

NEW JERSEY DEPARTMENT OF HUMAN SERVICES

Division of Mental Health and Addiction Services

Request for Proposals (RFP)

**Funding for Training, Technical Assistance, and
Evaluation Support for Regional Prevention Coalitions**

Proposal Due: September 26, 2011

Date of Issuance: August 8, 2011

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Agency

The Department of Human Services (DHS) Division of Mental Health and Addiction Services (DMHAS) is issuing this Request for Proposals (RFP) to fund a provider(s) to deliver (1) Training and Technical Assistance and (2) Evaluation Support for Regional Prevention Coalitions. Information regarding funding for regional coalitions can be found in the companion RFP entitled, "Funding for Regional Coalitions to Utilize Environmental Strategies to Achieve Population-Level Change."

Purpose of this Announcement

DMHAS is seeking an experienced provider(s) to deliver coordinated training and technical assistance and evaluation support to 17 regionally-based prevention coalitions, their stakeholders, partners, and staff. Training/Technical Assistance and Evaluation Support constitute two distinct opportunities – the first for training and technical assistance services and the second for evaluation support. Funding for all services and activities described in this RFP will be provided by Federal Substance Abuse Prevention and Treatment (SAPT) Block Grant funds and administered by DMHAS. Total funding available is approximately \$350,000. Funds are also available to develop and/or maintain the 17 coalitions. Information regarding this additional opportunity can be found in a separate RFP entitled, "Funding for Regional Coalitions to Utilize Environmental Strategies to Achieve Population-Level Change". Applicants may respond to both this Training/Technical Assistance and Evaluation Support RFP and the "Funding for Regional Coalitions to Utilize Environmental Strategies to Achieve Population-Level Change" RFP. However, an applicant cannot receive both coalition funding and funding to provide TA and/or Evaluation Support services. In the event that an applicant is recommended for funding under both RFPs, the applicant will be required to indicate which of the opportunities it will accept.

The successful Training/Technical Assistance applicant will increase the capacity of funded coalitions by providing comprehensive training and technical assistance on capacity building, implementation of environmental programs and strategies, cultural competence, coalition development and project sustainability.

Evaluation support will involve providing assistance and direction in the collection and analysis of epidemiological and social indicator data, identification of baseline measures and intervening variables, GIS mapping, outcome evaluation, and other relevant areas of coalition and project evaluation.

To be considered for either opportunity, applicants must have extensive demonstrated and verifiable expertise in providing substantive training and technical assistance in the effective use of the Strategic Prevention Framework (SPF) and its evaluation.

Applicants may apply to provide either Training and Technical Assistance services, or Evaluation Support services, or both. However, **separate proposals are required for**

each contract opportunity. The funding amounts available to provide these services are approximately \$350,000 annually; \$200,000 for Training and Technical Assistance services and \$150,000 for Evaluation Support services.

Applicants that have the capacity to meet both the administrative and programmatic criteria for funding should carefully review each of the opportunities in this RFP to determine which service(s) can best be achieved and delivered by the applicant organization.

All application and expenditure data pertaining to these contract funds must be independent of any other DMHAS or non-DMHAS funded program of the applicant/contractee. Awards under this RFP will be clustered separately from other existing components for contract application and reporting. Cost sharing is not required.

Actual funding levels will depend on the availability of funds. This will be a five-year contract that is annually renewable. Annual continuation and renewal are subject to availability of funds, satisfactory performance, as well as compliance and completion of all required/requested reports. The contract may be extended for two (2) additional periods of up to one (1) year each, by mutual written consent of the contractee and the Assistant Commissioner at the same terms, conditions, and pricing. The length of each extension shall be determined when the extension request is processed.

Background

Contracts awarded through this RFP are intended to fund the provision of training and technical assistance and evaluation support to seventeen (17) regionally-based substance abuse prevention coalitions in New Jersey, which will be identified and funded through the companion RFP entitled, "Funding for Regional Coalitions to Utilize Environmental Strategies to Achieve Population-Level Change".

Funding for all services and activities described in this RFP will be provided by Federal Substance Abuse Prevention and Treatment (SAPT) Block Grant funds and administered by DMHAS. Total funding available is approximately \$350,000.

The successful Training/Technical Assistance applicant will increase the capacity of funded coalitions by providing comprehensive training and technical assistance on capacity building, implementation of environmental programs and strategies, cultural competence, coalition development and project sustainability.

Evaluation support will involve providing assistance and direction in the collection and analysis of epidemiological and social indicator data, identification of baseline measures and intervening variables, GIS mapping, outcome evaluation, and other relevant areas of coalition and project evaluation.

Who Can Apply?

The following eligibility criteria shall apply:

1. Have a minimum of five years experience in public health with particular experience in health promotion and disease prevention.
2. Have extensive demonstrated and verifiable experience in providing training and technical assistance in the effective use and evaluation of the Strategic Prevention Framework.
3. Have, at minimum, an MPH or closely related graduate degree with a focus on community health services.
4. Have an applied knowledge of epidemiological principles and processes.
5. Be skilled in data collection and analysis.
6. Have experience working with community based organizations.
7. Have experience in all aspects of coalition development and maintenance.
8. Have extensive experience in the delivery of training and technical assistance related to cultural and linguistic competence.
9. Demonstrate knowledge of substance abuse issues, systems and terms.
10. Possess strong writing skills.
11. Be knowledgeable and adept at using data analysis software (SPSS, SAS) and Microsoft Office.
12. Not be an employee, consultant or subcontractee of any DMHAS funded provider, or immediate relative of same.
13. Eligibility for contracts is limited to applicants who are either public or private non-profit agencies/organizations. Applicants to the companion RFP entitled, "Funding for Regional Coalitions to Utilize Environmental Strategies to Achieve Population-Level Change" are eligible to apply for the opportunities described herein, but may only be awarded one contract, even if recommended for funding for both contracts.
14. Applicants must have a New Jersey address and be able to conduct business from a facility located in New Jersey.
15. Non public applicants must demonstrate that they are incorporated through the

New Jersey Department of State, and provide documentation of their current non-profit status under Federal IRS 501(c) (3) regulations, as applicable.

