



New York State
Office of Alcoholism & Substance Abuse Services
Addiction Services for Prevention, Treatment, Recovery

**Request for Proposals to Evaluate
the New York State Strategic
Prevention Framework
State Incentive Grant Project:
*Prevention First-NY!***

January 19, 2010

David A. Paterson, Governor
Karen M. Carpenter-Palumbo, Commissioner

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Dear Colleague:

I am pleased to notify you that the New York State Office of Alcoholism and Substance Abuse Services (OASAS), through the New York State Research Foundation for Mental Hygiene, Inc. (RFMH), will contract for the evaluation of its recently funded federal State Incentive Grant for the enhancement of its Strategic Prevention Framework.

Prevention First-NY! aims to build a sustainable prevention infrastructure by capitalizing on New York State's evidence-based, risk and protective factor-focused prevention framework, incorporating all five stages of the federal Strategic Prevention Framework (SPF) to reduce substance abuse and increase capacity across the state. This will be achieved through coalition development, community needs assessments, strategic planning, training in targeted evidence-based prevention and the utilization of OASAS Prevention Resource Centers. Ten local sub-recipient grants will be awarded to communities in the 20 counties with the highest documented needs and risk factors. The Statewide Evaluation Contractor will work closely with data coordinators in each sub-recipient community. The diverse evaluation design will include the synthesis, analysis and reporting of comprehensive process and outcome data to state and federal audiences.

OASAS will award \$479,475 to evaluate this project over a period from March 1, 2010 to June 30, 2014. Annual compensation will be pro-rated based on the relative workload, and the successful applicant must be able to absorb travel, supply and equipment, personnel and any other overhead costs. These costs are chargeable against the total award.

The selected evaluation contractor will be required to participate in, and provide, trainings and technical assistance as well as attend required federal meetings. While the attached RFP provides specific guidelines for basic methodologies and deliverables, applicants should communicate their own concepts of how they would structure evaluation services within the defined scope of work.

Completed applications and required supporting documents must be received no later than 5 p.m. on **February 16, 2010**. Contact information and other details about the process are described in the RFP.

Thank you for your interest in working with OASAS in this important endeavor.

Sincerely,

Karen Carpenter-Palumbo
Commissioner

TIMELINE FOR EVALUATION CONTRACTING

<i>Initial Posting of Bid (RFP)</i>	January 19, 2010
<i>Deadline for bidders' questions</i>	January 27, 2010
<i>Bidders' Conference</i>	January 29, 2010
<i>Responses to questions posted</i>	February 2, 2010
<i>Deadline for proposal submission</i>	February 16, 2010
<i>Review period ends</i>	February 23, 2010
<i>Projected selection date</i>	February 25, 2010
<i>Contract start date</i>	March 1, 2010

Bidders' Conference:

A Bidders' Conference will be held on January 29, 2010 from 1 to 3 p.m. in conference room 2a at OASAS' main offices, located at 1450 Western Avenue, Albany, New York 12203. Attendance is not mandatory. Bidders may participate by telephone or video conference at that time, and advance information will be posted and linked to the RFP posting on the OASAS web site with specific instructions. Instructions will be directly emailed to all those who submit questions. To confirm your attendance, please contact Eric Habel at 518-457-5990 or EricHabel@oasas.state.ny.us by January 27, 2010.

Inquiries Related to the RFP:

Any questions or requests for clarification about this RFP must be submitted in writing by 5 p.m. on January 27, 2010 and must be directed to:

Eric Habel
NYS OASAS
1450 Western Avenue
Albany, New York 12203-3526
FAX (518) 485-5228
EricHabel@oasas.state.ny.us

All inquiries must be typed and include your name, organization, mailing address, email address and fax number. Please reference the **NYS SPF SIG Evaluation RFP** in your mail. To the degree possible, each inquiry should cite the RFP section to which it refers. Inquiries may be submitted only by mail, email or facsimile. OASAS will not entertain inquiries via telephone, made to anyone other than Eric Habel or received after the deadline date. Inquiries will not be answered on an individual basis. Written responses to inquiries submitted by the deadline date and all questions asked at the Bidders' Conference will be posted on www.oasas.state.ny.us on or about February 2, 2010.

