points
Evaluation	10.42 points
Financial	10 Points

In the interest of the STATE, ADAD reserves the right to score submitted proposals and determine funding allocations based on the following additional factors:

- Efforts that implement evidence-based prevention approaches that address the individual youth, the family, the school, and the community domains;
- Efforts that ADAD determines provide the best configuration of services statewide to meet the needs of communities and to fill identified resource gaps;
- Efforts that support communities that data indicates have the greatest need due to the consequences of substance use or the existence of a high number of risk factors accompanied by few protective factors;
- Efforts that support community partnerships that are ready to plan, manage, deliver, and evaluate prevention services and that have active involvement by youth and Native Hawaiian organizations.
- Efforts that support community partnerships that are able to achieve and sustain output and outcomes measurements listed in this RFP.

III. Evaluation Criteria

A. Phase 1 - Evaluation of Proposal Requirements

1. Administrative Requirements (Not Scored)

If seeking federal funding the APPLICANT has completed and submitted the **Certifications and Assurances** contained in Section 5, Attachment C of this RFP with its proposal.

The APPLICANT has provided written acknowledgement agreeing to comply with the **Personnel Requirements** in Section 5, Attachment D-1

of this RFP.

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

The APPLICANT has provided written acknowledgement agreeing to comply with the **Quality Assurance and Evaluation Specifications** in Section 5, Attachment D-3.

The **Checklist** and **Table of Contents** are not a basis for rejection if missing, however it is encouraged that the APPLICANT use these tools for assuring completeness of the proposal and easing navigation through the document. Other Administrative Requirements may include registration (if the APPLICANT is not pre-registered) with the State Procurement Office and a tax clearance certificate. (A current tax clearance certificate may be required when a contract is awarded). NOTE: Contracts are not considered executed until the necessary tax clearance and insurance certificates are approved by the funding agency. Successful APPLICANTS are encouraged to obtain such documents as soon as they are notified of the award. Services cannot begin until the contract is executed.

2. Proposal Application Requirements

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

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

ADAD will convene an evaluation committee consisting of State government staff who will conduct a review of each proposal, in accordance with the review criteria. For each county, the evaluation committee will score applications for funding in the priority order of the scores (highest score = most highly recommended for funding). The STATE reserves the option to use the same evaluation committee for all counties or to use a separate evaluation committee for this sub-RFP.

Applications accepted for review shall be evaluated according to the following

criteria. The number of points shown after each heading or subheading is the maximum number of points that the evaluation committee may assign to that category.

SCORING PROCEDURE: For each of the categories, evaluators will read the corresponding section in the APPLICANT’S proposal. They will check “Yes” or “No” on the Rating Sheet to indicate whether the proposal meets the criteria specified in Sections 2 and 3 of the RFP. An appropriate numerical rating will be given for each category as follows:

- If the proposal addresses all of the elements in a logical, comprehensive, detailed manner, an “above satisfactory” rating of three (3) will be given.
- If the proposal addresses all the specified elements for a category as specified in the criteria on the Rating Sheet, a “satisfactory” rating of two (2) will be given.
- If the proposal does not address all of the specified elements a “less than satisfactory” rating of one (1) will be given.
- A rating of zero (0) will be awarded for any category that is “not addressed” in any way.

Any ratings above or below satisfactory (2) will be explained. Comments are optional if the rating is satisfactory (2). The evaluation committee will rate each category on a scale of 0 through 3, then multiply this score by the item weight and convert that rating to a point score. The maximum score for each category is determined by multiplying the weights for each item in the category by three (3), the highest rating possible. For example, the maximum number of points for “Experience and Capability” is 20 points. Ratings will be the consensus of the evaluation panel.

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 proposed services, which shall include the degree to which the APPLICANT describes:

A. Necessary Skills (Maximum = 4 Points)

Documentation of demonstrated skills, abilities, knowledge of, and experience relating to the delivery of the proposed services. The following issues are described:

Criteria	Weight
The APPLICANT has described its history and record of accomplishments in providing substance abuse prevention services.	<u>.34</u>
The APPLICANT has described how the proposed services fit within its mission and the domains identified by any county or coalition plans that may exist.	<u>.33</u>
The APPLICANT has included information or data to support how it	<u>.34</u>

has achieved intended outcomes in the past.	
The APPLICANT has demonstrated a thorough understanding of the purpose and scope of the service activity.	<u>.32</u>

B. Experience (Maximum of 3 Points)

The APPLICANT shall provide a listing of verifiable experience with projects or contracts for the most recent five years that are pertinent to the proposed services. APPLICANTS and partnering organizations have documented a minimum of one year experience in the provision of prevention services or other services to youth in the specific community for which services are proposed.

Criteria	Weight
The APPLICANT has listed government or foundation-funded contracts or projects of similar size and complexity that it has managed and has named the funding source.	<u>.35</u>
The APPLICANT has experience in partnering with other organizations in the management and implementation of projects.	<u>.34</u>
The APPLICANT will collaborate in the delivery of the proposed services with organizations that have appropriate experience in providing prevention or related services to youth.	<u>.31</u>

C. Coordination of Services (Maximum of 9 Points)

The APPLICANT has documented its capability to coordinate services with other organizations and resources in the community. The following issues are described in detail:

Criteria	Weight
The proposal describes the administrative responsibilities of the APPLICANT to other organizations and stakeholders in the implementation and evaluation processes.	<u>.33</u>
The proposal describes how communications and logistical support will occur during the implementation and evaluation stages of the project.	<u>.30</u>
The proposal describes the procedures used for recruiting a broadly representative community partnership.	<u>.30</u>
The proposal describes the APPLICANT'S procedures for developing and administrating sub-contracts, if any.	<u>.33</u>
The proposal describes the management controls for ensuring that partnering organizations (sub-contractors) are meeting their responsibilities for providing services and for data collection.	<u>.36</u>

The proposal describes procedures for informing ADAD of any sub-contractor activities.	<u>.33</u>
The proposal clearly delineates the roles and resources of the APPLICANT and partner organizations and other stakeholders.	<u>.36</u>
The proposal describes how the partnership collaborated to respond to the RFP.	<u>.33</u>
The proposal describes procedures for working together to implement prevention activities.	<u>.36</u>

D. Quality Assurance and Evaluation (Maximum of 3 Points)

Documentation of an adequate quality assurance and evaluation capability is described. The following issues are described:

Criteria	Weight
The APPLICANT has adequate quality assurance systems in place or describes proposed establishment of appropriate procedures.	<u>.19</u>
The APPLICANT describes an adequate procedure for documenting its processes of community mobilization and planning.	<u>.21</u>
The APPLICANT describes an adequate approach to outcome evaluation.	<u>.21</u>
The proposal describes the responsibilities of the APPLICANT, partnering organizations, and stakeholders in the evaluation process.	<u>.19</u>
The APPLICANT has Internet capacity to use web-based evaluation systems.	<u>.20</u>

E. Facilities (Maximum of 1 point)

Facilities that will be used are described and are appropriate to the proposed services.

Criteria	Weight
The proposal describes the facilities and their accessibility to persons with physically-handicapping conditions.	<u>.170</u>
The APPLICANT has described how accommodations will be made for persons with other types of handicapping conditions.	<u>.163</u>

(2) *Project Organization and Staffing* (Maximum of 15 Points)

The State will evaluate the APPLICANT’S overall staffing approach to the service, including staffing patterns, participant/staff ratio, and proposed program participant capacity, as to its reasonableness to insure the viability of the service:

Criteria	Weight
Organization charts are provided for the proposed project, including the APPLICANT and partner organizations that are providing services.	<u>.59</u>
The Staff Position Chart reflects <u>all</u> of the following: staff name (or “to be hired”), title, qualifications for the position, the incumbent’s qualifications, full-time equivalency to the organization and to the project, and supervisor’s name and title.	<u>.69</u>
A diagram is provided to describe how the APPLICANT and partner organizations relate to each other in the delivery, and evaluation of services.	<u>.60</u>
The organizational affiliation of all staff is clearly stated.	<u>.60</u>
A rationale for the proposed staffing pattern is provided	<u>.60</u>
The proposal includes job descriptions and minimum qualifications of all key staff.	<u>.61</u>
Resumes of identified key staff are provided.	<u>.61</u>
The proposal describes the APPLICANT’S capability to supervise, train, and provide administrative support to staff, including those meeting requirements for the Certified Substance Abuse Prevention Specialist certification.	<u>.70</u>

(3) Service Delivery (Maximum of 55 Points)

Proposal evaluation criteria for this section are based on the APPLICANT’S response to information requested in Section 3 of the RFP. The evaluation committee will assess the APPLICANT’S capacity to do the following:

- Describe the community’s substance use related consequences and intervening variables (including risk and protective factors);
- Describe the community’s readiness to provide prevention services or impact public attitudes and policies regarding substance use;
- Mobilize the community or build community capacity by coordinating with other resources;
- Develop a comprehensive community action plan that logically addresses community circumstances related to substance use through evidence-based programs, practices, and strategies;
- Implement the action plan in coordination with other community organizations and with cultural competence.

