

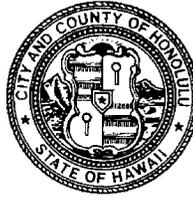
DEPARTMENT OF COMMUNITY SERVICES  
CITY AND COUNTY OF HONOLULU

715 SOUTH KING STREET, SUITE 311 • HONOLULU, HAWAII 96813 • AREA CODE 808 • PHONE: 768-7762 • FAX: 768-7792

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KIRK CALDWELL  
MAYOR



GARY K. NAKATA  
DIRECTOR

BARBARA YAMASHITA  
DEPUTY DIRECTOR

January 25, 2016

The Honorable Ernest Y. Martin  
Chair and Presiding Officer  
and Members  
Honolulu City Council  
530 South King Street, Room 202  
Honolulu, Hawaii 96813

Dear Chair Martin and Councilmembers:

**SUBJECT:** Resolution 16-12 - Authorizing the Director of the Department of Community Services, or the Director's Designee to Apply for and, if Approved, Accept Funds from the State Department of Health, Alcohol and Drug Abuse Division (ADAD) to Develop and Implement a Comprehensive Substance Abuse Prevention System Enhancement Plan for Honolulu and to Enter into an Intergovernmental Agreement with the State Department of Health for said Funds

At the January 13, 2016 Committee on Budget meeting, the Department of Community Services (DCS) requested approval to apply and accept funds from the State of Hawaii, Department Health to develop and implement a substance abuse plan. An incomplete form of the Request for Proposal No. HTH 440-17-16PFS (RFP) was attached to the resolution as Exhibit A. As a result, Resolution 12-16 was reported out for adoption by full Council.

Transmitted herewith is the completed Application to the RFP as submitted to the State of Hawaii Department of Health on January 13, 2016, for Council's review.

Thank you for allowing us to submit this application to for hearing on a short notice. We were able to submit the application on a timely basis. Should you have any questions regarding this matter, please feel free to contact me at 768-7760.

Sincerely,

A handwritten signature in black ink, appearing to read "Gary K. Nakata".

Gary K. Nakata  
Director

Attachment

APPROVED:

A handwritten signature in black ink, appearing to read "Roy K. Amemiya, Jr.". Below the signature is a horizontal line.

Roy K. Amemiya, Jr.  
Managing Director

STATE OF HAWAII  
STATE PROCUREMENT OFFICE  
**PROPOSAL APPLICATION IDENTIFICATION FORM**

STATE AGENCY ISSUING RFP: DOH - Alcohol Drug & Abuse Division (ADAD)

RFP NUMBER: HTH 440-17-16PFS

RFP TITLE: County Coordination for a Substance Abuse Prevention System

Check one:

Initial Proposal Application

Final Revised Proposal (Completed Items \_\_\_\_\_ - \_\_\_\_\_ only)

**1. APPLICANT INFORMATION**

Legal Name:  
**City & County of Honolulu**  
**Department of Community Services**  
Doing Business As:

Street Address:  
715 South King Street, #311  
Honolulu, HI 96813

Mailing Address:  
715 South King Street, #311  
Honolulu, HI 96813

Contact person for matters involving this application:

Name:  
Leina'ala H. Nakamura

Title:  
Assistant Administrator of WorkHawaii

Phone Number:  
808-768-5788

Fax Number:  
808-832-7969

e-mail:  
Lnakamura@honolulu.gov

**BUSINESS INFORMATION**

Type of Business Entity (*check one*):

- Non-Profit Corporation       Limited Liability Company       Sole Proprietorship  
 For-Profit Corporation       Partnership

If applicable, state of incorporation and date incorporated:

State: \_\_\_\_\_ Date: \_\_\_\_\_

**3. PROPOSAL INFORMATION**

Geographic area(s):  
The entire island of Oahu

Target group(s):

The Department of Community Services aims to serve substance abuse prevention providers, including but not limited to coalition leaders, coalition members, prevention program providers, and partners.

**4. FUNDING REQUEST**

FY <u>2016</u>	<u>\$110,000.00</u>	FY _____
FY <u>2017</u>	<u>\$110,000.00</u>	FY _____
FY <u>2018</u>	<u>\$110,000.00</u>	FY _____
		Grand Total _____

I certify that the information provided above is to the best of my knowledge true and correct.

  
Authorized Representative Signature

1/12/16  
Date Signed

Gary K. Nakata, Department of Community Services Director

## Proposal Application

### I. Program Overview

#### A. Description of the services to be provided:

The City Department of Community Services through its WorkHawaii Division will be responsible for the development and implementation of a comprehensive substance abuse prevention system enhancement plan for the City and County of Honolulu. Also, the Division will serve as a local resource for Honolulu's substance abuse prevention providers. Specific service activities include: (1) 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 City and County of Honolulu; (2) conduct an assessment of the existing and trending SA problems and the capacity to address the problems; (3) strengthen the capacity with the City and County of Honolulu to respond to prevention providers and workforce development needs and request for training, technical assistance, guidance and information; and (4) facilitate a collaborative planning process to develop a comprehensive SA prevention system enhancement plan.

#### B. Justification the services are needed:

In the 2013 Final Evaluation Report of the Strategic Prevention Framework State Incentive Grant (SPF-SIG) which was implemented from 2006 – 2012, the evaluation team established a list of recommendations based on the successes and challenges experienced for the State to move forward with the SPF process. The aforementioned service activities stem from the list of recommendations.

#### C. Description of the population to be served:

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

#### D. Description of who will implement the services:

The WorkHawaii staff will provide the leadership and coordination of the Project's service activities. The staff will re-establish the Honolulu County Advisory Council (CAC) created for the SPF-SIG. The CAC will assist WorkHawaii in creating a network of community partnerships that will participate in the implementation of the service activities. The State Epidemiological Outcomes Workgroup and the Alcohol and Drug Abuse Division's Evaluation Team will be resources for the assessment of the SA prevention system and the evaluation of the enhancement plan.

#### E. Statement of Desired Outcomes to be achieved:

WorkHawaii aims to implement all service activities stated above. Specific to training opportunities, outcomes include but not limited to, a minimum of 3 annual training to address the workforce needs of SA prevention providers.

## **II. Experience and Capability**

### **A. Necessary Skills**

Since the 1970s, the City Department of Community Services (DCS) through its WorkHawaii Division has administered and implemented workforce development, job training, youth leadership, rental assistance and prevention programs. These programs serve individuals with disabilities, unemployed, without a diploma/credential or experiencing homelessness. Also, those at-risk or engaged in underage drinking or using other drugs; and those at-risk or involved in the justice system. These programs and staff have been recognized by the National Association of Counties, National Association of Workforce Development Professionals, National Association of State Alcohol and Drug Abuse Directors, United States Department of Labor, YouthBuild USA, Harvard University – Ash Center for Democratic Governance and Innovation, America’s Promise and Social Policy and Research Associates for the implementation of innovative service delivery models, excellent performance outcomes, effective use of funding to attract matching and leveraged resources and extensive partnerships.

The WorkHawaii Division will be responsible for the development and implementation of a comprehensive substance abuse prevention system enhancement plan for the City and County of Honolulu. Also, the Division will serve as a local resource for Honolulu’s substance abuse prevention providers.

The Division’s Assistant Administrator, Ms. Leinaala Nakamura and the Youth Services Center Manager, Ms. Mary Lantano have over 40 years of combined experience working within the DCS and WorkHawaii. They have extensive knowledge of government functions, programs and services; services and activities of community programs and the structure, functions and purposes of community organizations and interest groups. Also, they possess the skills and abilities to build and maintain partnerships with public agencies, businesses and community organizations; assess and monitor City programs including the services and activities implemented by non-profit agencies and businesses; collaborate with partner agencies and groups to develop strategies and plans to improve program outcomes and respond to the training needs of WorkHawaii employees by assessing their skills and developing training courses in partnership with the National Association of Workforce Development Professional and the City Department of Human Resources.

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## **B. Experience**

WorkHawaii implements the following programs that require the establishment and maintenance of partnerships to improve the efficient use of available resources to enhance the implementation of services; the identification and resolution of challenges that impede the attainment of program goals and performance outcomes; and the enhancement of skills of staff and program partners to improve the delivery of services and program outcomes. All programs described below have met management and performance requirements mandated by the City and funding agencies.

**Oahu WorkLinks Centers** – Since 2000, WorkHawaii has implemented Oahu WorkLinks also known as the American Job Centers. Oahu WorkLinks serves adults and youth with barriers to securing employment or attainment of a diploma/credential. Barriers include low reading and math skills, lack of work experience or limited financial resources. WorkHawaii has partnerships including but not limited to, local community colleges and universities, job training providers and businesses to assist participants with attainment of their educational and employment goals. The Centers are funded by the U.S. Department of Labor (USDOL) via the Oahu Workforce Investment Board. Ms. Nakamura belongs to the following advisory groups that provide collaboration opportunities and resources related to the successful implementation of the Oahu WorkLinks: (1) Federal Detention Center Community Relations Committee, (2) Hawaii Job Corps Community Relations Committee and (3) Hawaii Adult Education Advisory Council. Ms. Nakamura is the Chair of the Membership Committee of the Council.

