



**Alternative to Incarceration (ATI) Programs and Services
SFY 2017-18 REQUEST FOR PROPOSALS (RFP)
Issued: Friday, June 23, 2017**

Release Date of RFP:	Friday, June 23, 2017
Submission Deadline:	Friday, August 4, 2017 by 12 PM (Noon)
Bidder's Conference/Webinar:	Thursday, June 29, 2017
Deadline for Final Submission of Questions:	Wednesday, July 5, 2017
Response to Questions Posted:	On or about Friday, July 14, 2017
Notification of Award(s):	On or about September 20, 2017
Anticipated Contract Start Date:	January 1, 2018

1. Applications must be received by the submission deadline on-line via the DCJS Grants Management System (GMS). **Applicants who are not registered to access GMS will need to obtain user access in order to respond to this Solicitation.** See Appendix: *DCJS Grants Management System (GMS) Instructions and Helpful Hints.*
2. Questions regarding this RFP must be emailed to ATI.Re-entry@dcjs.ny.gov. Responses to the questions will be posted on the DCJS website at <http://www.criminaljustice.ny.gov/ofpa/index.htm> on or about date indicated above. If the applicant has any general questions such as, "Did DCJS receive my e-mail?" please call (518) 457-9787. Please note that DCJS cannot answer substantive questions concerning this solicitation in any manner other than the e-mail method.
3. The bidder's conference will be held on Thursday, June 29, 2017. See Appendix: *Bidder's Conference/Webinar* for additional information.
4. Applicants will be advised of award decisions via a letter of notification, which will be emailed to the address provided by applicant in GMS. Where applicable, applicants not receiving an award will receive notification via email or by U.S. Postal Service mail. A debriefing is available to any entity that submitted an application in response to this solicitation who is not successful in receiving an award. See Section: Notification of Awards.
5. Unless otherwise modified by DCJS, the contract period for this grant opportunity will be one year from January 1, 2018 through December 31, 2018, with four optional one-year renewals.
6. **Grants Gateway Pre-Qualification – In order to be considered for an award**, not-for-profit (NFP) applicants **must** be pre-qualified through the NYS Grants Gateway prior to the RFP submission deadline. **NFP applicants should begin this process as soon as possible.** See Appendix: *Grants Gateway Prequalification Requirement.*

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Attachment: 2 *Appendix B-1: Program Performance Milestones and Costs*

I. INTRODUCTION

The New York State Division of Criminal Justice Services (DCJS) seeks proposals from not-for-profit organizations and units of local government to provide alternative to incarceration programs and services to criminal justice involved populations. Applicants will be expected to clearly articulate their goals regarding reducing recidivism and reducing reliance on incarceration, and how these goals will be achieved through funded interventions.

DCJS has developed general operating guidelines for DCJS funded community corrections programs. Certain guidelines apply to all program models, and some apply only to those whose primary goal is recidivism reduction. Applicants are encouraged to use the Appendix: *General Operating Guidelines for DCJS Funded Community Corrections Programs*, as a key reference in preparing their proposals.

Through this RFP, the following types of programs will be supported:

- **Pre-trial Alternatives to Jail Detention programs**, including both release on recognizance (ROR) and release under supervision (RUS) models
- **Defender-Based Advocacy programs**

It is expected that the primary goal of pre-trial and defender-based advocacy programs will be to reduce detention/incarceration, and that many will have the additional goal of reducing recidivism.

Through this RFP, the following programs will be supported:

- **Alternative to Incarceration (ATI) programs** that provide referrals for treatment services and court case monitoring;
- **All other ATI programs**, including programs serving special populations, such as individuals with substance abuse and/or mental health needs who may require treatment referrals;
- **Jail-based Cognitive Behavioral Intervention (CBI) services** including discharge planning;
- **Probation Violation Residential Centers (PVRC)**

It is expected that the primary goal of the four program types named directly above will be to reduce recidivism and that many will have the additional goal of reducing detention/incarceration.

Approximately \$9.2 million dollars will be made available to fund the programs outlined in this solicitation. Not-for-profit organizations and units of local government in New York State are eligible to apply. Proposals must be submitted by **Friday, August 4, 2017 at 12:00 PM** (Noon) using the DCJS electronic Grants Management System (GMS).

The mission of DCJS is to enhance public safety by providing resources and services that improve the quality and effectiveness of the criminal justice system. Proposals will be scored and selected for funding consistent with this mission and in the best interests of New York State.

II. RFP SPECIFIC INFORMATION

A. Funding

A total of approximately \$9.2 million will be made available to support the program models described in Section III of this RFP. More specifically:

- No more than \$1.5 million will be made available for pre-trial release programs, including both the release on recognizance (ROR) and release under supervision programs (RUS) described in RFP subdivision A – 1 and 2 Section III;
- No more than \$1.5 million will be made available for defender-based advocacy programs serving those charged with felonies, as described in RFP subdivision A - 3 of Section III;
- No less than \$2.0 million and no more than \$3.5 million will be made available for Treatment Accountability for Safer Communities (TASC) model alternative to incarceration (ATI) programs as described in RFP subdivision B - 1 of Section III;
- No more than \$3.5 million will be made available for other ATI services, including those that serve specialized populations, as described in RFP subdivision B -2 of Section III;
- No less than \$0.5 million and no more than \$1.5 million will be made available for jail-based cognitive behavioral interventions, as described in RFP subdivision B - 3 of Section III; and
- No more than \$1.0 million will be made available for the services provided through Probation Violation Residential Centers (PVRC) as described in subdivision B - 4 of Section III.

Applicants should request funding that is consistent with the participant cost guidance provided in Section III of this RFP. Greater consideration will be given to proposals that provide high quality services at a reasonable cost. Individuals at lower risk and with fewer needs should be served with lower cost interventions. Higher cost services must be directed to higher risk and higher need individuals. All proposed performance milestones and costs are subject to negotiation and will be awarded at the sole discretion of DCJS in the best interest of public safety. All funding must support program efforts that will be accomplished during the contract period. Funding under this program must supplement, not supplant, non-grant funds that would otherwise be available for expenditure on the programs proposed. DCJS reserves the right to prioritize the awarding of funds in a manner that provides a geographic balance of services throughout the state and/or to serve underserved populations.

B. Applicant Eligibility

Not-for-profit organizations and units of local government in New York State are eligible to submit applications in response to this RFP.

C. Allowable Use of State Funds

Funds awarded under this RFP may be used for a new program or for the expansion/enhancement of an existing program by serving additional participants or an expanded catchment area.

Awarded funds may only be used for expenses or costs directly related to the operation of the program and delivery of the program services. These costs may include personnel, fringe benefits, consultant services, equipment, supplies, travel and subsistence, rental of facilities (for not-for-profit applicants only), and all other expenses as justified for the efficient and successful operation of the program. Specific one-time start-up implementation costs may also be requested as part of the overall budget, for new programs or expansions of existing programs that have not previously received DCJS grant support for start-up implementation costs. Indirect costs of up to 15% of the total direct costs may be reimbursed to not-for-profit applicants, but indirect costs are not an allowable expense for governmental agencies.

D. Contract Term

Grant award terms, unless otherwise modified by DCJS, will be January 1, 2018 through December 31, 2018, with four optional one-year renewals.

E. Proposal Submission

Unless otherwise noted, separate proposals must be submitted for each program model as follows:

- An applicant that proposes a pre-trial program to serve both individuals released under supervision (RUS) and individuals released on recognizance (ROR) may submit one proposal, unless the RUS/ROR programs operate independently. No other program models may be combined in one proposal.
- An applicant proposing to provide services in multiple non-contiguous counties must provide separate proposals for each area and each program model.
- An applicant proposing to provide services from one location but accept referrals from multiple contiguous counties or judicial districts should submit one proposal for each program model proposed.
- New York City is considered one jurisdiction for purposes of this RFP, and an applicant proposing to serve individuals from more than one borough should submit one proposal for each program model.

III. ELIGIBLE PROGRAM MODELS

DCJS recognizes that programs can have multiple goals and outcomes for the program participant and the criminal justice system. DCJS is committed to funding programs that effectively target at least one of the following two goals: reducing recidivism and reducing reliance on detention/incarceration. Proposals that target both goals are strongly encouraged. To further support alignment with evidence-based practices and effective interventions, DCJS has developed general guidelines for DCJS funded programs which can be found in Appendix: *General Operating Guidelines for DCJS Funded Community Corrections Programs*. All programs with the goal of reducing recidivism are expected to be familiar with the principles of effective interventions (See <https://nicic.gov/theprinciplesofeffectiveinterventions>) and the risk, needs, and responsivity (RNR) framework. Proposals should clearly describe how the principles and the RNR framework have been incorporated into their interventions and how they will achieve reductions in recidivism.

A. **Programs Whose Primary Goals Include Reduced Reliance on Detention/Incarceration**

1. Alternatives to Jail Detention (ATD) – Pre-trial Services for Individuals Released on Recognizance (ROR): (Note: an applicant may propose serving individuals released on recognizance (ROR) and individuals released under supervision (RUS) with the same program and with one proposal. See RFP section III subdivision A-2 for RUS program requirements.)

ATD programs serving persons under consideration for ROR can help facilitate judicial release decisions by providing the courts with standardized information about individuals arrested at the earliest point in the process and in the timeliest manner possible. This includes the use of standardized assessment instruments to screen and identify arrested individuals who are appropriate for release on their own recognizance (ROR) without financial conditions. Pre-trial ATD services work to ensure that individuals are notified to return for all court appearances.

Applicants must demonstrate that there are a sufficient number of arraignments to result in an appropriate number of referrals to sustain a viable pretrial services program. Information on 2016 arraignments by county/court can be found at: http://www.criminaljustice.ny.gov/ofpa/pdfdocs/2016_felony_misd_lower_court_arraignmnts_volume.pdf.

Target Population

Any individual arrested and potentially subject to pretrial detention.

Required Services

- Screening
- Failure-to-Appear (FTA) assessment to determine the defendant's risk of FTA
- Recommendations to the court for ROR for defendants judged to be at low FTA risk

- Notification of future court appearances for those released

Optional Services

Applicants may propose a program model that additionally provides pretrial services in high volume town and village courts, if feasible and cost effective. Applicants may also include screening at jails for those individuals for whom screening did not take place at arraignment.

Eligibility

Eligible applicants are not-for-profit organizations and units of local government.

Participant cost

The expected per participant cost is \$100 to \$750 depending on the program model, duration, and included elements. Per participant cost reflects the total cost when a participant successfully completes all milestones of the proposed intervention.

2. Alternative to Jail Detention – Pre-trial Services for Individuals Released Under Supervision (RUS): (Note: an applicant may propose serving individuals released on recognizance (ROR) and individuals released under supervision (RUS) with the same program. See RFP section III subdivision A-1 for ROR program requirements. Applicants submitting proposals for both the ROR and RUS program models should base recommendations on specific criteria, and not unnecessarily recommend clients for RUS program models when ROR would suffice.)

ATD programs serving persons under consideration for RUS can help facilitate judicial release decisions by providing the courts with standardized information about individuals arrested at the earliest point in the process and in the timeliest manner possible. This includes the identification of individuals appropriate for community monitoring in lieu of pre-trial detention through monitored release and release under supervision (RUS) services. Pretrial services work to ensure that individuals are notified to return for all court appearances, and have been demonstrated to reduce unnecessary reliance on detention/incarceration and the associated costs.