- Monitor the implementation process, evaluate effectiveness, sustain effective programs/strategies, and improve or replace those that do not meet the intended outcomes.

Community Assessment	
Criteria	Weight
Based on the epidemiological data collected and reviewed by stakeholders and key informants, the proposal describes community demographics, the consequences of substance use and abuse, intervening variables (including risk and protective factors) and populations most at risk.	<u>.60</u>
The APPLICANT has provided an assessment of the community's readiness for mobilization and planning based on focus groups, key informant surveys, or other means.	<u>.58</u>
The APPLICANT has described the community's strengths, challenges, and its most pressing prevention needs and service gaps.	<u>.57</u>
The proposal details how the target population(s) was/were selected and the appropriate level(s) of prevention services (Universal, Selected, or Indicated) was/were determined.	<u>.58</u>
The proposal describes the proposed eligibility criteria for prevention services, strategies for recruiting participants from the target population, and how it will ensure the ongoing involvement of targeted populations.	<u>.57</u>

Capacity Building	
Criteria	Weight
The APPLICANT has described its general approach to forming and maintaining a partnership with other community organizations.	<u>.56</u>
The APPLICANT has identified committed or potential partners and has described the community sector represented by each partner as well as the nature of their contributions in planning, implementing, and evaluating the Community Action Plan.	<u>.56</u>
The APPLICANT has discussed how it will sustain the partnership.	<u>.59</u>
The APPLICANT has described how key stakeholders at the State, County, and community levels will be engaged to plan and implement successful prevention activities that will be sustained over time.	<u>.58</u>
The description identifies who will be responsible for key tasks such as convening stakeholders, building coalitions, training community stakeholders, organizing networks, leveraging resources, and engaging stakeholders to help implement and sustain	<u>.57</u>

the activities.	
The APPLICANT has described existing and/or potential substance abuse prevention resources in the community and identified which of these resources will be involved with the project. The discussion includes a description of how the partnership will coordinate services with those not directly involved in the partnership. The proposal has described how the partnership will attempt to fill identified service gaps.	<u>.56</u>

Planning	
Criteria	Weight
The APPLICANT has provided information on the partnership's proposed approach to community planning using the assessment, capacity building, planning, implementation, and evaluation approach.	<u>.56</u>
The APPLICANT has articulated a vision for the community and has suggested strategies for prioritizing, organizing and implementing prevention efforts to address critical needs.	<u>.56</u>
The APPLICANT has described how the Community Action Plan will be based on documented needs and built on identified resources/strengths.	<u>.57</u>
The proposal describes an approach for using outcome and performance measures, for monitoring progress against baseline data, and adjusting plans as the result of ongoing needs assessment and monitoring activities.	<u>.58</u>
The APPLICANT has described how the issue of sustainability will be addressed throughout each step of planning and implementation and how the partnership plans to create a long-term strategy to sustain policies, programs and practices.	<u>.57</u>
The APPLICANT has also described potential training issues regarding infrastructure development and the implementation and evaluation of evidence-based policies, programs, and practices, including the role of technical assistance consultants and the logistics of their participation.	<u>.58</u>
The APPLICANT has included a timeline presenting a logical sequence of essential tasks to be completed and key milestones to be achieved in implementing and managing the proposed prevention activities.	<u>.58</u>
The Community Action Plan includes the names or titles of persons responsible for accomplishing tasks.	<u>.56</u>

Implementation	
Criteria	Weight
The APPLICANT has demonstrated that local needs assessments guided program selection and has described how the potential programs, policies, and practices logically relate to the populations, risk and protective factors, and outcomes targeted in the community.	<u>.57</u>
The APPLICANT has identified evidence-based prevention programs from the National Registry of Effective Programs and Practices (NREPP) that address the intervening variables and are appropriate for the population to be impacted by the services.	<u>.58</u>
The APPLICANT has described the level of scientific rigor, if any, that has been met, if any, by innovative programs.	<u>.58</u>
The APPLICANT has identified the target population by the relevant Institute of Medicine categories.	<u>.57</u>
The proposal describes how culturally competent adaptations might be made without sacrificing the core elements of the program.	<u>.57</u>
The APPLICANT has described how evidence-based curricula will be acquired, including the purchase cost of curricula, materials and training before implementing these programs.	<u>.56</u>
The APPLICANT has described daily operational procedures for monitoring timelines, keeping track of finances, keeping “tally” of persons served, and monitoring staff’s performance.	<u>.56</u>
The proposal describes administrative procedures including meeting with partners or evaluators, sharing evaluation results with staff and partners, making partners aware of the project’s status, and preparing fiscal and programmatic reports required by ADAD.	<u>.57</u>

Evaluation	
Criteria	Weight
The APPLICANT describes how the partnership will play a critical role in providing on-going monitoring and evaluation of all activities, as well as participating in training and technical assistance regarding evaluation and performance measurement.	<u>.57</u>
The proposal describes how the APPLICANT will assess program effectiveness, ensure service delivery quality, identify successes, encourage needed improvement, and promote sustainability of effective policies, programs, and practices.	<u>.59</u>
The APPLICANT ensures the timely submission of performance data to ADAD on a regular basis, as described in Section 2, III. Scope of Work B.3, Quality Assurance and Evaluation, of this RFP.	<u>.59</u>
The APPLICANT ensures that the partnership is prepared to adjust their implementation plans based on the results of	<u>.57</u>

monitoring/evaluation activities.	
The APPLICANT has specified baseline data against which progress and outcomes of the evidence-based program can be measured.	<u>.58</u>
The APPLICANT has formulated preliminary immediate, intermediate, and long-range outcomes.	<u>.58</u>

(4) Financial (Maximum of 10 Points)

In order to determine the adequacy of the APPLICANT’S accounting system, the APPLICANT has submitted with their proposal a copy of their most recent financial audit including any management letter that accompanied that audit.

The APPLICANT has described a pricing structure based on cost reimbursement:

Criteria	Weight
For pricing structure based on cost reimbursement, personal costs are reasonable and comparable to the positions in the community.	<u>.47</u>
Non-personnel costs are reasonable and adequately justified.	<u>.48</u>
The budget supports the scope of service and requirements of the RFP.	<u>.47</u>
The APPLICANT’s proposed budget is reasonable, given program resources and operational capacity.	<u>.48</u>
The APPLICANT has budgeted for trips to attend quarterly prevention provider meetings.	<u>.47</u>
The cost allocation worksheet includes an explanation of how costs are allocated to various programs.	<u>.48</u>
The Single Audit Report or Financial Audit indicates minimal or no material deficiencies.	<u>.48</u>

IV. Phase 3 - Recommendation for Award

Each notice of award shall contain a statement of findings and decision for the award or non-award of the contract to each applicant. 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 4:

**PROPOSAL
EVALUATION**

HTH 440-2D
County of Kauai

Section 4 Proposal Evaluation

I. Introduction

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

ADAD staff shall screen applications for eligibility and conformity with the specifications in this RFP. To be eligible for review by the evaluation committee, ADAD staff will verify with the proper authority and through a preliminary review of the application that:

1. The application was postmarked on time or received on time.
2. The APPLICANT is in good standing with the State Department of Commerce and Consumer Affairs.
3. If a non-profit organization, the APPLICANT has met the 501(c)(3) standards of the Internal Revenue Service.
4. The entire application is complete, including appendices.