16. All New Jersey and out of State Corporations must obtain a Business Registration Certificate (BRC) from the Department of the Treasury, Division of Revenue prior to conducting business in the State of New Jersey.
17. Proof of valid business registration with the Division of Revenue, Department of the Treasury, State of New Jersey, shall be submitted by the bidder and, if applicable, by every subcontractor of the bidder, with the bidder's bid. No contract will be awarded without proof of business registration with the Division of Revenue. Any questions in this regard can be directed to the Division of Revenue at (609) 292-1730. Form NJ-REG. can be filed online at www.state.nj.us/njbgs/services.html
18. Before performing work under the contract, all sub-contractors of the contractor must provide to the contractor proof of New Jersey business registration. The contractor shall forward the business registration documents on to the using agency.
19. Applicants must not be suspended or debarred by DMHAS or any other State or Federal entity from receiving funds.
20. An applicant that is a current DHS/DMHAS contractee must be in compliance with the terms and conditions of its current contract.
21. Applicants must have all Plans of Correction (PoC) for deficiencies submitted to DMHAS for approval prior to submission.
22. Applicants must have a governing body that provides oversight as is legally permitted. No member of the Board of Directors can be employed as a consultant for the successful applicant.

NOTE: If, at the time of receipt of the proposal, the applicant does not comply with this standard, the applicant must submit evidence that it has begun to modify its structure and that the requirement will be met by the time the contract is executed. *If this required organizational structure is not in place before the start date, the contract will not be executed and the funding will be waived.*
23. Applicants must also attend the combination Mandatory Bidders' Conference/Training and Technical Assistance meeting from 9-5 on August 19, 2011 at the Hamilton Technology Center Auditorium located at 1200 Negron Drive in Hamilton, NJ. (See directions attached).

RFP Package

The proposal package includes the following:

- RFP including narrative instructions for this specific contract
- Contract Application

How to Get a RFP Package

- Contact Helen Staton
Addiction Services
P.O. Box 362
Trenton, NJ 08625
helen.staton@dhs.state.nj.us
(609) 633-8781
- Download the RFP from the following website:
<http://www.state.nj.us/humanservices/providers/grants/rfprfi/>.
- Download the contract application forms from the following website:
<http://www.state.nj.us/humanservices/das/information/contracts/> .
- Attend the Mandatory Bidders' Conference/Training and Technical Assistance meeting.

Due Date

Proposals must be received by DMHAS by 5:00 p.m. on September 26, 2011, and include one (1) signed original and seven (7) copies. Faxed or electronic proposals, as well as those received after the deadline, will not be reviewed.

Where to Send Proposals

Send the signed original and seven (7) copies of your proposal to DMHAS.

For United States Postal Service, please address to:

Helen Staton
Addiction Services
P.O. Box 362
Trenton, NJ 08625
(609) 633-8781

For UPS, FedEx, other courier service or hand delivery, please address to:

Helen Staton
Addiction Services
120 South Stockton Street, 3rd floor
Trenton, NJ 08611
(609) 633-8781

Please note that if you send your proposal package through United States Postal Service two-day priority mail delivery to the P.O. Box, your package may not arrive in two days. In order to meet the deadline, please send your package earlier than two days before the deadline or use a private carrier's overnight delivery to street address.

You will NOT be notified that your package has been received. If you require a phone number for delivery, you may use (609) 633-8781.

Mandatory Bidders' Conference/Training and Technical Assistance Meeting/Contacts for Further Information

A Mandatory Bidders' Conference/Training and Technical Assistance meeting will be held from 9 to 5 at the Hamilton Technology Center Auditorium on August 19, 2011 located at 1200 Negron Drive in Hamilton. The Mandatory Bidders' Conference/Training and Technical Assistance meeting will provide applicants an opportunity to ask questions about the RFP requirements or the award process, as well as clarify any changes that may be made to this RFP. This ensures that all potential applicants will have equal access to information. Applicants are requested to notify Helen Staton by email at helen.staton@dhs.state.nj.us regarding their intent to attend the Mandatory Bidders' Conference. When registering for the Mandatory Bidders' Conference/Training and Technical Assistance meeting, please indicate if special accommodations are needed pursuant to the Americans with Disabilities Act. For interpretation services, please notify DMHAS as soon as possible in order to secure services. In the event services must be cancelled, a minimum of 48 hours notification to DMHAS is necessary.

Applicants are guided to rely upon the information in this RFP and the details provided at the Mandatory Bidders' Conference/Training and Technical Assistance meeting to develop their proposals. Substantive questions regarding intent or allowable responses to the RFP, outside the Mandatory Bidders' Conference/Training and Technical Assistance meeting, will **not** be answered individually. Any necessary response to questions posed by a potential applicant during the Mandatory Bidders' Conference/Training and Technical Assistance meeting that cannot be answered at that time will be furnished via electronic mail to all potential applicants registered as being in attendance. **Specific guidance will not be provided to individual applicants at any time.**

Please note that food and drink is NOT permitted in the auditorium. A one hour lunch break will be provided, and there are multiple local restaurants along Route 130.

Contract Overview/Expectations

Project Overview

The contractees will provide technical assistance and evaluation support through a variety of approaches and technologies. Priority areas of focus will include: strengthening the capacity of coalitions and communities to effectively select and utilize environmental substance abuse prevention programs and strategies; planning and policy development to implement comprehensive prevention systems; stakeholder-driven and youth-guided planning; sustainability; cultural competence, data management and accountability; outcomes evaluation, coalition, workforce and leadership development; evidence-based and promising practices; early identification of trends and issues; integration of prevention coalition efforts with primary health, child-care, schools, child welfare, juvenile justice; cultural, racial, gender, sexual minority, and geographic disparities; vulnerable population groups; and technology coordination and dissemination.

An evaluation of implementation processes among coalitions as well as the ability to correlate environmental programs and strategies with theoretically corresponding outcomes will be a vital aspect of this project.

Required Activities

Funds must be used to provide technical assistance, knowledge development, and evaluation support to DMHAS contractees to facilitate coalition infrastructure development and systems transformation, and will include (in part) the following responsibilities:

For Training and Technical Assistance

- Strategic planning
- Identification and dissemination of policies and financing strategies to sustain prevention systems
- Identification of new and/or additional funding streams
- Organizational/structural change (e.g., to create locus of responsibility for a specific issue/population, or to increase access to, or efficiency of, services)
- Development of interagency coordination mechanisms
- Coalition development
- Cultural and linguistic competence
- Policy development to support needed service system improvements
- Quality improvement efforts

- Workforce development activities (e.g., training, support for licensure, credentialing, or accreditation) or other skill sets (i.e.: data analysis)
- Coordinate the development of strategies and approaches to sustaining and expanding coalition influence
- Create training forums and materials (e.g. conference call, web-based data and technical assistance resources, policy briefs)

For Evaluation Support

- Needs assessment
- Provide training and guidance to coalition members on topics related to evaluation
- Collection and analysis of epidemiological data
- Development of evaluation plan of coalition effectiveness and outcomes
- Identification of baseline measures and intervening variables
- Outcome evaluation
- Development of measurement instruments
- Performance measurement development and administration
- Collection and evaluation of project data

Responsibilities/Deliverables

At a minimum, the contractor will be required to report on the following performance measures on a quarterly basis.

