



RESOLUTION

AUTHORIZING THE DIRECTOR OF THE DEPARTMENT OF COMMUNITY SERVICES OR THE DIRECTOR'S DESIGNEE TO APPLY FOR AND, IF APPROVED, ACCEPT AND EXPEND FUNDS FROM THE STATE DEPARTMENT OF HEALTH, ALCOHOL AND DRUG ABUSE DIVISION FOR THE WORKHAWAII DIVISION AND TO ENTER INTO AN INTERGOVERNMENTAL AGREEMENT WITH THE STATE DEPARTMENT OF HEALTH, ALCOHOL AND DRUG ABUSE DIVISION FOR SAID FUNDS.

WHEREAS, Chapter 1, Article 8, Revised Ordinances of Honolulu 1990, requires that when carrying out the provisions of any intergovernmental agreement, all applications and/or amendments thereof, statistical data programs, reports or other official communications which support the application and which are required to be provided by the City and County of Honolulu or its component departments to any other governmental or quasi-governmental agency shall first be presented to the City Council for its review and approval prior to its transmittal; and

WHEREAS, said Section 1-8.2 further requires City Council approval of any intergovernmental agreement, or any amendments thereto, which places an obligation upon the City and County of Honolulu ("City"); and

WHEREAS, the State Department of Health, Alcohol and Drug Abuse Division has announced the availability of funds through its Request For Proposals, County Coordination for a Substance Abuse Prevention System, issue date December 7, 2015, a copy of which is attached hereto as Exhibit A; and

WHEREAS, the Department of Community Services for the City and County of Honolulu currently implements substance abuse prevention services that addresses underage drinking; and

WHEREAS, the goal of these services is to educate youth and adults on the consequences of underage drinking and to minimize or eliminate access to alcohol; and

WHEREAS, the Department of Community Services desires to apply for Department of Health, Alcohol and Drug Abuse Division funds to improve Honolulu's substance abuse prevention infrastructure and prevention system by coordinating prevention services that address underage drinking; now, therefore,



RESOLUTION

BE IT RESOLVED by the Council of the City and County of Honolulu, that the Director of the Department of Community Services or the Director's designee is hereby authorized to:

1. Apply for, and if approved, accept and expend funds from the State Department of Health, Alcohol and Drug Abuse Division for the purposes described herein, as authorized by WorkHawaii;
2. Enter into an intergovernmental agreement with the Department of Health, Alcohol and Drug Abuse Division for the receipt, use, and administration of said funds; and
3. Execute any other incidental agreements in connection therewith, or amendments thereto, as may be reasonably required; and

BE IT FINALLY RESOLVED by the Council of the City and County of Honolulu that the Clerk be, and is hereby directed to transmit copies of this Resolution to the Director of the Department of Community Services, 715 South King Street, Suite 311, Honolulu, Hawaii, 96813.

INTRODUCED BY:

[Handwritten signature]

(br)

DATE INTRODUCTION:

JAN 7 2016
Honolulu, Hawaii

Councilmembers

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

Request for Proposals

**RFP No. HTH 440-17-16PFS
County Coordination for a Substance
Abuse Prevention System**

Date Issued
December 7, 2015

Date Due
January 13, 2016

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

December 7, 2015

REQUEST FOR PROPOSALS

RFP No. HTH 440-17-16PFS

County Coordination for a Substance Abuse Prevention System

The Department of Health, Alcohol and Drug Abuse Division (ADAD), Prevention Branch, is requesting proposals from county governments located in Hawaii to build capacity of the substance abuse prevention system and support implementation of efforts to address underage drinking in each county in the State of Hawaii.

County government agencies are the only eligible applicants for the federal funds available through this Request for Proposal (RFP). The anticipated contract term will be two and one-half (2½) years from April 1, 2016 through September 29, 2018. There will be one contract awarded per county. Pending availability of funds the contract may be extended.

RFP No. HTH 440-17-16PFS is posted on the State Procurement Office (SPO) website <http://www.hawaii.gov/spo> and available upon request made to the RFP contact person identified below. Proposals shall be mailed, postmarked by the United States Postal Service on or before January 13, 2016, and received no later than 10 days from the submittal deadline. Hand delivered proposals shall be received no later than 4:30 p.m., Hawaii Standard Time (HST), on January 13, 2016, at the drop-off site. Proposals transmitted by email shall be sent to Naomi Yamamoto at naomi.yamamoto@doh.hawaii.gov and shall be received no later than 4:30 p.m., HST, on January 13, 2016. Proposals postmarked, hand delivered or e-mailed after the submittal deadline shall be considered late and rejected. There are no exceptions to this requirement.

ADAD will conduct an orientation on December 10, 2015 from 9:00 a.m. to 12:00 noon at the Honolulu Airport, Hawaiian Inter-Island Terminal, 7th floor. All prospective applicants are encouraged to attend the orientation. ADAD will provide limited airfare scholarships for each county to have representation at this orientation. Prospective applicants must contact Naomi Yamamoto at (808) 692-7517 or naomi.yamamoto@doh.hawaii.gov for more information and details. Participation in the orientation is optional and is not a requirement to submit a proposal in response to the RFP.

The deadline for submission of written questions is 4:30 p.m., HST, on December 15, 2015. All written questions will receive a written response from the State on December 18, 2015.

Any inquiries and requests regarding this RFP should be directed to Mr. Joshua Phillip at 601 Kamokila Boulevard, Room 360, Kapolei, Hawaii, 96707, phone: (808) 692-7530, fax: (808) 692-7521, e-mail: joshua.phillip@doh.hawaii.gov.

PROPOSAL MAIL-IN AND DELIVERY INFORMATION SHEET

NUMBER OF COPIES TO BE SUBMITTED: 3

ALL MAIL-INS SHALL BE POSTMARKED BY THE UNITED STATES POSTAL SERVICE (USPS) NO LATER THAN **January 13, 2016** and received by the state purchasing agency no later than **10 days** from the submittal deadline.

All Mail-ins

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

Department of Health RFP Coordinator

Joshua Phillip
SPF-PFS Project Coordinator
Phone: (808) 692-7530
Fax: (808) 692-7521
joshua.phillip@doh.hawaii.gov

Transmission of proposals by e-mail is also permitted. E-mailed proposals shall be sent to Naomi Yamamoto at naomi.yamamoto@doh.hawaii.gov by **4:30 P.M., Hawaii Standard Time (HST), January 13, 2016**. E-mail transmittals shall not be accepted if received after 4:30 P.M. on January 13, 2016.

ALL HAND DELIVERIES SHALL BE ACCEPTED AT THE FOLLOWING SITE UNTIL **4:30 P.M., Hawaii Standard Time (HST), January 13, 2016**. Deliveries by private mail services such as FEDEX shall be considered hand deliveries. Hand deliveries shall not be accepted if received after 4:30 P.M., January 13, 2016.

Drop-off Site

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

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Section 1

Administrative Overview

Section 1 Administrative Overview

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

1.1 Procurement Timetable

Note that the procurement timetable represents the State's best estimated schedule. If an activity on this schedule is delayed, the rest of the schedule will likely be shifted by the same number of days. Contract start dates may be subject to the issuance of a notice to proceed.

<u>Activity</u>	<u>Scheduled Date</u>
Public notice announcing Request for Proposals (RFP)	<u>December 7, 2015</u>
Distribution of RFP	<u>December - January</u>
RFP orientation session	<u>December 10, 2015</u>
Closing date for submission of written questions for written responses	<u>December 15, 2015</u>
State purchasing agency's response to applicants' written questions	<u>December 18, 2015</u>
Discussions with applicant prior to proposal submittal deadline (optional)	<u>December-January</u>
Proposal submittal deadline	<u>January 13, 2016</u>
Discussions with applicant after proposal submittal deadline (optional)	<u>TBD</u>
Final revised proposals (optional)	<u>TBD</u>
Proposal evaluation period	<u>January - February</u>
Provider selection	<u>February</u>
Notice of statement of findings and decision	<u>February</u>
Contract start date	<u>April 1, 2016 or Notice to Proceed</u>

1.2 Website Reference

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

1.3 Authority

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

1.4 RFP Organization

This RFP is organized into five sections:

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

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

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

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

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

1.5 Contracting Office

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

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

1.6 RFP Point-of-Contact

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

Mr. Joshua Phillip
SPF-PFS Project Coordinator
Alcohol and Drug Abuse Division
Prevention Branch
Telephone: (808) 692-7530
Email: joshua.phillip@doh.hawaii.gov

1.7 Orientation

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

Date: December 10, 2015 **Time:** 9:00 am – 12 Noon
Location: Honolulu Airport, Hawaiian Inter-Island Terminal 7th Floor

Applicants are encouraged to submit written questions prior to the orientation. Impromptu questions will be permitted at the orientation and spontaneous answers provided at the state purchasing agency's discretion. However, answers provided at the orientation are only intended as general direction and may not represent the state purchasing agency's position. Formal official responses will be provided in writing. To ensure a written response, any oral questions should be submitted in writing following the close of the orientation, but no later than the submittal deadline for written questions indicated in the subsection 1.8, Submission of Questions.