PURPOSE OF THE REQUEST FOR PROPOSALS

The purpose of this RFP is to solicit proposals for the conduct of a multi-year evaluation study of New York State's Strategic Prevention Framework (SPF) State Incentive Grant (SIG), *Prevention First-NY!*, that was awarded to the Research Foundation for Mental Hygiene (RFMH) at the New York State Office of Alcoholism and Substance Abuse Services (OASAS) by the federal Substance Abuse and Mental Health Services Administration/ Center for Substance Abuse Prevention (SAMHSA/ CSAP). Under Cohort IV of the grant program, the funding cycle is projected to last from July 1, 2009 through June 30, 2014. The evaluation contractor will be hired through RFMH and will operate within RFMH guidelines for independent contractors in all aspects of the project to include purchasing, hiring and travel.

New York's SPF SIG, *Prevention First-NY!*, aims to build a sustainable prevention infrastructure to reduce substance abuse by building prevention capacity across the state through coalition development, community needs assessment, strategic planning, training in targeted evidence-based prevention and the utilization of the OASAS Prevention Resource Centers, incorporating the five steps of the Federal SPF. The SPF model is used to create focus and expertise in each of its steps which include: assessment, capacity, planning, implementation, and, evaluation. The SPF also promotes cultural competence-related activities and sustainability. The proposed activities and development strategies will help move New York's prevention system and communities to implement more evidence-based practices (EBPs) and policies that bring about population level change. Ten local sub-recipient grants will be awarded to communities that are selected from the 20 counties with the highest documented needs and risk factors, as determined by the New York State Epidemiology Outcomes Workgroup (SEOW). Communities are defined functionally by geographic boundaries and/or shared social/demographic characteristics. These 10 selected communities will have established coalitions with a capacity to replicate the SPF model. The coalitions will include active support by members of 12 key segments of the communities they serve: youth and/or young adults; parents; the business community; media; schools; youth service organizations; law enforcement; religious or fraternal organizations; civic or volunteer groups; health care professionals; governmental or tribal agencies with expertise in the substance abuse field; and other organizations involved in reducing substance abuse.

The Statewide Evaluation Contractor will work closely with data coordinators in each sub-recipient community, to include the provision of training and technical assistance in methodological areas. The diverse evaluation design will include the synthesis, analysis and reporting of comprehensive process and outcome data to state and federal audiences.

Evaluation capacity will be built through training and implementation focused on a series of methodologies, instruments and data systems. Community data coordinators will be competent in basic data collection methods to support the coalitions. They will be trained to contribute community needs assessment and process/outcome data to the state-level evaluation by the evaluation contractor, supervised by designated OASAS staff. Evaluation activities throughout the project will aim to provide an objective assessment of the efficacy of New York's SPF SIG model and its potential for future replication.

Purpose of the Evaluation Component

The Statewide evaluation study will provide key audiences and decision makers, including OASAS, community partners, advisory groups and SAMHSA/CSAP with a thorough assessment of the efficacy of the *Prevention First-NY!* collaborative agreement and its goals and objectives. Data will have utility for both formative evaluation (enabling mid-course adjustments) and summative evaluation (assessing success the end of the project cycle).

In accordance with the programmatic emphasis, evaluative data will focus on the implementation of evidence based practices (EBP) at the community level through a series of environmental strategies. Process evaluation will address the dynamics of capacity building and associated issues. Outcome evaluation will be guided by designated National Outcome Measures to be identified by needs assessments within communities.