- Describe the training and technical assistance or evaluation support provided to each coalition during the preceding quarter
- What was the effect of training and technical assistance or evaluation support on participants?
- What program/contextual factors were associated with outcomes?
- What individual factors were associated with outcomes, including race/ethnicity?
- How durable were the effects?
- How closely did implementation match the plan for delivery of training and technical assistance or evaluation support?
- What types of changes were made to the originally proposed plan?
- What led to the changes in the original plan?
- What effect did the changes have on the planned training and technical assistance and performance assessment? How were continuous quality findings implemented to achieve gains in performance from recipients of training and technical assistance and the performance of the applicant?
- Who provided (TA or evaluation staff) what services (modality, type, intensity, duration), to whom (coalition members or staff), in what context (individual or group meeting, webinar, etc.).

General Contracting Information

The Department reserves the right to reject any and all proposals when circumstances indicate that it is in its best interest to do so. The Department's best interests in this context include, but are not limited to, State loss of funding for the contract, insufficient infrastructure agency wide, inability of the applicant to provide adequate services, indication of misrepresentation of information and/or non-compliance with any existing Department contracts and procedures or State and/or Federal laws and regulations.

All applicants will be notified in writing of the State's intent to award a contract. All proposals are considered public information and as such will be made available upon request after the completion of the RFP process.

All applicants will be required to comply with the Affirmative Action requirements of P.L. 1975 c. 127 (N.J.A.C. 17:27), P.L. 2005, c.51 and 271, Executive Order 117 and N.J.S.A. 52:34-13-2 Source Disclosure Certification (replaces Executive Order 129).

Awardee will be required to comply with the DHS contracting rules and regulations, including the Standard Language Document, the Department of Human Services' Contract Reimbursement Manual, and the Contract Policy and Information Manual. A list of depository libraries where applicants may review the manuals can be found on the internet at http://slic.njstatelib.org/NJ_Information/NJ_by_Topic/NJ_Depositories.php. Additionally, manuals may be downloaded from the DHS website of the Office of Contract Policy and Management (OCPM) at <http://www.state.nj.us/humanservices/ocpm/home/resources/>. The link for the DHS contract manuals is on the left. The awardees will be required to negotiate contracts with DHS/DMHAS upon award, and may also be subject to a pre-award audit survey.

The awards will be announced October 31, 2011 with a contract start date January 1, 2011. Certain expenses incurred by successful applicants during the transition period after selection, but prior to the effective date of the contract, will not be reimbursed.

A contract awarded as a result of this RFP is annually renewable for five years. Funds may only be used to support services that are specific to this award; hence, this funding may not be used to supplant or duplicate existing funding streams. The contract may be extended for two (2) additional periods of up to one (1) year each, by mutual written consent of the contractee and the Assistant Commissioner at the same terms, conditions, and pricing. The length of each extension shall be determined when the extension request is processed.

Contractees must uphold all programmatic standards outlined in the "Standards for Agencies Providing Substance Abuse Prevention Services for DMHAS," located at the end of this document. These standards are intended to ensure that prevention programs funded by DMHAS achieve their desired outcomes. A site visit may be conducted to applicants before a contract is awarded. The site visit will determine the applicant's capacity to maintain these standards.

Terms used in this RFP that have specific meanings related to substance abuse prevention programs are defined in the “Standards for Agencies Providing Substance Abuse Prevention Services for the DMHAS”.

All application and expenditure data pertaining to these contract funds must be independent of any other DMHAS or non-DMHAS funded program of the applicant/contractee. Award(s) under this RFP will be clustered separately from other existing components for contract application and reporting.

Contractees are expected to adhere to all applicable State and Federal cost principles. Budgets should be reasonable and reflect the scope of responsibilities in order to accomplish the goals of this project.

An appeal based on the determination may be filed in writing to the Assistant Commissioner within seven calendar days following receipt of the notification. An appeal of the selection process shall be heard only if it is alleged that the Division has violated a statutory or regulatory provision in the awarding of the contract. An appeal will not be heard based upon a challenge to the evaluation of a proposal.

Proposal Requirements/Scoring

As previously stated, separate applications are required for the (1) Training and Technical Assistance and (2) Evaluation Support components of this RFP.

Applicants must provide a written description of the proposed services. The narrative portion should be single-spaced with one inch margins, no smaller than 12 point font, not exceed 15 pages, and be organized in the order of the key concepts below. Items included in the Appendices do not count towards the narrative page limit. **All pages should be numbered, with the exception of the single audit report, IRS Form 990 and Pension Form 5500.**

Funding decisions will be based on such factors as the scope and quality of the proposal and appropriateness and reasonableness of the budget. The Review Committee will also be looking for evidence of cultural competence in each section of the narrative. The Review Committee may choose to visit any applicants' existing program(s) and/or review any programmatic or fiscal documents in the possession of DMHAS. Any disciplinary action in the past must be revealed and fully explained. The number of points after each heading shows the maximum number of points the Review Committee members may assign to that category. Although scoring weights are not assigned to individual bullets, each bullet is assessed in deriving the overall Section score.

Understanding of the Project – 10 points

1. How well has the applicant demonstrated a thorough understanding of the purpose and scope of the Regional Coalitions to deliver Environmental Prevention Programs and Strategies?
2. How well has the applicant identified pertinent issues and potential problems related to providing comprehensive training and orientation or evaluation support to seventeen regional coalitions?
3. To what degree has the applicant demonstrated an understanding of the deliverables the state expects it to provide?
4. Has the applicant demonstrated an understanding of the state's time schedule and can meet it?

Methodology Used for the Project – 20 points

1. How comprehensive is the proposed training and technical assistance or evaluation methodology and does it depict a logical approach to fulfilling the requirements of the RFP?
2. How well does the methodology match and achieve the objectives set out in the RFP?
3. Does the methodology include a detailed timeline describing major activities and the staff person assigned to each to meet each objective set out in the RFP?

Management Plan for the Project - 20 points

1. How well does the management plan support all of the project requirements and logically lead to the deliverables required in the RFP?
2. How well is accountability completely and clearly defined?
3. Is the organization of the project team clear, illustrating the lines of authority and communication? Has the applicant provided an organizational chart?
4. To what extent does the applicant already have the hardware, software, equipment, and licenses necessary to perform the contract?
5. Provide evidence to demonstrate that the applicant can meet the schedule set out in the RFP?
6. To what degree is the proposed program of training and technical assistance or evaluation support practical and feasible?