Those applications that fail this eligibility screen will not be reviewed.

II. Evaluation Process

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

The STATE reserves the option to use the same evaluation committee for all counties or to use a separate evaluation committee for each sub-RFP. Separate awards shall be made for each sub-RFP. The STATE reserves the right to increase or decrease funds at its discretion among the four (4) sub-RFPs in order to best meet the needs of the STATE as well as to operate within budgetary limitations.

The evaluation will be conducted in three phases as follows:

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

A. Evaluation Categories and Threshold

EVALUATION CATEGORIES

POSSIBLE POINTS

Administrative Requirements

(Not Scored)

Proposal Application

100 Points

Program Overview	0 Points
Experience and Capability	20 Points
Project Organization and Staffing	15 Points
Service Delivery:	55 Points
Community Assessment	8.70 points
Capacity Building	8.52 points
Planning	13.68 points
Implementation	13.68 points
Evaluation	10.42 points
Financial	10 Points

In the interest of the STATE, ADAD reserves the right to score submitted proposals and determine funding allocations based on the following additional factors:

- Efforts that implement evidence-based prevention approaches that address the individual youth, the family, the school, and the community domains;
- Efforts that ADAD determines provide the best configuration of services statewide to meet the needs of communities and to fill identified resource gaps;
- Efforts that support communities that data indicates have the greatest need due to the consequences of substance use or the existence of a high number of risk factors accompanied by few protective factors;
- Efforts that support community partnerships that are ready to plan, manage, deliver, and evaluate prevention services and that have active involvement by youth and Native Hawaiian organizations.
- Efforts that support community partnerships that are able to achieve and sustain output and outcomes measurements listed in this RFP.

III. Evaluation Criteria

A. Phase 1 - Evaluation of Proposal Requirements

1. Administrative Requirements (Not Scored)

If seeking federal funding the APPLICANT has completed and submitted the **Certifications and Assurances** contained in Section 5, Attachment C of this RFP with its proposal.

The APPLICANT has provided written acknowledgement agreeing to comply with the **Personnel Requirements** in Section 5, Attachment D-1

of this RFP.

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

The APPLICANT has provided written acknowledgement agreeing to comply with the **Quality Assurance and Evaluation Specifications** in Section 5, Attachment D-3.

The **Checklist** and **Table of Contents** are not a basis for rejection if missing, however it is encouraged that the APPLICANT use these tools for assuring completeness of the proposal and easing navigation through the document. Other Administrative Requirements may include registration (if the APPLICANT is not pre-registered) with the State Procurement Office and a tax clearance certificate. (A current tax clearance certificate may be required when a contract is awarded). NOTE: Contracts are not considered executed until the necessary tax clearance and insurance certificates are approved by the funding agency. Successful APPLICANTS are encouraged to obtain such documents as soon as they are notified of the award. Services cannot begin until the contract is executed.

2. Proposal Application Requirements

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

ADAD will convene an evaluation committee consisting of State government staff who will conduct a review of each proposal, in accordance with the review criteria. For each county, the evaluation committee will score applications for funding in the priority order of the scores (highest score = most highly recommended for funding). The STATE reserves the option to use the same evaluation committee for all counties or to use a separate evaluation committee for this sub-RFP.

Applications accepted for review shall be evaluated according to the following

criteria. The number of points shown after each heading or subheading is the maximum number of points that the evaluation committee may assign to that category.

SCORING PROCEDURE: For each of the categories, evaluators will read the corresponding section in the APPLICANT’S proposal. They will check “Yes” or “No” on the Rating Sheet to indicate whether the proposal meets the criteria specified in Sections 2 and 3 of the RFP. An appropriate numerical rating will be given for each category as follows:

- If the proposal addresses all of the elements in a logical, comprehensive, detailed manner, an “above satisfactory” rating of three (3) will be given.
- If the proposal addresses all the specified elements for a category as specified in the criteria on the Rating Sheet, a “satisfactory” rating of two (2) will be given.
- If the proposal does not address all of the specified elements a “less than satisfactory” rating of one (1) will be given.
- A rating of zero (0) will be awarded for any category that is “not addressed” in any way.

Any ratings above or below satisfactory (2) will be explained. Comments are optional if the rating is satisfactory (2). The evaluation committee will rate each category on a scale of 0 through 3, then multiply this score by the item weight and convert that rating to a point score. The maximum score for each category is determined by multiplying the weights for each item in the category by three (3), the highest rating possible. For example, the maximum number of points for “Experience and Capability” is 20 points. Ratings will be the consensus of the evaluation panel.

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

The STATE will evaluate the APPLICANT’S experience and capability relevant to the proposed services, which shall include the degree to which the APPLICANT describes:

A. Necessary Skills (Maximum = 4 Points)

Documentation of demonstrated skills, abilities, knowledge of, and experience relating to the delivery of the proposed services. The following issues are described:

Criteria	Weight
The APPLICANT has described its history and record of accomplishments in providing substance abuse prevention services.	<u>.34</u>
The APPLICANT has described how the proposed services fit within its mission and the domains identified by any county or coalition plans that may exist.	<u>.33</u>
The APPLICANT has included information or data to support how it	<u>.34</u>

has achieved intended outcomes in the past.	
The APPLICANT has demonstrated a thorough understanding of the purpose and scope of the service activity.	<u>.32</u>

B. Experience (Maximum of 3 Points)

The APPLICANT shall provide a listing of verifiable experience with projects or contracts for the most recent five years that are pertinent to the proposed services. APPLICANTS and partnering organizations have documented a minimum of one year experience in the provision of prevention services or other services to youth in the specific community for which services are proposed.

Criteria	Weight
The APPLICANT has listed government or foundation-funded contracts or projects of similar size and complexity that it has managed and has named the funding source.	<u>.35</u>
The APPLICANT has experience in partnering with other organizations in the management and implementation of projects.	<u>.34</u>
The APPLICANT will collaborate in the delivery of the proposed services with organizations that have appropriate experience in providing prevention or related services to youth.	<u>.31</u>

C. Coordination of Services (Maximum of 9 Points)

The APPLICANT has documented its capability to coordinate services with other organizations and resources in the community. The following issues are described in detail:

Criteria	Weight
The proposal describes the administrative responsibilities of the APPLICANT to other organizations and stakeholders in the implementation and evaluation processes.	<u>.33</u>
The proposal describes how communications and logistical support will occur during the implementation and evaluation stages of the project.	<u>.30</u>
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The proposal describes the APPLICANT'S procedures for developing and administrating sub-contracts, if any.	<u>.33</u>
The proposal describes the management controls for ensuring that partnering organizations (sub-contractors) are meeting their responsibilities for providing services and for data collection.	<u>.36</u>

The proposal describes procedures for informing ADAD of any sub-contractor activities.	<u>.33</u>
The proposal clearly delineates the roles and resources of the APPLICANT and partner organizations and other stakeholders.	<u>.36</u>
The proposal describes how the partnership collaborated to respond to the RFP.	<u>.33</u>
The proposal describes procedures for working together to implement prevention activities.	<u>.36</u>

D. Quality Assurance and Evaluation (Maximum of 3 Points)

Documentation of an adequate quality assurance and evaluation capability is described. The following issues are described:

Criteria	Weight
The APPLICANT has adequate quality assurance systems in place or describes proposed establishment of appropriate procedures.	<u>.19</u>
The APPLICANT describes an adequate procedure for documenting its processes of community mobilization and planning.	<u>.21</u>
The APPLICANT describes an adequate approach to outcome evaluation.	<u>.21</u>
The proposal describes the responsibilities of the APPLICANT, partnering organizations, and stakeholders in the evaluation process.	<u>.19</u>
The APPLICANT has Internet capacity to use web-based evaluation systems.	<u>.20</u>

E. Facilities (Maximum of 1 point)

Facilities that will be used are described and are appropriate to the proposed services.