AVAILABLE FUNDING

A total of \$479,475 is available from implementation of the evaluation contract to the completion of the grant cycle, March 1, 2010 to June 30, 2014. These funds will be disbursed in pro-rated increments based on the evaluation contractor's negotiated and approved scope of work and budget details. Budget years for the evaluation will range from March 1 to February 28, with the period after March 1, 2014 designated for final reporting.

PROPOSAL INSTRUCTIONS

Submission Requirements and Deadline:

All components should be complete, orderly and presented according to specification; text should be 12 pt. Times New Roman with 1 inch margins.

Applicants must submit an original application and three copies, using the format and forms referenced in this RFP, and consisting of the following:

- 1) proposal face sheet;
- 2) proposal checklist;
- 3) table of contents;
- 4) executive summary;

- 5) an organizational overview including staffing structure;
- 6) narrative describing capacity for proposed evaluation plan, with examples of relevant work, to include a prevention multi-site evaluation MOU and report;
- 7) detailed work plan with timeline for addressing evaluation deliverables;
- 8) staff list for project participation to include resumes;
- 9) budget summary to include revenue and expense plan;
- 10) three references from former customers;
- 11) verification of comprehensive general liability insurance; and
- 12) any miscellaneous items pertinent to, and within the scope, of the application

The entire application must be sent to the following address in an envelope marked “SPF SIG Evaluation Proposal”:

NYS Office of Alcoholism and Substance Abuse Services
 1450 Western Avenue
 Albany, New York 12203-3526
 Attn: Sarah Dakin, Ph.D., SPF SIG Project Director

All applications must be received by 5 p.m. on February 16, 2010

Review and Rating Criteria

A panel appointed by OASAS will objectively review all proposals. OASAS reserves the right to accept or reject any proposals and to make any final decisions based on availability of funds, geographic distribution of services, prior contract performance (if any) and other priorities.

Following is the scoring breakdown of required proposal components:

- a) **Face sheet, checklist, table of contents, organization chart/structure, references, insurance verification** (all non-rated)
- b) **Executive summary** (non-rated), not to exceed two pages
- c) **Capacity** (30 points):
 Detail the applicant’s capacity to successfully complete this project, based on its mission, services, experience and methodological expertise. Provide and attach examples of relevant contractual arrangements, such as memoranda of understanding with other government agencies for the evaluation of statewide substance abuse prevention using a multi-site coalition model. Attach a copy of a related state prevention evaluation report. Include subcontractor(s) and networks to be involved in this project. Detail the qualifications of staff to be involved including resume(s).
- d) **Work plan, with milestones, deliverables and staff list.** *Rated for adequacy, reasonability and links to services (45 total points, consisting of 20 points for training/ technical assistance and 25 points for data management):*

Relate, concisely and completely, the plan for carrying out the project as well as for providing required data and reports to address all performance measures and all standards. Include the timeline. A listing of all staff to be involved should highlight their roles as well as their contributions, their work hours and their compensation. Describe how quality assurance will be maintained.

e) **Expense, revenue and budget plan** (25 points):

Describe the applicant's plan for the purpose and utilization of all funds to be provided and link these to services consistent with the scope of work. Detail a plan for in-state travel within federal guidelines (www.gsa.gov). Provide a detailed budget that addresses all of the above criteria.

MINIMUM SCOPE OF SERVICES

The evaluation contractor will execute all phases of the state evaluation plan and any subsequent modifications. SPF SIG is a cooperative agreement, and details are subject to change based on federal prerogative. While some details may be negotiable, the contractor must adhere to all key elements of the design and deliver expected products in a timely manner. No modifications may be made without specific permission from the project management team. The contractor will conduct its activities under the primary direction and oversight of the OASAS State SPF SIG Evaluation Manager.

Expertise and Qualifications:

The contractor and its designated staff will have an expertise in quantitative and qualitative research methods and will have (or acquire) a strong familiarity with the New York state prevention system, its philosophy, and its data collection components. The contractor staff will also be proficient in database and analytical software and methods that meet the data management needs of the project.