Experience and Qualifications - 30 points

1. How extensive is the addictions/prevention/public health background of individuals that would be assigned to the project? Does staff or subcontractors have experience in substance abuse prevention in community, school, and health care settings, including policy campaigns?
2. How extensive is the experience of the individuals assigned to the project in terms of providing support or evaluation support to entities on a regional basis in a public health program?
3. How extensive is the experience of the individuals assigned to the project in providing training or technical assistance related to cultural and linguistic competence?
4. How extensive is the experience of the individuals assigned to the project in providing training or evaluation support to entities on a regional basis?
5. How extensive is the experience of the individuals assigned to the project in working with communities to form community alliances or coalitions?
6. How extensive is the experience of the individuals assigned to the project in conference planning, administrative support, or evaluation support?
7. Are resumes complete and do they demonstrate backgrounds that would be desirable for individuals engaged in the work the RFP requires?
8. How extensive is the applicable education and experience of the personnel designated to work on the project?

Questions regarding the firm, inclusive of all related subcontracted agencies, if applicable:

1. Has the firm or individual demonstrated experience in completing similar projects on time and within budget?
2. Has the firm or individual provided letters of support or references from previous clients?
3. If currently funded by DMHAS, has any disciplinary action been taken against your agency in the past five years? If so, please explain and include documentation as an Appendix. Has your agency ever been debarred by any State, Federal or local government agency? If so, please explain and include documentation as an Appendix. Describe any active litigation in which your agency is involved. Also, describe any pending litigation of which your agency has been notified.

4. Provide a list of your board members, their professional licenses and their organizational affiliations. Specifically identify whether any board member is also an employee of the agency applying for this funding or an employee of a Parent company affiliated with the applicant agency (if applicable). Indicate if the Board of Directors votes on items relating to DMHAS contracts.
5. Provide a list of names of your consultants or the consultants that your agency plans on utilizing for this RFP, including their professional licenses and organizational affiliations. Identify whether any of these consultants are also board members and identify any reimbursement the member received as a board member over the last 12 months. Indicate which of these members are voting members.
6. Identify and submit all related party transactions including related principal staff as well as professional affiliation agreements (see Annex B-Schedule 4 at the end of this RFP).

Budget Requirements – 20 points

1. What is your capability of doing financial reports and the frequency? (i.e. what software programs are you utilizing for financial reporting?). To whom do you report externally using electronic media? How often (i.e. quarterly, monthly)? Do you file any external monthly or quarterly expenditure reports electronically? Do you bill Medicaid? List all of the agencies that you bill electronically.
2. Do any of your current and/or former paid employees and/or board members actively participate in lobbying activities? If so, please identify and detail any of the costs allocated to any of your state contracts? If your agency has any paid registered lobbyists, identify and detail any of the costs allocated to your budget proposal.
3. Does your agency have a line of credit? If so, what is the amount of your agency's line of credit? Who is the lender(s) who provides the line of credit? If an amount was borrowed, what was the reason; and, list month by month, for the last 12 months of credit utilization. Is it expected to continue over the next 12 months? Please explain.
4. Are there any audits, other than the required single audit, pending or in progress? Who requested the audit? What is the firm's name and telephone number? What type of audit is this?

In addition to answering the above questions in this section, applicants must provide a one-year budget and budget justification based on the responsibilities and deliverables outlined in this RFP. Please include (as part of this budget) a narrative justification for each budget category.

In addition, the following must be submitted as required documentation:

1. A general operating budget utilizing DHS forms and Schedules, found in the Application for Contract Funds;
2. Overall agency or organization budget;
3. Annual budget for this contract;
4. Detail initial start-up costs associated with this contract; and
5. Cost allocation plan with appropriate statistics and basis (not required for construction or renovation contracts).

Required Documentation

Applicants responding to this RFP shall submit their proposal organized in the following manner:

Part I:

1. Cover letter of transmittal signed by CEO or Agency/Organization Director
2. Abstract that provides a one (1) page summary the technical assistance program or evaluation support services described in the proposal including the overall funding request
3. Narrative in response to the RFP
4. Application for Contract Funds (including 2 original signed Standard Language Documents)
5. A description of experience in providing training and technical assistance or evaluation support to other projects of this nature and scope
6. A detailed description of and rationale for the types of training and technical assistance or evaluation support that would be beneficial to a new or emerging regionally-based substance abuse prevention coalition
7. List of references with contact information, including a self disclosed list of any relationship to a DMHAS substance abuse prevention, treatment or recovery agency
8. An example of logic models created for other projects
9. A project budget
10. A writing sample or report provided to a previous client
11. Board Resolution Validation Form
12. Two (2) original signed Standard Language Documents

Part II - Appendices to augment and support your proposal:

1. Agency Information:
 - a. Agency mission statement;
 - b. Organizational chart;
 - c. Job descriptions of key personnel;
 - d. Resumes of key personnel if on staff, limited to 2 pages each;
 - e. Copy of any licenses/credentials/degrees pertinent to this scope of work
 - f. Current salary ranges, if not included in the job descriptions;
 - g. Copy of a Certificate of Incorporation and Business Registration;
 - h. Evidence of the applicant's nonprofit status under federal IRS regulations;

- i. Affirmative Action Certificate of Employee Information Report and /or newly completed AA 302 form;
 - j. Department of Human Services Statement of Assurances (Attached to the RFP);
 - k. Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Lower Tier Covered Transactions (Attached to the RFP);
 - l. Copy of the Annual Report-Charitable Organization (for information visit: http://www.state.nj.us/treasury/revenue/dcr/programs/ann_rpt.shtml); and
 - m. Documentation of agency's prior disciplinary action, if any.
2. Agency Policies:
- a. Copy of agency code of ethics and/or conflict of interest policy ;
3. Letters of Support/Affiliation Agreements;
4. Fiscal Documentation:
- a. Completed contract application, including the following to be completed using the budget forms located in the Application for Contract Funds:
 - i. List of current members of the Board of Directors and officers, including their titles and terms of service;
 - ii. Budget for initial 12-month period of the contract that should clearly delineate initial and operational costs for the period;
 - iii. Annualized budget for the operational cost associated with the second 12-month period; and
 - iv. Overall agency budget with cost allocation plan with appropriate statistics and basis.
 - b. List of all contracts and grants to be awarded to the agency by the Federal, State, local government or a private agency during the contract term, including awarding agency name, amount, period of performance, and purpose of the contract/grant, as well as a contact name for each award and the phone number;
 - c. List of the names and addresses of those entities providing support and/or money to help fund the program for which the proposal is being made, including the funding amount;
 - d. N.J.S.A. 52:34-13-2 Source Disclosure Certification Form (replaces Executive Order 129 form);
 - e. Schedule 4 (Attached to the RFP);
 - f. Most recent and previous single audit report (A133) or certified statements (submit only two copies);
 - g. Any other audits performed in the last two years (submit only two copies);
 - h. If there are any audits pending or in progress, list the firm completing this audit(s), contact name and telephone number; and
 - i. Most recent IRS Form 990/IRS Form 1120, and Pension Form 5500, if applicable (submit only two copies).