Applicants must demonstrate that there are a sufficient number of arraignments to result in an appropriate number of referrals to sustain a viable pretrial services program. Information on 2016 arraignments by county/court can be found at: http://www.criminaljustice.ny.gov/ofpa/pdfdocs/2016_felony_misd_lower_court_arraignmnts_volume.pdf.

Target Population

Individuals arrested and subject to detention who will not currently be granted ROR.

Required Services

- Screening
- Failure to appear (FTA) assessment to determine the defendant's risk of FTA
- Release recommendations to the court
- Notification of future court appearances for those released
- Case management/supervision according to court ordered conditions or monitoring based on risk of FTA
- Referrals of participants to service providers as directed by the court. These services may be provided by the funded program or referral to a collaborating agency.

Optional Services

Applicants may propose a program model that additionally provides pre-trial services in high volume town and village courts, if feasible and cost effective. This expansion is not the intended primary focus of this program model but is a permissible option. Where feasible and cost effective, the expansion may also be a stand-alone focus submitted as its own proposal. Pre-trial services can also include an initial or second interview of individuals initially denied RUS, or interviews in local jails of individuals who were not accessible for an interview in court.

RUS programs may also have recidivism reduction as a primary goal. Where this is the case, such programs are expected to provide additional services targeting criminogenic needs, such as cognitive behavioral interventions. Conducting needs assessments would then be an expected part of the program model.

Eligibility

Eligible applicants are not-for-profit organizations and units of local government.

Participant cost

The expected cost is \$500 to \$2,000 for each participant, depending on the program model, duration, and included elements. Per participant cost reflects the total cost when a participant successfully completes all milestones of the proposed intervention.

3. Alternative to Incarceration – Defender-Based Advocacy (DBA) programs: DBA programs prepare detailed Client Specific Plans for individuals with felony cases pending before the court that recommend specific community based services as an alternative to a prison sentence. DBA service programs may advocate to the court that individuals be referred to evidence-based services in the community, and may also provide case-management services.

Target Population

Individuals charged with a felony level crime who are facing state incarceration.

Required Services

- Screening
- DCJS approved risk/need assessment
- Development of a Client Specific Plan with appropriate referral to services
- Approval of the Client Specific Plan by the court
- Report participant progress to the court

Optional Services

DBA programs may also have recidivism reduction as a primary goal. Where this is the case, such programs would be expected to provide additional services targeting criminogenic needs, such as:

- Cognitive Behavioral Interventions (CBI)
- Case management
- Employment readiness training, and/or
- Referral to employment, educational or vocational services.

Eligibility

Eligible applicants are public defender offices and not-for-profit organizations that partner with public defender offices. Not-for-profit organizations must demonstrate the support of the public defender's office they propose partnering with to be eligible to apply. This is addressed under section VII question #4. All partnerships and collaborations are subject to verification by DCJS.

Participant cost

The expected cost is \$2,500 to \$6,000 for each participant, depending on the program model, duration, and included elements. Per participant cost reflects the total cost when a participant successfully completes all milestones of the proposed intervention.

B. Programs Whose Primary Goals Include Reduced Recidivism

1. Treatment Accountability for Safer Communities (TASC)

The TASC alternative to incarceration program model most often provides a program intervention in combination with dismissal or reduction of criminal charges. These programs must target individuals who would otherwise be sentenced to incarceration and/or those who are at higher risk of recidivism. Programs should be targeted to individuals arrested for Penal Law (PL) felonies and misdemeanors, and Vehicle and Traffic Law (VTL) felonies and misdemeanors. These community based alternative to incarceration programs typically target individuals with behavioral health needs (e.g., substance use disorders and/or mental illness). These programs monitor an individual's participation in the referred services and provide regular reporting to the court. TASC model program proposals can be stand-alone or support a problem-solving court, such as a drug court.

Target Population

Felony or misdemeanor arrestees with behavioral health needs (e.g., substance use disorders and/or mental illness) who have a moderate/high risk of recidivism or are at risk of pretrial detention/incarceration.

Required Services

- Screening
- Assessment using a DCJS approved risk/needs assessment
- Referral to treatment services
- Monitoring and reporting to the court

Optional Services

Cognitive behavioral intervention (CBI) services are an allowable program component and applicants are strongly encouraged to include this service. Employment readiness training and referral to educational and vocational programming are also allowed. Substance abuse and mental health services may be included in the proposed programs, as may case management services.

Eligibility

Eligible applicants are not-for-profit organizations and units of local government.

Participant costs

The expected per program participant cost is \$2,000 to \$4,000 depending on the program model, duration, and included elements. Per participant cost reflects the total cost when a participant successfully completes all milestones of the proposed intervention. Greater consideration will be given to proposals that provide high quality services at a reasonable cost. Individuals at lower risk and with fewer needs should be served with lower cost interventions. Higher cost services must be directed to higher risk and higher need participants.

2. Other Alternatives to Incarceration - Programs Designed to Reduce Recidivism through the Use of Targeted Interventions and Evidence-Based Practices - These programs will screen, assess and provide services to criminal justice involved individuals, which can include specialized and underserved populations. The program goal must be the reduction of recidivism through the use of targeted interventions and evidence-based programming.

Target Population

Individuals at moderate/high risk of recidivism or detention/incarceration who have criminogenic needs, such as behavioral health needs. Applicants may propose to serve specialized populations, which can include, but are not limited to, women, sex offenders, individuals with mental illness, and/or individuals with developmental disabilities.

Required Services

- Screening
- Assessment using a DCJS approved risk/needs assessment
- Cognitive-behavioral intervention (CBI)

Optional Services

- Case management
- Referral to treatment services (such as mental health and/or substance abuse)
- Reporting participant progress to the court
- Employment, educational or vocational services
- Referral to residential assistance services

Eligibility

Eligible applicants are not-for-profit agencies and units of local government.

Participant Cost

The expected cost per program participant for this type of programming will depend on the program design, duration, and intensity of included services. Per participant cost reflects the total cost when a participant successfully completes all milestones of the proposed interventions. Greater consideration will be given to proposals that provide high quality services at a reasonable cost. Individuals at lower risk and with fewer needs should be served with lower cost interventions. Higher cost services must be directed to higher risk and higher need participants.

3. Jail-Based Cognitive Behavioral Intervention (CBI) Services

Individuals detained in and/or sentenced to jail generally have a high risk of re-offending. Following the completion of their sentence, they are often released to the community without supervision or post-release services. Applicants proposing to provide services within the jail setting must do so through a partnership between the sheriff or jail administrator and a not-for-profit community based service provider. Programs may target individuals detained and/or sentenced for PL or VTL felonies or misdemeanors.

Target Population

Individuals at a moderate/high risk of recidivism who are detained/sentenced to local jail, with preference given to those individuals aged 30 and younger. Individuals targeted for participation should be those expected to be detained for a long enough period to allow for the successful completion of a CBI program.

Required Services

- Screening
- Assessment using a DCJS-approved risk/needs instrument
- Cognitive behavioral intervention (CBI)
- Discharge plan for each participant

Optional Services

Case management services may be included in jail, in the community, or a combination of both. Employment readiness training or the referral to educational/vocational services in the jail and/or the community (after release) are allowable.

Eligibility

Sheriffs or jail administrators are eligible to apply, but only in partnership with a not-for-profit organization for the provision of services. Not-for-profit organizations are also eligible to apply with documentation demonstrating the support and cooperation of the local jail administrator or sheriff. This support and cooperation will be subject to verification by DCJS. Program proposals shall provide letters of support that describe the specific roles and responsibilities of the not-for-profit agencies/entities. The letter must also describe the following: the sheriff's or jail administrator's commitment to the program; the accessibility of a dedicated meeting (classroom) space for the program; ability to provide uninterrupted class time (approximately 2 hours per session); access to jail facility for program staff. A sample letter has been included as an Appendix to this RFP.

Participant cost

The expected per program participant cost is \$3,500 to \$6,000 for each participant, depending on the program model, duration, and included elements. Per participant cost reflects the total cost when a participant successfully completes all milestones of the proposed intervention.

4. Probation Violation Residential Center (PVRC)

The PVRC model is a community based residential program for felony probationers. Under the model, not-for-profit service providers assist local probation departments in stabilizing felony probationers who are engaging in non-compliant behaviors that have, or will likely result in, the filing of a violation of probation, revocation and potential commitment to state prison. The intervention provides services addressing criminogenic and treatment needs related to the non-compliance.

Target Population

The target population is felony probationers 18 years of age and older who have a violation of probation or are at high risk of probation violation that could result in a state prison sentence.

Required Services

- Screening
- Assessment using a DCJS-approved risk/needs instrument
- Case management services
- Cognitive behavioral intervention
- Employment focused services

- Referral to treatment for substance abuse and/or mental health or other services where indicated
- Communication with referring probation departments

Optional Services

Other stabilization services, such as housing, benefits coordination assistance, and/or family reintegration are allowable as optional services.

Eligibility

Eligible applicants are not-for-profit organizations and units of local government.

Participant cost

The expected per program participant cost is \$5,000 to \$12,000 depending on the program model, duration, and included elements. Per participant cost reflects the total cost when a participant successfully completes all milestones of the proposed intervention. This price per participant includes milestone achievements only, and expects that residential costs will be paid through resources other than DCJS. Funding under this ATI RFP must supplement, not supplant, non-grant funds that would otherwise be available for expenditure on the programs proposed.

IV. QUALITY ASSURANCE, FIDELITY AND EVALUATION

In 2018, DCJS will implement a fidelity assessment system specific to New York State's community corrections portfolio. Some parts of the fidelity assessment process will apply to all funded programs, regardless of the program's primary goals; other components will apply only to programs whose primary goals include reducing recidivism. It is essential that programs be able to clearly articulate whether their primary goals include reduced detention/incarceration, reduced recidivism, or both. Programs will be required to participate in all relevant aspects of the fidelity process to:

- Confirm they are operating as proposed in the application;
- Assess compliance with DCJS general guidelines for the funded community corrections programs; and
- Assess fidelity to the principles of effective interventions.

Submitted proposals must clearly describe program goals, the specific population to be served, the referral process, the screening and assessment process, the program model, specific intervention(s) provided and the outcomes that are expected. Accordingly:

- All grantees should be familiar with the applicable DCJS general operating guidelines for funded community corrections programs (see Appendix: for more information), as these guidelines will be reflected in the DCJS fidelity system;
- All grantees will be required to cooperate fully with the fidelity assessment process;

- DCJS's fidelity assessment system will be tailored to the program's primary goals (i.e., reduced detention/confinement, reduced recidivism, or both);
- Following a fidelity assessment, DCJS program staff will work with grantees, where needed, to increase alignment with the principles of effective intervention; and
- Grantees will be required to report case-specific data in a format prescribed by DCJS. DCJS will use data to provide quarterly feedback reports to grantees and to conduct evaluation studies. All results will be shared with the grantees.