**Youth Services Center** - Since 2003, the YSC has concurrently implemented several workforce and youth development programs including YouthBuild Honolulu, the Youth Offender and Young Adult Ex-Offender Programs, the Young Parents Program and the Juvenile Justice Center. The Youth Service Center helps young people up to age 24 secure employment, attain a diploma/credential, develop leadership skills and keep from future involvement in the justice system. The Juvenile Justice Center is funded by the U.S. Department of Justice – Office of Juvenile Justice and Delinquency Prevention via the State Office of Youth Services and the other programs are USDOL initiatives. The Oahu WorkLinks partnerships are also utilized to implement education and job training activities and work experience for YSC participants. WorkHawaii works closely with the Honolulu Police Department, State Attorney General, Family Court, the Prosecutor’s Office and the Office of Youth Services to implement adolescent diversion services through the JJC. Ms. Nakamura is the Chair of Honolulu’s Juvenile Crime Enforcement Coalition. The Coalition is responsible for deciding the best use of OJJDP’s Juvenile Accountability Block Grant funds and for promoting greater accountability throughout the juvenile justice system by developing a local coordinated enforcement plan that identifies a seamless system of graduated consequences for each succeeding offense across all juvenile justice agencies in Honolulu.

In November 2012, the Office of Youth Services asked Ms. Nakamura to help with the development of the Ho’opono Mamo program. The program prevents youth from becoming

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involved in the juvenile justice system by allowing those encountered by police in HPD's District 5 (Liliha to Moanalua) to choose to receive services instead of being arrested. Ms. Nakamura and Ms. Lantano worked closely with the aforementioned JJC partners and Susannah Wesley Community Center; and formulated new partnerships with the University of Hawaii School of Urban Planning and Living Life Source Foundation (Hawaiian cultural based non-profit) to develop the program. During the development of the program, Ms. Nakamura assisted with the facilitation of monthly community meetings that allowed agencies, non-profits and interest groups to provide feedback on the development of the program. From September 2014 to present, Ms. Nakamura oversees the services and activities provided through SWCC and LLSF. Also, Ms. Nakamura and Ms. Lantano work closely with the UH School of Urban Planning that is conducting an evaluation of the program. Ms. Nakamura convenes a community meeting every 6 months to share evaluation findings, program accomplishments and how challenges are being addressed.

From 2009 to present, Ms. Nakamura and Ms. Lantano coordinate substance abuse prevention initiatives for the City through the Strategic Prevention Framework State Incentive Grant (SPF-SIG) and a Substance Abuse Prevention Services – Youth Substance Abuse Prevention Initiative funded through the State Alcohol and Drug Abuse Division (ADAD).

The goal of the SPF-SIG was to reduce and prevent underage drinking among youth, ages 12 to 17. The key components of the SPF were: (1) assessment of population needs, resources and readiness to address the programs and gaps in service delivery related to underage alcohol consumption by target population; (2) mobilize and build capacity of providers to address the needs; (3) develop a comprehensive County Underage Drinking Prevention Plan, (4) implement evidence-based strategies and programs; and (5) evaluate processes and outcomes. Key partnerships were established and maintained and a coordination of services existed with the support of non-profits (e.g. ALU LIKE, Inc.), government agencies (e.g. Honolulu Liquor Commission) coalitions (e.g. Hawaii Partnerships to Prevent Underage Drinking) and private businesses (e.g. Anthology). Also, WorkHawaii established the SPF-SIG County Advisory Committee which brought together non-profits, government agencies and individuals to advise the City on population needs, identify resources and recommend services to address underage drinking.

The aim of Honolulu's Youth Substance Abuse Prevention Initiative is to continue the two evidence based programs, "Be a Jerk" and LifeSkills Training initially implemented through the SPF-SIG. The "Be a Jerk" is an environmental program based on the Communities Mobilizing for Change on Alcohol model and LifeSkills is an educational program for youth, ages 12-17 years old. To date, significant accomplishments include: (1) increasing the diversity of stakeholders supporting the "Be a Jerk" campaign by including hotels, restaurants and bars, rotary clubs, the Hawaii Pacific University and the Oahu Workforce Investment Board, (2) the use of social media to promote the campaign and (3) implementing LifeSkills at the National Guard Youth Challenge Academy. The Academy implements an alternate diploma program and teaches leadership skills in a residential setting to ensure the participants earn their diploma and transition to college/advanced training or employment.

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### **C. Quality Assurance and Evaluation**

Each City employee working on this Project has a position description (PD) that describes her or his duties and responsibilities. The PD is used to monitor and evaluate work performance. If a supervisor identifies an employee's performance as substandard, the advisement of the Department's Administrative Services Officer (ASO) and the City Department of Human Resources' Labor Relations Specialist is sought to determine if disciplinary action including verbal counseling and up to termination is warranted. Seeking their advisement provides the assurance that the supervisor is treating the employee fairly and the substandard rating is a reasonable conclusion. If an employee doesn't agree with the evaluation or the action to be taken, he or she may seek advisement from the Hawaii Government Employee Association or asked the Department's Director to review the situation.

An example of this internal process as follows. Once a month, Ms. Nakamura's supervisor completes a work performance evaluation on Ms. Nakamura that provides substandard or satisfactory ratings on factors such as: (1) quality of work (e.g. completes assigned work in accordance's with supervisor's expectations); (2) quantity of work (e.g. completes work on schedule); (3) reliability (e.g. accepts responsibility); and (4) relationships with others (e.g. accepts suggestions for improvements). If a substandard rating is identified for any of the factors, Ms. Nakamura's supervisor must provide her with a written recommendation to improve performance in the specific area(s) by the next monthly evaluation or another specified date. If Ms. Nakamura continues to receive a substandard rating for three consecutive months, the ASO and Labor Relations Specialist will determine the disciplinary action to be taken.

An agreement between the City and its Contractor states the responsibilities of all parties. The City utilizes the Agreement to monitor and evaluate the performance of the contractor/vendor.

Prior to the execution of an agreement, WorkHawaii will train the contractor on how to submit reports and payment requests. Also, the contractor will learn not to incur cost beyond the approved budget categories, when to request a budget modification and the importance of adhering to laws and regulations such as: (1) nondiscrimination and equal opportunity requirements, (2) Americans with Disabilities Act of 1990 and (3) debarment and suspension. These laws and regulations are stated in the agreement. If the contractor fails to meet these requirements, the agreement could be terminated or payment may be withheld until the contractor is compliant. All issues of non-compliance to an agreement is reviewed and determined as valid by the City Department of Corporation Counsel. This procedure assures WorkHawaii is treating the Contractor fairly and reasonably.

Upon execution of an agreement, ADAD will be informed of the partnership via an electronic message and more thoroughly documented in a subsequent quarterly report. Should ADAD have concerns about the partnership with the City, a detailed justification including the procurement process used shall be provided.

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To assure the contractor is implementing services and incurring cost according to their Scope of Work, WorkHawaii reviews and approves monthly progress reports and regularly communicates with the contractor via phone, email or site visits. The City Department of Budget and Fiscal Services with review and approve payment requests and accompanying source documentation that substantiates expenses. The progress reports indicate type of services or activities provided, outcomes achieved, significant accomplishments and challenges, and corrective actions to be taken to address challenges. If challenges are reported, WorkHawaii must set up a meeting with the contractor to verify the challenges and corrective action to be taken. Should the same challenges continue to be reported in subsequent reports, the Agreement could be terminated or payment withheld until the contractor becomes compliant. Furthermore, if a contractor cannot provide satisfactory source documentation, BFS has the right to pay less than requested or not pay at all until appropriate documentation is provided.

In addition to monthly reviews of reports and payment requests, at least once during the contractor's period of performance, WorkHawaii and BFS visit the contractor's site to jointly review program and financial records, interview staff and participants and inspect the facilities to ensure it adheres to health and safety codes and the Americans with Disabilities Act of 1990. Site visits are normally conducted by the WorkHawaii Program Coordinator and the BFS Accountant responsible for reviewing payment requests and submitting expenditure reports and payment requests to the funding or oversight agency.

To summarize, partner agencies that oversees the quality of services provided by employees and contractors includes: (1) DCS Administrative Services Officer, (2) Department of Human Resources, (3) Department of Budget and Fiscal Services and (4) Department of Corporation Counsel.

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#### **D. Coordination of Services**

As previously stated, WorkHawaii has successfully implemented programs that require the establishment and maintenance of partnerships to ensure the coordination of services for target populations. Specific to substance abuse prevention services, DCS established the SPF-SIG County Advisory Committee (CAC) which will be revived by Ms. Nakamura due to her extensive experience of establishing and maintaining partnerships. The CAC with assists WorkHawaii with the development and implementation of a comprehensive substance abuse prevention system enhancement plan and will also serve as a local resource for Honolulu’s substance abuse prevention providers. Through the SPF-SIG, the Department released a Request for Proposals which enable contracted partnerships to be established with ALU LIKE, Inc., Anthology Marketing Group, Big Brothers Big Sisters of Honolulu, Boys & Girls Club of Hawaii, Coalition for a Drug Free Hawaii, Hawaii Speed and Quickness, Hina Mauka, Honolulu Liquor Commission and Honolulu Police Department. These partners implemented evidence based programs for the target population. WorkHawaii will re-engage these partners and establish new partnerships to develop a comprehensive substance abuse prevention system enhancement plan, initiate projects to address substance abuse problems and facilitate networking and peer sharing opportunities. The roles and responsibilities of partners and other key stakeholders (e.g. Mayor) will be established by the CAC.

Critical to the maintenance of partnerships is on-going communication that will be established via meetings, calls and emails. WorkHawaii will utilize ADAD funding to enhance the “Be a Jerk” website that was established through the SPF-SIG. The website will be another venue for partners and stakeholders to share useful information and resources and communicate lessons learned from the implementation of programs and data collection.