Review and Award Information

A) Schedule

The following summarizes the application schedule:

August 8, 2011	Notice of Availability of Funds
August 19, 2011	Mandatory Bidders' Conference/Training and Technical Assistance meeting
September 26, 2011	Deadline for receipt of proposals - no later than 5:00 p.m.
October 31, 2011	Award announcement
January 1, 2012	Anticipated award start date

B) Screening for Eligibility, Conformity and Completeness

DMHAS staff will screen proposals for eligibility and conformity with the specifications in this RFP. The initial screen will be conducted to determine whether or not the proposal is eligible for review. To be eligible for review by the Committee, staff will verify with the proper authority and through a preliminary review of the proposal that:

1. the applicant is not debarred or suspended by DHS or any other State or Federal entity from receiving funding;
2. the applicant is an incorporated nonprofit organization;
3. all outstanding PoC's have been submitted to DMHAS, if applicable; and
4. Board requirements have been met.

Those proposals that fail this eligibility screen will not be reviewed. Those proposals found eligible for review will be distributed to the Review Committee as described below.

C) Review Committee

DMHAS will convene a committee consisting of public employees who will conduct a review of each proposal accepted for review, in accordance with the review criteria. Committee members may be unfamiliar with some or all of the applicants. Members may review any documentation available onsite at DMHAS to aid in the review, as well as request a site visit of any applicants proposed contract location or clarification regarding the submitted proposal. All potential reviewers will complete conflict of interest forms. Those with conflicts or the appearance of conflicts will be disqualified from participating in the review.

The Review Committee will score proposals and recommend for funding in the priority order of the scores (highest score = most highly recommended). A minimum score of 70 must be achieved in order to be considered for funding.

D) Funding Recommendations

The Chair of the Review Committee will convey the recommendations to the Assistant Commissioner or Deputy Director of DMHAS who will make the final decision on the award.

Applicants are advised that awards may be made conditional upon changes suggested by the Review Committee and/or DMHAS staff. The requested changes, along with their requested implementation dates, will be communicated to the prospective awardees prior to award.

Post Award Requirements

A) Documentation

Upon award announcement, the successful applicant must submit one (1) copy of the following documentation (if not already submitted with the proposal) in order to process the contract in a timely manner:

1. Proof of insurance naming the State of New Jersey, Department of Human Services, Division of Mental Health and Addiction Services, PO Box 362, Trenton, NJ 08625-0362 as an additional insured;
2. Board Resolution authorizing who is approved for entering into a contract and signing related contract documents;
3. Two (2) signed originals of the Department of Human Services Standard Language Document;
4. Current Agency By-laws;
5. Current Personnel Manual or Employee Handbook;
6. Copy of Lease or Mortgage;
7. Certificate of Incorporation;
8. Conflict of Interest Policy;
9. Affirmative Action Policy;
10. Affirmative Action Certificate of Employee Information Report and/or newly completed AA 302 form (AA Certificate must be submitted within 60 days of submitting completed AA302 form to Office of Contract Compliance);
11. A copy of all applicable licenses;
12. Local Certificates of Occupancy;
13. Most recent State of New Jersey Business Registration;
14. Procurement Policy;
15. Current Equipment inventory of items purchased with DHS funds (Note: the inventory shall include: a description of the item, a State identifying number or code, original date of purchase, date of receipt, location at the Provider Agency, person(s) assigned to the equipment, etc.);
16. All Subcontracts or Consultant Agreements, related to the DHS Contracts, signed and dated by both parties;

17. Business Associate Agreement (BAA) for Health Insurance Portability Accountability Act of 1996 compliance, if applicable, signed and dated;
18. Updated single audit report (A133) or certified statements, if differs from one submitted with proposal;
19. Updated IRS Form 990, if differs from one submitted with proposal;
20. Updated Pension Form 5500, if applicable, if differs from one submitted with proposal;
21. Copy of Annual Report;
22. N.J.S.A. 52:34-13.2 Source Disclosure Certification form (replaces Executive Order 129 compliance forms);
23. Department of Human Services Statement of Assurances (attached to the RFP); and
24. Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Lower Tier Covered Transactions (attached to the RFP).

B) Award Requirements

Awardees must adhere to the following:

1. Enter into a contract with DMHAS and comply with applicable DHS and DMHAS contracting rules and regulations;
2. Comply with all applicable State and Federal assurances, certifications and regulations regarding the use of these funds;
3. Inform the Program Management Officer of any publications/publicity based on the award;
4. Comply with all appropriate State licensure regulations; and
5. Comply with the Americans with Disabilities Act requirements.

C) Other Information

1. DMHAS may provide post contract support to awardee through technical assistance; and
2. DMHAS Program Management Officers will conduct site visits to monitor the progress in accomplishing responsibilities and corresponding strategy for overcoming these problems. An awardee's failure to comply with reporting requirements may result in loss of the contract. The awardee will receive a written report of the site visit findings and will be expected to submit a plan of correction.

**STATE OF NEW JERSEY
DEPARTMENT OF HUMAN SERVICES**

**ADDENDUM TO REQUEST FOR PROPOSAL
FOR SOCIAL SERVICE AND TRAINING CONTRACTS**

Executive Order No. 189 establishes the expected standard of responsibility for all parties that enter into a contract with the State of New Jersey. All such parties must meet a standard of responsibility which assures the State and its citizens that such parties will compete and perform honestly in their dealings with the State and avoid conflicts of interest.

As used in this document "provider agency" or "provider" means any person, firm, corporation, or other entity or representative or employee thereof which offers or proposes to provide goods or services to or performs any contract for the Department of Human Services.