V. PERFORMANCE-BASED CONTRACTING AND MILESTONE METRICS

Contracts awarded under this RFP will be performance-based. Reimbursement for contract services will be based on the number of milestone targets achieved and documented in program participant case files. Applicants must identify the specific documents or notations that will be placed in the case file to support and/or verify the achievement of milestones. The operating budget must reflect the expenses that are the basis for the performance-based milestone total pricing. (See Attachment 2: *B-1 Program Performance Milestones and Costs*.) Applicants should ensure that the operating budget provided on the completed program specific B-1 reflects the same operating budget line items submitted on Attachment 1: *Budget Detail and Narrative Form*.

Objectives specifying each target milestone to be achieved, and related tasks and activities associated with each milestone, must be specified in the program Work Plan. The specific tasks and activities associated with each milestone will be based on the program model proposed by the applicant.

The following table provides the RFP required program performance model milestones. Detailed information regarding the performance milestones are provided on Appendix: *Program Services and Required Performance Milestones by Program Type*.

ATI RFP: Program Performance Model Milestones

Milestones	Program Model						
	ROR	RUS	DBA	TASC Model	Other ATI	Jail Based	PVRC
Persons Interviewed	X	X					
Persons Released	X	X					
Plans Prepared			X				
Plans Accepted			X				
Screening							X
Assessment/Evaluation				X	X		
Intake				X	X	X	X
CBI Mid-point						X	
CBI Completion						X	
Program Mid-point				X	X		X
Program Completion or Discharge Plan		X		X	X	X	X

It is anticipated that applicants proposing to incorporate only required services/milestones will be at the lower end of the per participant cost range. Applicants proposing to include optional services/milestones may be at the higher end of the per participant cost range with appropriate justification.

Pre-trial and DBA models are required to have a minimum of two milestones as indicated above with no more than five. The remaining program models are required to have a minimum of four with no more than six milestones. Applicants that propose to provide optional services that include CBI and/or employment readiness may propose the additional milestones of *Enrollment* and *CBI/Employment Readiness Completion*. For optional services that are not CBI or employment readiness, each additional service should be listed as a separate task within the milestones. See Appendix: *Program Services and Required Performance Milestones by Program Type* for additional information.

For example, Pre-trial ROR programs must include *Persons Interviewed* and *Persons Released* as milestones, while Jail-Based program models must include *Persons Assessed* and *Enrolled in CBI*, *Persons reaching CBI Mid-point*, *Persons reaching CBI Completion*, and *Persons reaching Program Completion*. Required milestones for each program model are presented in the table above *RFP Required Program Model Milestones*.

The milestones must account for the tasks and activities that will be completed for each phase of the program model. As an example, for the *Intake milestone*, the work plan objective should reflect the target number of individuals the program plans to enroll. Listed under the task should be the tasks/activities included in the intake interview, including any screens and/or assessments conducted, and any other activities associated with intake. All required activities associated with the completion of a milestone should be listed. Documentation required to be maintained by the program would include intake forms, any screens or assessments that are completed, and all referral forms.

Similarly, for a *Program mid-point milestone* objective, the work plan tasks might include the completion of a case plan, and a minimum length of time in program, all of which would be supported with documentation maintained in the case file. A *program completion milestone* objective would identify the number of participants expected to complete the program annually. The task should detail all tasks and activities that must be accomplished to achieve that completion.

DCJS places greater weight/value on program retention and successful program completion. Therefore, greater weight/value should be placed on program completions.

The following is additional guidance for milestone metrics and pricing:

Tables A and B present sample milestone targets based on the program model and required milestones.

Example: For Program A -- required milestones include *Intake/Assessment*, *Program Mid-point*, and *Program Completion*. The number of participants targeted to reach the program mid-point milestone is 80% of the program's intake volume, and the number of participants expected to successfully complete the program is 70% of the number reaching program mid-point. The tables

are for illustrative purposes only. Actual milestone targets should be based on individual program models and the services being delivered.

Table A: Sample Milestone Target Volumes*

	Intake/ Assessment	Program Midpoint	CBI Completion	Program Completion
Program A	100% of Service Target	80% of Intake	--	70% of Midpoint
Program B	100% of Service Target	75% of Intake	75% of Intake	80% of Midpoint

*Note: table is for illustrative purposes only. Milestones and targets should be based on individual program models.

Table B: Service of 100 Individuals: Persons Reaching Milestone if Target Volume is Achieved*

	Intake/ Assessment	Program Midpoint	CBI Completion	Program Completion
Program A	100	80	--	56
Program B	100	75	75	60

*Note: table is for illustrative purposes only. Milestones and targets should be based on individual program models.

Table C sets the reimbursement weighting scheme for payment upon achieving a specific milestone. For Program A, the cost for a single individual to fully complete all stages of the proposed intervention would be reimbursed as follows: 15% upon completing the *Intake/Assessment* milestone, 40% upon completion of the *Program Mid-point* milestone, and 45% upon completion of the *Program Completion* milestone. Program B has an additional milestone, and weighting is adjusted accordingly. It should be noted that DCJS places a greater value on program retention and successful program completions. When developing milestone weights, greater weight should be placed on program completions. As above, Table C should be used for illustrative purposes only. Actual payment weights should be based on the individual program model and the services being delivered.

Table C: Milestone Payment Weighting Ratios and Example Reimbursement*

Hypothetical Cost for a Single Participant to Complete All Program Elements	Intake/ Assessment	Program Midpoint	CBI Completion	Program Completion
Program A: \$3,500	15%	40%	--	45%
	\$525	\$1,400	--	\$1,575
Program B: \$6,000	15%	25%	25%	35%
	\$900	\$1,500	\$1,500	\$2,100

*Note: table is for illustrative purposes only. Milestones and targets should be based on individual program models.

VI. EVALUATION AND SELECTION

Tier I Evaluation – Threshold Pass/Fail

The Tier I Evaluation assesses whether proposals satisfy minimum “pass/fail” criteria for funding.

All proposals will be initially screened by DCJS reviewers using the following criteria:

- Proposal was received by the published deadline;
- Applicant is eligible as defined by this solicitation;
- Applicant is an eligible, pre-qualified entity in the Grants Gateway (*this pre-qualification requirement applies only to not-for-profit applicants*); and
- The submitted proposals are complete and include:
 - Answers to questions that provide requested information;
 - Budget detail and justification;
 - Attachment: *Appendix B-1 Program Performance Milestone and Costs*;
 - Completed Program Work Plan and;
 - All attachments and required documents as specified in the RFP.

Tier I Evaluation criteria will receive pass/fail ratings. Any proposal that does not meet each of these conditions may be subject to disqualification from further review. DCJS may, at their discretion, request additional information from an applicant as deemed necessary.

Tier II Evaluation – Evaluation and Scoring

DCJS staff reviewers will evaluate proposals that successfully pass the Tier I Evaluation. A standard rating tool will be used to score responses to questions provided in the proposal. (See *RFP Questions* section for additional information.) The maximum proposal score will be 100 points. Each response will be scored and all scores will be totaled, resulting in an overall score. The final score will be determined by averaging Team Reviewers' overall scores for each proposal. Applications must receive a minimum score of 70 to be eligible for funding. In the event of a substantial scoring disparity among reviewers of total available points, an additional reviewer may rate the affected proposals and the average of all of the scores will determine the final average score of the proposal. In the event of a tie score among applicants, and where both applicants cannot be selected, an additional reviewer will rate the affected proposals and the average of the scores will represent the final score.

Tier III Evaluation

The Tier III Evaluation assessments will be conducted by DCJS' Executive Deputy Commissioner or his designee. The Tier III Evaluation may select applicants for funding and determine award amounts through consideration of some or all of the following: Tier II Evaluation scoring and comments, available funding, geographic balance, inclusion of underserved populations, and the best overall value to New York State. Final award decisions will be made by DCJS in accordance with the best interests of the State. Nothing herein requires DCJS to approve funding for any applicant.

VII. REQUEST FOR PROPOSAL (RFP) QUESTIONS

Applicants must respond to the questions below within the DCJS Grants Management System (GMS), as instructed. **GMS instructions are located as an Appendix to this solicitation.**

Please prepare prospective responses in a Microsoft Word Document first, using Arial, 11 point font and 1.5 line spacing.

Responses should then be copied and pasted within GMS under the *Questions* module “tab” of the application. **Applicants are also required to attach the Microsoft Word document with responses to these questions using the *Attachments* module on GMS.**

Responses to the following questions will be scored and are the basis for Tier II Evaluation funding recommendations. All questions, including sub-sections and those which have no point value, must be answered.

Program Narrative Questions:

1. Provide the following information regarding the proposed program model and location (0 points)

Which program model below is being proposed?

Programs whose **primary** goals include reduced detention/incarceration:

- Pre-trial Release on Recognizance (ROR)
- Pre-trial Release Under Supervision (RUS)
- Both – ROR and RUS
- Defender-based advocacy program

Programs whose **primary** goals include reduced recidivism:

- TASC model programs
 - Other ATI programs
 - Jail-based programs
 - Probation Violation Residential Centers (PVRC)
- Where will the program be located?
 - Which geographic area (county or NYC) will be served?

2. Program Goals and Overview (10 points)

- Describe your program’s primary goals. Note that primary goals *must include*, but are not limited to, reducing recidivism and/or reducing detention/incarceration. Other program goals might include abstaining from substance use, addressing mental health needs, etc. Explain how your program’s services will help participants achieve expected outcomes and help the program meet all stated goals.

- Describe how the services proposed will meet a need or service gap in the geographic area where you plan to operate. How will your program complement other existing local program offerings, and what distinguishes your proposed program from programs that are currently providing ATI services to the population you propose to serve?

3. Experience and Qualifications (10 points)

- Describe your organization's experience with the development and implementation of programs involving criminal justice populations. Include a description of what the successful outcomes were for your program(s), as well as your experience collaborating with other criminal justice and service provider agencies.
- Describe the experience and background of the Program Director who will be responsible for overall management of services. If not yet hired, please provide a job description for the position including experience, qualifications, and credentials that are sought to fill the position. This information can be attached in GMS utilizing the GMS *Attachment* module.
- Provide information about other personnel and/or resources that will contribute to the proposed program, including: title, proposed job duties, required education, required work experience, and required training or certification. Programs are expected to employ highly qualified staff with the credentials, training, and experience necessary to effectively deliver proposed interventions. Proposals that involve partnerships with other programs must describe the roles and responsibilities of all parties involved. This information can be attached in GMS utilizing the GMS *Attachment* module.
- For programs providing Cognitive Behavioral Interventions (CBI), such as Thinking for a Change (T4C), Moral Reconciliation Therapy (MRT), or employment readiness training, such as Ready, Set, Work! (RSW), identify the curriculum being offered, the staff that are trained to deliver the curriculum, and the number of trainings staff have facilitated in the past. If you do not have staff trained to deliver a CBI or employment readiness curriculum, and are proposing to offer these services, please indicate how the program will obtain training for staff. It is preferred that programs have appropriately trained, credentialed, and experienced individuals on staff for any interventions being proposed prior to proposal submission.
- Using the GMS Attachments module, attach resumes and job descriptions for the program lead and all other pertinent program staff.