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**E. Facilities**

The City employees that will implement service activities for this project will be stationed at the WorkHawaii's Youth Services Center at 1505 Dillingham Blvd. Ste. 206, Honolulu, HI 96817. The conference rooms at the Youth Services Center and other City sites such as Oahu WorkLinks Dillingham and Waianae Centers and Kapolei Hale will be used to convene meetings with partners and key stakeholders.

All City facilities including the Youth Services Center are inspected annually by the Honolulu Fire Department and the City Department of Facilities Maintenance to ensure they comply with required health and safety standards and the Americans with Disabilities Act of 1990.

As previously stated, WorkHawaii will annually visit contractors' sites to inspect the facilities to ensure they adhere to health and safety standards and the Americans with Disabilities Act of 1990. If a site is not found in compliance, WorkHawaii will use the previously stated review and reporting procedure to help the contractor become compliant.

### III. Project Organization and Staffing

#### A. Staffing

**1. Proposed Staffing** - The following is the proposed project staffing pattern including the amount of time charged to the Project and a summary of duties for each position. The administrative staff (e.g. Planner V) working on the project will not charge their time to the Project. Their time will be paid by City general funds to ensure all Project funds are used to conduct service activities.

**Assistant Administrator of WorkHawaii (7% FTE)** – The Assistant Administrator manages and directs the Project to ensure compliance to federal and state rules and regulations and the City’s administrative policies that directs budgets and procurement, legislative matters and personnel. The Assistant Administrator shall assure that the Project meets the following requirements: management and administrative, quality assurance and evaluation and monitors the achievement of performance and outcome measures of this proposal; and analyzes the Project to determine the effectiveness of its service delivery model.

**Youth Services Center Manager (7% FTE)** - The Center Manager will help the Assistant Administrator as needed, coordinate the use of the City facilities for meetings and work with the contractor, Hawaii Information Consortium on the enhancement of the “Be a Jerk” website.

**Community Relations Specialist II (100% FTE)** - The CRS II is the Project Coordinator and will oversee the daily operations of the project and direct the use of project resources in accordance with appropriate cost principles and City procurement guidelines. The Coordinator will ensure the Project’s service activities are completed within the designated period of performance and all performance measures and outcomes are met. The Coordinator will work with program partners to implement service activities and is also responsible for communicating progress and updates to stakeholders including, but not limited to, ADAD and the County Advisory Council.

**Senior Clerk-Typist (5% FTE)** – The Senior Clerk-Typist will provide clerical support such as answering phone and routing messages to the staff and type meeting minutes, program reports and records from draft to final copy.

#### 2. Staff Qualifications

**Minimum qualifications:** The following minimum training and experience qualifications for each position have been established by the City Department of Human Resources. Consequently, candidates who apply for a position(s) must meet the minimum requirements to qualify for an interview. Where applicable, the qualifications of the incumbents related to the Project are stated.

**Assistant Administrator** - A combination of education and experience substantially equivalent to graduation from an accredited college or university and four years of administrative experience

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which includes responsibility for a major program in a large organization or agency related to the functional or program area assigned. As reflected in her resume, the incumbent has a graduate degree in social work and over 10 years of administrative experience in the public sector.

**Youth Services Center Manager** – A combination of education and experience substantially equivalent to graduation from an accredited college or university with major work in business or public administration, the social sciences or a related field, and three years of professional and supervisory experience in the implementation of youth programs. As reflected in her resume, the incumbent has a bachelor’s degree in business administration in accounting and 5 years of experience overseeing WorkHawaii’s youth programs.

**Community Relations Specialist II** - A combination of education and experience substantially equivalent to graduation from an accredited college or university with major work in business or public administration, the social sciences or a related field, and three years of general administrative experience, one of which shall have involved working for a community, civic or similar service organization. WorkHawaii will hire the CRS II for this project. Attached is the position description.

## **B. Project Organization**

### **1. Supervision and Training**

As previously stated, Ms. Nakamura has over 10 years of administrative experience which includes supervising and training the Division's managers, program coordinators and planners. Also, Ms. Lantano has 5 years of supervisory and training experience specific to her management of the Division's youth programs. Both employees will be involved in the supervision and training of the Project Coordinator. The following supervisory and training practices and accomplishments are relevant to this Project and the Division.

Staff development is a priority for WorkHawaii because the Division always aims to increase the staff's capacity to deliver better services for its participants; and supports promotion and advancement of the employees within or outside of the City. Therefore, as training opportunities arise via webinars or in the community, the Assistant Administrator or Youth Manager will direct program coordinators and line staff to participate in the trainings. Also once a quarter, the Assistant Administrator will conduct training on various topics. The youth staff participated in the following trainings within the last 12 months: (1) maintaining the confidentiality of staff and client information (2) motivational interviewing, (3) strategies to increase participation and retention of target populations and (4) management of personal and professional values that promote integrity and guide their work.

Also, staff received the following mandatory trainings through the City Department of Human Resources (DHR): (1) Prevention of Sexual Harassment (every 2 years), (2) Prevention of Workplace Violence, (3) Establishing and Maintaining a Respectful Workplace (quarterly) and (4) annual Ethics training. Ms. Nakamura attends semi-annual executive management training through DHR. Topics normally include updates to regulations regarding labor standards, discrimination, etc., lessons learned from the complaints filed with the City's Ethics Commission and various leadership development topics. Annually, all staff receive a training and development catalog from DHR and are encouraged to participate in training that enhance their technical skills and overall well-being such as effective business writing, handling disruptive customers and stress management. All training is documented in the staff's personnel file maintained with the Department's Administrative Services section. Also, staff are encouraged to update their resumes with training completion information.

As of July 2015, Ms. Nakamura has been working with DHR and the National Association of Workforce Development Professionals (NAWDP) to establish a set of local training courses conducted by DHR that will lead to fulfilling several of the competencies of the "Certified Workforce Development Professional" credential awarded by NAWDP. These competencies include: (1) collaboration and problem solving, (2) customer service methodology, (3) principles of communication and (4) program implementation principles and strategies. The aim of this staff development project is to establish a training standard for the Division that is relevant to all programs; and provide the staff with the means to achieving a national recognized credential. The

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training courses will be implemented in July 2016 for Division staff. In January 2017, the courses will be available to partner agencies at a nominal fee.

Within the last 7 months, Ms. Nakamura and the current “Be a Jerk” Program Coordinator have received ADAD sponsored training related to the attainment of the “Certified Prevention Specialist” (CPS) credential. Training included: (1) How to Use and Apply Data from State and County Alcohol Epidemiological Profiles for Practical Applications; (2) 2015 Hawaii Public Health Institute/Coalition for a Tobacco-Free Hawaii Policy and Advocacy Training; (3) Building Effective Community Substance Abuse Prevention Coalitions; (4) Hawaii Information System for Substance Abuse Prevention Training Workshop; (5) “Get Set for Success – Assessment, Logic Modeling, and Intervention Mapping” Community Anti-Drug Coalitions of America Institute Regional Training; (6) Ethics for Prevention Specialists and (7) Compassion Satisfaction: Prevention Burnout in the Workplace.

Also a priority for WorkHawaii is to provide effective supervision. To accomplish this, the administrators convene semi-monthly “Division Lead” meetings. The attendees are the Division’s managers, program coordinators and key administrative staff (e.g. Division Secretary). During these meetings, the administrators will provide updates to City policies, report on new Division initiative or processes and procedures; and the managers and supervisors will provide updates on programs including priorities, accomplishments and challenges. The Division Secretary records the meeting then produces meeting minutes that is reviewed and edited by all attendees prior to the next meeting. At the beginning of the next meeting, the minutes undergo a final review prior to Ms. Nakamura approving it as a program record whereby the recorded action items, processes or procedures become directives for adherence.

The information disseminated through the “Division Lead” meeting is then communicated by supervisors to their subordinates through program meetings which occur weekly or semi-monthly depending on the needs of operations and staff assignments. Managers and program coordinators provide Ms. Nakamura with the meeting agenda or meeting minutes which are tools she uses to analyze the effectiveness of programs in meeting their performance measures or outcomes. Another efficiency tool she uses is weekly reports from managers and program coordinators that report enrollment numbers, services and activities implemented and challenges. Staff understand that these reports, agendas and minutes document the overall performance of programs and they are expected to ensure programs meet all performance measures or outcomes.

The importance of maintaining satisfactory work performance is conveyed to all staff through their monthly performance evaluation. This evaluation tool allows the managers and program coordinators to provide positive and critical feedback to staff regarding their performance. The rating factors were previously stated in the quality assurance section of this application. The administrators, managers and supervisors have been trained by DHR on how to conduct a performance evaluation and how to use them to help staff improve their performance. The most common use of the evaluation is to document an action plan for improvement which includes goals, resources needed to learn or improve skills and target completion date.

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## 2. Organization Chart

Organizational charts are attached.

## IV. Service Delivery

### A. Partnerships

In January 2009, the City and County of Honolulu's Mayor's Task Force on Drug Abuse officially accepted the role as the Honolulu County Advisory Council (CAC) serving as advisory board to the County's efforts in fulfilling the State's commitment to the Substance Abuse and Mental Health Services Administration's (SAMHSA) Strategic Prevention Framework (SPF). The CAC's mission, which was set forth by the Mayor, was a clear indication of City's commitment to the prevention and reduction of underage drinking in Honolulu. The Mayor had designated the Department of Community Services (DCS) as the organizational entity to manage and coordinate the County's SPF activities. DCS through its WorkHawaii Division will re-establish the CAC, establish additional partnerships and other key stakeholders to development and implementation a comprehensive substance abuse prevention system enhancement plan and also serve as a local resource for Honolulu's substance abuse prevention providers.