Criteria	Weight
The proposal describes the facilities and their accessibility to persons with physically-handicapping conditions.	<u>.170</u>
The APPLICANT has described how accommodations will be made for persons with other types of handicapping conditions.	<u>.163</u>

(2) *Project Organization and Staffing* (Maximum of 15 Points)

The State will evaluate the APPLICANT’S overall staffing approach to the service, including staffing patterns, participant/staff ratio, and proposed program participant capacity, as to its reasonableness to insure the viability of the service:

Criteria	Weight
Organization charts are provided for the proposed project, including the APPLICANT and partner organizations that are providing services.	<u>.59</u>
The Staff Position Chart reflects <u>all</u> of the following: staff name (or “to be hired”), title, qualifications for the position, the incumbent’s qualifications, full-time equivalency to the organization and to the project, and supervisor’s name and title.	<u>.69</u>
A diagram is provided to describe how the APPLICANT and partner organizations relate to each other in the delivery, and evaluation of services.	<u>.60</u>
The organizational affiliation of all staff is clearly stated.	<u>.60</u>
A rationale for the proposed staffing pattern is provided	<u>.60</u>
The proposal includes job descriptions and minimum qualifications of all key staff.	<u>.61</u>
Resumes of identified key staff are provided.	<u>.61</u>
The proposal describes the APPLICANT’S capability to supervise, train, and provide administrative support to staff, including those meeting requirements for the Certified Substance Abuse Prevention Specialist certification.	<u>.70</u>

(3) Service Delivery (Maximum of 55 Points)

Proposal evaluation criteria for this section are based on the APPLICANT’S response to information requested in Section 3 of the RFP. The evaluation committee will assess the APPLICANT’S capacity to do the following:

- Describe the community’s substance use related consequences and intervening variables (including risk and protective factors);
- Describe the community’s readiness to provide prevention services or impact public attitudes and policies regarding substance use;
- Mobilize the community or build community capacity by coordinating with other resources;
- Develop a comprehensive community action plan that logically addresses community circumstances related to substance use through evidence-based programs, practices, and strategies;
- Implement the action plan in coordination with other community organizations and with cultural competence.

- Monitor the implementation process, evaluate effectiveness, sustain effective programs/strategies, and improve or replace those that do not meet the intended outcomes.

Community Assessment	
Criteria	Weight
Based on the epidemiological data collected and reviewed by stakeholders and key informants, the proposal describes community demographics, the consequences of substance use and abuse, intervening variables (including risk and protective factors) and populations most at risk.	<u>.60</u>
The APPLICANT has provided an assessment of the community's readiness for mobilization and planning based on focus groups, key informant surveys, or other means.	<u>.58</u>
The APPLICANT has described the community's strengths, challenges, and its most pressing prevention needs and service gaps.	<u>.57</u>
The proposal details how the target population(s) was/were selected and the appropriate level(s) of prevention services (Universal, Selected, or Indicated) was/were determined.	<u>.58</u>
The proposal describes the proposed eligibility criteria for prevention services, strategies for recruiting participants from the target population, and how it will ensure the ongoing involvement of targeted populations.	<u>.57</u>

Capacity Building	
Criteria	Weight
The APPLICANT has described its general approach to forming and maintaining a partnership with other community organizations.	<u>.56</u>
The APPLICANT has identified committed or potential partners and has described the community sector represented by each partner as well as the nature of their contributions in planning, implementing, and evaluating the Community Action Plan.	<u>.56</u>
The APPLICANT has discussed how it will sustain the partnership.	<u>.59</u>
The APPLICANT has described how key stakeholders at the State, County, and community levels will be engaged to plan and implement successful prevention activities that will be sustained over time.	<u>.58</u>
The description identifies who will be responsible for key tasks such as convening stakeholders, building coalitions, training community stakeholders, organizing networks, leveraging resources, and engaging stakeholders to help implement and sustain	<u>.57</u>

the activities.	
The APPLICANT has described existing and/or potential substance abuse prevention resources in the community and identified which of these resources will be involved with the project. The discussion includes a description of how the partnership will coordinate services with those not directly involved in the partnership. The proposal has described how the partnership will attempt to fill identified service gaps.	<u>.56</u>

Planning	
Criteria	Weight
The APPLICANT has provided information on the partnership's proposed approach to community planning using the assessment, capacity building, planning, implementation, and evaluation approach.	<u>.56</u>
The APPLICANT has articulated a vision for the community and has suggested strategies for prioritizing, organizing and implementing prevention efforts to address critical needs.	<u>.56</u>
The APPLICANT has described how the Community Action Plan will be based on documented needs and built on identified resources/strengths.	<u>.57</u>
The proposal describes an approach for using outcome and performance measures, for monitoring progress against baseline data, and adjusting plans as the result of ongoing needs assessment and monitoring activities.	<u>.58</u>
The APPLICANT has described how the issue of sustainability will be addressed throughout each step of planning and implementation and how the partnership plans to create a long-term strategy to sustain policies, programs and practices.	<u>.57</u>
The APPLICANT has also described potential training issues regarding infrastructure development and the implementation and evaluation of evidence-based policies, programs, and practices, including the role of technical assistance consultants and the logistics of their participation.	<u>.58</u>
The APPLICANT has included a timeline presenting a logical sequence of essential tasks to be completed and key milestones to be achieved in implementing and managing the proposed prevention activities.	<u>.58</u>
The Community Action Plan includes the names or titles of persons responsible for accomplishing tasks.	<u>.56</u>

Implementation	
Criteria	Weight
The APPLICANT has demonstrated that local needs assessments guided program selection and has described how the potential programs, policies, and practices logically relate to the populations, risk and protective factors, and outcomes targeted in the community.	<u>.57</u>
The APPLICANT has identified evidence-based prevention programs from the National Registry of Effective Programs and Practices (NREPP) that address the intervening variables and are appropriate for the population to be impacted by the services.	<u>.58</u>
The APPLICANT has described the level of scientific rigor, if any, that has been met, if any, by innovative programs.	<u>.58</u>
The APPLICANT has identified the target population by the relevant Institute of Medicine categories.	<u>.57</u>
The proposal describes how culturally competent adaptations might be made without sacrificing the core elements of the program.	<u>.57</u>
The APPLICANT has described how evidence-based curricula will be acquired, including the purchase cost of curricula, materials and training before implementing these programs.	<u>.56</u>
The APPLICANT has described daily operational procedures for monitoring timelines, keeping track of finances, keeping “tally” of persons served, and monitoring staff’s performance.	<u>.56</u>
The proposal describes administrative procedures including meeting with partners or evaluators, sharing evaluation results with staff and partners, making partners aware of the project’s status, and preparing fiscal and programmatic reports required by ADAD.	<u>.57</u>

Evaluation	
Criteria	Weight
The APPLICANT describes how the partnership will play a critical role in providing on-going monitoring and evaluation of all activities, as well as participating in training and technical assistance regarding evaluation and performance measurement.	<u>.57</u>
The proposal describes how the APPLICANT will assess program effectiveness, ensure service delivery quality, identify successes, encourage needed improvement, and promote sustainability of effective policies, programs, and practices.	<u>.59</u>
The APPLICANT ensures the timely submission of performance data to ADAD on a regular basis, as described in Section 2, III. Scope of Work B.3, Quality Assurance and Evaluation, of this RFP.	<u>.59</u>
The APPLICANT ensures that the partnership is prepared to adjust their implementation plans based on the results of	<u>.57</u>

monitoring/evaluation activities.	
The APPLICANT has specified baseline data against which progress and outcomes of the evidence-based program can be measured.	<u>.58</u>
The APPLICANT has formulated preliminary immediate, intermediate, and long-range outcomes.	<u>.58</u>

(4) Financial (Maximum of 10 Points)

In order to determine the adequacy of the APPLICANT’S accounting system, the APPLICANT has submitted with their proposal a copy of their most recent financial audit including any management letter that accompanied that audit.