1.8 Submission of Questions

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

Deadline for submission of written questions:

Date: December 15, 2015 **Time:** 4:30 PM HST

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

Date: December 18, 2015

1.9 Submission of Proposals

- A. **Forms/Formats** - Forms, with the exception of program specific requirements, may be found on the State Procurement Office website referred to in Section 1.2. Website Reference. Refer to the Section 5, Proposal Application Checklist for the location of program specific forms.
1. **Proposal Application Identification (Form SPOH-200)**. Provides applicant proposal identification.
 2. **Proposal Application Checklist**. The checklist provides applicants specific program requirements, reference and location of required RFP proposal forms, and the order in which all proposal components should be collated and submitted to the state purchasing agency.

3. **Table of Contents.** A sample table of contents for proposals is located in Section 5, Attachments. This is a sample and meant as a guide. The table of contents may vary depending on the RFP.
 4. **Proposal Application (Form SPOH-200A).** Applicant shall submit comprehensive narratives that address all proposal requirements specified in Section 3, Proposal Application Instructions, including a cost proposal/budget, if required.
- B. **Program Specific Requirements.** Program specific requirements are included in Sections 2 and 3, as applicable. Required Federal and/or State certifications are listed on the Proposal Application Checklist in Section 5.
 - C. **Wages Law Compliance.** If applicable, by submitting a proposal, the applicant certifies that the applicant is in compliance with HRS §103-55, Wages, hours, and working conditions of employees of APPLICANTS performing services. Refer to Section 1.2, Website Reference for statutes and DLIR website address.
 - D. **Campaign Contributions by State and County APPLICANTS.** HRS §11-355 prohibits campaign contributions from certain State or county government APPLICANTS during the term of the contract if the APPLICANTS are paid with funds appropriated by a legislative body. Refer to Section 1.2, Website Reference for statutes and Campaign Spending Commission website address.
 - E. **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.

- F. **Proposal Submittal.** All mail-ins shall be postmarked by the United States Postal System (USPS) and received by the State purchasing agency no later than the submittal deadline indicated on the attached Proposal Mail-in and Delivery Information Sheet, or as amended. All hand deliveries shall be received by the State purchasing agency by the date and time designated on the Proposal Mail-In and Delivery Information Sheet, or as amended. Transmission of proposals by e-mail is also permitted. E-mailed proposals shall be sent to Naomi Yamamoto at naomi.yamamoto@doh.hawaii.gov by the date and time designated on the Proposal Mail-In and Delivery Information Sheet, or as amended. Proposals shall be rejected when:
 1. Postmarked after the designated date; or
 2. Postmarked by the designated date but not received within 10 days from the submittal deadline; or
 3. If hand delivered, received after the designated date and time; or
 4. If e-mailed, sent after the designated date and time.

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

1.10 Discussions with Applicants

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

1.11 Opening of Proposals

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

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

1.12 Additional Materials and Documentation

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

1.13 RFP Amendments

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

1.14 Final Revised Proposals

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

1.15 Cancellation of Request for Proposal

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

1.16 Costs for Proposal Preparation

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

1.17 Provider Participation in Planning

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

are required

are not required

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

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

1.18 Rejection of Proposals

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

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

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

1.19 Notice of Award

A statement of findings and decision shall be provided to each responsive and responsible applicant by mail upon completion of the evaluation of competitive purchase of service proposals.

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

No work is to be undertaken by the provider(s) awarded a contract prior to the contract commencement date. The State of Hawaii is not liable for any costs incurred prior to the official starting date.

1.20 Protests

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

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

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

Head of State Purchasing Agency	Procurement Officer
Name: Virginia Pressler, M.D.	Name: Edward Mersereau, LCSW, CSAC
Title: Director of Health	Title: Chief, Alcohol and Drug Abuse Division
Mailing Address: State of Hawaii Department of Health P. O. Box 3378 Honolulu, HI 96801	Mailing Address: Department of Health Alcohol and Drug Abuse Division 601 Kamokila Boulevard, Room 360 Kapolei, HI 96707
Business Address: State of Hawaii Department of Health 1250 Punchbowl St. Honolulu, HI 96813	Business Address: Department of Health Alcohol and Drug Abuse Division 601 Kamokila Boulevard, Room 360 Kapolei, HI 96707

1.21 Availability of Funds

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

1.22 General and Special Conditions of Contract

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

1.23 Cost Principles

To promote uniform purchasing practices among state purchasing agencies procuring health and human services under HRS Chapter 103F, state purchasing agencies will utilize standard cost principles as outlined on the SPO website. Refer to Section 1.2 Website Reference for website address. Nothing in this section shall be construed to create an exemption from any cost principle arising under federal law.

Section 2
Service Specifications

Section 2

Service Specifications

2.1 Introduction

A. Overview, purpose or need

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

The Strategic Prevention Framework

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

The SPF is a five-step process that includes 1) Assessment, 2) Capacity Building, 3) Planning, 4) Implementation, and 5) Evaluation. These steps are guided by the principles of cultural competence and sustainability, and each step contains key milestones and products that are essential to the validity of the process. Through implementation of the SPF, underage drinking was identified as a prevention priority statewide, and ADAD has directed available prevention resources to services and activities to address this priority and related issues and contributing factors.

ADAD was awarded federal discretionary funds by CSAP through the Strategic Prevention Framework Partnerships for Success 2013 (SPF-PFS) grant. The goal of the five (5)-year award is specifically to address the state's identified priority of reducing and preventing the use of alcohol among persons aged 12 – 20, especially in areas of high need and to improve the substance abuse prevention infrastructure and prevention system in Hawaii. To this end, the specific objectives of the SPF-PFS Project are to (1) develop a comprehensive prevention plan for the state by building capacity and enhancing community-level and state-level infrastructures utilizing the SPF process; (2) align prevention priorities; and (3) leverage resources at the Federal, State and community levels.

This Request for Proposal (RFP) is seeking coordination of county prevention services that will build capacity to enhance the substance abuse prevention system within each county and statewide to address underage drinking. Eligible applicants are Hawaii county government agencies.

B. Planning activities conducted in preparation for this RFP

The initial Request for Information (RFI) related to the SPF-PFS grant funds was issued April 16, 2013 and a meeting was conducted April 19, 2013 in Honolulu. ADAD desired feedback and information regarding SPF implementation, priorities, challenges, and resources within communities and agencies to guide the development of the proposal submitted to SAMHSA and the implementation of the SPF-PFS project if ADAD was successfully awarded. More than fifteen people representing multiple communities contributed ideas and suggestions that were incorporated into the application and considered in the planning for the current solicitation.

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

In conjunction with the RFI, priority issues to be addressed in this RFP were also influenced by past reports and available data. ADAD considered recommendations made in the *2013 Strategic Prevention Framework State Incentive Grant (SPF-SIG) Final Evaluation Report* and follow up consultation. The Hawaii State

Epidemiology Outcomes Workgroup (SEOW) also provided state and county epidemiological profiles using available data related to youth and adult use of alcohol and other substance use from the past several years. As first identified during the SPF-SIG grant period and further supported by the findings of the SEOW, underage drinking remains a substance abuse prevention priority. Alcohol use is more prevalent among youth ages 12-17 and young adults ages 18-20 than any other substance. According to the Youth Risk Behavior Survey (YRBS), 38.4% of 12th grade students, 25.7% of 11th grade students, 19.3% of 10th grade students, and 18.3% of 9th grade students reported having at least one drink of alcohol in the past 30 days in 2013.