4. Target Population and Referral System (10 points)

- Describe the population(s) you plan to serve. Include in this description any proposed eligibility criteria (i.e. risk level, age, gender, education level, jail sentence, time from release, time from placement on supervision, criminogenic

needs, etc.) that are relevant to your proposed program model. Specify any criteria that would exclude individuals from participating in the proposed program. See Appendix: *General Operating Guidelines for DCJS Funded Community Corrections Programs* section A-2 for a description of the practices all programs are expected to have in place regarding eligibility and exclusionary criteria.

- Identify the source of program referrals and detail how individuals will be referred to your program. Clearly demonstrate that there are a sufficient number of referrals within the target population to sustain a viable program. Describe any existing or planned protocols established with referring agencies/entities. See Appendix: *General Operating Guidelines for DCJS Funded Community Corrections Programs* section A-3 for a description of the referral practices all programs are expected to have in place.
- Describe any outreach efforts that have been made to ensure that anticipated referral sources are aware of, and have committed to supporting, your proposed program. *Please list the name of the person(s) with whom you spoke at the referral agency and or agencies and include their title, contact information and the agency name.* This information is subject to verification.
- Describe commitments made by the referral agency to make referrals to your program if you are selected for funding. Include the approximate number of referrals they have committed to making annually, once the program is fully operational.

5. Screening, Assessment, and Case Planning (10 points)

- Describe the screening process that will be used to identify potential program participants. Will the initial screening for eligibility be performed by the program or by the referring agency? Attach to GMS, using the *Attachment* module, any screening instruments that will be used. (See Appendix: *Risk and Needs and other DCJS Approved Assessment Instruments*).
- List the risk and needs assessment instrument(s) to be used in the program. Will the risk/need assessment be completed by the program or a referral agency? If the referral agency is completing risk/need assessments, describe the mechanism for sharing assessment results. Describe how responsibility needs of eligible participants will be identified. See Appendix: *General Operating Guidelines for DCJS Funded Community Corrections Programs* sections B-1 through B-5 for more information on the assessment practices programs seeking to reduce recidivism should have in place.
- Specifically describe any other assessment information that will be collected and how that information will be used by the program to develop a case plan. If your program tailors services based on individual participant risk or need, please

describe how this will be accomplished. See Appendix: *General Operating Guidelines for DCJS Funded Community Corrections Programs* section B-6 for a description of the case planning practices programs seeking to reduce recidivism should have in place.

6. Program Intervention (20 points)

- Describe the intervention, including the intake process, program components and length of program (in months). Programs intending to reduce recidivism should also describe any criminogenic needs that are targeted by the intervention, how the intervention might vary according to assessed risk, need, and responsivity factors, and how the intensity of services might also vary by assessed risk, need, and responsivity. See Appendix: *General Operating Guidelines for DCJS Funded Community Corrections Programs* sections C-1 through C-5 for more information on practices related to participant risk, program intensity and dosage, and social learning approaches that programs seeking to reduce recidivism should have in place.
- If applicable, identify the specific Cognitive Behavioral Intervention (CBI) to be used in your program. Describe the frequency and duration of groups and any opportunities for participants to practice skills in and out of the classroom. See Appendix: *General Operating Guidelines for DCJS Funded Community Corrections Programs* sections D-1 and D-2 for a description of group intervention practices that programs seeking to reduce recidivism should have in place.
- Describe any other required services/components of your proposed intervention, including an explanation of how these services contribute to recidivism reduction or helping participants remain in the community.
- Describe your model's behavior management system, including any formal and informal rewards and sanctions/consequences that are planned or in place. See Appendix: *General Operating Guidelines for DCJS Funded Community Corrections Programs* sections C-6 for a description of behavior modification practices that programs seeking to reduce recidivism should have in place.
- Describe any additional services you plan to offer (e.g., housing, transportation, stabilization). What barriers or challenges will these services address? How will these additional components increase participant engagement and successful completion?

7. Program Completion (10 points)

- What will the individual be required to do in order to successfully complete the program? Be specific in describing the precise criteria for successful program

completion, and how this will be measured and documented. See Appendix: *General Operating Guidelines for DCJS Funded Community Corrections Programs* sections A-4 and A-5 for a description of practices regarding completion criteria and record keeping that all programs should have in place.

- Describe the process in place or to be established to communicate with entities/referral sources regarding program participant status and time sensitive issues, such as attendance and/or other compliance issues.
- How will the program transition those participants who complete the program to other services in the community, if such services are needed? See Appendix: *General Operating Guidelines for DCJS Funded Community Corrections Programs* section C-8 for a description of discharge practices that programs seeking to reduce recidivism should have in place.

8. Timetable for Implementation including Collaboration with other Organizations or Entities (5 points)

- Provide a detailed timetable for first year program operation.

9. Operating Budget Detail and Justification (10 points)

- Attachment 1: *Budget Detail Worksheet and Narrative Form*

Attachment 1 provides a *Budget Detail Worksheet and Narrative Form*, which should be used to capture the operating budget. Upload the completed Attachment 1 using the *GMS Attachments* Module.

Prepare the line item budget, including justification, by appropriate category of expense (e.g., Personnel, Fringe Benefits, Consultants, etc.). All funded positions should clearly indicate the general duties, full annual salary of the position, hours worked per week, and proposed hours or percentage FTE supported by the grant. Budgets should reflect total projected costs for a 12-month contract period and be limited to eligible costs.

The detailed budget for the grant period must be complete and provide sufficient detail. It must also be reasonable and appropriate, as determined by DCJS, and directly tied to the work plan. For subcontracted agencies approved by DCJS to provide services, where applicable, upload signed and executed agreements and the subcontractor's approved operating budget using the *Attachment* Module on GMS.

Consultant Services: All consultant services must be obtained in a manner that provides for fair and open competition. The rate for a consultant should not exceed \$650 for an eight-hour day (not including travel and subsistence costs). A rate exceeding \$650 per eight-hour day requires prior written approval from DCJS and

may be approved on a case-by-case basis where adequate justification is provided and expenses are reasonable and allowable. A grant award recipient obtaining consultant services that cost in excess of \$10,000 must use a competitive bidding process. A grant award recipient who proposes to obtain consultant services from a particular vendor without competitive bidding will be required to obtain the prior written approval of DCJS. The request for approval must be in writing and set forth, at a minimum, a detailed justification for selection and basis upon which the price was determined to be reasonable. Further, such consultant services must be in accordance with the guidelines, bulletins and regulations of the NYS Office of the State Comptroller, State Procurement Council and, if applicable, the U.S. Department of Justice.

Training: If applicants identify a need for staff training, funds should be allocated to the operating budget to complete such training.

Note: Not-for-Profits: Funding for indirect costs, including administrative, is capped at a rate of 15%. Governmental Organizations: Indirect costs, including administrative, are not an allowable expense for governmental organizations.

- In order to submit the proposal, GMS will require a budget entered directly into the system under the *Budget* tab. To accomplish this, create one budget line under the “all other” category and enter the text “see attached” for the description and justification. Enter the total requested funding amount for your application as the unit cost.

10. Cost of Delivering the Intervention Related to the Included Program Elements/Activities (10 points)

The following item should be completed prior to answering the Budget Questions below:

Attachment 2: Appendix B-1: Program Performance Milestone and Costs

Applicants must complete Attachment 2: *Program Performance Milestone and Costs* based on both the Work Plan proposed and the completed Budget Detail Worksheet and Narrative Form. Submit the completed Attachment 2: *Program Performance Milestone and Costs* to the application using the *Attachments* module in GMS.

- What is the total aggregate cost per participant from screening through completion? Per participant cost reflects the total cost when a participant successfully completes all milestones of the proposed intervention. Recommended per participant cost ranges are provided in the model descriptions. Programs delivering only required services are expected to have per participant costs in the lower part of the range. Programs providing additional optional services may have costs in the higher end of the range, depending on the intensity of the services.

- Identify any costs directly related to the program that will be covered by resources outside of those included in the program budget.
- Provide justification that the cost of your program is **appropriate and commensurate** to the intensity level of the services you plan to provide and to the needs of the population you plan to serve.

11. Work plan (5 points)

- Complete a Program Work Plan in the GMS Work Plan tab in accordance with the guidelines provided and GMS instructions provided as an Appendix. **See Appendix: Sample Work Plan Format** as a guide to how the work plan should be structured.
- Work plan Objectives should reflect each target milestone to be achieved and the task should clearly describe any related tasks and activities associated with each. (See Appendix: *Program Services and Required Performance Milestones by Program Type*.)
- Enhancements to an existing program should be quantified as milestones, whether for services to be added to the existing program, or if planning to increase the number of participants in a currently operating program.

VIII. NOTIFICATION OF AWARDS

Applicants approved for funding will be notified in writing by DCJS via email to the email address provided by the applicant in GMS. The terms of the final contract agreement are subject to negotiation between DCJS and the grantee.

For those not approved to receive funding awards, notifications will be both emailed to the contact person or sent by U.S. Postal Service mail.

A debriefing is available to any entity that submitted a proposal in response to this solicitation and was not successful in receiving an award. Applicants will be accorded fair and equal treatment with respect to an opportunity for a debriefing. A debriefing shall be requested in writing by the unsuccessful Applicant within 15 calendar days of being notified in writing by DCJS that the Application was not selected for an award.

An unsuccessful Applicant's written request for a debriefing must include specific questions that the Applicant wishes to be addressed, and must be submitted to DCJS via the funding mailbox at dcjsfunding@dcjs.ny.gov with the following in the subject line: **Request for Debriefing ATI RFP**. The debriefing shall be scheduled to occur within 30 days business days of receipt of written request by DCJS or as soon after that time as feasible.

The preferred method for the debriefing will be in-person, however, upon mutual agreement by all parties, another means such as telephone, webinar, or any combination thereof may occur.

In the event that DCJS and a successful award recipient cannot agree to contract terms within ninety days of notification of selection for award, DCJS reserves the right to rescind the award and redistribute the funds.

IX. REQUIRED REPORTING

Reporting Requirements:

GMS Quarterly Progress Reporting

All grantees will be required to submit quarterly progress reports via GMS that describe quarterly performance and activities in support of the project work plan entered in GMS.

Case-Specific Reports

Grantees are required to submit quarterly case-specific information in a format prescribed by DCJS. The data that are collected will be analyzed and used to provide summary reports to providers and used to conduct evaluations of program outcomes.

Quarterly Fiscal Reports

All grantees will be required to submit quarterly fiscal reports and claims for payment.

Reporting Due Dates:

GMS Progress Reports, Case-specific Reports and Fiscal Claims for Payment (formerly known as State-Aid Vouchers) are due to DCJS by the following dates:

<u>Calendar Quarter</u>	<u>Report Due</u>
July 1 - September 30	October 31
October 1 - December 31	January 31
January 1 - March 31	April 30
April 1 - June 30	July 31

X. ADMINISTRATION OF CONTRACTS

DCJS will negotiate and develop a contract with each successful applicant. In the event that DCJS and the successful applicant cannot agree to contract terms within ninety days of notification of selection for award DCJS reserves the right to rescind the award and redistribute the funds.

Contract Approval

A grant contract of \$50,000 or greater is subject to approval by the NYS Office of the Attorney General (OAG) and the Office of the State Comptroller (OSC) before funding may actually be disbursed. For contracts subject to the approval of the Attorney General and the Comptroller of the State of New York, the Contract shall be of no force and effect until said approval has been received and indicated thereon.