In compliance with Paragraph 3 of Executive Order No. 189, no provider agency shall pay, offer to pay, or agree to pay, either directly or indirectly, any fee, commission, compensation, gift, gratuity, or other thing of value of any kind to any State officer or employee or special State officer or employee, as defined by N.J.S.A. 52:13D-13b and e, in the Department of the Treasury or any other agency with which such provider agency transacts or offers or proposes to transact business, or to any member of the immediate family, as defined by N.J.S.A. 52:13D-13i, of any such officer or employee, or any partnership, firm, or corporation with which they are employed or associated, or in which such officer or employee has an interest within the meaning of N.J.S.A. 52:13D-13g.

The solicitation of any fee, commission, compensation, gift, gratuity or other thing of value by any State officer or employee or special State officer or employee from any provider agency shall be reported in writing forthwith by the provider agency to the Attorney General and the Executive Commission on Ethical Standards.

No provider agency may, directly or indirectly, undertake any private business, commercial or entrepreneurial relationship with, whether or not pursuant to employment, contract or other agreement, express or implied, or sell any interest in such provider agency to, any State officer or employee or special State officer or employee having any duties or responsibilities in connection with the purchase, acquisition or sale of any property or services by or to any State agency or any instrumentality thereof, or with any person, firm or entity with which he is employed or associated or in which he has an interest within the meaning of N.J.S.A. 52:13D-13g. Any relationships subject to this provision shall be reported in writing forthwith to the Executive Commission on Ethical Standards, which may grant a waiver of this restriction upon application of the State officer or employee or special State officer or employee upon a finding that the present or proposed relationship does not present the potential, actuality or appearance of a conflict of interest.

No provider agency shall influence, or attempt to influence or cause to be influenced, any State officer or employee or special State officer or employee in his

official capacity in any manner which might tend to impair the objectivity or independence of judgment of said officer or employee.

No provider agency shall cause or influence, or attempt to cause or influence, any State officer or employee or special State officer or employee to use, or attempt to use, his official position to secure unwarranted privileges or advantages for the provider agency or any other person.

The provisions cited above shall not be construed to prohibit a State officer or employee or special State officer or employee from receiving gifts from or contracting with provider agencies under the same terms and conditions as are offered or made available to members of the general public subject to any guidelines the Executive Commission on Ethical Standards may promulgate.

**Department of Human Services
Statement of Assurances**

As the duly authorized Chief Executive Officer/Administrator, I am aware that submission to the Department of Human Services of the accompanying application constitutes the creation of a public document and as such may be made available upon request at the completion of the RFP process. This may include the application, budget, and list of applicants (bidder's list). In addition, I certify that the applicant:

- Has legal authority to apply for the funds made available under the requirements of the RFP, and has the institutional, managerial and financial capacity (including funds sufficient to pay the non Federal/State share of project costs, as appropriate) to ensure proper planning, management and completion of the project described in this application.
- Will give the New Jersey Department of Human Services, or its authorized representatives, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with Generally Accepted Accounting Principles (GAAP). Will give proper notice to the independent auditor that DHS will rely upon the fiscal year end audit report to demonstrate compliance with the terms of the contract.
- Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain. This means that the applicant did not have any involvement in the preparation of the RFP, including development of specifications, requirements, statement of works, or the evaluation of the RFP applications/bids.
- Will comply with all federal and State statutes and regulations relating to non-discrimination. These include but are not limited to: 1.) Title VI of the Civil Rights Act of 1964 (P.L. 88-352; 34 CFR Part 100) which prohibits discrimination on the basis of race, color or national origin; 2.) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794; 34 CFR Part 104), which prohibits discrimination on the basis of handicaps and the Americans with Disabilities Act (ADA), 42 U.S.C. 12101 et. seq.; 3.) Age Discrimination Act of 1975, as amended (42 U.S.C. 6101 et. seq.; 45 CFR part 90), which prohibits discrimination on the basis of age; 4.) P.L. 2975, Chapter 127, of the State of New Jersey (N.J.S.A. 10:5-31 et. seq.) and associated executive orders pertaining to affirmative action and non-discrimination on public contracts; 5.) federal Equal Employment Opportunities Act; and 6.) Affirmative Action Requirements of PL 1975 c. 127 (NJAC 17:27).
- Will comply with all applicable federal and State laws and regulations.

- Will comply with the Davis-Bacon Act, 40 U.S.C. 276a-276a-5 (29 CFR 5.5) and the New Jersey Prevailing Wage Act, N.J.S.A. 34:11-56.27 et. seq. and all regulations pertaining thereto.
- Is in compliance, for all contracts in excess of \$100,000, with the Byrd Anti-Lobbying amendment, incorporated at Title 31 U.S.C. 1352. This certification extends to all lower tier subcontracts as well.
- Has included a statement of explanation regarding any and all involvement in any litigation, criminal or civil.
- Has signed the certification in compliance with federal Executive Orders 12549 and 12689 and State Executive Order 34 and is not presently debarred, proposed for debarment, declared ineligible, or voluntarily excluded. Will have on file signed certifications for all subcontracted funds.
- Understands that this provider agency is an independent, private employer with all the rights and obligations of such, and is not a political subdivision of the Department of Human Services.
- Understands that unresolved monies owed the Department and/or the State of New Jersey may preclude the receipt of this award.

Applicant Organization

Signature: Chief Executive Officer or Equivalent

Date

Typed Name and Title

6/97

READ THE ATTACHED INSTRUCTIONS BEFORE SIGNING THIS CERTIFICATION.
THE INSTRUCTIONS ARE AN INTEGRAL PART OF THE CERTIFICATION.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion
Lower Tier Covered Transactions

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 an 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.

Name and Title of Authorized Representative

Signature

Date

This certification is required by the regulations implementing Executive order 12549, Debarment and Suspension, 29 CFR Part 98, Section 98.510

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion
Lower Tier Covered Transactions

Instructions for Certification

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 facts 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 person to which this proposal is submitted 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 the person to which this proposal is submitted 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.

Attachment D

Schedule 4: Related Organization

Report on this schedule any budgeted or actual purchases from related organizations. A related organization is one under which one party is able to control or influence substantially the actions of the other. Such relationships include but are not limited to those between (1) divisions of an organization; (2) organizations under common control through common officers, directors, or members, and (3) an organization and a director, trustee, officer, or key employee or his/her immediate family, either directly or through corporations, trusts, or similar arrangements in which they hold a controlling interest.

Costs of services, facilities, and supplies furnished by organizations related to the provider agency must not exceed the competitive price of comparable services, facilities, or supplies purchased elsewhere.