C. Description of the service goals

The goal of the requested service is to identify, enhance and sustain a statewide substance abuse prevention system by using the SPF process to develop and implement a comprehensive substance abuse prevention system enhancement plan for each county and to support each county agency to serve as a local resource for substance abuse prevention providers in the county.

D. Description of the target population to be served

The target population to be served is substance abuse prevention providers, including but not limited to coalition leaders, coalition members, prevention program providers, and partners.

E. Geographic coverage of service

Service areas for this RFP include the counties of Hawaii, Kauai, Maui and Honolulu.

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

Federal discretionary grant funds (CFDA 93.243) will be available through this RFP. An estimated annual amount of \$440,000 of federal funds is available for this requested service statewide. ADAD reserves the right to increase or decrease funds at its discretion to best meet the needs of the State as well as to operate within budgetary limitations. The anticipated fund amounts stated in this RFP are estimated based on current resource allocations.

Period of Availability:

September 30, 2016 – September 29, 2016	Approximately \$440,000
September 30, 2016 – September 29, 2017	Approximately \$440,000
September 30, 2017 – September 29, 2018	Approximately \$440,000

ADAD will fund up to four (4) awards (one award per county) from this RFP. It is important to note that funding amounts when executing actual contract awards may

be significantly different from the stated anticipated funding amounts due to evolving budgetary circumstances. Only county government agencies are eligible to submit proposals for consideration for this particular funding opportunity.

Funding is contingent upon the availability of funds. The State anticipates funding each awarded applicant for two and one-half (2½) years. Contracts may be extended for up to two (2) additional twelve (12) month periods pending availability of funds. Options for renewal or extension shall be based on the awarded applicant's satisfactory performance of the contracted service(s), the availability of funds to continue the service(s), and if the State determines that the service(s) are still needed.

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

NOTE:

ADAD also reserves the right to reallocate the above amounts to other ADAD funded organizations if, at any time after three (3) months into each fiscal year there is a monthly pattern of poor or low performance, or underutilization of funds such that it appears the provider will not be able to expend all allocated funds by the end of each fiscal year. The criteria used for the reallocation of funds shall be determined by ADAD at its discretion in order to best meet the needs of the State.

The APPLICANT may request a maximum of one-twelfth (1/12) of the total award for the first year to be advanced for startup costs for new programs, upon receipt of an executed contract and the submission of an invoice requesting the advancement of funds.

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

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

The APPLICANT may submit to ADAD proposals for requested contract amendments or any changes affecting the scope of services, target population, time of performance, and total funds, but such requests must be approved in writing before changes can be made. Proposals shall be submitted no later than four (4)

months prior to the end of each contract year, unless prior approval is given by ADAD.

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

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

2.2 Contract Monitoring and Evaluation

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

- (1) Performance/Outcome Measures
- (2) Output Measures
- (3) Quality of Care/Quality of Services
- (4) Financial Management
- (5) Administrative Requirements

2.3 General Requirements

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

All APPLICANTS shall complete and submit the Certifications and Assurances contained in Section 5, Attachments E and F.

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

If awarded a contract, the APPLICANT shall:

- Comply with the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, 45 CFR Part 75, effective as of December 26, 2014. Please refer to SAMHSA's [website](#).
- Arrange for a financial and compliance audits to be done and submitted to ADAD as directed in accordance with the above regulations if the applicant expends \$750,000 or more in federal funds in a year.

- Provide its most recent audited Financial Statement.
 - i. APPLICANTS shall not use funds for major capital improvements or other costs listed as unallowable in Chapter 103F, HRS, Cost Principles for Purchases of Health and Human Services identified in SPO-H-201 (revised 9/11), which can be found on the State Procurement Office (SPO) website: <http://hawaii.gov/spo/spoh/for-private-providers/forms-and-instructions-for-private-providers-applicants/costprinciples.PDF>.
 - ii. Reconcile the amount of an advanced payment by the fifth (5th) month of the first year of the contract should such an advancement occur.
 - iii. Refund to the ADAD any funds unexpended or expended inappropriately.
 - iv. Assure under the actual expenditure method of reimbursement, that all equipment and unused supplies and materials purchased with funds paid to it shall become the property of ADAD upon completion or termination of the contract.
 - v. Assure under the actual performance method of reimbursement, that program income and/or surplus earned during the contract shall be used to further the program objectives, subject to audit verification by ADAD.

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

After-the-fact secondary purchases will be allowed.

Planned secondary purchases: "None"

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

Allowed Unallowed

D. Single or multiple contracts to be awarded
(Refer to HAR §3-143-206)

Single Multiple Single & Multiple

Criteria for multiple awards:

Up to four (4) contracts will be awarded, one (1) per County.

E. Single or multi-term contracts to be awarded
(Refer to HAR §3-149-302)

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

Contract terms:

The initial period may commence on the contract start date or the State's Notice to Proceed. Contracts will be awarded for a two and one-half (2½) year period with funding for the subsequent years contingent upon satisfactory performance in the previous year and the availability of funds. After the initial two and one-half (2½) year contract period, ADAD reserves the right to extend contracts for up to two (2) additional twelve-month periods. Options for renewal or extension shall be based on the provider's satisfactory performance of the contracted service(s), the availability of funds to continue the service(s), and ADAD's determination the service(s) are still needed. Contract extension shall be requested in writing and must be executed prior to contract expiration.

2.4 Scope of Work

The scope of work encompasses the following tasks and responsibilities:

A. Service Activities

(Minimum and/or mandatory tasks and responsibilities)

The Applicant shall:

1. Build and maintain partnerships on an ongoing basis to promote collaboration, make efficient use of county resources, and achieve county-level enhancements in the substance abuse (SA) prevention system within the county. Tasks include but are not limited to:
 - a. Facilitate networking and peer sharing opportunities amongst SA prevention providers in the county that may include but not be limited to lessons learned, useful information and resources, and youth exchange/leadership activities.
 - b. Establish a regular communication structure that may include but not be limited to meetings, newsletters, and an e-mail distribution list to ensure ongoing communication amongst all SA prevention providers and SA prevention stakeholders.
 - c. Engage prevention stakeholders to initiate projects and engage SA prevention stakeholders in joint ventures to address SA problems in the county.
 - d. Participate on state, county and/or community boards, collaboratives, initiatives, committees and/or councils related to ATOD use/abuse, such as but not limited to the ADAD's Workforce Development Committee.
2. Conduct an assessment of the existing and trending SA problems and the capacity to address the problems in the county within three (3) months of notice to proceed. Information gathered through this assessment will be used to develop a

comprehensive SA prevention system enhancement plan and make data-driven decisions. Tasks include but are not limited to:

- a. Assess SA problems in the county for the purpose of increasing knowledge about the nature and extent of the SA problem(s). Information and data gathered shall include but not be limited to disparate populations or groups of people that experience obstacles to health related services based on their race or ethnicity, socioeconomic status, sexual orientation or gender identity. It shall also include areas of high need or a geographically defined areas based on ethnicity, language, occupation, or other specifically described identity, where the population described has or is at risk of having a higher than average prevalence rate of the substance abuse priority the state is addressing, and where the population or area has limited resources, opportunities or success in addressing the identified priority(ies). The State Epidemiological Outcomes Workgroup (SEOW) and ADAD's Evaluation Team may be resources to the county. Assessment includes but is not limited to the following:
 - i. Review existing consumption and consequence data (e.g. alcohol, tobacco, and other drug (ATOD) related arrests, car crashes, and emergency department visits).
 - ii. Collect additional information in the county, and utilize available resources to fill identified data gaps.
 - iii. Collect qualitative data, including but not be limited to emerging drug trends, through methods such as focus groups, key informant interviews, and/or one-on-one interviews.
 - iv. Analyze data collected from all possible sources and identify correlations and other patterns to determine magnitude (Which problem seems to be the largest?), time trend (Is the problem getting worse or better over time?), and severity (Is it resulting in mortality? Is it more costly?) of the SA problem(s).
 - v. Summarize data and analysis in a document. This document should be used for planning purposes, funding opportunities, and methods for sharing the SA problems and trends with other entities. All methods and materials for sharing the compiled information shall be submitted to ADAD for review.
- b. Assess capacity, to include resources and readiness, of the SA prevention system in the county to address its identified SA problem(s). The information gathered shall include but not be limited to:

- i. Current resources that can be directed towards addressing the SA problems in the county. These include organizational resources, such as existing programs, policies, technology and physical resources; human resources, such as skills, knowledge and staffing; and fiscal resources, such as other funding streams and in-kind support.
 - ii. Current readiness to address the identified SA problems in the county, so that future planned strategies will be appropriate given the attitudes and level of awareness within the county.
 - iii. A draft summary of key findings regarding the current resources and readiness, and a description of components that make up the SA prevention system in the county. This summary shall be submitted to ADAD for review.
3. Strengthen the capacity within the county to respond to prevention providers and workforce development needs and/or requests for training, technical assistance, guidance and/or information to address SA problems in the county. The APPLICANT shall:
 - a. Attend trainings and/or training of trainers to gain new knowledge and skills related to SA prevention. Attendance at trainings and/or training of trainers shall include but not be limited to:
 - i. Substance Abuse Prevention Skills Training (SAPST) as made available within the state.
 - ii. SAPST Training of Trainers (TOT) as made available within the state.
 - iii. A National, State, and/or Regional SA prevention conference annually, as approved by ADAD, to gain knowledge of resources, network with other SA prevention leaders and learn about the latest trends in SA prevention.
 - b. Provide trainings and technical assistance opportunities as well as other related workshops and conferences that address workforce development and implementation of the SPF and SA prevention interventions, strategies, and programs. Trainings and technical assistance provided in the county shall include but not be limited to:
 - i. At least one (1) SAPST annually.
 - ii. At least three (3) trainings annually on SA prevention topics including but not limited to assessment, capacity building,

planning, implementation, evaluation, cultural competence, sustainability, empowering others, leadership, evidence-based strategies, and environmental strategies.

- iii. Responses to prevention providers' requests for technical assistance, guidance and/or information including but not limited to the topics listed above in 3.b.ii. Technical assistance may include but not be limited to phone calls, emails, face-to-face meetings, workshops, and educational opportunities.
 - c. Work with ADAD's Training Coordinator for Certified Prevention Specialist (CPS) Continuing Education (CE) hours for SA related trainings within the state. (For additional information regarding CPS CE hours, [click here](#).)
- 4. Facilitate a collaborative planning process to develop a comprehensive SA prevention system enhancement plan (Plan) within six (6) months of notice to proceed. The APPLICANT shall determine how best to enhance the SA prevention system in the county by utilizing information gathered from the assessment and selecting appropriate capacity building strategies to implement and evaluate. It is expected that the APPLICANT will engage SA prevention coalitions, providers, and/or other stakeholders throughout the process of developing the Plan and make data-driven decisions whenever possible. The Plan shall be submitted to ADAD for approval prior to implementation. The Plan shall include but not be limited to the following components:
 - a. Summary of the assessment findings – Revised summary of the key findings and description of components that make up the SA prevention system in the county;
 - b. Summary of planning process – A summary of who was involved, how decisions were made and how selected strategies were chosen;
 - c. Three (3) year action plan – Statements of opportunity to enhance the SA prevention system in the county based on the identified capacity needs from the assessment, corresponding goals, identified strategies appropriate to obtain each goal, person(s) responsible, resources needed and projected date of accomplishment for each strategy.
 - d. Evaluation plan – Short and long term process and outcome indicators for each strategy. Explanation of how each will be measured, including but not limited to evaluation method(s), tool(s), and timeline.
 - e. Dissemination plan – Description of how necessary components of the Plan will be distributed to key stakeholders to ensure accountability; and
 - f. Description of updating and amending the Plan – Description of how the Plan will be updated, amended, and approved based on ongoing assessment, monitoring, and evaluation.

5. Implement and monitor the approved Plan and ensure appropriate adjustments are made to enhance its effectiveness.
6. Evaluate planned strategies and the SPF process to improve effectiveness. Responsibilities of the APPLICANT shall include but not be limited to:
 - a. Work with the PFS Evaluation Team to implement the evaluation plan. Major revisions to the evaluation plan must be approved by ADAD before being implemented.
 - b. Compile, summarize, and share the evaluation information to key stakeholders for the purpose of improving the effectiveness the planned strategies and the SPF process.
7. Ensure cultural competence by being respectful and responsive to the beliefs, values, practices, cultural, and linguistic needs of diverse population groups in each of the service activities, 1 – 6, listed above. (For more information on cultural competency on SAMHSA's website, <http://www.samhsa.gov>.)
8. Ensure sustainability by building stakeholder support, showing and sharing results and obtaining steady funding for the positive outcomes of the SA prevention system in the county. (For more information on sustainability on SAMHSA's website, <http://www.samhsa.gov>.)

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

1. Personnel

The APPLICANT is required to provide written acknowledgement agreeing to comply with the Management Requirements (Section 5, Attachment D, Item 1, Personnel) and Code of Ethical Conduct of Prevention Professionals (Section 5, Attachment G) in this RFP.

The APPLICANT shall assure that its own workforce and that of any partnering organizations meet the minimum qualifications set forth by the organization that employs them. The APPLICANT and its partner organizations shall assure that CPS candidates shall be assigned to preceptors who have a CPS credential or a bachelors or master's degree and at least one-year experience in substance abuse prevention. Preceptors are individuals responsible for training and supervising the CPS candidate.

2. Administrative

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

3. Quality assurance and evaluation specifications

The APPLICANT is required to provide written acknowledgement agreeing to comply with the Management Requirements (Section 5, Attachment D, Item 3, Quality Assurance and Evaluation Specifications). If awarded, the APPLICANT shall develop a participant satisfaction survey to improve organizational programs, practices, or strategies.

4. Output and performance/outcome measurements

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

Number of training and technical assistance activities provided;
Reach of training and technical assistance activities (numbers served);
Number of active collaborators/partners supporting the SA prevention system;
Number of people reached by Institute of Medicine (IOM) category;
Number of networking activities provided;
Reach of networking activities (number served);
Number of communication activities provided;
Reach of communication activities (number served);
Number of joint prevention ventures initiated;
Reach of initiated joint prevention ventures (number served);
Number of SA prevention meetings attended.

ADAD will review the APPLICANT'S performance measurement results and may request a plan of program corrections as deemed necessary.

Additionally, the APPLICANT shall assist the State in collecting National Outcome Measures (NOMs) on the following indicators: 30-day alcohol use among persons aged 12-20; binge drinking among persons aged 12-20; alcohol related crime among persons aged under 18; alcohol-related car crashes and injuries; and alcohol-related emergency room visits.

5. Experience

The APPLICANT is required to provide a description of the agency's current and past experience in operationalizing projects/contracts pertinent to the proposed services. The description shall include the APPLICANT's experience for the past three (3) to five (5) years:

- Providing prevention initiatives;
- Providing substance abuse specific prevention initiatives;
- Applying the Strategic Prevention Framework (SPF);
- Convening diverse stakeholders and promoting collaboration within the targeted geographic area; and
- Coordinating services to the identified population

The APPLICANT is required to 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 for the most recent three (3) to five (5) years that are pertinent to the proposed services. ADAD staff shall not be identified stakeholders.

6. Coordination of services

The APPLICANT shall coordinate services with other agencies, providers and resources in the county to avoid duplication of services and ensure a full array of SA prevention services. The APPLICANT shall demonstrate experience in working and collaborating with these agencies and providers.

7. Reporting requirements for program and fiscal data

a. Required program reports:

Each month, the APPLICANT shall record the services (single and recurring) into ADAD's management information system and document the activities related to the service activities and the chosen SA prevention system enhancement strategies according to the six (6) CSAP strategies identified in Section 5, Attachment H of this RFP. The unduplicated count of individuals served by each activity or strategy shall be reported online monthly. The monthly data report is due on the 15th of the following month.

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

- 30-day alcohol use among persons aged 12-20;
- Binge drinking among persons aged 12-20;
- Alcohol related crime among persons aged under 18;
- Alcohol-related car crashes and injuries; and
- Alcohol-related emergency room visits.