Contract Term

DCJS will enter into a contract period as noted in this solicitation. DCJS reserves the right to modify the contract term in the best interests of the State.

Contract Activities

All activities must have prior approval from DCJS and meet the guidelines established by the State of New York.

Contract Changes

Contracts resulting from this solicitation may be executed, increased, terminated, renewed, decreased, extended or amended or renegotiated for any reason at the discretion of the Executive Deputy Commissioner of DCJS as a result of contractual performance, changes in project conditions, or as otherwise may be in the best interests of New York State.

Records

The grantee will keep books, ledgers, receipts, personnel time and effort records, consultant agreements and inventory records pertinent to the project and consistent with DCJS contractual provisions and mandated guidelines. In accordance with the standard contract Appendix A-1 (see "Standard Contract Provisions" below), grantee staff whose salaries are paid in whole or in part from grant funds shall maintain a time recording system that shows the time and effort devoted to the grant project.

Liability

Nothing in the contract between DCJS and the grantee shall impose liability on the State of New York for injury or damages incurred during the performance of approved grant activities or caused by the use of equipment purchased with grant funds.

Payments

Payments to reimburse project expenses will be made pursuant to a schedule specified in the contract between the State of New York and the grant award recipient. Where applicable, performance-based expenses will be reimbursed in compliance with the contract milestone performance and costs budget and the project work plan.

Reports

The grantee shall submit all reports to DCJS in a format and time frame as specified in the contract. Quarterly progress reports shall include a description of the grantee's efforts undertaken during the reporting period and the current status of the project. The quarterly progress reports of the grantee's activities under this contract must be submitted electronically as directed by DCJS. Independent of any reporting schedule, all grantees will be required to inform DCJS of any program issues that are significantly impacting program performance. Any project funded under this solicitation must comply with the requirements established by DCJS. The grantee agrees to submit any other reports considered relevant by DCJS.

Performance Review

The grantee's performance in all areas mentioned above, in addition to the services contracted for, will be monitored periodically by DCJS and will take the form of site visits, program file review,

written and telephone communication, and any other methods deemed necessary by DCJS to ascertain the quality and quantity of grantee activities.

Disposition of Allocations

DCJS reserves the right to reject applications, deny awards, or defer applications for future consideration based on insufficient information in the application, lack of accompanying documentation, the inappropriateness of the project proposed, an organizational history of unsuccessful projects of a similar nature, or a history of contract non-compliance.

Revocation of Funds

Funds awarded to an applicant who does not implement an approved project within 90 calendar days of the contract start date may be revoked and redistributed at the discretion of the Executive Deputy Commissioner of the DCJS or his designee.

Encouraging Use of New York State Businesses in Contract Performance

New York State businesses have a substantial presence in State contracts and strongly contribute to the economies of the State and the nation. In recognition of their economic activity and leadership in doing business in New York State, applicants for this solicitation are strongly encouraged and expected to consider New York State businesses in the fulfillment of the requirements of the contract(s) resulting from this solicitation. Such partnering with New York State businesses may be as subcontractors, suppliers, protégés or other supporting roles. To assist in demonstrating commitment to the use of New York State businesses in the performance of the contract(s), all applicants must complete the form provided on the DCJS website at <http://www.criminaljustice.ny.gov/ofpa/forms.htm> entitled: *Encouraging Use of New York State Businesses in Contract Performance* and submit the completed form as an attachment to their application in GMS. There are no points attributable to this component of the application.

Use of Service-Disabled Veteran-owned Business Enterprises in Contract Performance

Article 17-B of the Executive Law enacted in 2014 acknowledges that Service-Disabled Veteran-Owned Businesses (SDVOBs) strongly contribute to the economies of the State and the nation. As defenders of our nation and in recognition of their economic activity in doing business in New York State, bidders/proposers for this contract for commodities, services or technology are strongly encouraged and expected to consider SDVOBs in the fulfillment of the requirements of the contract. Such partnering may be as subcontractors, suppliers, protégés or other supporting roles. SDVOBs can be readily identified on the directory of certified businesses at <https://ogs.ny.gov/Veterans/>.

Bidders/proposers need to be aware that all authorized users of this contract will be strongly encouraged to the maximum extent practical and consistent with legal requirements of the State Finance Law and the Executive Law to use responsible and responsive SDVOBs in purchasing and utilizing commodities, services and technology that are of equal quality and functionality to those that may be obtained from non-SDVOBs. Furthermore, bidders/proposers are reminded that they must continue to utilize small, minority and women-owned businesses consistent with current State law. Utilizing SDVOBs in State contracts will help create more private sector jobs, rebuild New York State's infrastructure, and maximize economic activity to the mutual benefit of the contractor and its SDVOB partners. SDVOBs will promote the contractor's optimal

performance under the contract, thereby fully benefiting the public sector programs that are supported by associated public procurements.

Public procurements can drive and improve the State's economic engine through promotion of the use of SDVOBs by its contractors. The State, therefore, expects bidders/proposers to provide maximum assistance to SDVOBs in their contract performance. The potential participation by all kinds of SDVOBs will deliver great value to the State and its taxpayers.

Bidders/proposers can demonstrate their commitment to the use of SDVOBs by responding to the questions on the form located at http://www.criminaljustice.ny.gov/ofpa/pdfdocs/Veteran_Owned_Business_Form.pdf and attach the completed form, along with your Application, to the NYS Division of Criminal Justice Services' Grants Management System (GMS). There are no points attributable to this component of the application.

Standard Contract Provisions

Any contracts negotiated as a result of this solicitation will be subject to the provisions of Appendix A, Appendix A-1, Appendix C and Appendix M, which contain the standard clauses for all New York State grant contracts with DCJS. Appendices are available on the DCJS website at <http://www.criminaljustice.ny.gov/ofpa/forms.htm>.

Minority and Women-Owned Business Enterprises (M/WBE) and Equal Employment Opportunity (EEO) Requirements

DCJS recognizes its obligation under New York State Executive Law Article 15-A to promote opportunities for the participation of certified minority- and women-owned business enterprises (M/WBEs), as well as the employment of minority group members and women in the performance of DCJS contracts.

Contracts in excess of \$25,000 require grant recipients to document good faith efforts to provide meaningful participation by M/WBEs as subcontractors or suppliers in the performance of grant contracts, as well as the employment of minority group members and women.

Accordingly, applicants requesting in excess of \$25,000 must be prepared to submit a Local Assistance M/WBE Subcontractor/Supplier Utilization Proposal Form (DCJS-3301), and a Local Assistance M/WBE NPS Discretionary Budget Determination Worksheet (DCJS-3309). For contracts in excess of \$250,000 applicants must also submit an M/WBE Equal Employment Opportunity Staffing Plan (DCJS-3300). All forms are located at <http://www.criminaljustice.ny.gov/ofpa/mwbe/index.htm>.

DCJS will review the submitted Local Assistance M/WBE Equal Employment Opportunity Staffing Plan, the Local Assistance M/WBE Subcontractor/Supplier Utilization Proposal Form, Local Assistance M/WBE NPS Discretionary Budget Determination Worksheet, and Minority and Women-Owned Business Enterprises and Equal Employment Opportunity Policy Statement and advise the applicant of DCJS' acceptance once an award determination is made. For additional information regarding M/WBE requirements see also <http://www.criminaljustice.ny.gov/ofpa/forms.htm>. There are no points attributable to this component of the application.

Vendor Responsibility

Not-for-Profit entities that are receiving an award of \$100,000 or greater are required to complete an updated Vendor Responsibility Questionnaire. The questionnaire and additional information are available on the NYS Office of State Comptroller website: <http://www.osc.state.ny.us/vendrep/>. Any not-for-profit sub-grantees must also complete a Vendor Responsibility Questionnaire.

Charities Registration

Not-for-Profit entities must also insure that their filing requirements are up-to-date with the Charities Bureau of the NYS Attorney General's Office. Further information on the registration requirements may be obtained at the Attorney General's website:

<http://www.charitiesnys.com/home.jsp>.

Data Universal Numbering System (DUNS) Registration Requirements

All DCJS funding applicants are required to provide a DUNS number. If you are unsure whether or not your organization has a DUNS number, check with your Fiscal Officer. New applicants will enter the DUNS number in GMS while completing the Participant section; existing DCJS grantees whose DUNS number is not already on file should email the number to funding@dcjs.ny.gov to have it entered by DCJS staff prior to submission of the application. Any organization needing a DUNS number can register through the following link: <http://fedgov.dnb.com/webform> Please note the process of requesting and receiving a DUNS number and/or having it entered into GMS by DCJS staff will require additional time. It is strongly recommended that applicants begin this process early.

XI. PROPOSAL SUBMISSION

A. Grants Management System (GMS)

Proposals must be submitted to DCJS using the Grants Management System (GMS). First time GMS users should download the GMS User Manual located at <http://www.criminaljustice.ny.gov/ofpa/gms.htm>. Proposals must be complete in order for the GMS submission to be successful. If you need assistance with accessing and using GMS, please contact the DCJS Office of Program Development and Funding GMS Help Desk at (518) 457-9787. **The DCJS Office of Program Development and Funding (OPDF) GMS Help Desk is available Monday through Friday between the hours of 9:00 am and 5:00 pm. However, applicants should note specific RFP submission deadlines.**

The following information is specific to this solicitation. For general guidance and GMS Helpful Hints see Appendix: *Grants Management System (GMS) Instructions and Helpful Hints*.

Submitting a Proposal on GMS

To submit a new proposal on GMS, log on to the system and click on "Project." Click the "New" button at the top of the project grid. This will take you to a screen that says "Select a Program Office." Using the drop-down box, find and select the particular name of program ALTERNATIVE TO INCARCERATION PROGRAMS AND SERVICES. Click

“Create Project.” Your proposal will now be ready to complete.

Applicants are encouraged to complete the proposal early as well as the GMS registration and/or pre-qualification on the NYS Grants Gateway System, where applicable, to avoid any concerns with these automated systems. Grants Gateway prequalification and GMS signatory registration **must** be complete prior to the submission of a proposal.

Each submission will consist of, but not be limited to, the following components that must be completed using GMS:

- Participant name(s);
- Contact information for all participating agencies per application;
- Program specific questions;
- Project budget; and
- Project Work Plan.
- Any required attachments, such as letters of support, as indicated

When all of the above requirements and GMS Application components are completed, click the “**Submit**” button. GMS will review the application for completeness. If any fields are missing, a report will display what remains to be completed. Once all fields are complete and you submit successfully, GMS will display a screen that says “*Your application has been submitted.*”

XII. PROPOSAL CHECKLIST

- Not-for-Profit Applicants ONLY: Complete Grants Gateway Prequalification Requirements – See Appendix: *Grants Gateway Prequalification Requirement*
- All Applicants: Complete all DCJS Grants Management System (GMS) Registration Requirements – See Appendix – *DCJS Grants Management System (GMS) Instructions and Helpful Hints.*
- Complete all necessary contractual requirements as described in Section: *Administration of Contracts.*
- Answer Program Narrative Questions in *QUESTIONS* TAB in GMS and also attach the answers on a Word Document to GMS.
- Complete Attachment 1: *Budget Detail Worksheet and Narrative Form*
- Complete Attachment 2 B-1 *Program Performance Milestones and Costs*
- Complete the Work Plan – See *RFP specific requirements.*
- Jail-based programs must include a Letter of Support from the Sheriff or Jail Administrator as outlined in section III subsection B-3.