In 2009, the members of HCAC, appointed by the Mayor, were selected based on their expertise in the drug prevention/ treatment field and overall commitment to drug prevention. In 2010, the CAC's membership changed to focus on gathering community input from non-profit and government agencies implementing underage drinking prevention programs or managing substance abuse prevention funds; and faith-based organizations and individuals who were passionate about improving the lives of young people.

WorkHawaii, with its connection to our island community, has an extensive network of partners. Given Ms. Nakamura's experience and with the assistance of Ms. Lantano and the newly hired Project Coordinator, a community-based CAC will be re-established. Ms. Nakamura and her colleagues will tap into the knowledge and connections of all previous CAC members, former SPF-SIG contractors and current WorkHawaii partners to identify CAC members, partners and stakeholders. Besides ADAD and the State Epidemiological Workgroup, the following is a list of *initial* potential Project partners and stakeholders and their potential contribution.

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Legend: X = 2009 CAC XX = 2010 CAC

Organization/Agency	Potential Contribution	Former CAC
Honolulu Police Department	CAC member, provide input from law enforcement and data, assist with the plan, review assessment information and SPF-SIG contractor.	XX
Honolulu Liquor Commission	CAC member, provide input from Liquor Commission and data, assist with the plan, review assessment information and SPF-SIG contractor.	XX
State Attorney General	CAC member, provide community input and data from the Juvenile Justice Information System, assist with the plan, review assessment information and linkage to HPPUD.	XX
Coalition for a Drug Free Hawaii	CAC member, provide experience in community awareness campaigns, anti-drug coalitions, prevention and education programs, substance abuse prevention training, linkage to HPPUD, assist with the plan, review assessment information and SPF-SIG contractor.	X & XX
HMSA	Provide date and potential partner to plan and implement prevention/education/awareness underage drinking media campaign.	X
Hawaii Partnership to Prevent Underage Drinking (HPPUD)	Potential partner to plan and implement underage drinking prevention activities and programs. WorkHawaii "Be a Jerk" is a HPPUD member.	
Cancer Research Center of Hawaii	Potential partner to provide, collect and analyze data.	
University of Hawaii's Center on the Family	CAC member, Potential partner to provide, collect and analyze data, SPF-SIG evaluation team	
<b>Other SPF-SIG Contractors</b>		
ALU LIKE, Inc.	CAC members and provide community input	XX
Big Brothers Big Sisters of Honolulu		XX
Boys & Girls Club of Hawaii		XX
Hina Mauka		X & XX
Anthology Marketing Group		
<b>Other WorkHawaii Partners</b>		
Oahu Workforce Investment Board	CAC members and provide community input	
University of Hawaii Community College System		
Hawaii Adult Education Advisory Council		
Hawaii Pacific University		
Hawaii Information Consortium		

Applicant: City and County of Honolulu –  
Department of Community Services  
RFP No.: HTH-440-17-16PFS

By June 1<sup>st</sup>, 2016, the CAC will be re-established. Ms. Nakamura will Chair the CAC. Members will be selected based on their availability to participate in meetings, work on tasks in their sub-committees and their resources (e.g. meeting space) and positive attitude. The CAC will not focus on the lack of resources but on the opportunities created through collaboration. Through the CAC, the City will seek to (1) build and maintain partnerships to promote collaboration, (2) make efficient use of county resources and (3) achieve county-level enhancements in the substance abuse prevention system within Honolulu. Meetings will be held monthly and more often if needed. Prior to the 1<sup>st</sup> meeting, each member will be asked to identify strategies, approaches, resources etc., to achieve the aforementioned objectives. Each meeting will build upon the discussion and action steps identified in the previous meeting to ensure the CAC is moving forward with implementation of service activities.

Ms. Nakamura is a facilitator that values creating a respectful work environment. Therefore, expectations on how communication will occur between CAC members, in particular when individuals don't agree will be shared at the 1<sup>st</sup> meeting. Also, Ms. Nakamura values honest and concise remarks to assure assertive versus passive aggressive communication occurs which hinders the building of rapport and trusting relationships. Since the CAC members have diverse professional experience and backgrounds, respective and responsive communication is critical to the successful completion of Project tasks and responsibilities.

Sub-committees will be formed that will meet on their own to ensure mandatory tasks and responsibilities of the Project are fulfilled. Sub-committees have not been identified however, the tasks are: (1) facilitate network and peer sharing opportunities among prevention providers, (2) establish regular communication structure, (3) initiate projects and joint ventures to address substance abuse problems, (3) participate on state, county, councils, etc. related to ATOD use/abuse. At the monthly meetings, committee reports will be presented for discussion. Ms. Nakamura and her two WorkHawaii colleagues will be responsible for the monitoring of the completion of all tasks. If progress is being delayed, corrective action steps will be discussed with the CAC members.

A projected timeline of proposed partnership activities is attached.

## **B. Assessment**

Honolulu will conduct an assessment of the existing and trending substance abuse problems and the capacity to address the problems within the 1<sup>st</sup> quarter of the issuance of the Notice of Proceed. The State Epidemiological Outcomes Workgroup and ADAD's Evaluation Team will be sought as resources to complete the assessment. Also, other potential partners as stated in the Partnership section may be resources too. The CAC will be responsible for distributing the completed assessment to their network of partners and the community for the purpose of generating the attention of key stakeholders (e.g. appointed and elected officials) to identify funding and other resources to address existing and trending SA problems.

The 2014 City and County of Honolulu Epidemiological Profile: Selected Youth Alcohol Indicators reports the following data recommendation:

“It is important to collect data from a larger sample size and reach an acceptable response rate on surveys so that data can be reported by detailed demographic group. Currently data by ethnic group are not available for county data due to small sample size. It is important to report ethnicity data not just for state but also for counties... This is especially crucial for communities in the City and County of Honolulu which are ethnically and culturally diverse, as detailed ethnicity data will help us design and implement better policies and intervention programs to address health disparities and health needs for specific ethnic groups.”

“Currently indicators about risk and protective factors, such as perceived risk of alcohol/substance abuse use and disapproval of alcohol/substance abuse use are not available for county-level data...It is highly recommended to collect these types of data from a larger sample...”

Honolulu needs to address the lack of sample size, acceptable response rates on surveys and ethnicity data. Strategies to address these issues as follows:

- Currently surveys are not administered to private schools or colleges. Recruit CAC members or community partners who have access to students attending private schools and colleges and administer surveys to collect alcohol use information.
- Since youth value using technology, create an on-line survey or mobile survey application to increase the sample size and response rates on surveys.

**Note:** Honolulu will be addressing the enhancement of its “Be a Jerk” website to establish a regular community structure between substance abuse providers. Therefore, the contractor, Hawaii Information Consortium also known as “ehawaii.gov” may be able to create these types of survey.

- Recruit CAC members or community partners such as the Police, HMSA and the Cancer Research Center of Hawaii, etc. who have access to ethnicity data and other data (e.g. emergency room visits) not currently collected.

The 2014 Epidemiological Profile reported the following results and findings based on the Hawaii Youth Risk Behavior Survey as the primary data source and the Hawaii Health Data Warehouse as the secondary data source.

- The overall prevalence rates of each alcohol-related indicator among high school students in 2013 were:
  - 49.3% for ever having at least 1 drink of alcohol;

- 16.3% for having a 1<sup>st</sup> drink of alcohol before age 13 years;
  - 22.6% for 30-day alcohol use; and
  - 11.3% for 30-day binge drinking.
- There were no significant differences between the total rate of the City and County of Honolulu and overall state rate in 2013 for any indicator.
  - The findings indicated that there were no significant differences in alcohol indicators for youth in the City and County of Honolulu between 2011 and 2013.
  - There were also no sex differences for alcohol-related indicators except for usual source for alcohol, in which more female than male students obtained their alcohol from someone giving it to them in 2011.
  - Older high school students generally had higher rates than younger high school students as 12<sup>th</sup> graders had higher rates than 9<sup>th</sup> graders for ever having at least one drink of alcohol and 30-day alcohol use (in 2011 and 2013). In addition, 12<sup>th</sup> graders had higher rate of 30-day binge drinking than 10<sup>th</sup> graders in 2013.

Based on these results and findings, the recommendations for prevention programs need to be addressed through the development of the enhancement plan to include the following:

- There were no significant differences between 2011 and 2013 in any indicator. This finding suggests a great need of continuous effort and enhancement of underage drinking prevention and treatment programs in order to improve underage drinking rates among adolescents.
- Overall, sex difference in alcohol indicators were not found, thus prevention programs should target both boys and girls.
- Since older high school students had higher rates in some of the alcohol use indicators compared to younger grades, it is strongly recommended to start prevention programs at earlier stages of adolescence. It is especially important to delay the first initiation of alcohol use.

Strategies to enhance programs as follows:

- Include youth input to ensure the programs have the potential to increase youth participation, sustain their engagement and eliminate the shame attached to participation in substance abuse prevention programs. WorkHawaii's youth participants will be sought after to participate in focus groups and one-on-one interviews to gather their recommendations to improve programs. Also, community partners will be asked to conduct their own youth focus groups and one-on-one interviews to gather additional recommendations.

- Conduct focus groups and one-on-one interviews with parents to convey the message that substance abuse prevention programs focus on enhancing the physical, mental and emotional well-being of youth to eliminate the stigma that participation in such programs indicates a young person has a problem.
- Convene meetings of service providers to gather their concerns and recommendations to enhance prevention programs.

All recommendations will be reviewed and incorporated into the SA prevention system enhancement Plan.