Experience in program evaluation in public sector grant settings and liaison functions with various levels of stakeholders, including government agencies, is required. Demonstrated proficiencies in the evaluation of environmental prevention strategies and measuring the impact of archival indicator data are required.

The contractor will (required steps):

- 1) Assign or hire staff to focus on this project within one month of the effective date of the contract.
- 2) New hires must have the approval of the State Evaluation Manager;
- 3) Designate a project manager as the primary point of contact with OASAS;
- 4) Insure that project staff is geographically located so that travel to OASAS and project sites is realistic and affordable;
- 5) Insure availability for close coordination with project management and site visits to funded communities and resource centers (annually, at a minimum);

- 6) Project necessary travel and other overhead costs within the contractual funding limits and submit this plan to the State Evaluation Manager;
- 7) Utilize its own office space, computer access, communications and administrative support within the scope of the evaluation project;
- 8) Adhere to ethical and professional standards in accordance with the American Evaluation Association's Guiding Principles for Evaluators (Newman, Sheirer, Shadish and Wye, 1995);
- 9) Adhere to any and all restrictions consistent with federal law governing grants.

Deliverables:

The contractor's scope of work will include but not be limited to the following:

- 1) Work with the Project Director, Project Coordinator and State Evaluation Manager to insure adherence to the evaluation design and protocol, cultural sensitivities and confidentiality regulations.
- 2) Provide liaison and methodological oversight for the work of the local data coordinators within the 10 sub-recipient communities.
- 3) Develop and pilot specific data collection instruments, to include assisting with development of the new Prevention Activities and Results Information System (PARIS) coalition module. Develop and organize databases as needed to gather relevant needs assessments not attainable from existing systems. Train community data coordinators in the use of any new data collection instruments, databases or methodologies needed to support the evaluation.
- 4) Work closely with community data coordinators, acting as a technical assistance resource.
- 5) Analyze data collected at state level as well as local data collected by the community data coordinators.
- 6) Document the participation of the Prevention Resource Centers and their training and technical assistance activities in supporting the sub-recipient communities using the PARIS coalition module.
- 7) Insure that all evaluative activities will be culturally sensitive and will aim to bridge any age, gender, cultural, racial or institutional barriers (Orlandi, 1992) through the use of appropriate communications and methodologies.
- 8) Conduct a **process evaluation** of project implementation at both the state and community levels, to answer the following **evaluation questions**:
 - a) What are the factors related to community readiness?
 - b) What are the challenges and barriers to community needs assessment and what types of needs assessments have the greatest utility?
 - c) What services are being provided, by location and cost?

- d) What are the key elements of the implementation process?
 - e) What are the levels of training and technical assistance administered to each of the 10 coalitions and how are they being applied?
 - f) Which factors are related to the successful implementation of evidence based practices?
 - g) What is the role of advisory groups in strategic planning?
 - h) Which, if any, unanticipated factors are barriers to success?
 - i) What are organizational and cultural contexts within communities?
 - j) What improvements to the model can be made in future replications?
- 9) Employ the following **methodologies** in conducting the **process evaluation**:
- a) Annual site visits to sub-recipient communities and verification of the role of Prevention Resource Centers within the scope of operational needs;
 - b) Key document reviews, to include meeting minutes and strategic plans;
 - c) Key informant interviews with stakeholders;
 - d) Observation of major state and community meetings, at least annually;
 - e) Annual focus groups with community-level stakeholders;
 - f) Review and summary of Monthly Partnership Management Reports from communities;
 - g) Review and compilation of semiannual Partnership Collaboration Surveys.
- 10) Conduct an **outcome evaluation** of the project, to answer the following **evaluation questions**:
- a) Has the intervention impacted target populations/communities? How?
 - b) Have risk and protective factors changed within communities and how? (relative to available baseline data and associated geographic areas);
 - c) What is the relationship of programming and environmental factors to outcomes?
 - d) How have needs assessment results changed longitudinally?
 - e) What is the relationship of cultural factors to outcomes?
- 11) Employ the following **methodologies** in conducting the **outcome evaluation**:
- a) Collect and analyze annual needs assessment data from the Prevention Activities and Results Information System (PARIS) for 10 sub-recipient communities;
 - b) Analyze community-level National Outcome Measures (NOMs) data collected by coalitions annually, using the CSAP SPF SIG required tools, PARIS and the Youth Development Survey (YDS);
 - c) Collect and analyze additional data to meet evaluation requirements;
 - d) Perform required analyses to compare outcome data longitudinally within communities as well as to county and statewide norms;
 - e) Track prevention provider performance within sub-recipient communities using OASAS prevention program Scorecards.