The APPLICANT has described a pricing structure based on cost reimbursement:

Criteria	Weight
For pricing structure based on cost reimbursement, personal costs are reasonable and comparable to the positions in the community.	<u>.47</u>
Non-personnel costs are reasonable and adequately justified.	<u>.48</u>
The budget supports the scope of service and requirements of the RFP.	<u>.47</u>
The APPLICANT’s proposed budget is reasonable, given program resources and operational capacity.	<u>.48</u>
The APPLICANT has budgeted for trips to attend quarterly prevention provider meetings.	<u>.47</u>
The cost allocation worksheet includes an explanation of how costs are allocated to various programs.	<u>.48</u>
The Single Audit Report or Financial Audit indicates minimal or no material deficiencies.	<u>.48</u>

IV. Phase 3 - Recommendation for Award

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

HTH 440-2 Including All Sub-RFPs

HTH 440-2A

City and County of Honolulu

HTH 440-2B County of Hawaii

HTH 440-2C County of Maui

HTH 440-2D County of Kauai

Section 5

LIST OF ATTACHMENTS

<u>Attachment</u>	<u>Document</u>
A	Competitive POS Application Checklist
B	POS Proposal Application – Sample Table of Contents
C	Certifications and Assurances <ul style="list-style-type: none">C-1 Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered TransactionsC-2 Certification Regarding LobbyingC-3 Certification Regarding Environmental Tobacco SmokeC-4 Certification Regarding Program Fraud Civil Remedies Act (PFCRA)C-5 Certification Regarding Drug-Free Workplace RegulationsC-6 Assurance of Compliance with SAMHSA’s Charitable Choice Statutes and RegulationsC-7 Assurance of Compliance with SAMHSA’s Provisions Prohibiting Trafficking in PersonsC-8 Additional Federal Block Grant Requirements
D	Specific Program Requirements <ul style="list-style-type: none">D-1 Management Requirements—1. PersonnelD-2 Management Requirements—2. AdministrativeD-3 Management Requirements—3. Quality Assurance and Evaluation Specifications
E	Code of Ethical Conduct for Prevention Professionals
F	Definitions of Roles in Community Partnerships
G	Staff Position Chart
H	Community Action Plan

Competitive POS Application Checklist

Applicant: _____

RFP No.: HTH 440-2_

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

Item	Reference in RFP	Format/Instructions Provided	Required by Purchasing Agency	Completed by Applicant
General:				
POS Proposal Application Title Page (SPO-H-200)	Section 1	SPO Website*	X	
Competitive POS Application Checklist	Section 1	Section 5, Attachment A (This document)	X	
Table of Contents	Section 5	Section 5, Attachment B	X	
POS Proposal Application (SPO-H-200A)	Section 3	SPO Website*	X	
Tax Clearance Certificate (Form A-6)	Section 1	Dept. of Taxation Website (Link on SPO Website)*		
Cost Proposal (Budget)				
SPO-H-205	Section 3	SPO Website*	X	
SPO-H-205A	Section 3	SPO Website*	No	
SPO-H-205B	Section 3	SPO Website*	X	
SPO-H-206A	Section 3	SPO Website*	X	
SPO-H-206B	Section 3	SPO Website*	X	
SPO-H-206C	Section 3	SPO Website*	X	
SPO-H-206D	Section 3	SPO Website*	No	
SPO-H-206E	Section 3	SPO Website*	X	
SPO-H-206F	Section 3	SPO Website*	X	
SPO-H-206G	Section 3	SPO Website*	Not allowed	
SPO-H-206H	Section 3	SPO Website*	X	
SPO-H-206I	Section 3	SPO Website*	X	
SPO-H-206J	Section 3	SPO Website*	X	
Single Audit Report of Financial Audit	Section 3		X	
Cost Allocation Plan	Section 3		X	
Certifications and Assurance:	Section 2, A			
Debarment and Suspension (Cert.)	Section 5, C-1	RFP, Attachment C-1	X	
Lobbying (Cert.)	Section 5, C-2	RFP, Attachment C-2	X	
Environmental Tobacco Smoke (Cert.)	Section 5, C-3	RFP, Attachment C-3	X	
Fraud Civil Remedies (Cert.)	Section 5, C-4	RFP, Attachment C-4	X	
Drug-Free Workplace (Cert.)	Section 5, C-5	RFP, Attachment C-5	X	
Charitable Choice (Assur.)	Section 5, C-6	RFP, Attachment C-6	X	
Trafficking in Persons (Assur.)	Section 5, C-7	RFP, Attachment C-7	X	
Addl. Fed. Block Grant Requirements	Section 5, C-8	RFP, Attachment C-8	X	
Program Specific Requirements:				
Management Requirements-Personnel	Section 5, D-1	RFP, Attachment D-1	X	
Management Requirements-Administrative	Section 5, D-2	RFP, Attachment D-2	X	
Management Requirements- Quality Assur. and Eval. Specifications	Section 5, D-3	RFP, Attachment D-3	X	
Code of Ethical Conduct	Section 5, E	RFP, Attachment E	X	
Staff Position Chart	Section 5, G	RFP, Attachment G	X	
Community Action Plan	Section 5, H	RFP, Attachment H	X	
Letters of Agreement from Partners	Section 3		X	

Signature

Date

Organization: _____
 RFP No: _____

Sample

**POS Proposal Application
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 - A. Cost Proposal**
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Attachment B

Organization: _____

RFP No: _____

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

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

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

This certification is pursuant to 45 CFR Part 76:

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

Organization Name

Name of Authorized Representative

Title

Signature

Date

CERTIFICATION REGARDING LOBBYING

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

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

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

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

Organization Name

Name of Authorized Representative

Title

Signature

Date

CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE

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

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

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

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

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

Organization Name

Name of Authorized Representative

Title

Signature

Date

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

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

Organization Name

Name of Authorized Representative

Title

Signature

Date

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

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

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

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

Organization Name

Name of Authorized Representative

Title

Signature

Date

**ASSURANCE
Of Compliance with SAMHSA Charitable Choice
Statutes and Regulations**

SAMHSA’s two Charitable Choice provisions [Sections 581-584 and Section 1955 of the Public Health Service (PHS) Act, 42 USC 290k, et seq., and 42 USC 300x-65 et seq., respectively] allow religious organizations to provide SAMHSA-funded substance abuse services without impairing their religious character and without diminishing the religious freedom of those who receive their services. These provisions contain important protections both for religious organizations that receive SAMHSA funding and for the individuals who receive their services, and apply to religious organizations and to State and local governments that provide substance abuse prevention and treatment services under SAMHSA grants.

The undersigned PROVIDER agrees that it will comply, as applicable, with the Substance Abuse and Mental Health Services Administration’s (SAMHSA) Charitable Choice statutory provisions of sections 581-584 and 1955 of the Public Health Service Act (codified as 42 U.S.C. “290kk, et seq., and 300x-65) and their governing regulations at 42 C. F. R. parts 54 and 54a, respectively.

Organization Name

Name of Authorized Representative

Title

Signature of Authorized Representative

Date

**ASSURANCE
Of Compliance with SAMHSA’s Provisions Prohibiting
Trafficking in Persons**

Recipients and subrecipients of the Substance Abuse Prevention and Treatment Block Grant and the employees of such recipients and subrecipients are required to comply with SAMHSA’s provisions pursuant to Section 106(g) of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. 7104). These provisions prohibit severe forms of trafficking in persons, or the procurement of a commercial sex act during the period of time that the Block Grant award is in effect, or the use of forced labor in the performance of the award or subawards under the award.

The undersigned APPLICANT agrees that it will comply with the Substance Abuse and Mental Health Services Administration’s (SAMHSA) Trafficking in Persons provisions below, pursuant to Section 106(g) of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. 7104). The undersigned APPLICANT also agrees that it will notify the Department of Health, Alcohol and Drug Abuse Division immediately of any information it receives from any source alleging a violation of a prohibition in paragraph a.1 below.