### **C. Capacity**

As previously stated, staff development is a priority for WorkHawaii because the Division always aims to increase the staff's capacity to deliver better services for its participants. Therefore, the WorkHawaii staff delivering substance abuse prevention services and activities will continue to participate in ADAD sponsored or sanctioned trainings to continue to work towards the attainment of the "Certified Prevention Specialist" (CPS) credential.

Furthermore, other Division staff who don't currently deliver SA prevention services but have a desire to build their skills in this area and attain this credential, will have opportunities to attend ADAD sponsored or sanctioned trainings. Ms. Nakamura, Ms. Lantano and the "Be a Jerk" Program Coordinator receive email notifications of upcoming training opportunities. These opportunities will be shared with staff via email, distributed to staff internal mailboxes and shared at staff meetings.

The Division's approaches to strengthening the capacity of all employees and partners are described in the training section of this proposal.

To ensure the City responds to the prevention providers' requests for training, technical assistance, guidance and/or information to address SA problems in the county, WorkHawaii will ensure the following actions and/or steps are taken:

- Attend trainings and/or training of trainers to gain new knowledge and skills related to SA prevention. Examples of training as follows:
  - Substance Abuse Prevention Skills Training (SAPST)
  - SAPST Training of Trainers (TOT)
  - An annual national, regional or state SA prevention conference to learn new trends, network with other SA prevention leaders and gain knowledge of resources.

- Provide training 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. Examples of training as follows:
  - 1 SAPST annually (minimum)
  - 3 training on SA prevention topics (minimum). Examples of topics are assessment, capacity building, planning, implementation and evaluation.
- Work with ADAD’s Training Coordinator for Certified Prevention Specialist Continuing Education hours for SA related training hours within the state.

#### **D. Planning**

WorkHawaii with the assistance of the CAC will facilitate a collaborative planning process to develop a comprehensive SA prevention system enhancement plan within 6 months of the issuance of the Notice to Proceed. By the end of the 1<sup>st</sup> 6 months of the Project, an initial meeting of SA prevention providers, other community partners and stakeholders will be convened to introduce the planning process and the goal of developing the Plan. Thereafter, meetings will be convened on a regular basis and updates will be shared via email or the “Be a Jerk” website. As the process of developing the Plan is made, information gathered through the assessment will be utilized to make data-driven decisions when possible.

WorkHawaii with the assistance of the CAC and community partners shall ensure the Plan includes the following components:

- Summary of the assessment finding – Key findings and description of components of the Honolulu’s SA prevention system.
- Summary of planning process – List of participants, how decisions were made and how strategies were chosen.
- Three-year Action plan – Statements of actions to be taken to enhance the system including: (1) capacity needs based on the assessment, (2) corresponding goals, (3) strategies to obtain each goal, (4) person(s) responsible, (5) resources needed and (5) projected date of accomplishment for each strategy.
- Evaluation plan – Short and long term process and outcome indicators for each strategy with justification of how each will be measured.
- Dissemination of plan – Description of how the components will be distributed to key stakeholders; and
- Description of updating and amending the Plan – How updated, amended and approved based on ongoing assessment, monitoring and evaluation.

### **E. Implementation**

Ms. Nakamura with the assistance of Ms. Lantano and the newly hired Project Coordinator will ensure the Plan is implemented and monitored. Challenges with the implementation process will be discussed with the CAC to solicit the members' feedback and recommendations. From this process, corrective action(s) will be decided and applied to the Plan and/or implementation process. The WorkHawaii staff will monitor the changes to ensure the effectiveness of the Plan.

### **F. Evaluation**

WorkHawaii staff with the assistance of the CAC will work with the ADAD Evaluation Team to evaluate planned strategies and the SPF process. The valuable lessons learned through this process will assist with improving the effectiveness of the evaluation plan. Furthermore, the WorkHawaii staff will be responsible for compiling, summarizing and sharing the evaluation information with key stakeholders for the purpose of improving the effectiveness of the planned strategies and the SPF process.

### **G. Cultural Competencies**

Ms. Nakamura places a high priority on establishing and maintaining a respectful workplace. Consequently, WorkHawaii staff receive quarterly training on this subject matter as stated in the training section of this proposal.

Ms. Nakamura and her WorkHawaii colleagues assigned to this Project will ensure cultural competence by setting the expectation at the start of the Project that all individuals involved in the implementation of the Project's service activities need to be respectful and responsive to values, beliefs, needs, practices, culture and linguistic needs that are different from their own. Throughout the Project, this expectation will be reiterated and individuals who consistently shows lack of respect towards others will be released from the Project.

### **H. Ensuring Sustainability**

WorkHawaii's commitment to the Project is evident by the current obligation of its City General Funds to support the administrative staff who will perform tasks and functions that directly benefit the Project. Ms. Nakamura will encourage other funding agencies and those with the authority to direct funding to take the same action now since the evaluation of the SPF-SIG made it clear that more funding is needed to make significant improvements to the SA prevention system. Also, the results of the Project's service activities and positive outcomes will be shared to obtain additional funding to sustain the Project beyond the ADAD funding.

Applicant: City and County of Honolulu –  
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## V. Financial

### A. Pricing Structure –

No current pricing structure in place between the State and the City and County of Honolulu.

### B. The following budget form(s) are submitted with the Proposal Application:

SPO-H-205, SPO-H-205B, SPO-H-206A, SPO-H-206B, SPO-H-206C, SPO-H-206D, SPO-H-206E, SPO-H-206F, SPO-H-206G, SPO-H-206H and SPO-H206I.

### 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.

If funding decreasing or ceases to exist, the WorkHawaii Division will look at sustaining the system's positive outcomes by increasing the allocation of its City General Funds to the Project or apply for other grants.

### D. Other Financial Related Materials *(if applicable to the RFP)*

- FY14 City and County of Honolulu Single Audit Report
- FY15 Office of the City Auditor's Annual Report
- DCS Financial Management Manual including Cost Allocation Plan

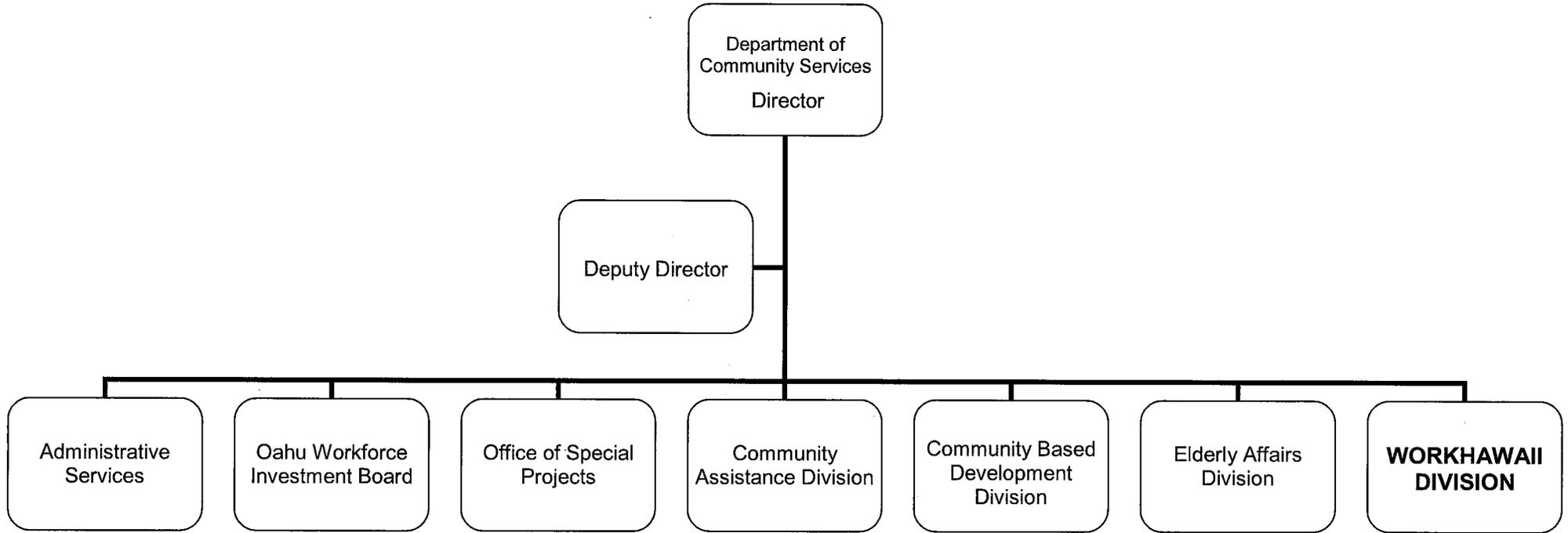
Applicant: City and County of Honolulu –  
Department of Community Services  
RFP No.: HTH-440-17-16PFS