HAMILTON TECHNOLOGY CENTER AUDITORIUM

1200 Negrón Drive
Hamilton, NJ 08691
(609) 584-5051

FROM THE NEW JERSEY TURNPIKE:

- Take Exit 7A, and proceed west on I-195.
- Take Exit 5A (RT 130 south) to the Horizon Blvd. exit on the right @ first traffic light.
- Turn right on Horizon Blvd. and proceed to stop sign. The Technology Center will be in front of you.
- Make a left turn and the first right turn in front of the complex, which will be on your right on Negrón Drive.
- For Auditorium parking, once you have made the right turn onto Negrón Drive, proceed straight to the north side of the Center, passing the Center and making a right between the Center and the NJSP Communications Center, entering the Auditorium parking area.

FROM THE PARKWAY:

- Take the Parkway to Exit 98 and proceed west on I-195.
- Take Exit 5A (RT 130 south) to the Horizon Blvd. exit on the right @ first traffic light.
- Follow directions above under from the NJ Turnpike

FROM TRENTON:

- Take Rt. 29 South to I-195 East.
- Take Exit 5A (RT 130 south) to the Horizon Blvd. exit on the right @ first traffic light.
- Follow directions above under from the NJ Turnpike

FROM ROUTE 1:

- Take Rt. 1 to I-295 South.
- Take I-195 East (Shore Points)
- Take Exit 5A (RT 130 south) to the Horizon Blvd. exit on the right @ traffic light.
- Follow directions above under from the NJ Turnpike

Standards for Agencies Providing Substance Abuse Prevention Services for the DMHAS

Revised June 2011

FORWARD

This document outlines program requirements for agencies providing substance abuse prevention services for the Department of Human Services (DHS), Division of Mental Health and Addiction Services (DMHAS). This document supplements requirements specified in each contractees "State of New Jersey Department of Human Services Standard Language Document for Social Service and Training Contracts".

The Office of Prevention is a unit of DMHAS within DHS. It is responsible for the administration of the Substance Abuse Prevention and Treatment (SAPT) Federal Block Grant and Strategic Prevention Framework funds. This office maintains a staff of Program Officers who interact with and monitor all contractees to ensure their compliance with all program requirements.

Questions regarding the content of this document may be directed to:

Dr. Donald Hallcom
Addiction Services
New Jersey State Department of Human Services
P.O. Box 362
Trenton, New Jersey 08625-0362
(609) 292-4414
FAX (609) 292-1045

SECTION I - PURPOSE

The purpose of this document is to outline the operational requirements for all agencies that receive DAS Provider Service Contracts for substance abuse prevention. These formal statements are the minimum standards to which the providers must adhere in order to provide quality prevention services to their clients and to meet their contract requirements.

Prevention contracts are intended to promote efforts that increase protective and resiliency factors at the individual, family, and community level to prevent the illegal use or abuse of alcohol, tobacco, and other substances by New Jersey's citizens of all ages.

NOTE: For purposes of this document, the words "guidelines" and "standards" are interchangeable.

SECTION II - FACILITY and OPERATIONAL REQUIREMENTS

A. Location

Every prevention program must have an identifiable physical location/facility, evidenced by a street address, from which client and/or administrative services are provided. This is required regardless of whether it is a free-standing program or a program within a multi-purpose organization. The name of the agency must be on a sign or directory visible to the public from outside the building or within a public access reception area.

B. Legal Status

The agency/coalition (or its fiscal sponsor) must be county or other local government, a hospital, free standing clinic, or a public or incorporated non-profit organization which meets the Internal Revenue Service Code Section 501(c) 3.

C. Hours of Operation/Telephone

Each prevention agency/coalition must establish and post in a visible public place, and in the agency, the agency's regular hours of operation as well as communicate this availability to the community in its promotional literature. The agency/coalition must be available by phone during these hours. All contracts are to operate throughout the year. Closure of the operation for "breaks" is not permitted.

D. Accessibility

Each program should be accessible to persons with disabilities and must comply with the requirements of The Americans with Disabilities Act (ADA).

E. Adherence to Codes

Each program must adhere to local and state health and safety codes. If the facility is not a licensed health care facility, it must meet or exceed all fire, building and safety codes of the municipality in which it is situated. Current and valid certificates from the local government shall be on file and available for inspection.

F. Supplies

Appropriate and adequate supplies and equipment should be available to the staff to carry out the mission of the agency.

SECTION III - STAFFING AND RELATED PERSONNEL POLICIES

A. Office of the Director

Every prevention program must have one (1) person identified as the Director who has at least a Bachelor's degree from an approved institution, in a health, education, psychology, science, or human service field, and two (2) years of experience in program administration.

B. Prevention Specialist Qualifications

Prevention programs must have on staff, a Certified Prevention Specialist (CPS), (see Note below). A CPS will be responsible to supervise all program activities provided through this contract including the design and implementation of prevention services.

The qualifications for a CPS may be obtained by calling the Addiction Professionals Certification Board of New Jersey, Inc. at 4 Cornwall Drive, Suite 103, East Brunswick, New Jersey 08816, (Phone: #732-390-5900 or 1-800-325-7979 – Fax: 732-257-6070).

Note: If the program does not employ a CPS, the agency will be required to hire or contract with an individual who possesses a CPS or:

- (1) an individual who has completed a majority of course work (minimum of 100 hours) toward their CPS Certification and is scheduled to take the national examination for CPS; or
- (2) a Certified Health Education Specialist (CHES), who has completed, or is in the process of completing fifty (50) hours of training in substance abuse and who has committed to taking the national examination for Certified Prevention Specialists upon completion of fifty (50) hours of training in substance abuse. Inquiries regarding the Certified Health Education Specialist may be directed to the Commission for Health Education Credentials, (Phone number: 1-800-624-3248), or

- (3) A Masters or Doctoral-level administrator or clinician with a minimum of three (3) years full-time experience in the field of substance abuse prevention.

C. Administrative Support

A prevention program must have a staff which devotes adequate time to ensure full competency in all administrative requirements of the program. At a minimum, the administrative staffing pattern should include a Program Director and an Accountant/Bookkeeper.

A Bookkeeper must have a High School Diploma and formal training in bookkeeping and accounting principles and/or successful experience as a bookkeeper. Successful experience will be determined by DAS.

D. Table of Organization/Job Descriptions

Each prevention agency/coalition must have on file a table of organization which reflects how the agency/coalition is structured to deliver its services and lines of authority among its staff or members. Written descriptions of duties, responsibilities and credentials are required for all jobs.

According to budget criteria, staff working on substance abuse prevention contracts must spend a minimum of 60% of their time providing direct services.