Organization Name

Name of Authorized Representative (printed)

Title

Signature

Date

**SAMHSA’s Provisions Prohibiting Trafficking in Persons:
Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. 7104)**

- a. **Provisions applicable to a recipient that is a private entity.**
 - 1. You as the recipient, your employees, subrecipients under this award, and subrecipients’ employees may not—
 - i. Engage in severe forms of trafficking in persons during the period of time that the award is in effect;
 - ii. Procure a commercial sex act during the period of time that the award is in effect; or
 - iii. Use forced labor in the performance of the award or subawards under the award.
 - 2. We as the Federal awarding agency may unilaterally terminate this award, without penalty, if you or a subrecipient that is a private entity –
 - i. Is determined to have violated a prohibition in paragraph a.1 of this award term; or

- ii. Has an employee who is determined by the agency official authorized to terminate the award to have violated a prohibition in paragraph a.1 of this award term through conduct that is either—
 - A. Associated with performance under this award; or
 - B. Imputed to you or the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, “OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement),” as implemented by our agency in 2 CFR part 376.
- b. **Provision applicable to a recipient other than a private entity.** We as the Federal awarding agency may unilaterally terminate this award, without penalty, if a subrecipient that is a private entity—
 - 1. Is determined to have violated an applicable prohibition in paragraph a.1 of this award term; or
 - 2. Has an employee who is determined by the agency official authorized to terminate the award to have violated an applicable prohibition in paragraph a.1 of this award term through conduct that is either—
 - i. Associated with performance under this award; or
 - ii. Imputed to the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, “OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement),” as implemented by our agency in 2 CFR part 376
- c. **Provisions applicable to any recipient.**
 - 1. You must inform us immediately of any information you receive from any source alleging a violation of a prohibition in paragraph a.1 of this award term.
 - 2. Our right to terminate unilaterally that is described in paragraph a.2 or b of this section:
 - i. Implements section 106(g) of the Trafficking Victims Protection Act of 2000 (TVPA), as amended (22 U.S.C. 7104(g)); and
 - ii. Is in addition to all other remedies for noncompliance that are available to us under this award.
 - 3. You must include the requirements of paragraph a.1 of this award term in any subaward you make to a private entity.
- d. **Definitions.** For purposes of this award term:
 - 1. “Employee” means either:
 - i. An individual employed by you or a subrecipient who is engaged in the performance of the project or program under this award; or
 - ii. Another person engaged in the performance of the project or program under this award and not compensated by you including, but not limited to, a volunteer or individual whose services are contributed by a third party as an in-kind contribution toward cost sharing or matching requirements.
 - 2. “Forced labor” means labor obtained by any of the following methods: the recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery.
 - 3. “Private entity”:
 - i. Means any entity other than a State, local government, Indian tribe, or foreign public entity, as those terms are defined in 2 CFR 175.25.
 - ii. Includes:
 - A. A nonprofit organization, including any nonprofit institution of higher education, hospital, or tribal organization other than the one included in the definition of Indian tribe in 2 CFR 175.25(b); and
 - B. A for-profit organization.
 - 4. “Severe forms of trafficking in persons,” “commercial sex act,” and “coercion” have the meanings given at section 103 of the TVPA, as amended (22 U.S.C. 7102).

Additional Federal Block Grant Requirements

Pursuant to 45 Code of Federal Regulations (45 CFR), Part 96, substance Abuse Prevention and Treatment (SAPT) Block Grants; Interim Final Rule, Section 96.135, Restrictions on expenditures of grant, the APPLICANT shall comply with the following restrictions on the expenditure of the grant. The APPLICANT hereby assures that it shall:

- Prohibit discrimination against any person on the grounds of race, color, national origin, religion, creed, gender, sexual orientation, age, or disability. The program shall provide access to persons regardless of their ability to speak English.
- Institute a written policy stating that SAPT funds awarded for this RFI shall not be used to support the distribution of sterile needles for the hypodermic injection of any illegal drug or the distribution of bleach for the purpose of cleansing needles for such hypodermic injection.
- Institute a written policy stating that SAPT funds shall not be used to provide inpatient hospital services.
- Institute a written policy stating that SAPT funds shall not be used to make cash payments to intended recipients of health services.
- Institute a written policy stating that SAPT funds shall not be used to purchase or improve land, purchase, construct, or permanently improve (other than minor remodeling) any building or other facility, or purchase major medical equipment.
- Institute a written policy stating that SPT funds shall not be used to provide financial assistance to any entity other than a public or nonprofit private entity.
- Institute a written policy stating that SAPT funds shall not be expended for the purpose of providing treatment services in penal or correctional institutions of the State.
- Maintain, if applicable, all substance abuse records in confidential manner pursuant to 42 Code of Federal Regulations (42 CFR), Part 2, Confidentiality of Alcohol and Drug Abuse Patient Records, and if necessary resist in judicial proceedings any efforts to obtain access to participant records except as permitted by such regulations.
- Adopt and implement a policy regarding Acquired Immune Deficiency Syndrome (AIDS) which states that the organization:
 - a. Does not discriminate against persons who have positive tests for antibodies against Human Immunodeficiency Virus (HIV) or with AIDS at admission or through participation.
 - b. Assures staff education on HIV and AIDS at least once per year.

- c. Maintains the confidentiality of any results of HIV antibody testing pursuant to Sec. 325-101, HRS if applicable.
 - d. Assures that any pre-test and post-test counseling shall be done only in accordance with the DEPARTMENT'S HIV Counseling and Testing Guidelines if applicable.
 - e. Provides for AIDS education as appropriate.
- Adopt a policy regarding tuberculosis (TB) which states that it provides for TB education as appropriate.

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 (printed)

Title

Signature

Date

Management Requirements

1. Personnel

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

The APPLICANT shall:

- Conduct, at a minimum, a criminal history record check for any person who is employed or volunteers in an administrative or program position. 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, the elderly, etc.). 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.
- Conduct an initial orientation for prevention personnel within 30 days of employment for all new employees and document such in the personnel record of the employee. The orientation shall include acquainting staff with the organization's policies and procedures, expected codes of conduct, and expected practices for prevention staff including use of current prevention concepts and program strategies, theory, research, and best practice findings upon which prevention services and programs of the agency are based
- Maintain and update annually a description of its organization-staffing pattern, including an organization chart showing lines of authority and supervision for prevention services.
- Attend ongoing prevention specialist training(s) approved by ADAD, including but not limited to the Substance Abuse Prevention Specialist Training (SAPST), Client Confidentiality Training, as well as an Overview of Substance Abuse.
- Ensure that staff receive training in the ADAD management information system and in ADAD's procedures for reporting fulfillment of the RFP requirements and evaluations of capacity, process, and outcomes.
- Attend mandatory substance abuse prevention providers' meetings as scheduled by ADAD.
- Supervise staff and volunteers (if used by the APPLICANT), and train them in client confidentiality issues, program quality assurance requirements and require them to adhere to the Code of Ethical Conduct for Prevention Professionals included in the APPLICANT

Guide, Section 5, Attachment E. A signed copy of the Code of Ethical Conduct for Prevention Professions shall be placed in the file of each staff and/or volunteer affiliated with this program.

- Develop and implement a written safety plan which includes policies and procedures for handling personal injury, threats, emergencies, or disasters. Post evacuation routes in facilities used by the program.
- Maintain documentation for each employee of an initial tuberculosis (TB) skin test or chest X-ray. A copy of the test results shall be placed in the personnel file of each staff member employed by this program.
- Implement a no-smoking policy.
- Assure that each staff receives at least 12 hours of relevant prevention training per year which shall include:
 - 1) Staff education on HIV and AIDS.
 - 2) Staff education on the risk of TB for those abusing substances.

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

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Organization Name

Name of authorized Representative

Title

Signature

Date

Management Requirements

2. Administrative

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

The APPLICANT shall:

- Develop and maintain fiscal, statistical, and administrative records pertaining to services as specified by the DEPARTMENT.
- Establish and implement policies and procedures which clearly identify the target population for each type of prevention service, the program content, and methods of service delivery.
- Review all written and/or audio visual prevention material, at a minimum, biannually by staff and by an advisory board or ad hoc committee to assure that it is relevant, current, and age and culturally appropriate.
- Implement procedures for handling complaints and grievances.
- Familiarize staff with materials available at the Regional Alcohol and Drug Awareness Resource (RADAR) Center and meet with RADAR staff once per quarter for technical assistance.
- Acknowledge the DEPARTMENT and ADAD as the APPLICANT's program sponsor by displaying the DEPARTMENT's logo and the following statement on displays, public service announcements, or written material distributed by the program: "Funded by the State of Hawaii Department of Health, Alcohol and Drug Abuse Division through Federal Substance Abuse Prevention and Treatment (SAPT) Block Grant funds."
- Refund to the DEPARTMENT any funds unexpended or expended inappropriately.
- Under the actual expenditure method of reimbursement, assure that all equipment and unused supplies and materials purchased with funds paid to it shall become the property of the DEPARTMENT upon completion or termination of the contract.
- Under the actual performance method of reimbursement, assure that program income and/or surplus earned during the contract period shall be used to further the program

Attachment D-2

objectives; otherwise the DEPARTMENT will deduct the surplus from the total contact amount in determining the net allowable cost on which the state's share or cost is based.