The APPLICANT shall also submit biannual reports including information related to the Community Level Instrument – Revised, which include intervention name, service type, CSAP strategy type, Institute of Medicine (IOM) category ([click here](#) for more information on IOM categories on SAMHSA's website) and intervention targets. Biannual reports are due on April 15th and October 15th.

Moreover, the APPLICANT shall submit narrative Quarterly and Year-End Reports summarizing activities implemented, accomplishments, barriers/challenges encountered, and efforts to overcome those barriers.

Quarterly reports are due within fifteen (15) calendar days after the end of each quarter. Year-End reports are due within forty-five (45) calendar days after the end of each fiscal year.

b. Required fiscal reports:

The APPLICANT shall submit monthly an Expenditures Report and Invoice in Section 5, Attachment C, ADAD Form 200 (04/12) Expenditure Report, detailing expenditures incurred during the month by the 15th of the following month.

The APPLICANT shall also submit annually a Cost Report detailing the cost of service activities to accomplish each step of the SPF. (For more information, [click here](#).)

c. Close out reports:

The APPLICANT shall submit to ADAD its final invoice no later than forty-five (45) calendar days after the end of each contract year, or by October 15, whichever comes first. Lapsing of funds will occur if final invoices are not received by ADAD within forty-five (45) calendar days of the last day of the contract year.

Within forty-five (45) calendar days after the expiration of each contract year, the applicant shall submit to ADAD the Close-Out Report summarizing the actual expenditures for the fiscal year and the Year-End Program Report.

C. Facilities

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

2.5 COMPENSATION AND METHOD OF PAYMENT

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

The APPLICANT's budget shall include costs for:

- Personnel – staff salaries and fringe benefits
- Non Personnel – staff travel, staff training, equipment, materials, meetings, projects, and other allowable costs directly relating to the service delivery.

- B. If awarded a contract, the APPLICANT shall submit monthly for ADAD's approval the Expenditures Report and Invoice in Section 5, Attachment C, ADAD Form 200 (04/12) Expenditure Report. Any advanced payment shall be reconciled by the end of the fifth month of the contract. Final payment for each contract year shall be made upon acceptance of the Year-End Program and Fiscal Reports and Final Invoice.

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

Section 3

Proposal Application Instructions

Section 3

Proposal Application Instructions

General instructions for completing applications:

- *Proposal Applications shall be submitted to the state purchasing agency using the prescribed format outlined in this section.*
- *The numerical outline for the application, the titles/subtitles, and the applicant organization and RFP identification information on the top right hand corner of each page should be retained. The instructions for each section however may be omitted.*
- *Page numbering of the Proposal Application should be consecutive, beginning with page one and continuing through for each section. See sample table of contents in Section 5.*
- *Proposals may be submitted in a three ring binder (Optional).*
- *Tabbing of sections (Recommended).*
- *Applicants must also include a Table of Contents with the Proposal Application. A sample format is reflected in Section 5, Attachment B of this RFP.*
- *A written response is required for each item unless indicated otherwise. Failure to answer any of the items will impact upon an applicant's score.*
- *Applicants are strongly encouraged to review evaluation criteria in Section 4, Proposal Evaluation when completing the proposal.*
- *This form (SPOH-200A) is available on the SPO website (Refer to Section 1.2 Website Reference). However, the form will not include items specific to each RFP. If using the website form, the applicant must include all items listed in this section.*

The Proposal Application is comprised of the following sections:

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

3.1 Program Overview

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

- A description of the service to be provided.
- Justification the service is needed.

- A description of the population to be served.
- A description of who will implement the service.
- A statement of the desired outcomes to be achieved.

3.2 Experience and Capability

A. Necessary Skills (1 page max)

The APPLICANT shall demonstrate that it has the necessary skills, abilities, and knowledge to coordinate and facilitate the enhancement of a county-wide SA prevention system that supports the successful delivery of effective SA prevention programs, interventions, policies and strategies by prevention providers within the county. The requested service must be delivered by personnel that meets the minimum qualifications set forth by the organization that employs them and have the skills necessary to deliver the service.

B. Experience (2 pages max)

The APPLICANT shall provide a description of the agency's current and past experience in operationalizing projects/contracts pertinent to the proposed services. The APPLICANT shall provide a narrative describing its experience for the past three (3) to five (5) years:

- Coordinating prevention initiatives;
- Coordinating substance abuse specific prevention initiatives;
- Applying the Strategic Prevention Framework (SPF);
- Convening diverse stakeholders and promoting collaboration within the targeted geographic area; and
- Coordinating services to the identified population.

The APPLICANT shall include as an appendix the addresses and phone numbers of at least three (3) key stakeholders who can verify the APPLICANT's experience for the most recent three (3) to five (5) years that are pertinent to the proposed services. ADAD staff shall not be identified stakeholders.

C. Quality Assurance and Evaluation (2 pages max)

The APPLICANT shall describe its internal quality assurances, protocols, methodologies and/or evaluation plans and how they are followed and employed to ensure that proposed services are carried out and the tasks are done.

The APPLICANT shall provide the following information on quality assurance procedures:

1. Description of 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, APPLICANT shall present a plan for collecting, analyzing and reporting the objectives.

D. Coordination of Services (1 page max)

The APPLICANT shall describe how the proposed services will be coordinated with other agencies, providers and resources in the county. The APPLICANT shall also demonstrate experience in working and collaborating with these agencies and providers. Letters of collaboration or other documentation that verifies such collaboration and working relationships are encouraged.

E. Facilities (1 page max)

The APPLICANT shall provide a description of its facilities and demonstrate the adequacy in relation to the proposed services. If facilities are not presently available, describe plans to secure facilities. If using facilities under the control of another entity, the APPLICANT shall include a copy of the use agreement. The APPLICANT shall also describe how the facilities meet Americans with Disabilities Act (ADA) requirements, as applicable and how the APPLICANT obtains special equipment or accommodations made to serve populations needing special assistance in order to benefit from the services provided.

3.3 Project Organization and Staffing

A. Staffing (2 pages max)

1. Proposed Staffing

The APPLICANT shall describe the proposed staffing pattern, including roles and responsibilities of the staff who will be involved in the delivery of proposed services.

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 that will be providing supervision and/or services. The resumes and job descriptions will not count in the page limit for this section of the RFP.

B. Project Organization (2 pages max)

1. Supervision and Training

The APPLICANT shall describe its ability to supervise, train and provide administrative direction relative to the staff who will be providing direct coordination of services.

The APPLICANT shall provide assurance that staff will receive training opportunities and supervision to prepare them for their roles and responsibilities.

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. The agency and "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.

3.4 Service Delivery (15 pages max)

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 2.4. Scope of Work.

A. Partnerships

The APPLICANT shall provide a detailed description on its current involvement with and approach to build and maintain partnerships to promote collaboration, make efficient use of county resources, and achieve county-level enhancements in the substance abuse (SA) prevention system within the county.

The APPLICANT shall describe its current involvement with and approach to facilitate networking and peer sharing opportunities amongst SA prevention providers in the county; establish regular communication structures; initiate projects and joint ventures to address SA problems; and participate on state, county and/or community boards, collaboratives, initiatives, committees and/or councils related to ATOD use/abuse.

The APPLICANT shall provide a projected timeline of proposed partnership activities.

B. Assessment

The APPLICANT shall describe who will be involved in the assessment, how the information will be shared and for what purposes.

The APPLICANT shall describe its approach to include data specific to disparate populations and areas of high need.

The APPLICANT shall describe the SA problem(s) in the county based on current knowledge and data.

The APPLICANT shall describe its approach to collect additional quantitative and qualitative data on SA problem(s) in the county and the approach to analyze the data.

The APPLICANT shall describe the current components of the SA prevention system in the county.

The APPLICANT shall describe its approach to gather information on the resources and readiness of the SA prevention system to address SA problems in the county.

C. Capacity

The APPLICANT shall describe its approach to strengthen the capacity within the county to provide training, technical assistance, guidance and/or information to address SA problems in the county. In particular the APPLICANT shall describe the approach to strengthen the capacity of its staff so that the staff is equipped to strengthen the capacity of the SA prevention providers/workforce in the county.

The APPLICANT shall describe how the availability of Certified Prevention Specialist (CPS) Continuing Education (CE) hours for individuals that would like to obtain or maintain CPS certification will be ensured.