E. Staff Development Plan and Continuing Education

Every prevention program must have in place a staff development plan to ensure that each staff member has knowledge and skills in the prevention field. The agency shall have written policies regarding a plan for continuing education of its staff. Such policies shall include support for attendance at conferences and symposia and similar activities which foster obtaining or maintaining prevention credentials. Educational/training opportunities shall be not less than twenty-eight (28) hours per year for each professional full-time employee.

F. Personnel Policies and Procedures

Each agency/coalition (or its fiscal sponsor) shall have on file a policy and procedure manual that includes but is not limited to the following items:

- staff hiring procedures
- orientation protocols
- sick and vacation time policies
- staff evaluation procedures
- determination procedures
- fiscal controls
- conflict of interest policies

- hiring of consultants
- confidentiality of records assurance (see Attachment 3: Confidentiality of Drug and Alcohol Patient Information 42 U.S.C. 290dd-2, 42 C.F.R. Part 2)

SECTION IV - ADMINISTRATIVE REQUIREMENTS

A. Administration

The administration of the agency/coalition (or its fiscal sponsor) shall provide the staff with facilities, equipment and supplies needed to implement the prevention program in an efficient, economical and effective manner.

B. Administrative Policies and Procedures

Every program shall have written policies and procedures on file for the use of vehicles which documents mileage, purpose and driver; purchase of equipment; leasing of equipment and facilities; rentals; inventory controls; fees for services; and medical emergencies. Policies and procedures are required to address justification of expenditures and the personnel authorized to approve both programmatic and fiscal needs.

C. Criteria for Board of Directors

The agency or fiscal sponsor shall have a Board of Directors which shall assume legal responsibility for the management, operation, and financial viability of the agency. The Board of Directors shall be responsible for, but not limited to, the following:

1. Services provided and the quality of care rendered to participants.
2. Provision of a safe physical plant, equipped and staffed to maintain the agency and services.
3. Adoption and documented review of written by-laws, or their equivalent, in accordance with a schedule established by the Board of Directors.
4. Ensuring development and review of all policies and procedures in accordance with a schedule established by the Board of Directors.
5. Determination of the frequency of meetings of the Board of Directors and its committees, or equivalent; conducting such meetings, and documenting them through minutes.
6. Delineation of the duties of the officers of any committees, or equivalent, of the Board of Directors. When the governing authority establishes committees, their purpose, structure, responsibilities, and authority, and

the relationship of the committee to other entities within the facility, shall be documented.

7. Establishment of the qualifications of members and officers of the Board of Directors, the procedures for electing and appointing officers, and the terms of service for members, officers, and committee chairpersons or equivalent.

D. Administrative Records

Each program shall maintain files that include but are not limited to: service grants and/or contracts for services from any source; insurance policies; certificates of need where applicable; rental agreements; and personnel records.

E. Property

Accurate property records, inventory control and maintenance for equipment and for all other non-expendable (non-consumable) personal property acquired under the contract must be maintained. Property records must provide a description of the property, identification number, date of acquisition, cost, present location and/or disposition of property. A physical inventory of non-expendable personal property must be taken and the results reconciled with the property records at least once every two (2) years to verify the existence, current utilization and continued need for the property. A control system must be in effect to ensure adequate safeguards to prevent loss. Damage or theft must be investigated and fully documented.

F. Client and Programmatic Records

Each program shall maintain records that document the delivery of services including the place, date, number of participants, the prevention strategies and activities that were utilized, and outcome related comments. When appropriate, (i.e., in events that employ CSAP strategies other than pure information in large events such as assemblies), the program shall also maintain records indicating the names of the participants, their ages, attendance records and other pertinent information.

G. Confidentiality

The program must have and enforce procedures protecting the confidentiality of participant information.

H. Smoke-Free Environment

- a. In accordance with the Synar Amendment (P.L.102, Section 321), programs shall:
 1. ensure that all primary prevention activities will be conducted in a smoke-free environment; and

2. ensure that individuals under eighteen (18) years of age are not being permitted to smoke in any part of the agency or its premises.
- b. In accordance with the Pro-Children's Act of 1994 (P.L. 103-227), no smoking will be permitted in any portion of any indoor facility owned, leased, or contracted for by an entity and used routinely or regularly for the provision of health, day care, early childhood development services, education or library services for children under eighteen (18) years of age.

I. Lavatory Facilities

Lavatory facilities with sinks shall be available on premises.

J. Insurance

The agency/coalition (or its fiscal sponsor) is required to have sufficient fire and theft insurance to cover the fair market value of the equipment and building occupied by the agency.

K. Affirmative Action

The agency/coalition (or its fiscal sponsor) is required to have a formal non-discrimination policy and to have and enforce an affirmative action plan.

L. Fiscal Control

The agency/coalition (or its fiscal sponsor) has adequate internal controls, management and administrative procedures and qualified personnel to assure the appropriate use and accounting for all the resources of the agency. Further, the agency must have not less than one (1) annual audit by an approved public accountant, as required in the DHS Contract Manual, Terms and Conditions, and Federal Office of Management and Budget, Cost Principals.

M. Other General State Requirements

1. Political Activity
Federal funds cannot be used for partisan political activity of any kind by any person or organization involved in the administration of federally-assisted programs. Hatch Act (5 U.S.C. 1501-1508) and Intergovernmental Personnel Act of 1970 as amended by Title VI of Civil Service Reform Act (P.L. 95-454 Section 4728).
2. Davis-Bacon Act
When required by the Federal grant program legislation, all laborers and mechanics employed by contractors or subcontractors to work on construction projects financed by Federal assistance must be paid wages

not less than those established for the locality of the project by the Secretary of Labor (40 Stat. 1494, Mar. 3, 1921, Chap. 411, 40 U.S.C. 276 A-5).

3. **Civil Rights**
No person shall, on the ground of sex, race, color, national origin, age, or disability, be excluded from participation in or be subjected to discrimination in any program or activity funded, in whole or in part, by Federal funds. Discrimination on the basis of sex or religion is also prohibited in some Federal programs. (Age-42 U.S.C. 6101, et. seq.; Race-42 U.S.C. 2000d; Handicap-29 U.S.C. 794).

SECTION V- PROGRAMMATIC REQUIREMENTS

A. Mission Statement

Each agency/coalition that provides substance abuse prevention services must have a written mission statement on file, as well as a summary of its overall goals and services to fulfill this mission.

B. Cultural Sensitivity

Services for clients must be culturally sensitive, and delivered by competent personnel in the language of the clients, when feasible.