## **VI. Other**

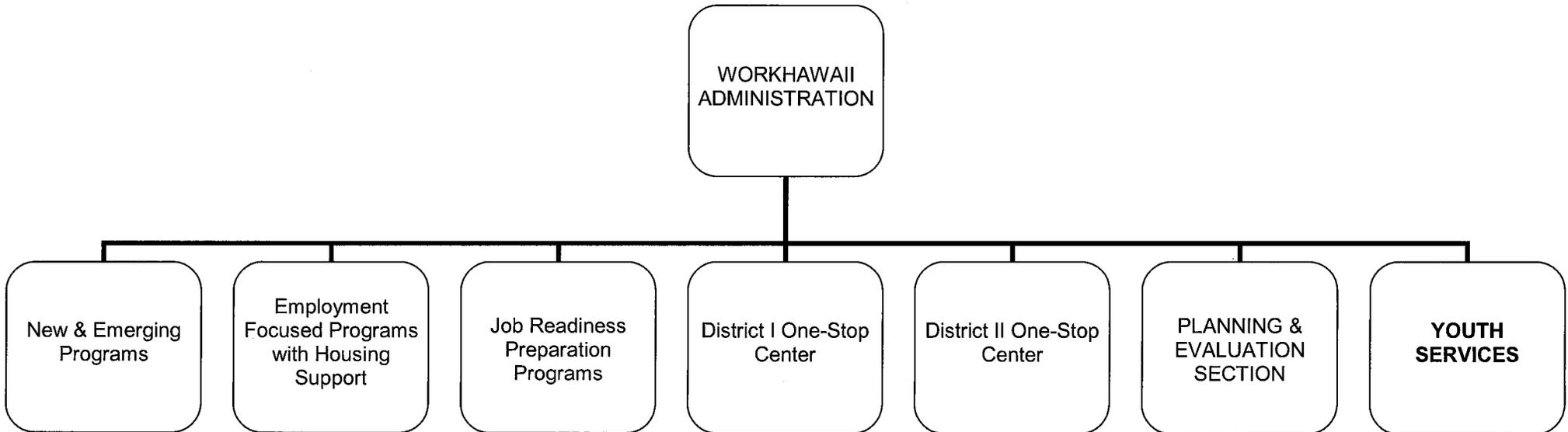
### **A. Litigation**

The City and County of Honolulu Department of Community Services has no pending litigation.

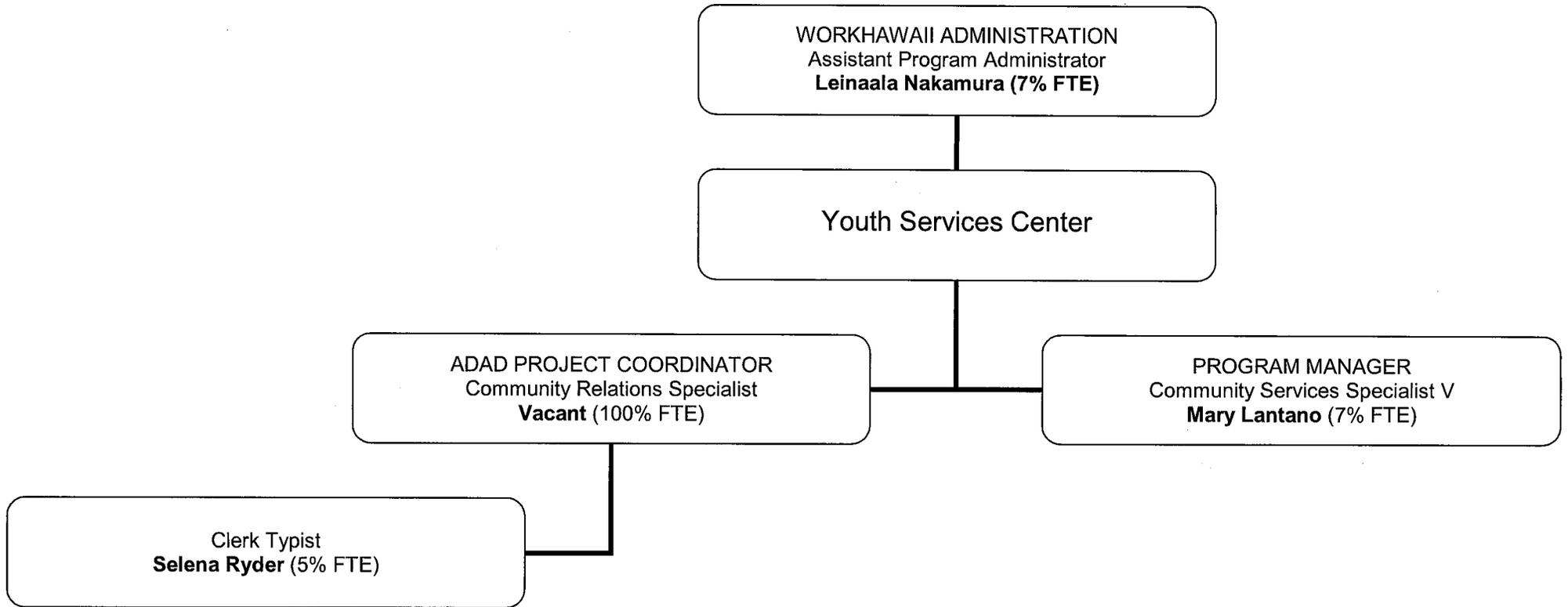
**CITY & COUNTY OF HONOLULU – DEPARTMENT OF COMMUNITY SERVICES  
ORGANIZATION-WIDE CHART**



**WORKHAWAII DIVISION CHART**



**PROJECT ORGANIZATIONAL CHART**



Attachment A

**Projected Timeline for Year 1 - Proposed Partnerships Activities**

April 2016	Issuance of Notice to Proceed
June 2016	Honolulu County Advisory Council re-established Orientation of CAC members
July 2016	1 <sup>st</sup> CAC monthly meeting Establish CAC sub-committees
July 2016	By end of month, Assessment completed
August 2016	Dissemination of Assessment by CAC
September 2016	Facilitation process to develop the Plan starts
Sept. 2016 to March 2017	Development of Plan on-going

**PROGRAM YEAR 1 ORGANIZATION - WIDE BUDGET BY SOURCE OF FUNDS**  
 Period 4/01/2016 to 3/31/2017

Applicant/Provider: City & County of Honolulu, Dept. of Community Services/WorkHawaii Division  
 RFP No.: HTH 440-17-16PFS  
 Contract No. (As Applicable): \_\_\_\_\_

<b>BUDGET CATEGORIES</b>	<b>Program Year 1 Total Funds (a)</b>	<b>Budget Request State Funds (b)</b>	<b>City's General Funds Leverage (c)</b>	<b>(d)</b>
<b>A. PERSONNEL COST</b>				
1. Salaries	68,960	62,379	15,059	
2. Payroll Taxes & Assessments	8,301	6,581	1,720	
3. Fringe Benefits	25,922	20,759	5,163	
<b>TOTAL PERSONNEL COST</b>	<b>103,183</b>	<b>89,719</b>	<b>21,942</b>	
<b>B. OTHER CURRENT EXPENSES</b>				
1. Airfare, Inter-Island	0			
2. Airfare, Out-of-State	0			
3. Audit Services	0			
4. Contractual Services - Administrative	0			
5. Contractual Services - Subcontracts	5,000	3,000	2,000	
6. Insurance	0			
7. Lease/Rental of Equipment	1,100	850	250	
8. Lease/Rental of Motor Vehicle	0			
9. Lease/Rental of Space	16,162	12,912	3,250	
10. Mileage	450	250	200	
11. Postage, Freight & Delivery	450	200	250	
12. Publication & Printing	200		200	
13. Repair & Maintenance	0			
14. Staff Training	200	200		
15. Substance/Per Diem	0			
16. Supplies	650	400	250	
17. Telecommunication	450	250	200	
18. Transportation	0			
19. Utilities	2,677	2,219	458	
20.	0			
21. Program Activities	0		0	
22.	0			
23.	0			
<b>TOTAL OTHER CURRENT EXPENSES</b>	<b>27,339</b>	<b>20,281</b>	<b>7,058</b>	
<b>C. EQUIPMENT PURCHASES</b>		<b>0</b>	<b>1,000</b>	
<b>D. MOTOR VEHICLE PURCHASES</b>				
<b>TOTAL (A+B+C+D)</b>	<b>140,000</b>	<b>110,000</b>	<b>30,000</b>	
<b>SOURCES OF FUNDING</b>		Budget Prepared By:		
(a) Total Funds	140,000	Jacqueline Schaeffer 808-768-5735 Name (Please type or print) Phone		
(b) Budget Request State Funds	110,000	Signature of Authorized Official Date		
(c) City's General Funds	30,000	Leinaala Nakamura, WorkHawaii Assistant Administrator Name and Title (Please type or print)		
(d)		For State Agency Use Only		
<b>TOTAL REVENUE</b>	<b>140,000</b>	Signature of Reviewer Date		

**PROJECT DURATION ORGANIZATION - WIDE BUDGET BY SOURCE OF FUNDS**  
 Period 04/01/2016 to 10/31/2018

Applicant/Provider: City & County of Honolulu, Dept. of Community Services/WorkHawaii Division  
 RFP No.: HTH 440-17-16PFS  
 Contract No. (As Applicable): \_\_\_\_\_