D. Planning

The APPLICANT shall describe its approach to facilitate a collaborative planning process to develop a comprehensive SA prevention system enhancement plan (Plan) and engage SA prevention coalitions, providers, and other stakeholders throughout the process of completing each component of the Plan.

The APPLICANT shall describe its approach to ensure data – driven decisions in the planning process.

E. Implementation

The APPLICANT shall describe who will oversee the implementation of the approved Plan.

The APPLICANT shall describe its approach to monitor planned strategies and to ensure effectiveness.

F. Evaluation

The APPLICANT shall describe its approach to develop and implement the evaluation plan.

The APPLICANT shall describe its approach to evaluate the SPF process.

The APPLICANT shall describe its approach to improve the effectiveness of planned strategies and the SPF process.

G. Cultural Competence

The APPLICANT shall describe its approach to ensure cultural competence in each of the proposed services, A – F, listed above.

H. Sustainability

The APPLICANT shall describe its approach to build stakeholder support, show and share results, and obtain steady funding for the positive outcomes of the SA prevention system in the county.

3.5 Financial

A. Pricing Structure

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

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

1. Form SPO-H205 Budget
2. Form SPO-H205A Organization-Wide By Source of Funds
3. Form SPO-H205B Organization-Wide Budget By Programs
4. Form SPO-H206A Personnel – Salaries and Wages
5. Form SPO-H206B Personnel – Payroll Taxes, Assessments, and Fringe
6. Form SPO-H206C Travel – Inter-Island

7. Form SPO-H206D Travel -- Out-of State
8. Form SPO-H206E Contractual Services – Administrative
9. Form SPO-H206F Contractual Services – Subcontracts
10. Form SPO-H206G Depreciation
11. Form SPO-H206H Program Activities
12. Form SPO-H206I Equipment Purchases
13. Form SPO-H206J Motor Vehicle

The Applicant shall describe how they will sustain the program outcomes if funding from the State Purchasing Agency is decrease or ceases to exist.

All budget forms, instructions and samples are located on the SPO website. Refer to Section 1.2, Websites References for website address. The following budget form(s) shall be submitted with the Proposal Application:

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

B. Other Financial Related Materials

Accounting System

In order to determine the adequacy of the APPLICANT'S accounting system as described under the administrative rules, attach the following documents as part of the proposal application.

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

3.6 Other

Litigation

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

Section 4

Proposal Evaluation

Section 4 Proposal Evaluation

4.1 Introduction

The evaluation of proposals received in response to the RFP will be conducted comprehensively, fairly and impartially to determine eligibility set forth in the RFP. Those applications that fail this eligibility screen will not be reviewed.

4.2 Evaluation Process

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 right to use the same evaluation committee for all RFP. Separate awards shall be made for each RFP submitted. The STATE reserves the right to increase or decrease funds at its discretion 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 Proposal Application
- Phase 3 - Recommendation for Award

Evaluation Categories and Thresholds

<u>Evaluation Categories</u>	<u>Possible Points</u>
<i>Administrative Requirements</i>	
<i>Proposal Application</i>	
Program Overview	0 points
Experience and Capability	20 points
Project Organization and Staffing	10 points
Service Delivery	60 points
Financial	10 Points
TOTAL POSSIBLE POINTS	100 Points

4.3 Evaluation Criteria

A. Phase 1 - Evaluation of Proposal Requirements

1. **Administrative Requirements (*not scored*)**
2. **Proposal Application Requirements**
 - Proposal Application Identification Form (Form SPOH-200)
 - Table of Contents
 - Program Overview
 - Experience and Capability
 - Project Organization and Staffing
 - Service Delivery
 - Financial (All required forms and documents)
 - Program Specific Requirements (as applicable)

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

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

1. *Experience and Capability (20 Points)*

The State will evaluate the applicant's experience and capability described in the proposal and relevant to the requested service, including:

- a) **Necessary Skills (5 Points)**
Demonstrated skills, abilities, and knowledge relating to the delivery of the proposed services.
- b) **Experience (5 Points)**
Demonstrated experience relating to the delivery of proposed services.
- c) **Quality Assurance and Evaluation (3 Points)**
Sufficiency of quality assurance, protocols, methodologies and evaluation plans to ensure proper implementation of services and completion of required tasks.

- d) **Coordination of Services (5 Points)**
Demonstrated capability to coordinate services with other agencies and resources in the community.
- e) **Facilities (2 Points)**
Adequacy of facilities relative to the proposed services.

2. ***Project Organization and Staffing (10 Points)***

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

- a) **Staffing (6 Points)**
Proposed Staffing: Provided staffing patterns, including roles and responsibilities of the staff who will be involved in the delivery of proposed services.

Staff Qualifications: Provided resumes and minimum qualifications including education and experience of staff who will be involved in the delivery of proposed services.

- b) **Project Organization (4 Points)**
Demonstrated ability to supervise, train and provide administrative direction to staff who will be providing direct coordination of services.

Provided organizational chart that includes the staff titles, where they are located, who they report to.

3. ***Service Delivery (60 Points)***

The State will evaluate the APPLICANT's overall adequacy and capability of delivering county level services that shall include:

- a) **Partnerships (10 Points)**
Description of the current involvement with and approach to build and maintain partnerships to promote collaboration, make efficient use of county resources, and achieve county-level enhancements in the substance abuse (SA) prevention system within the county.

Description of the current involvement with and approach to facilitate networking and peer sharing opportunities amongst SA prevention providers in the county; establish regular communication structures; initiate projects and joint ventures to address SA problems; and participate on state, county

and/or community boards, collaboratives, initiatives, committees and/or councils related to ATOD use/abuse.

A projected timeline of proposed partnership activities.

b) Assessment (10 Points)

Description of who will be involved in the assessment, how the information will be shared and for what purposes.

Description of the approach to include data specific to disparate populations and high needs areas.

Description of the SA problem(s) in the county based on current knowledge and data.

Description of the approach to collect additional quantitative and qualitative data on SA problem(s) in the county and the approach to analyze the data.

Description of the current components of the SA prevention system in the county.

Description of the approach to gather information on the current resources and readiness of the SA prevention system to address SA problems in the county.

c) Capacity (10 Points)

Description of the approach to strengthen the capacity of its staff so that the staff is equipped to strengthen the capacity of the SA prevention providers in the county through trainings and technical assistance.

Description of the approach to ensure the availability of Certified Prevention Specialist (CPS) Continuing Education hours for individuals that would like to obtain or maintain CPS certification.

d) Planning (10 Points)

Description of the approach to facilitate a collaborative planning process to develop a comprehensive SA prevention system enhancement plan (Plan).

Description of the approach to engage SA prevention coalitions, providers, and/or other stakeholders throughout the process of completing each component of the Plan.

Description of the approach to incorporate data –driven decisions in the planning process.

e) Implementation (5 Points)

Description of who will oversee the implementation of the approved Plan.

Description of the approach to monitor planned strategies and to ensure effectiveness.

f) Evaluation (5 Points)

Description of the approach to develop and implement the evaluation plan.

Description of the approach to evaluate the SPF process.

Description of the approach to use the evaluation information to improve the effectiveness of the planned strategies and the SPF process.

g) Cultural competence (5 Points)

Description of the approach to ensure cultural competence in each aspect of the proposed services.

h) Ensuring sustainability (5 Points)

Description of the approach to build stakeholder support, show and share results, and obtain steady funding for the positive outcomes of the SA prevention system in the county.

4. Financial (10 Points)

ADAD will evaluate the APPLICANT'S accounting system, financial arrangements and obligations, based on the APPLICANT's proposal to include:

- a) Description of cost reimbursement pricing structure purchase arrangement between the State and the APPLICANT for budgeted costs incurred in delivering the services specified.
 - b) Completed required budget form(s) submitted.
 - c) Description of how the system's positive outcomes will be sustained if funding from the State Purchasing Agency is decreased or ceases to exist.
 - d) Other Financial Related Materials Included
Latest Single Audit Report and Audit Financial Statements, and the Cost Allocation Plan, which provides an explanation of how cost is allocated to various sources of funding.
- a) Adequacy of accounting system.