- 12) Maintain all qualitative and quantitative data in software formats as specified by OASAS (e.g., SPSS, MS Excel) and perform appropriate analyses.
- 13) Produce professional quality reports of evaluation activities and data, including executive summaries, in OASAS-required formats as follows:
 - a) For all regular meetings of the state-level advisory groups: the NY State Epidemiological Outcomes Workgroup (SEOW) and the SPF Advisory Committee;
 - b) For required reporting to the CSAP Data Coordination and Consolidation Center Services Accountability and Monitoring System (DCCC-CSAMS) semi-annually;
 - c) For OASAS staff and administration, at annual intervals (interim reports) and at the end of the project cycle (final report).
- 14) Cooperate with, and meet all requirements of, the cross site evaluation of state SPF SIG grantees (as conducted by SAMHSA/CSAP), as well as any federal requests for additional data that may arise. Complete all required federal web-based surveys, or insure that they are completed by an appropriate stakeholder, and submitted in a timely manner. These instruments include:
 - a) Grantee Level Infrastructure and Implementation Surveys (twice overall);
 - b) Community-Level Activity Survey (annually);
 - c) Community Level Intervention Surveys (monthly);
 - d) Participant Level Survey (monthly).
- 15) Participate in all required meetings, including but not limited to, all SPF SIG national grantee meetings; annual visits to OASAS to meet with the key staff; and monthly telephone conferences with the State Evaluation Manager. The expenses for federal meetings are typically covered by SAMHSA.

Bibliography

Newman, D.L., Sheirer, M.A., Shadish, W.R. & Wye, C. (1995). Guiding principles for evaluators. *New Directions in Evaluation*, 66 (pp. 19-26). San Francisco, CA: Jossey-Bass. HTML.

Orlandi, M.A. (1992). The challenge of evaluating community-based prevention programs: A cross-cultural perspective. In M.A. Orlandi (Ed.) *Cultural Competence for Evaluators*. CSAP Cultural Competence Series 1, DHHS Pub. (ADM) 92-1884, p. 18.

PROPOSAL FACE SHEET

- 1. Legal Name of Entity:**

- 2. Purpose of Requested Funding:**

- 3. Amount of Funds Requested through this Proposal:**

- 4. Budget Period:**

- 5. Name and Title of Contact Person for Proposal:**

- 6. Mailing Address:**

- 7. Phone Number:**

- 8. Fax Number:**

- 9. Email Address:**

PROPOSAL CHECKLIST

Entity name:

This checklist is provided to help you insure that the proposal is complete.

Please check off all items being submitted in your packet.

Required:

Face Sheet []

Table of Contents []

Executive Summary []

Organizational Overview,
Including chart or structure []

Evaluation Capacity narrative
and documentation []

Work Plan for Deliverables []

Project Staff List with resumes []

Budget Summary, including
detailed description of all
proposed Revenues and Expenses []

References and recommendations []

Verification of Insurance []

Examples of State multi-site
Prevention evaluation done by
applicant (MOU and report) []

Other (miscellaneous):

_____ []