<b>BUDGET CATEGORIES</b>	<b>Total Grant Budget Request (a)</b>	<b>Year 1 Budget Request (b)</b>	<b>Year 2 Budget Request (c)</b>	<b>Year 3 Budget Request (d)</b>
<b>A. PERSONNEL COST</b>				
1. Salaries	191,305	62,379	63,224	65,702
2. Payroll Taxes & Assessments	20,183	6,581	6,671	6,931
3. Fringe Benefits	63,665	20,759	21,041	21,865
<b>TOTAL PERSONNEL COST</b>	<b>275,153</b>	<b>89,719</b>	<b>90,936</b>	<b>94,498</b>
<b>B. OTHER CURRENT EXPENSES</b>				
1. Airfare, Inter-Island	0			
2. Airfare, Out-of-State	0			
3. Audit Services	0			
4. Contractual Services - Administrative	0			
5. Contractual Services - Subcontracts	5,000	3,000	2,000	
6. Insurance	0			
7. Lease/Rental of Equipment	2,900	850	1,000	1,050
8. Lease/Rental of Motor Vehicle	0			
9. Lease/Rental of Space	36,478	12,912	12,314	11,252
10. Mileage	750	250	250	250
11. Postage, Freight & Delivery	500	200	100	200
12. Publication & Printing	350		200	150
13. Repair & Maintenance	0			
14. Staff Training	400	200	200	0
15. Substance/Per Diem	0			
16. Supplies	1,400	400	500	500
17. Telecommunication	850	250	300	300
18. Transportation	0			
19. Utilities	6,219	2,219	2,200	1,800
20.	0			
21.	0			
22.	0			
23.	0			
<b>TOTAL OTHER CURRENT EXPENSES</b>	<b>54,847</b>	<b>20,281</b>	<b>19,064</b>	<b>15,502</b>
<b>C. EQUIPMENT PURCHASES</b>				
<b>D. MOTOR VEHICLE PURCHASES</b>				
<b>TOTAL (A+B+C+D)</b>	<b>330,000</b>	<b>110,000</b>	<b>110,000</b>	<b>110,000</b>
<b>SOURCES OF FUNDING</b>		Budget Prepared By:		
(a) Project Budget Request	330,000	Jacqueline Schaeffer 808-768-5735		
(b) Year 1 Budget Request	110,000	Name (Please type or print) Phone		
(c) Year 2 Budget Request	110,000	Signature of Authorized Official Date		
(d) Year 3 Budget Request	110,000	Leinaala Nakamura, WorkHawaii Assistant Administrator		
		Name and Title (Please type or print)		
<b>TOTAL REVENUE</b>	<b>330,000</b>	For State Agency Use Only		
		Signature of Reviewer Date		

# BUDGET Program Year 1 Period 4/1/2016 to 3/31/2017

Applicant/Provider: City & County of Honolulu, Dept. of Community Services; WorkHawaii Division  
 RFP No.: HTH 440-17-16PFS  
 Contract No. (As Applicable): \_\_\_\_\_

BUDGET CATEGORIES	Budget Request (a)	(b)	(c)	(d)
<b>A. PERSONNEL COST</b>				
1. Salaries	62,379			
2. Payroll Taxes & Assessments	6,581			
3. Fringe Benefits	20,759			
<b>TOTAL PERSONNEL COST</b>	<b>89,719</b>			
<b>B. OTHER CURRENT EXPENSES</b>				
1. Airfare, Inter-Island				
2. Airfare, Out-of-State				
3. Audit Services				
4. Contractual Services - Administrative				
5. Contractual Services - Subcontracts	3,000			
6. Insurance				
7. Lease/Rental of Equipment	850			
8. Lease/Rental of Motor Vehicle				
9. Lease/Rental of Space	12,912			
10. Mileage	250			
11. Postage, Freight & Delivery	200			
12. Publication & Printing				
13. Repair & Maintenance				
14. Staff Training	200			
15. Substance/Per Diem				
16. Supplies	400			
17. Telecommunication	250			
18. Transportation				
19. Utilities	2,219			
20.				
21.				
22.				
23.				
<b>TOTAL OTHER CURRENT EXPENSES</b>	<b>20,281</b>			
<b>C. EQUIPMENT PURCHASES</b>				
<b>D. MOTOR VEHICLE PURCHASES</b>				
<b>TOTAL (A+B+C+D)</b>	<b>110,000</b>			
<b>SOURCES OF FUNDING</b>		Budget Prepared By:		
(a) Budget Request	110,000	Jacqueline Schaeffer <span style="float: right;">808-768-5735</span>		
(b)		Name (Please type or print) <span style="float: right;">Phone</span>		
(c)		Signature of Authorized Official <span style="float: right;">Date</span>		
(d)		Leinaala Nakamura, WorkHawaii Assistant Administrator		
		Name and Title (Please type or print)		
<b>TOTAL REVENUE</b>	<b>110,000</b>	For State Agency Use Only		
		Signature of Reviewer <span style="float: right;">Date</span>		

# PROGRAM YEAR 1 ORGANIZATION - WIDE BUDGET BY SOURCE OF FUNDS

Period 4/01/2016 to 3/31/2017

Applicant/Provider: City & County of Honolulu, Dept. of Community Services/WorkHawaii Division  
 RFP No.: HTH 440-17-16PFS  
 Contract No. (As Applicable): \_\_\_\_\_

BUDGET CATEGORIES	Program Year 1 Total Funds (a)	Budget Request State Funds (b)	City's General Funds Leverage (c)	(d)
<b>A. PERSONNEL COST</b>				
1. Salaries	68,960	62,379	15,059	
2. Payroll Taxes & Assessments	8,301	6,581	1,720	
3. Fringe Benefits	25,922	20,759	5,163	
<b>TOTAL PERSONNEL COST</b>	<b>103,183</b>	<b>89,719</b>	<b>21,942</b>	
<b>B. OTHER CURRENT EXPENSES</b>				
1. Airfare, Inter-Island	0			
2. Airfare, Out-of-State	0			
3. Audit Services	0			
4. Contractual Services - Administrative	0			
5. Contractual Services - Subcontracts	5,000	3,000	2,000	
6. Insurance	0			
7. Lease/Rental of Equipment	1,100	850	250	
8. Lease/Rental of Motor Vehicle	0			
9. Lease/Rental of Space	16,162	12,912	3,250	
10. Mileage	450	250	200	
11. Postage, Freight & Delivery	450	200	250	
12. Publication & Printing	200		200	
13. Repair & Maintenance	0			
14. Staff Training	200	200		
15. Substance/Per Diem	0			
16. Supplies	650	400	250	
17. Telecommunication	450	250	200	
18. Transportation	0			
19. Utilities	2,677	2,219	458	
20	0			
21. Program Activities	0		0	
22.	0			
23.	0			
<b>TOTAL OTHER CURRENT EXPENSES</b>	<b>27,339</b>	<b>20,281</b>	<b>7,058</b>	
<b>C. EQUIPMENT PURCHASES</b>		<b>0</b>	<b>1,000</b>	
<b>D. MOTOR VEHICLE PURCHASES</b>				
<b>TOTAL (A+B+C+D)</b>	<b>140,000</b>	<b>110,000</b>	<b>30,000</b>	
<b>SOURCES OF FUNDING</b>		Budget Prepared By:		
(a) Total Funds	140,000	Jacqueline Schaeffer <span style="float: right;">808-768-5735</span>		
(b) Budget Request State Funds	110,000	Name (Please type or print) <span style="float: right;">Phone</span>		
(c) City's General Funds	30,000	Signature of Authorized Official <span style="float: right;">Date</span>		
(d)		Leinaala Nakamura, WorkHawaii Assistant Administrator		
		Name and Title (Please type or print)		
<b>TOTAL REVENUE</b>	<b>140,000</b>	For State Agency Use Only		
		Signature of Reviewer <span style="float: right;">Date</span>		

## BUDGET JUSTIFICATION PERSONNEL - SALARIES AND WAGES

Applicant/Provider: City & County of Honolulu, Dept. of Community Services/WorkHawaii Division

RFP No.: HTH 440-17-16PFS

Period: 04/01/2016 to 03/31/2017

Date Prepared: January 7, 2016

Contract No. (As Applicable): \_\_\_\_\_

POSITION NO.	POSITION TITLE	FULL TIME EQUIVALENT TO ORGANIZATION	ANNUAL SALARY INCLUDING BUDGETED SALARY INCREASE A	% OF TIME BUDGETED TO THE CONTRACT B	TOTAL SALARY BUDGETED TO THE CONTRACT A x B
EM07	*Assistant Administrator	FTE	99546.00	7.00%	6,968
SR24	*Program Manager	FTE	57565.00	7.00%	4,030
SR22	Program Coordinator	FTE	49914.00	100.00%	49,914
SR10	*Sr. Clerk Typist	FTE	29333.00	5.00%	1,467
<b>TOTAL:</b>					62,379.00

**JUSTIFICATION/COMMENTS:**

Salaries reflect pay increases for HGEA BU 13 Effective Jan. 1, 2017

## BUDGET JUSTIFICATION PERSONNEL: PAYROLL TAXES, ASSESSMENTS, AND FRINGE BENEFITS

Applicant/Provider: City & County of Honolulu, Dept. of Community Services/WorkHawaii Division

RFP No.: HTH 440-17-16PFS Period: 4/1/2016 to 3/31/2017

Date Prepared: 1/7/2016

Contract No.: \_\_\_\_\_  
(AS Applicable)

TYPE	BASIS OF ASSESSMENTS OR FRINGE BENEFITS	% OF SALARY	TOTAL
<b>PAYROLL TAXES &amp; ASSESSMENTS:</b>			
Social Security	As required by law	7.65%	4,772.00
Unemployment Insurance (Federal)	As required by law	0.00%	-
Unemployment Insurance (State)	As required by law	0.06%	37.00
Worker's Compensation	As required by law	2.84%	1,772.00
Temporary Disability Insurance	As required by law	0.00%	-
SUBTOTAL:			6,581.00
<b>FRINGE BENEFITS:</b>			
Health Insurance	As required by law	16.28%	10,155.00
Retirement	As required by law	17.00%	10,604.00
SUBTOTAL:			20,759.00
<b>TOTAL:</b>			<b>27,340.00</b>

**JUSTIFICATION/COMMENTS:** Program Staff

Employee Fringe Benefit Rates effective November 9, 2015 (attached).