C. Phase 3 - Recommendation for Award

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

Section 5

Attachments

- A. Proposal Application Checklist
- B. Sample Table of Contents
- C. ADAD Form 200 (04/12) Expenditure Report
- D. Management Requirements
- E. Certification
 - Debarment
 - Lobbying
 - Program Fraud Civil Remedies Act (PFCRA)
 - Environmental Tobacco Smoke
- F. Assurance
 - Charitable Choice
 - Compliance with SAMHSA's Provisions Prohibiting Trafficking in Persons
 - Drug-Free Workplace
- G. Ethics Code of Ethical Conduct for Prevention Professionals
- H. Center for Substance Abuse Prevention (CSAP) Strategies

Proposal Application Checklist

Applicant: _____

RFP No.: _____

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

Item	Reference in RFP	Format/Instructions Provided	Required by Purchasing Agency	Applicant to place "X" for items included in Proposal
General:				
Proposal Application Identification Form (SPOH-200)	Section 1, RFP	SPO Website*	X	
Proposal Application Checklist	Section 1, RFP	Attachment A	X	
Table of Contents	Section 5, RFP	Section 5, RFP	X	
Proposal Application (SPOH-200A)	Section 3, RFP	SPO Website*	X	
Provider Compliance	Section 1, RFP	SPO Website*		
Cost Proposal (Budget)				
SPO-H-205	Section 3, RFP	SPO Website*	X	
SPO-H-205A	Section 3, RFP	SPO Website* Special Instructions are in Section 5		
SPO-H-205B	Section 3, RFP,	SPO Website* Special Instructions are in Section 5		
SPO-H-206A	Section 3, RFP	SPO Website*	X	
SPO-H-206B	Section 3, RFP	SPO Website*	X	
SPO-H-206C	Section 3, RFP	SPO Website*	X	
SPO-H-206D	Section 3, RFP	SPO Website*	X	
SPO-H-206E	Section 3, RFP	SPO Website*	X	
SPO-H-206F	Section 3, RFP	SPO Website*	X	
SPO-H-206G	Section 3, RFP	SPO Website*	X	
SPO-H-206H	Section 3, RFP	SPO Website*	X	
SPO-H-206I	Section 3, RFP	SPO Website*	X	
SPO-H-206J	Section 3, RFP	SPO Website*		
Certifications:				
<i>Federal Certifications</i>		Section 5, RFP	X	
Debarment & Suspension		Section 5, RFP	X	
Drug Free Workplace		Section 5, RFP	X	
Lobbying		Section 5, RFP	X	
Program Fraud Civil Remedies Act		Section 5, RFP	X	
Environmental Tobacco Smoke		Section 5, RFP	X	
Program Specific Requirements:				
Resumes	Section 3, RFP		X	
Job Descriptions	Section 3, RFP		X	
Organization Chart	Section 3, RFP		X	
Timeline for Partnership Activities	Section 3, RFP		X	

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

Proposal Application Table of Contents

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	A. Cost Proposal	
	SPO-H-205 Proposal Budget	
	SPO-H-206A Budget Justification - Personnel: Salaries & Wages	
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	SPO-H-206C Budget Justification - Travel: Interisland	
	SPO-H-206E Budget Justification - Contractual Services – Administrative	
	B. Other Financial Related Materials	
	Financial Audit for fiscal year ended June 30, 1996	
	C. Organization Chart	
	Program	
	Organization-wide	
	D. Performance and Output Measurement Tables	
	Table A	
	Table B	
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	E. Program Specific Requirements	

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

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

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

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

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

PAGE: Indicate number of pages including any attachment.

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

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

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

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

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

EXPENDITURE REPORT
(Contract Period _____ to _____)

Page ___ of ___ Pages

PROVIDER: _____
ADDRESS: _____
INVOICE FOR MONTH: _____

ASO LOG NO: _____

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

ADAD Form 300 (04/13)

Invoice

State of Hawaii-Department of Health

Remit to: Provider Name

Invoice #: 1

Alcohol and Drug Abuse Division
601 Kamokila Blvd., Room 360
13-123

1234 Ala Moana Street
Honolulu, HI 96813

ASO LOG #:

Kapolei, HI 96707
Phone: (808) 692-7506
July 1, 2012
Fax: (808) 692-7521

Phone: (808) 123-4567
Fax: (808) 123-4567

Invoice Date:

Month	Description	Total
-------	-------------	-------

Location: Oahu

July 2012

\$1,000.00	Service description and service date (e.g. Youth Substance Abuse Prevention Services on the island of Oahu from July 1, 2012 to July 31, 2012)
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\$1,000.00

Invoice Total:

Attachment "C"
3 of 3

SPO-H (Rev. 9/2014)

Management Requirements

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

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

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

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

Organization Name

Name of Authorized Representative (Print)

Title

Signature of Authorized Representative

Date

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 (Print)

Title

Signature of Authorized Representative

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 (Print)

Title

Signature of Authorized Representative

Date

DISCLOSURE OF LOBBYING ACTIVITIES

Complete the form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure.)

1. Type of Federal Action <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	2. Status of Federal Action: <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	3. Report Type: <input type="checkbox"/> a. Initial filing <input type="checkbox"/> b. material change For Material Change Only: Year _____ quarter _____ Date of last report _____
4. Name and Address of Reporting Entity: <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known;	5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime: 	
6. Federal Department /Agency: Congressional District, if known: _____	7. Federal Program Name/Description: CFDA Number, if applicable: _____	
8. Federal Action Number, if known: 	9. Award Amount, if known, \$ _____	
10a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI): 	b. Individual Performing Services (including address if different from No. 10a) (last name, first name, MI): 	
11. Information request through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure	Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____	
Federal Use Only	Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)	

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee of prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of Congress, or an employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a follow up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment, include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number, Invitation for Bid (IFB) number, grant announcement number, the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503.

**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 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 (Print)

Title

Signature of Authorized Representative

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 (Print)

Title

Signature of Authorized Representative

Date

ADAD POLICY AND PROCEDURES FOR CHARITABLE CHOICE

Purpose: Charitable Choice provisions [Sections 581-584 and Section 1955 of the Public Health Services (PHS) Act, 42 USC 290k, et seq., and 42 USC 300x-65 et seq., respectively] ensures that religious organizations are able to provide SAMHSA-funded substance abuse services without impairing their religious character and without diminishing the religious freedom of those who receive their services.

1. Religious organization is defined as a non-profit religious organization (42 CFR Parts 54 and 54a).
 - A. Working definitions of faith-based organization (“FBO”)—an organization that has a connection to an organized faith community. (Source: Nelson A. Rockefeller Institute of Government Webpage: www.rockinst.org).
 - B. Congregation-based FBO is a house of worship that provides treatment or prevention services, e.g. church, synagogue, mosque.
 - C. Religiously-affiliated non-profit agency is a service provider that has 501(c) (3) status and a connection to a religious community at the local (individual congregation), regional (e.g. western states of the U.S.) or national level.
 - D. Faith-based coalition is a coalition of several organizations, some or all of which are faith-based.
 - E. Faith-based intermediary is an organization that provides administrative, fiscal, operational, technical or training assistance to an FBO.
2. Program beneficiary is an individual who receives substance abuse services under a program funded in whole or in part by applicable programs.
3. Program participant is a public or private entity that has received funding under an applicable program
4. Religious organizations may participate in applicable programs as long as they meet the same eligibility requirements applied to any other non-profit private organization and provide services in a manner consistent with the First Amendment of the U.S. Constitution (Establishment and Free Exercise Clauses).
5. No Federal, State or local government agency that receives applicable SAMHSA funds shall discriminate against an organization that is or applies to be a program participant on the basis of its religious character or affiliation.
6. A program participant that receives funds directly from SAMHSA or from State or local governments under applicable programs may not spend such funds on inherently religious activities such as worship, religious instruction or proselytization. Inherently religious activities must be offered separately in time or location from its SAMHSA-funded substance abuse treatment or prevention services. Participation in religious activities must be voluntary for the program beneficiary.