APPENDIX: Webinar Bidder's Conference Information

Topic: 2017 ATI RFP

Date and Time:

Thursday, June 29, 2017 3:00 pm, Eastern Daylight Time (New York, GMT-04:00)

Event number: 641 394 012

Event password: 2017ATIRFP

To join the online event

1. [Click here](#) to join the online event.

Or copy and paste the following link to a browser:

<https://meetny.webex.com/meetny/onstage/g.php?MTID=e4574fa966cc9d5ef4cc8d4d45b3a46a6>

2. Click "Join Now".

To join the audio conference only

To receive a call back, provide your phone number when you join the event, or call the number below and enter the access code.

US Toll Free: 1-844-633-8697

Local: 1-518-549-0500

Toll-free dialing restrictions: https://www.webex.com/pdf/tollfree_restrictions.pdf

Access code: 641 394 012

APPENDIX: Grants Gateway Prequalification Requirement – Not for Profit Applicants Only

Grants Gateway Pre-Qualification

Not-for-profit applicants **must** be pre-qualified through the New York State Grants Gateway prior to the application submission deadline in order to be eligible for awards under this funding. **Applicants are strongly encouraged to begin this process as soon as possible.**

Pursuant to the New York State Division of Budget Bulletin H-1032, dated June 7, 2013, New York State has instituted key reform initiatives to the grant contract process, which require not-for-profits to register in the Grants Gateway and complete the Vendor Prequalification process in order for proposals to be evaluated. Information on these initiatives can be found on the [Grants Reform Website](http://www.grantsreform.ny.gov/) at <http://www.grantsreform.ny.gov/>.

Specific questions about the prequalification process should be referred to your agency representative or to the Grants Reform Team at grantsreform@budget.ny.gov.

Once your Prequalification Application has been approved, you will receive a Gateway notification that you are now prequalified to do business with New York State.

Vendors are strongly encouraged to begin this process as soon as possible in order to participate in this opportunity.

APPENDIX: DCJS Grants Management System (GMS) Instructions and Helpful Hints

GMS Helpful Hints: See Proposal/Application for additional specific GMS directions.

First time GMS users should download the GMS User Manual located at <http://www.criminaljustice.ny.gov/ofpa/gms.htm>. Persons familiar with GMS can use the following simplified guidelines:

Getting Started: Sign on to GMS.

Click "Project" to go to project grid. Click the "New" button at the top of the project grid. This will take you to a screen that says "Select a Program Office" in a drop-down box format. Find and highlight ALTERNATIVE TO INCARCERATION PROGRAMS AND SERVICES then click "Create Project."

This begins your application. You may work on the application, save and return to it at a later time, except as noted below. Note that GMS will time out after 30 minutes of inactivity. That means that you should save your work frequently. Each save re-sets the timer.

In the newly-created project complete the following modules which are listed across the top of the screen:

General - Complete the text screens and press save.

Participants/Contacts - Complete the text screens and press save.

Click on "Add Participant" and in the search prompt that appears type in your agency name. This should take you to a list, find your agency, and click in the blue section of your agency name. This will prompt a drop down list that defaults to "Grantee." Click "Add." If there will be a separate Implementing Agency, repeat the process, choosing "Implementing Agency" as the Participant Type. In the event your agency is not listed, click the "New" button to add your agency to our database. Please complete all required information on the screen, including the Employer Identification Number (EIN) before you SAVE the entry. GMS will only allow one attempt then locks the entry to edits. Should you still need additional information added to the Participant record, please call GMS Help at (518) 457-9787.

Scroll to the bottom of the screen to add contact information. Click on "Add Contact" and in the search prompt that appears type in the last name of the person to be added. This should take you to a list. Find the person to be added and click in the blue section of the name. This will prompt a drop down list that defaults to "Primary." Ensure you do this until you have added a minimum of three contacts: Primary, Signatory and Fiscal. In the event that the contact you are attempting to add does not appear in a search, click the "New Contact" button to add the contact to our database.

Note: If the signatory you try to add is not eSignature registered, you will get an error message and will not be allowed to add that person at that time. You will NOT be able to submit the application without a signatory attached.

Budget - See Application for additional specific instructions.

Work plan - In the GMS work plan module, enter the Project Goal, Objectives, Tasks and Performance Measures. **(See Appendix: Standard Performance Milestones by Program Type.)**

- Fill in the “Project Goal” text box and click “Save.”
- Click “Create New Objective” and fill in the text box and click “Save.”
- Click “Add Task to this Objective” and fill in the text box and click “Save.”
- Click “Add Performance Measure to this Task” and fill in the text box and click “Save.”

Questions (where applicable and when the solicitation includes questions) -

Answer all required program narrative and budget information questions.

Hint: Answers should be developed in Word. GMS will time out after 30 minutes and unsaved material will be lost. Cutting and pasting from a Word document will prevent the loss of any work.

Attaching Items to GMS -

Click on “Attachment,” and upload the required attachments for this solicitation. Note: Follow the instructions in the GMS User’s Manual for Attachments; also, see screen instructions for accepted file types and advice on file names.

Remember: Failure to submit required documents will be considered the same as failure to meet the deadline for application submission. This may result in a non-award due to the application being untimely.

When all requirements are completed, click the “Submit” button. If any fields are missing, a report will display what remains to be completed. Once all fields are complete and the application is submitted, GMS will display a screen that says “*Your application has been submitted.*” In addition, GMS will send an email notification to the Signatory official listed on the application to make him or her aware that an application has been submitted on your jurisdiction’s or organization’s behalf.

APPENDIX: ATI RFP: Program Services and Required Performance Milestones by Program Type

Required Services	Optional Services	Required Milestones and File Documentation
<p>*ROR Screening FTA Assessment Release recommendation made to court Notification of court appearance</p>	<p>Include jails or high-volume town/village courts, if feasible and cost effective</p>	<p>1) Persons Interviewed <i>Tasks:</i> FTA Assessment; verification of information (if available).</p> <p>2) Persons Released <i>Tasks:</i> Release Recommendation to court; provide next court date to individual.</p> <p>Documentation in file: Assessment, court recommendation, and next court date.</p>
<p>*RUS Screening FTA assessment Release recommendation made to court Case management/supervision or Monitor based on risk of FTA Notification of court appearance Referrals of participants to service providers as directed by the court</p>	<p>Include jails or high-volume town/village courts, if feasible and cost effective Needs assessment Short-term CBI</p>	<p>1) Persons Interviewed <i>Tasks:</i> FTA Assessment; verification of information (if available).</p> <p>2) Persons Released <i>Tasks:</i> Release recommendation to court; Review court ordered conditions; enroll in services ordered in court conditions (if available); supervision based on risk of FTA and need; provide court appearance dates to individual under supervision.</p> <p>3) Completion of Supervision <i>Tasks:</i> Participant participating in services as applicable; attendance at court appearances as scheduled; or disposition reached in court case.</p> <p>Documentation in file: Assessment; Verification of information (if available); recommendation to court; RUS order, court conditions (if applicable); progress notes; court dates and disposition.</p>

Required Services	Optional Services	Required Milestones and File Documentation
<p>*DBA Screening Risk/need assessment Develop Client-Specific Plan Report to court Approval of plan by the court</p>	<p>Case Management/supervision Employment services Educational services Vocational services CBI</p>	<p>1) Client Specific Plans Prepared <i>Tasks:</i> Risk Assessment; Responsivity Assessments and other assessments as identified; psychosocial evaluation; Interview form; court documentation/information; collateral information; completed and approved referrals.</p> <p>2) Client Specific Plans Accepted <i>Tasks:</i> Comprehensive plan presented to the court with recommendation; court approval.</p> <p>Documentation in file: Assessments, psychosocial or interview; Collateral notes; referrals; court approval documentation.</p>
<p>*PVRC Screening Risk/need assessment Case management Referrals to treatment/other services Communication with referring probation department CBI Employment services</p>	<p>Other stabilization services</p>	<p>1) Persons Screened/Cases Reviewed with Referral Source <i>Tasks:</i> Case conference with Probation Department; court information; probation conditions and risk assessment.</p> <p>2) Persons Intaked <i>Tasks:</i> Responsivity assessments; create a case plan based on the criminogenic needs identified and conditions of probation; enroll in CBI provided; complete referral to other services as identified; begin urinalysis tests (if applicable).</p> <p>3) Persons Retained <i>Tasks:</i> Retained for 30 days; continue engagement in CBI; begin or continue</p>

<u>Required Services</u>	<u>Optional Services</u>	<u>Required Milestones and File Documentation</u>
PVRC, continued		<p>employment readiness; engage in referral services as identified; continue urinalysis testing (if applicable).</p> <p>4) Persons Completing Program <i>Tasks:</i> Completion of both CBI and employment readiness; reassessment; compliance with referrals and probation conditions; continued on probation; prepare discharge plan.</p> <p>Documentation in file: Assessments, case plan, CBI and employment readiness enrollment and completion documentation; urinalysis test results (if applicable); case notes; program service(s) discharge plan.</p>
<p>*TASC Model Programs Screening Risk/Need Assessment Referrals to treatment services Court case monitoring</p>	<p>CBI Employment readiness services Educational services Vocational services Mental health services Substance abuse services Case management</p>	<p>1) Persons Assessed <i>Tasks:</i> Discuss jail alternative and treatment Risk/Need Assessment; Responsivity assessments; interview; referrals</p> <p>2) Persons Intaked <i>Tasks:</i> Develop treatment plan based on assessment; present plan to court; participant agreement to participate in program; enroll in interventions identified in the treatment plan; report to program professional as directed; continue urinalysis (if applicable)</p> <p>3) Persons Retained <i>Tasks:</i> Retained for 90 days; engage in interventions; report to program professional as directed including court; reassessment; urinalysis results</p> <p>4) Persons Completing Program <i>Tasks:</i> Retained in program for 270 days or complete services; Report to program professional as directed; maintain sobriety (if applicable); Prepare discharge plan;</p>