## BUDGET JUSTIFICATION TRAVEL - INTER-ISLAND

Applicant/Provider: City & County of Honolulu, Dept. of Community Services/WorkHawaii Division

RFP No.: HTH 440-17-16PF9      Period: 4/1/2016 to 3/31/2017

Date Prepared: 1/7/2016

Contract No. \_\_\_\_\_  
(As Applicable)

NAME OF EMPLOYEE & TITLE	DESTINATION	NO. DAYS	PER DIEM OR SUBSISTENCE A	AIR FARE B	TRANSPORTATION C	TOTAL A+B+C
<b>Not Applicable</b>						
<b>TOTAL:</b>						
<b>JUSTIFICATION/COMMENTS:</b>						

## BUDGET JUSTIFICATION TRAVEL - OUT OF STATE

Applicant/Provider: City & County of Honolulu, Dept. of Community Services/WorkHawaii Division

RFP No.: HTH 440-17-16PF Period: 4/1/2016 to 3/31/2017

Date Prepared: 1/7/2016

Contract No. \_\_\_\_\_  
(As Applicable)

NAME OF EMPLOYEE & TITLE	DESTINATION	NO. DAYS	PER DIEM OR SUBSISTENCE A	AIR FARE B	TRANSPORTATION C	TOTAL A+B+C
<b>Not applicable</b>						
<b>TOTAL:</b>						
<b>JUSTIFICATION/COMMENTS:</b>						

## BUDGET JUSTIFICATION CONTRACTUAL SERVICES - ADMINISTRATIVE

Applicant/Provider: City & County of Honolulu, Dept. of Community Services/WorkHawaii Division

RFP No.: HTH 440-17-16PFS

Period: 4/1/2016 to 3/31/2017

Date Prepared: 1/7/2016

Contract No. \_\_\_\_\_  
(As Applicable)

NAME OF BUSINESS OR INDIVIDUAL	TOTAL BUDGETED	SERVICES PROVIDED	JUSTIFICATION/COMMENTS
<b>Not Applicable</b>			
<b>TOTAL:</b>			

## BUDGET JUSTIFICATION CONTRACTUAL SERVICES - SUBCONTRACTS

Applicant/Provider: City & County of Honolulu, Dept. of Community Services/WorkHawaii Division

RFP No.: HTH 440-17-16PFS      Period: 4/1/2016 to 3/31/2017

Date Prepared: 1/7/2016

Contract No.  
(As Applicable) \_\_\_\_\_

NAME OF BUSINESS OR INDIVIDUAL	TOTAL BUDGETED	SERVICES PROVIDED	JUSTIFICATION/COMMENTS
Hawaii Information Consortium	3000	Web design and Graphics	Expert level website and graphic design
<b>TOTAL:</b>	<b>3000</b>		

## BUDGET JUSTIFICATION DEPRECIATION

Applicant/Provider: City & County of Honolulu, Dept. of Community Services/WorkHawaii Division

RFP No.: HTH 440-17-16PFS

Contract No. (As Applicable): \_\_\_\_\_ Period: 4/1/2016 to 3/31/2017

Date Prepared: 1/7/2016

ITEM PLEASE IDENTIFY EACH ASSET. DO NOT GROUP BY ASSET TITLE.	ACQUISITION DATE	ACQUISITION COST	USEFUL LIFE	METHOD OF DEPRECIATION	PREVIOUS DEPRECIATION TAKEN	DEPRECIATION EXPENSE	% ALLOCATED	DEPRECIATION ALLOCATED
<b>Not Applicable</b>								
<b>Total:</b>								

**JUSTIFICATION/COMMENTS:**

## BUDGET JUSTIFICATION PROGRAM ACTIVITIES

Applicant/Provider: City & County of Honolulu, Dept. of Community Services/WorkHawaii Division

RFP No.: HTH 440-17-16PFS

Period: 4/1/2016 to 3/31/2017

Date Prepared: January 7, 2016

Contract No. : \_\_\_\_\_  
(As Applicable)

DESCRIPTION	AMOUNT	JUSTIFICATION/COMMENTS
Not Applicable		
<b>Total:</b>		

## BUDGET JUSTIFICATIONEQUIPMENT PURCHASES

Applicant/Provider: City & County of Honolulu, Dept. of Community Services/WorkHawaii Division

RFP No.: HTH 440-17-16PFS      Period: 4/1/2016 to 3/31/2017      Date Prepared: January 7, 2016

Contract No.: \_\_\_\_\_  
(As Applicable)

DESCRIPTION OF EQUIPMENT	NO. OF ITEMS	COST PER ITEM	TOTAL COST	TOTAL BUDGETED
Not Applicable				

**JUSTIFICATION/COMMENTS:**

## BUDGET JUSTIFICATION MOTOR VEHICLE

Applicant/Provider: City & County of Honolulu, Dept. of Community Services/WorkHawaii Division

RFP No.: HTH 440-17-16PFS      Period: 4/1/2016 to 3/31/2017      Date Prepared: January 7, 2016

Contract No.: \_\_\_\_\_  
(As Applicable)

DESCRIPTION OF MOTOR VEHICLE	NO. OF ITEMS	COST PER ITEM	TOTAL COST	TOTAL BUDGETED
Not Applicable				
<b>JUSTIFICATION/COMMENTS:</b>				

**Contact Information of Stakeholders**

1. Colin Awa, Vice Principal  
Olomana School  
42-522 Kalanianaʻole Highway  
Kailua, Hawaii 96734  
Ph. 808-266-7870
  
2. Valerie S.T. Mariano, Chair of Community & Crime Prevention  
State Department of the Attorney General  
235 S. Beretania Street, Suite 401  
Honolulu, Hawaii 96813  
Ph. 808-586-1444
  
3. Cory Nicolas, MSCP, LMHC  
Family Tree Project  
1001 Kamokila Blvd., #133  
Kapolei, Hawaii 96707  
Ph. 413-367-8733

## **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.

City & County of Honolulu  
 Department of Community Services  
 \_\_\_\_\_  
 Organization Name

Gary K. Nakata  
 \_\_\_\_\_  
 Name of Authorized Representative (Print)

  
 \_\_\_\_\_  
 Signature of Authorized Representative

Director  
 \_\_\_\_\_  
 Title

JAN - 8 2016  
 \_\_\_\_\_  
 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.

**City & County of Honolulu**  
**Department of Community Services**  
Organization Name

**Gary K. Nakata**  
Name of Authorized Representative (Print)

  
Signature of Authorized Representative

**Director**  
Title

JAN - 8 2016  
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.

City & County of Honolulu  
Department of Community Services  
Organization Name

Gary K. Nakata  
\_\_\_\_\_  
Name of Authorized Representative (Print)  
  
\_\_\_\_\_  
Signature of Authorized Representative

Director  
\_\_\_\_\_  
Title  
  
1/8/14  
\_\_\_\_\_  
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.)

<b>1. Type of Federal Action</b> <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	<b>2. Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	<b>3. Report Type:</b> <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change <b>For Material Change Only:</b> Year _____ quarter _____ Date of last report _____
<b>4. Name and Address of Reporting Entity:</b>  <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known;  Congressional District, if known: _____	<b>5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime:</b>   Congressional District, if known: _____	
<b>6. Federal Department /Agency:</b>  _____	<b>7. Federal Program Name/Description:</b>  _____  CFDA Number, if applicable: _____	
<b>8. Federal Action Number, if known:</b>  _____	<b>9. Award Amount, if known,</b>  \$ _____	
<b>10.a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI):</b>  _____	<b>b. Individual Performing Services (including address if different from No. 10a) (last name, first name, MI):</b>  _____	
<b>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</b>	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 1<sup>st</sup> 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.

City & County of Honolulu  
Department of Community Services  
Organization Name

Gary K. Nakata  
Name of Authorized Representative

Director  
Title

  
Signature

JAN - 8 2016  
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.

City & County of Honolulu  
Department of Community Services

\_\_\_\_\_  
Organization Name

Gary K. Nakata

\_\_\_\_\_  
Name of Authorized Representative (Print)

Director

\_\_\_\_\_  
Title

  
\_\_\_\_\_  
Signature of Authorized Representative

JAN - 8 2016

\_\_\_\_\_  
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.

City & County of Honolulu  
Department of Community Services  
Organization Name

Gary K. Nakata  
Name of Authorized Representative (Print)

  
Signature of Authorized Representative

Director  
Title

JAN - 8 2016  
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](http://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](mailto: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.

City & County of Honolulu  
Department of Community Services  
Organization Name

Gary K. Nakata  
Name of Authorized Representative (Print)

  
Signature

Director  
Title

JAN - 8 2016  
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.*

City & County of Honolulu  
 Department of Community Services  
 \_\_\_\_\_  
 Organization Name

Gary K. Nakata  
 \_\_\_\_\_  
 Name of Authorized Representative (Print)

Director  
 \_\_\_\_\_  
 Title

  
 \_\_\_\_\_  
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Organization Name

Gary K. Nakata  
Name of Authorized Representative (Print)

Director  
Title

  
Signature

JAN - 6 2016  
Date

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- a. Provisions applicable to a recipient that is a private entity.**
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    - iii. Use forced labor in the performance of the award or subawards under the award.**
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  - 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.
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- (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 --
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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.*

City & County of Honolulu  
Department of Community Services  
 Organization Name

Gary K. Nakata  
 Name of Authorized Representative (Print)

  
 Signature of Authorized Representative

Director  
 Title

JAN - 8 2016  
 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

### I. 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.

### II. 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.

City & County of Honolulu  
Department of Community Services

Organization Name

Gary K. Nakata

Name of Authorized Representative

Director

Title



Signature

JAN - 8 2016

Date