7. A program participant will retain its independence from Federal, State and local governments, including control over the practice and expression of its religious beliefs and internal governance. A program participant may provide substance abuse services in its facilities without having to remove religious art, icons, scriptures or other religious symbols.
8. Religious nondiscrimination requirements of 42 U.S.C. 300x-57(a)(2) and 42 U.S.C. 290cc-33(a)(2) that relate to employment practices do not apply to a program participant if it is a religious corporation, association, educational institution, or society and can demonstrate that its religious exercise would be substantially burdened by application of the religious nondiscrimination requirements to its employment practices. To make this demonstration, a religious program participant must be able to certify that it sincerely believes that employing individuals of a particular religion is important to the definition and maintenance of its religious identity, autonomy, and/or communal religious exercise; it makes employment decisions on a religious basis in analogous programs; the SAMHSA funds would materially affect its ability to provide the type of substance abuse services in question; and that providing the services in question is expressive of its values or mission. Documentation to support these determinations must be maintained and available to SAMHSA upon request.
9. The program participant who identifies themselves as a religious organization is required to provide a Notice of Charitable Choice Rights to all existing and potential program beneficiaries.
 - A. In the provision of substance abuse treatment and/or prevention services and outreach activities, a religious program participant shall not discriminate against any prospective or actual program beneficiary on the basis of:
 1. Religion
 2. a religious belief
 3. a refusal to hold a religious belief
 4. a refusal to actively participate in a religious practice
 - B. If a program beneficiary or prospective beneficiary objects to the religious character of a program participant, such individual is entitled to a referral to another provider of substance abuse services to which that individual has no religious objection.
10. Religious program participant's responsibilities to provide Referral for alternative services
 - A. Each religious program participant receiving SAPT Block Grant funds through the Alcohol and Drug Abuse Division ("ADAD") shall e-mail the following information to the ADAD monitor within seven working days from date of the request for a referral:
 1. Data on every program beneficiary for whom a Charitable Choice referral was made. The program participant shall completely fill out a form, noting the date of the request for alternative services, the date and type of

contact made with the alternative program, and the status of admission into the alternative program.

2. Such individual shall be referred to an alternative provider of services within two (2) working days after the date of the objection and shall be provided with the alternative services within a two (2) week period of time.
 3. A monthly report consisting of the number of Notice of Charitable Choice Rights distributed and the number of referrals made shall be reported to the ADAD monitor via e-mail, by the last working day of the month.
- B. The alternative provider must be located on the same island as the referring program participant and have the capacity to provide comparable services that have a value that is not less than the value of services of the program to which the individual had objected.
 - C. In making such referral, the program participant may refer to the ADAD-designated alternate service provider or consider any list that the State (ADAD) makes available to entities in the geographic area that provides program services.
 - D. Make all such referrals in accordance with all applicable Federal and State confidentiality laws, including, but not limited to, 42 CFR Part 2 ("Confidentiality of Alcohol and Drug Abuse Patient Records").
 - E. Ensure that the referred program beneficiary makes contact with alternate service provider.
11. A Program Specialist from ADAD's Treatment Recovery Branch will be designated as the Charitable Choice Monitor and will collect incoming data, monitor compliance, contact program participants not in compliance and notify the Branch Chief of any irregularities. The Branch Chief will notify the Division Chief of all instances of referral irregularities. The Charitable Choice Monitor has the following responsibilities:
- A. Establish a list of program participants required to report on Charitable Choice referrals and check monthly that each program participant has sent in Charitable Choice Referral Reports within seven (7) days of receiving a request.
 - B. Issue a written warning to agencies not responding on time, and notify the Branch Chief. The Branch Chief will then notify the Division Chief.
 - C. Keep a running log of data on each program participant which includes the following information:
 1. Number of Notices provided to all potential beneficiaries.
 2. Number of referrals made by religious objection.
 3. Number of referrals made within two (2) working days.
 4. Number of referrals made in excess of two (2) days.

**Alcohol And Drug Abuse Division
Charitable Choice Reporting Form**

Complete #1-11 & designate/date for each client referral.

Complete #1-3, 12-13 & designate/date monthly.

Email reports: Terri Nakano terri.nakano@doh.hawaii.gov

1. Agency Name:
2. ASO LOG Number:
3. Program Identifier:

Client Referral Section

4. Date of Form (MM-DD-YY):
(Referral Form due to ADAD 7 days after client referral)
5. Client ID:
6. Date of request to alternative provider (MM-DD-YY):
7. Alternative Provider (include I-SATS# if applicable):
8. Date the Referral was made to the alternative provider
(MM-DD-YY):
(Date of referral within 2 working days)
9. Contact date with alternative provider(MM-DD-YY):
10. Type of contact with alternative provider:
11. Date client admitted or expected date. Reason if client has not been admitted:

Charitable Choice Monthly Report

12. Date of reporting form (MM-DD-YY):
13. Number of notices distributed for the month:
14. Number of referral for the month:

Name of Designate:

Title:

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 (Print)

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).

ASSURANCE REGARDING DRUG-FREE WORKPLACE

The Hawaii Department of Health, Alcohol and Drug Abuse Division ("ADAD") is dedicated to providing the leadership necessary for the development and delivery of quality substance abuse prevention, intervention and treatment services for the residents of the State of Hawaii. As a direct recipient of Federal monies to achieve this goal, ADAD must comply with 45 CFR Part 76 to maintain a drug-free workplace.

Although national, State, and local efforts have begun to show encouraging results, the problem of alcohol and other drug abuse remains a serious issue. In addition to helping to reduce alcohol and other drug abuse, employers with successful drug-free workplace programs report decreases in absenteeism, accidents, downtime, turnover, and theft; increases in productivity; and overall improved morale (source: National Clearinghouse for Alcohol and Drug Information). Because of the overwhelming positive effects of Drug-free Workplace Policies, ADAD requires its prospective APPLICANTS to comply with the following:

The undersigned (authorized official signing for the applicant organization) certifies that the applicant will, or will continue to, provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the APPLICANT's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about--
 - (1) The dangers of drug abuse in the workplace;
 - (2) The APPLICANT's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the contract 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 contract, 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 (5) calendar days after such conviction;
- (e) Notifying the Department of Health, Alcohol and Drug Abuse Division ("ADAD") in writing within ten (10) working 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 ADAD on whose contract activity the convicted employee was working. Notice shall include the Department of Health, Administrative Services Office ("ASO") contract log number of each affected contract;

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

Department of Health, Alcohol and Drug Abuse Division
601 Kamokila Boulevard, Room 360
Kapolei, HI 96707

- (f) Taking one of the following actions, within thirty (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).

Failure to comply with this policy may be considered a violation of the contract and may result in suspension of payments or termination of the contract.

In addition to the above requirements, ADAD recommends that the Drug-free Policy be written to include the following, based on The National Clearinghouse for Alcohol and Drug Information ("NCADI") recommendations:

- (1) **Rationale**, including the reason for the policy, what the policy is designed to do, and how it was developed;
- (2) **Expectations and Prohibitions**, including the employee behaviors that are expected, and exactly what substances and behaviors are prohibited;
- (3) **Consequences and Appeals**, including precisely what will happen if an employee violates the policy, procedures for determining if an employee has violated the policy, and how appeals will be handled; and
- (4) **Benefits and Assurances**, including efforts to help employees comply with the policy, how requests for help will be handled, how employee confidentiality will be protected and how fairness and consistency will be maintained.

If further assistance is required to develop a suitable Drug-free Workplace Policy, please contact the Center for Substance Abuse Prevention's (CSAP) Workplace Hotline at 1-800-967-5752.

Organization Name

Name of Authorized Representative (Print)

Title

Signature of Authorized Representative

Date

Code of Ethical Conduct for Prevention Professionals

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

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

Preamble

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

Principles

1. Nondiscrimination

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

2. Competence

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

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

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

CENTER FOR SUBSTANCE ABUSE PREVENTION (CSAP) STRATEGIES

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

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

1. Information Dissemination

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

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

2. Education

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

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

3. Alternatives

This strategy provides for the participation of target populations in activities that exclude alcohol, tobacco and other drug use. The assumption is that constructive and healthy activities offset the attraction to or otherwise meet the needs usually filled by alcohol, tobacco and other drugs and would therefore minimize or obviate resort to the latter.

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

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Examples of activities conducted and methods used for this strategy include (but are not limited to) the following:

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

4. *Problem Identification and Referral*

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

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

5. *Community-Based Process*

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

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

6. *Environmental*

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

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

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

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