<u>Required Services</u>	<u>Optional Services</u>	<u>Required Milestones and File Documentation</u>
<p>TASC, continued</p>		<p>judicial outcome documentation (if applicable); update discharge plan</p> <p>Documentation in file: Assessments; toxicology testing (if applicable); case file progress notes; discharge plan (if applicable).</p>
<p>*Jail Based Screening Risk/need assessment CBI Discharge plan</p>	<p>Case management Employment services Educational services Vocational services</p>	<p>1) Persons Intaked/Assessed into Program <i>Tasks:</i> Complete risk assessment and intake forms; determine eligibility; enrolled in program and CBI group as provided; engage in other program services (if applicable).</p> <p>2) Persons Reaching CBI Mid-point <i>Tasks:</i> At least 50% completion of CBI curriculum; engagement in other services being provided in addition to case plan driven by assessment (if applicable).</p> <p>3) Persons Completing CBI <i>Tasks:</i> Complete all sessions of CBI provided.</p> <p>4) Program Completion <i>Tasks:</i> Written discharge plan that provides for stabilization services and referrals, in collaboration with individual; make and document referrals made at discharge.</p> <p>Documentation in file: Assessments, interview, CBI attendance, other service documentation (if applicable); discharge plan; documentation of referrals.</p>
<p>*Other ATI Programs Screening Risk/need assessment CBI</p>	<p>Case management Referral to treatment services Reporting to the court Employment services Educational services Vocational services Mental health services Substance abuse services</p>	<p>1) Persons Assessed/Evaluated <i>Tasks:</i> Discuss jail alternative and treatment Risk/Need Assessment; Responsivity assessments; interview; referrals.</p> <p>2) Persons Intaked <i>Tasks:</i> Assign program professional; develop treatment plan based on assessments.</p> <p>3) Persons Retained at Program Mid-point <i>Tasks:</i> Enroll and engage in service interventions and CBI for 180 days; meet with program professional as directed; maintain participation or engagement in CBI.</p>

<u>Required Services</u>	<u>Optional Services</u>	<u>Required Milestones and File Documentation</u>
Other ATI Programs, continued		<p>4) Program Completion <i>Tasks:</i> Remain in service intervention(s) for 270 days or program completion; completion of CBI; reassessment; discharge plan.</p> <p>Documentation in file: Referral packet; intake packet; case file; assessment; reassessment; program notes; group sign in sheets (if applicable); discharge plan.</p>

* Applicants that propose to provide optional services that include CBI and/or Employment Readiness may include Enrollment and a Completion of CBI/employment readiness as additional milestones. For optional services that are not CBI or Employment Readiness, each additional service should be listed as a separate task within the requisite milestones. Include cost of providing these optional services into the total cost of each milestone unit. This is a value based contract, therefore, DCJS is seeking programs that provide the most comprehensive services for the best cost.

APPENDIX: Risk and Needs and Other Approved Assessment Instruments

Programs awarded funding under this RFP will be required to utilize risk and needs information to inform programming and must have a formal process to determine risk of recidivism and assess the needs of participants.

Risk assessment must be conducted using a New York State approved, validated assessment instrument. When describing their referral and intake process, applicants must detail the risk assessment instrument that will be utilized and advise whether the assessment will be performed by the program or received from the referral source.

Applicants must also have a process to obtain participant needs information that supports the delivery of appropriate services based on offender need. **Programs must describe what needs assessment instruments they plan to use and detail how the information garnered from the needs assessment(s) will be utilized.**

Information on the various NYS supported COMPAS risk and needs assessment instruments and other common needs assessment instruments follows:

NYCOMPAS- Risk and Needs Assessment for Probationers and ATI Program Participants

- NYCOMPAS was developed for use on probationer populations and is currently used by all 57 probation departments outside New York City. Numerous state funded Alternatives to Incarceration (ATI) programs also use NYCOMPAS to assess participants.
- Research has shown that 54% of probationers assessed as *High Risk*, 33% assessed as *Medium Risk*, and 17% assessed as *Low Risk* using NYCOMPAS were rearrested for a felony or misdemeanor within two years of the start of the probation sentence¹.
- NYCOMPAS is available for use free of charge to probation departments and community corrections (ATI) providers on the Integrated Justice Portal, a secure criminal justice network.
- There are several scale sets within NYCOMPAS assessing risk of recidivism, risk of violence, substance abuse and vocational/education and cognitive needs. The scale sets vary in length and the determination of which scale set is most appropriate for use will depend on the program model and what, if any, additional needs assessment instruments the program plans to use.
- Applicants who will be serving probationer populations should seek to obtain the NYCOMPAS assessment, or other DCJS approved instrument, that has already been completed by the probation department. Applicants serving court referred participants

¹ NYS Division of Criminal Justice Services

may use any of the three versions of the NYCOMPAS to assess risk, or may use another validated instrument.

- Depending on the specific referral arrangement, a full NYCOMPAS instrument, a NYCOMPAS summary page, or an individual's risk level may be available from a referring probation agency. Programs may need to conduct additional needs assessments during participant intake.
- Samples of each variety of NYCOMPAS follow this Appendix

Women's Risk Needs Assessment (WRNA)

- The Women's Risk Needs Assessment (WRNA) is a gender-specific actuarial risk and needs assessment that was developed through a partnership between the National Institute of Corrections and the University of Cincinnati. Designed to properly account for women's risk factors and criminogenic needs associated with women's recidivism. The WRNA assessment process involves a case file review, a semi-structured interview, a written survey, and a case management treatment plan, all specifically tailored for use with women offenders. The WRNA instrument will soon be available via the COMPAS suite of the Integrated Justice Portal for use by persons who have been trained in its administration. A network of Certified WRNA Trainers exists throughout the state. During RFP contract negotiations DCJS' OPCA Training Unit may be contacted to identify WRNA trainers. See Appendix: *Training Opportunities Offered by DCJS* for additional information.

Other Potentially Relevant Needs Assessments and Screening Instruments (non-exhaustive):

Work Readiness Assessments

- Work Readiness Assessments are typically a structured series of questions about a person's employment history; educational accomplishments; and attitude/motivation toward work. A work readiness assessment can help a program determine what type of services a participant needs prior to being ready to be placed in to job. Examples of work readiness assessments include:
 - Employment Quick Screen
 - National Institute of Corrections' (NIC) Identifying and Managing Barriers

Career Assessment

- Career assessments are used to help individuals learn more about their interests, work values, skills and barriers. Programs may wish to administer a career assessment to identify appropriate employment choices and ensure a good job-to-interest match.

Examples of career assessments include:

- O*Net Interest Profiler
- Interest and Skills Checklist
- Krumboltz Career Beliefs Inventory
- Harrington/O'Shae CDMS

Educational Assessment

- An educational deficit can often be a significant barrier to obtaining employment. For program participants who do not have a high school diploma or GED, or in instances where there is evidence that a participant has challenges with literacy or math, an educational assessment can help identify areas of need for pre-employment remediation. Examples of educational assessments include:
 - Test of Adult Basic Education (TABE)
 - Wide Range Achievement Test (WRAT)

Motivational Assessment

- Motivational assessments are used to gauge motivation to change among treatment-seeking individuals. Programs are encouraged to assess participant motivation to determine appropriate levels of intervention responsiveness and to enhance the development of individual participant case plans. Examples include:
 - **University of Rhode Island's Change Assessment (URICA)**

Mental Health Assessment

- Co-occurring mental health disorders are common in justice-involved populations. A mental health screen such as the Correctional Mental Health Screen (CMHS) may be performed to identify participants who may benefit from a referral to specialized services concurrently to addressing their employment-related needs.

Note: Individuals with serious mental illnesses (SMI) may not be appropriate for the employment services funded with this RFP.

Substance Abuse Assessment

- Similar to mental health, substance abuse can be a common impediment among justice involved populations. As many employment opportunities require drug testing as a condition of employment, a program may want to conduct a substance abuse assessment to identify participants that are drug users or who have an addiction problem. Some individuals may have a substance abuse situation that rises to the level where concurrent substance abuse treatment via referral may benefit the individual and allow a greater chance of a successful employment placement. Examples of substance abuse assessments include:

- Texas Christian University (TCU) Drug Screening II
- Substance Abuse Subtle Screening Inventory (SASSI)
- Simple Screening Instrument for Substance Abuse (SSI-SA)

Criminal Thinking Assessments

- TCU Criminal Thinking Scales
- HIT (How I Think)

COMPARISON OF NYS COMPAS ASSESSMENT INSTRUMENTS

		NY COMPAS (Probation)			Re-entry COMPAS (Parole)
		Full NY COMPAS	Screeners Input with Recidivism	Violence & Recidivism with Sub Abuse	DOCCS Reentry
Included Scales		95 Questions	39 Questions	22 Questions	74 Questions
Overall Risk	Any Rearrest Risk	X	X	X	X
	Violent Rearrest Risk	X	X	X	X
	Failure to Appear	X			
	Abscond Risk				X
Criminal Involvement	Criminal Involvement	X	X	X	X
	History of Non-Compliance	X	X		
	History of Violence	X	X		X
	Prison Misconduct				X
Substance Abuse	Substance Abuse	X	X	X	X
Associates/ Relationships	Few Pro-Social Peers	X	X		
	Criminal Associates/Peers	X	X		X
Social Engagement /Social Exclusion	Social Isolation	X			
	Life Goals/Idleness	X			
	Financial Problems	X			X
	Vocational/Ed Problems	X	X	X	X
	Social Environment	X	X		
Personality	Impulsivity	X			
	Anger	X			X
	Criminal Personality				X
	Criminal Thinking Self-Report				X
Attitudes	Criminal Attitude	X	X		
	Respectful/Mistrust	X			
	Responsivity Problems	X	X		
	Negative Social Cognitions				X
	Low Self-Efficacy/Optimism				X
Family	Few Family Supports	X	X		X
	Family Criminality	X	X		
Mental Health	Depression	X	X		

Risk Assessment

PERSON			
Name: [REDACTED]	NYSID: [REDACTED]	DIN: [REDACTED]	DOB: [REDACTED]
Race/Ethnicity: [REDACTED]	Gender: [REDACTED]	Agency: NYS Probation	

ASSESSMENT INFORMATION			
Case Identifier: [REDACTED]	Scale Set: Full COMPAS Assessment v3	 Screener: [REDACTED]	Screening Date: [REDACTED]

SCREENING INFORMATION	
Marital Status:	Single
Custody Status:	ROR
Legal Status:	Pre-Plea/PSI
Probation Start Date:	

Overall Risk Potential

Risk	Score	Level
Violent Recidivism Risk	7	Med Risk
Recidivism	6	Med Risk
Failure to Appear	4	Low Risk

Criminogenic Need Scales

Category	Item	Score	Level
Criminal Involvement	Criminal Involvement	5	Medium
	History of Non-Compliance	5	Medium
	History of Violence	10	High
Attitudes	Criminal Attitude	1	Unlikely
	Resentful/Mistrust	6	Probable
	Responsivity Problems	6	Probable
Associates	Few Pro-Social Peers	4	Unlikely
	Criminal Associates/Peers	5	Probable
Personality	Impulsivity	2	Unlikely
	Anger	9	Highly Probable
Family	Few Family Supports	1	Unlikely
	Family Criminality	1	Unlikely
Substance Abuse			

FULL NY COMPAS (Continued)

Substance Abuse	7	Highly Probable							
Social Engagement									
Life Goals/Idleness	6	Probable							
Financial Problems	7	Probable							
Vocational/Educational Problems	7	Probable							
Social Environment	1	Unlikely							
Social Isolation	8	Highly Probable							
Mental Health									
Depression	10	Highly Probable							

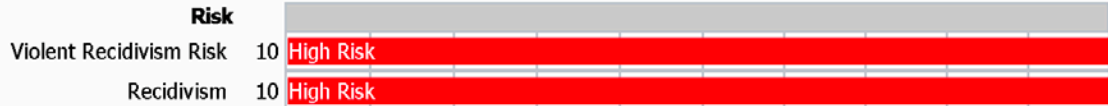
Risk Assessment

PERSON			
Name: [REDACTED]	NYSID: [REDACTED]	DIN: [REDACTED]	DOB: [REDACTED]
Race/Ethnicity: [REDACTED]	Gender: [REDACTED]	Agency: NYS Probation	