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Organization Name

Name of Authorized Representative

Title

Signature

Date

Management Requirements

3. Quality assurance and evaluation specifications

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

The APPLICANT shall:

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

Attachment D-3

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

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.

III. 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.

IV. 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.

V. 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.

VI. 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

ROLES IN PARTNERSHIPS

Although there are many levels of partnering, ADAD asks the APPLICANT to indicate in the Community Action Plan which of the following roles will be assumed by each Partner, as well as briefly describing the actual responsibility or service to be carried out by each Partner.

Collaboration. Collaboration occurs when two or more individuals or organizations actively work together to jointly achieve a common outcome. An example might be two persons co-authoring a book. Another example might be two youth-serving organizations which pool their resources (staff, time, money, equipment, etc.) to conduct one program benefiting youth in their community.

Cooperation. Cooperation occurs when two or more individuals or independently-operated organizations who engage in supplying resources for their mutual benefit. An example might be an automobile manufacturer who sponsors a prime time TV show which uses vehicles made by the manufacturer. The TV show producers gain a sponsor for their prime time show and vehicles to be driven by the show's leading characters. The automobile manufacturer gains prime time exposure to his vehicles and hopes to benefit by viewers having an increased desire to purchase the type of vehicles featured in the show. The TV show producers need to know nothing about manufacturing vehicles, and the automaker needs to know nothing about TV production but both benefit from the resources of the other. Another example might be a local business which conducts free craft classes after school to youth from a neighboring youth center.

Coordination. Coordination involves a harmonious relationship of services that go well together. An example might be taking advantage of activities in the community to round out the experiences of a young person. A youth receiving substance abuse education in the school might also be enrolled in an after-school recreation program operated by the local YMCA and a hula class operated by a local dance studio.

Consultation. A consultant offers services which benefit individuals or organizations without actually being involved in the hands-on, day-to-day operations. An example might be the proofreader for a magazine. Although the proofreader provides a valuable service to the editor and writers, s/he is not involved in carrying out the magazine's editorial policies or determining the content of articles. Another example might be someone providing input into the planning process, analyzing evaluation data or offering technical assistance.

**ATTACHMENT H
COMMUNITY ACTION PLAN**

**COMMUNITY PREVENTION
ACTION PLAN**

for

***(NAME OF ISLAND, SCHOOL COMPLEX, DISTRICT,
OR GEOGRAPHIC AREA COVERED)***

2008

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PLANNING YOUR COMMUNITY ACTION PLAN

A first step in developing the community action plan is to develop a detailed description of your community taking into consideration the following:

1. Brief Community Description

- Community description of the geographic location and the actual physical boundary of the area where the people reside, the description of the people in the geographic area including number of adults and children, race and ethnicity, and social-economic composition of community base. Include unique descriptions (such as zip codes, city or town limits, schools, neighborhoods, physical boundaries).

2. Vision and Mission Statements

- These succinct statements provides a clear picture of the substance abuse prevention entity's core focus, and define and describe this entity's values and beliefs

3. Goals and Objectives

- *Goals* provide broad and clarifying statements of what the substance abuse prevention unit hopes to accomplish and *Objectives* are measurable milestones in support of overarching goals.

4. Prioritized Key Community Desired Substance Abuse Prevention Outcomes

- By identifying the lead prevention agency and contact information

5. Lead Agency for Managing Community Prevention Action Plan

SECTION I: PLANNING AND COMMUNITY CAPACITY

COMMUNITY PREVENTION ACTION PLAN FACE SHEET

Community or Coalition Name: _____

Community Project Name: _____

1. Brief Community Description (include geographic and demographic information):

2. Community Prevention Vision and Mission:

Vision:

Mission:

3. Community Prevention Goals and Objectives:

Goals:

Objectives:

4. Prioritized Key Community Substance Abuse Prevention Outcomes:

5. Lead Agency for Community Action Plan:

Address: _____	Phone Number: _____	Email Address: _____
Contact: _____		

SECTION II: ESTABLISHING COMMUNITY PARTNERSHIPS

1. Prevention Partners: Agreements between and among agencies and organizations involved in substance abuse prevention to enhance and expand the community's ability to realistically meet community and State outcomes.

2. Type of Partnership: Reflects the formal or informal relationship that forms the basis of the partnership and includes arrangements such as legislation, executive orders, and memorandums of agreement

3. Contribution: Indicates how the partner is involved to address the community's substance abuse prevention efforts and may include funds, planning, training, and sharing resources

1. List Partners	2. Type of Partnership	3. Contribution

SECTION III: CONDUCTING PREVENTION NEEDS ASSESSMENT

Collection, analysis, and interpretation of prevention data will aid communities to create a continuum of prevention resources and increase capacity. These data are most useful when collected at the population-level and assess issues related to substance use and abuse.

1. SUBSTANCE ABUSE PROBLEMS AND CONSEQUENCES

The first step to identifying outcomes (short, intermediate, and long range) involves your community reviewing community level prevention data (sources could include youth behavior survey, archival data, key informants) to determine problems and consequences associated with use by the domains of community, family, school, individual and peers.

Domain	A. Problem Behaviors		B. Consequences	
	<i>Identify the substance abuse related problems by domain and data source</i>		<i>Identify consequences associated with substance abuse problems by domain and data source</i>	
	Problems	Data Source	Consequences	Data Source
Community	1.			
	2.			
	3.			
Family	4.			
	5.			
	6.			
School	7.			
	8.			
	9.			
Youth / Peer	10.			
	11.			
	12.			

2. RISK AND PROTECTIVE FACTORS

Continuation of the community needs assessment process includes assessing the community’s risk and protective factors by domain; analyzing the factors based on increased risk and depressed protection; and specifying indicators that support the factors.

Domain	C. Risk Factors Prioritized			D. Protective Factors Prioritized		
	Factors <i>Specify factors by domain to be addressed through action plan</i>	Indicators <i>Identify measure and information sources</i>	Data Sources	Factors <i>Specify factors by domain to be addressed through action plan</i>	Indicators <i>Identify measure and information sources</i>	Data Sources
Community	1.			1.		
	2.			2.		
	3.			3.		
Family	4.			4.		
	5.			5.		
	6.			6.		
School	7.			7.		
	8.			8.		
	9.			9.		
Youth / Peer	10.			10.		
	11.			11.		
	12.			12.		

3. RESOURCES AND GAPS

A final and key step in conducting the community prevention needs assessment after reviewing the data associated with substance abuse problems, consequences, and risk and protective factors is to identify resources already in the community available to address problems and risk and protection and gaps in the resources.

Domain	E. Resources		F. Gaps	
	Problems and Consequences	Risk and Protective Factors	Problems and Consequences	Risk and Protective Factors
	<i>Specify resources by domain to address problems and consequences and risk and protective factors</i>		<i>Specify gaps by domain to address problems and consequences and risk and protective factors</i>	
Community	1.			
	2.			
	3.			
Family	4.			
	5.			
	6.			
School	7.			
	8.			
	9.			
Youth / Peer	10.			
	11.			
	12.			

SECTION IV: DETERMINING AND EVALUATING COMMUNITY (POPULATION-LEVEL) OUTCOMES

After the review of the prevention needs assessment data associated with your community’s substance abuse problems, consequences, and risk and protective factors, the community is now ready to participate in the following steps:

- Determine the desired outcomes the community wishes to achieve based on your prevention efforts
- Identify the baseline based on the needs assessment data
- Specify the benchmark (measure of change) expected from the community’s prevention efforts

COMMUNITY-LEVEL OUTCOMES RELATED TO...

Data	A. What outcomes are desired or proposed?	B. What is the baseline and date of the proposed outcomes?	C. What is the measured of change and date for the proposed outcome and what is the percentage of change desired?
Problems	(1) (2) (3)		
Consequences	(1) (2) (3)		
Risk Factor	(1) (2) (3)		
Protective Factor	(1) (2) (3)		

- Specify the tool/instrument to be used to measure the proposed change
- Determine when the proposed change will be measured
- Designate the person(s) responsible for administering and managing the measurement

CONSEQUENCES, PROBLEMS, RISK FACTORS, PROTECTIVE FACTORS

D. What measurement tools will be used to measure the proposed outcomes?	E. When will the outcomes be measured?	F. Who is responsible for measuring the outcomes?
(1) (2) (3)		

SECTION V: DEVELOPING AND IMPLEMENTING SERVICES TO REACH OUTCOMES

1. TARGET POPULATIONS

Upon determination of desired outcomes, your community is ready to identify the population to receive and benefit from prevention services directly and indirectly.

YOUTH TARGET POPULATION

Youth should be identified based on the review of needs assessment prevention data associated with problems, consequences, risk and protective factors, resources and gaps, and desired outcomes. The youth identified could receive services directly such as life skills, mentoring, and tutoring services and indirectly such school and community environmental services and services to parents. Identify youth by report quarter.

Quarter Review	Prob #	Factors RF # PF #	A. Youth Population to Receive Services					
			Proposed Number to Serve	By Ethnicity and Race	By Age	By Gender	By School	By Island
Q-1								
Q-2								
Q-3								
Q-4								

ADULT TARGET POPULATIONS

The adult population identified to receive the prevention services should correspond with their potential to reduce the prioritized risk; increase the prioritized protective factors; or reduce, improve, or eliminate the problems and consequences associated with substance use and abuse.

Quarter Review	Prob #	R/P factor #	B. Adult Population to Receive Services Related to Youth		C. Other Adults to Receive Services	
			Proposed Number	Relationship to Youth	Proposed Number	Specify Relationship
Q-1						
Q-2						
Q-3						
Q-4						

COMMUNITY TARGET POPULATION

The population served could also include the community at large so the community benefits from more global prevention strategies (e.g., changing a community policy might involve working with elected officials or enforcing an existing law such as a minor in possession of alcohol might involve the local police department). The population identified to receive the prevention services should correspond with their potential to reduce the prioritized risk and increase the prioritized protective factors and improve or eliminate the problems and consequences associated with substance use and abuse.

Quarter Review	Prob #	R/P factor #	D. Community Youth Population to Benefit from Services		E. Community Adult Population to Benefit from Services	
			Proposed Number	Relationship to Adult	Proposed Number	Relationship to Youth
Q-1						
Q-2						
Q-3						
Q-4						

2. PREVENTION SERVICES DETAILS

Armed with prevention needs assessment data, available resources, desired outcomes, and targeted population, the community is now prepared to select prevention services that will provide the optimal chance of reaching your desired prevention outcomes.

Key to development of a successful community prevention action plan is selection of evidence-based and promising prevention polices, practices, programs, and strategies. Such services:

- “Match” the assessed risk and protective factors and problems and consequences associated with substance abuse and problems and consequence
- Cross over multiple domains to include school, family, community, and individuals and peers
- Are developmentally and culturally sensitive to youth, families, and community
- Take into consideration the State’s and community’s requirements for population level outcomes.

F R/P #	Prob #	#	A. Name of Prevention Service (policies, practices, program)	Policy	Practice	Program	B. Description of Activities of Prevention Program Services

PREVENTION SERVICES DETAILS (CONT.)

Prevention strategies should be designed selected to ensure that the:

- Designated prevention community has a reasonable chance of recruiting and enrolling participants to receive the prevention services.
- The incentives offered to participants should be relevant for the targeted population and to display sufficient appreciation to the participants for putting forth the effort to receive the prevention services.
- Type of services identified:
 - IOM: Institute of Medicine Categories: U – Universal; S – Selective; I – Indicated
 - Six CSAP Strategies: Education, Alternative Activities, Information Dissemination, Community Based, Problem ID and Referral, Environmental

C. Recruitment Strategies	D. Incentives to be provided	Type	
		<i>IOM</i>	<i>CSAP</i>

SECTION VI: MONITORING/EVALUATING PARTICIPANT OUTCOMES

The first of these two action steps involves monitoring the delivery of the prevention services (process evaluation) to ensure that the services are delivered as intended (with fidelity). The second step includes evaluating the direct results of the prevention services by evaluating the participants. These steps will provide the community with the optimal chance of reaching your desired prevention outcomes.

1. MONITORING PREVENTION SERVICE DELIVERY

Specify who will deliver each of the proposed prevention services, where the services are to be delivered; the frequency of the services (“dosaging”), and the begin and end dates.

Name of Prevention Service	A. Who will deliver each prevention service?	B. Where will each service be delivered?	C. What organization will coordinate delivery of the prevention service?

2. MEASURING PARTICIPANT-LEVEL OUTCOMES

Specify the outcomes you want to see in the participants who receive the prevention services, the measure of change expected, when the participants will be measured, what tool will be used to conduct the measurement, who will be responsible for administering the tool, who will provide overall management of the participant-level evaluation.

	A. What participant-level outcomes are proposed?	B. What is the proposed measure of change?	C. When will the participants be measured?

MONITORING PREVENTION SERVICE DELIVERY (CONT.)

D. Dosage of Each Program Service			E. Cycle Dates	
<i># Cycles time per quarter period</i>	<i># Sessions each cycle</i>	<i>Length in hours each session</i>	<i>Begin</i>	<i>End</i>

MEASURING PARTICIPANT-LEVEL OUTCOMES (CONT.)

D. What is the measurement tool?	E. Who will administer the measurement tool?	F. Who is responsible for managing participant level outcomes?

SECTION VII: DEVELOPING PREVENTION SERVICES

COST AND BUDGET PLAN

The cost and subsequent budget for implementing the Community Action Plan should reflect all resources that are available from multiple sources and partners including “in kind” contributions. The budget should be adequate to complete all of the steps of the Community Action Plan including collection and analysis of data to assess risk, protection, problems, consequences, outcomes, implementation of prevention services, and monitoring and evaluation of such services.

#	A. Prev Service Name	B. Budget Description Detail cost for project administration, training for evidence-based programs, specific costs related to each prevention service.	C. Amount		
			Actual Funds (source)	In Kind Support (amount)	Total All Sources
Administration/Management Related to cost for administration/project management					
		Salary Coalition/Community Director Prevention Community Coordinator Administrative Assistant			
		Fringe Coalition/Community Director Prevention Community Coordinator Administrative Assistant			
		Travel Coalition/Community Director Prevention Community Coordinator Administrative Assistant			
		Consultant/Contracts			
Supplies/Equipment					
Direct Services - Delivery of Prevention Services (Costs limited to actual provision of each prevention service)					
		___ Number of cycles provided during funding period ___ Proposed Number of youth served in each cycle ___ Number of adults to be served in each cycle			
		___ Number of cycles provided during funding period ___ Proposed Number of youth served in each cycle ___ Number of adults to be served in each cycle			
		___ Number of cycles provided during funding period ___ Proposed Number of youth served in each cycle ___ Number of adults to be served in each cycle			
Totals					

SECTION VIII: SUSTAINING PREVENTION OUTCOMES

Sustaining your successful Community Action Plan outcomes requires continual monitoring, evaluation, and reassessment of each phase of the action plan. This may result in adjustments in the Community Action Plan elements that focus on prevention services of policies, practices, programs, and strategies in support of the proposed outcomes.

The recommendation is to focus on sustaining the successful prevention outcomes you have achieved (such as reduction in underage drinking and drug use, reduction in alcohol and drug related crime, increase in school graduation, and increase in positive family interactions). By focusing on the successful outcomes, the community partners should be able to solicit and maintain support to sustain the prevention services that affected the outcomes.

PREVENTION OUTCOMES SUSTAINABILITY

#	A. Identification of Prevention Outcomes	B. Identification of Corresponding Prevention Services	C. Implementation Timeline	D. Review Timeline	E. Sustainability Messages	F. Sustainability Strategies