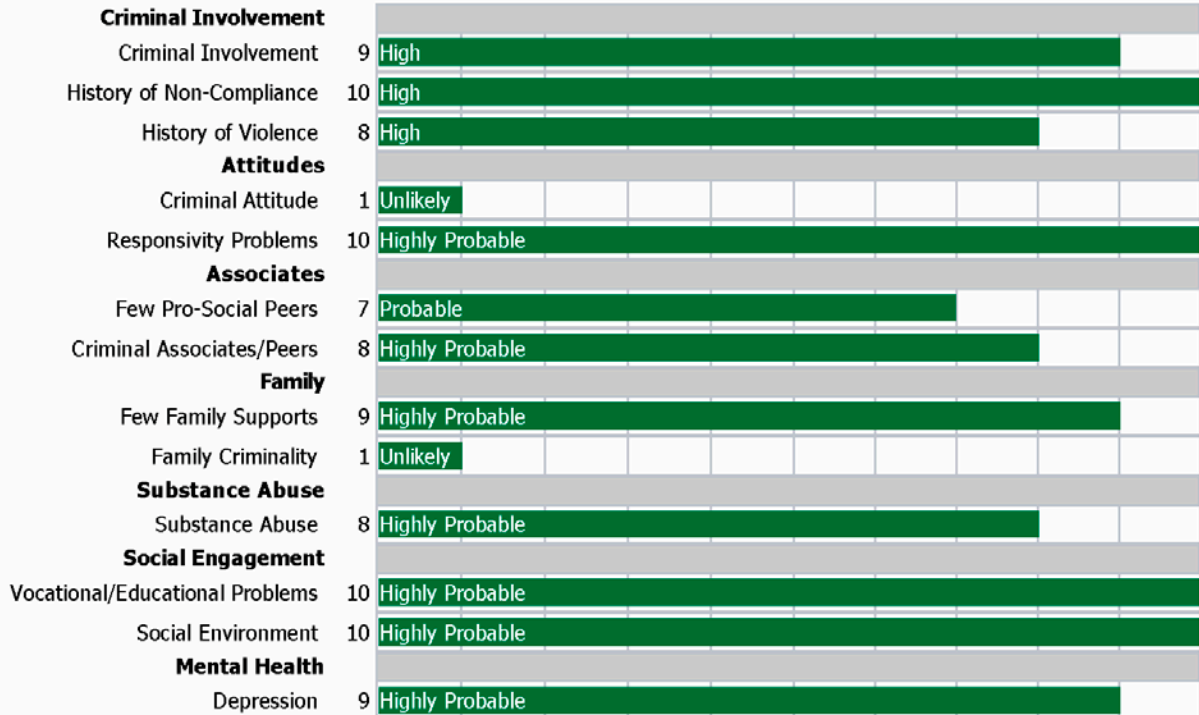
ASSESSMENT INFORMATION			
Case Identifier: [REDACTED]	Scale Set: Screener Input Only w/Recidivism v3	Screener: [REDACTED]	Screening Date: [REDACTED]

SCREENING INFORMATION	
Marital Status:	Single
Custody Status:	Inmate
Legal Status:	Pre-Plea/PSI
Probation Start Date:	

Overall Risk Potential



Criminogenic Need Scales



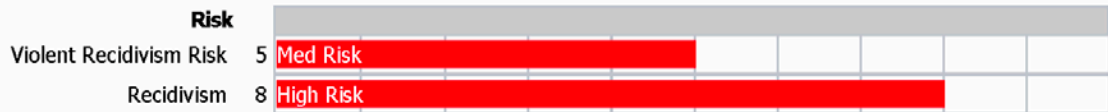
Risk Assessment

PERSON			
Name:	NYSID:	DIN:	DOB:
Race/Ethnicity:	Gender:	Agency:	
		NYS Probation	

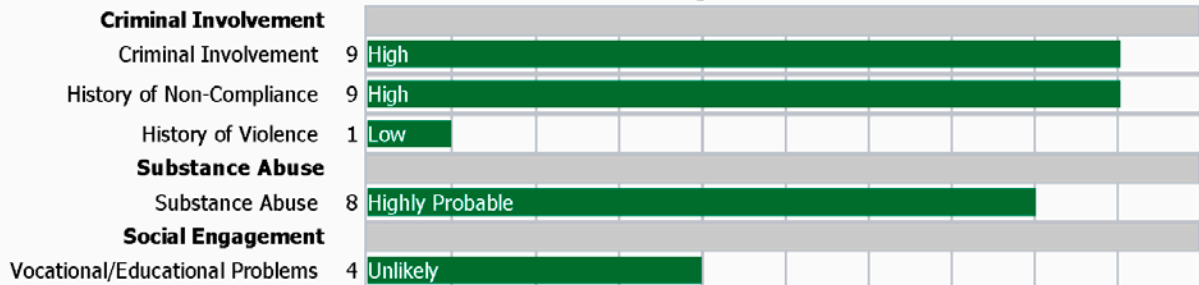
ASSESSMENT INFORMATION			
Case Identifier:	Scale Set:	Screener:	Screening Date:
	Violence and Recidivism Risk w/Sub. Abuse Scale v3		

SCREENING INFORMATION	
Marital Status:	Separated
Custody Status:	ROR
Legal Status:	Pre-Plea/PSI
Probation Start Date:	

Overall Risk Potential



Criminogenic Need Scales



REENTRY COMPAS (Parole): 74 Questions

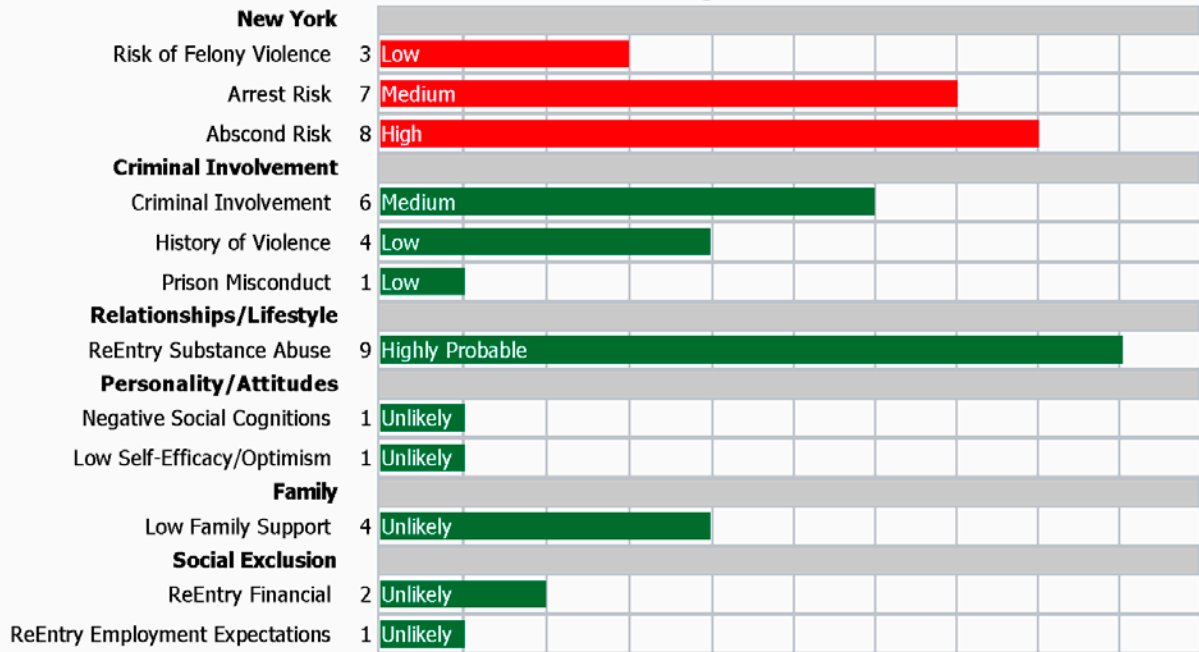
Risk Assessment

PERSON			
Name: [REDACTED]	NYSID: [REDACTED]	DIN: [REDACTED]	DOB: [REDACTED]
Race/Ethnicity: [REDACTED]	Gender: [REDACTED]	Agency: NYS DOCCS	

ASSESSMENT INFORMATION			
Case Identifier: [REDACTED]	Scale Set: NY State Parole Risk (v. 3: Arrest, VFO, Absc)	 Screener: [REDACTED]	Screening Date: [REDACTED]

SCREENING INFORMATION	
Marital Status:	Single
Prison Admission Status:	Parole Violator
Prison Release Status:	Re-parole same term/sentence

Criminogenic Need Scales



APPENDIX: Training Opportunities Offered by DCJS

The importance of current and comprehensive training for community corrections practitioners cannot be overemphasized. DCJS offers distance learning and live training to all levels of community corrections practitioners, including probation officers and other community corrections and alternative-to-incarceration professionals. The trainings are designed to promote the use of evidence-based practices and to increase program effectiveness through improved fidelity between program design and program delivery. Applicants selected for funding under this RFP will be prioritized to participate in DCJS sponsored training, subject to availability, in the following areas:

NYCOMPAS Risk and Needs Assessment training – Delivered as either a one or two day course, COMPAS training is intended to provide users with hands on experience using the COMPAS instrument. The goals of this training are to enable participants to appropriately administer a COMPAS assessment, properly interpret the COMPAS results/report, and effectively translate the information about an offender's criminogenic needs into a case plan that identifies appropriate services.

Offender Workforce Development Specialist (OWDS) training – DCJS provides OWDS Training in collaboration with the National Institute of Corrections (NIC). Trainees receive intensive, competency-based instruction that includes approximately 180 hours of classroom training, e-learning modules, and practicum experience. The classroom training is delivered in three separate weeks for a total of 15 classroom days, and is administered over the course of several months. Participants must complete practicum assignments during the intervals between classroom instructions. Certification as an Offender Workforce Development Specialist is a prerequisite for delivering the **Ready, Set, Work! (RSW!)** job readiness curriculum.

Thinking for a Change (T4C) training – Offered as either a four-day in-person course or as a blended learning model involving both in-person and online learning, this training prepares participants to facilitate the National Institute of Corrections' (NIC) Thinking for a Change cognitive behavioral intervention. Participants will be taught the skills necessary to target an individual's thinking including understanding the foundations of cognitive-behavioral approaches, and being able to articulate the core principles and components of T4C. Participants will also be given the opportunity to practice facilitating each of the three core components of the T4C intervention: cognitive self-change, social skills improvement and problem solving.

Motivational Interviewing training - Motivational Interviewing (MI) is an offender-centered approach that seeks to bring about change through the reduction of ambivalence and resistance to efforts that promote such change. The course will outline the theory underlying the philosophical tenets of motivational interviewing and provide methods and techniques for its implementation. Participants will also have an opportunity to practice the skills learned during the training.

Women's Risk Needs Assessment (WRNA) training – Administered over the course of three days, this training will provide participants with the skills and knowledge required to effectively administer and interpret the results of the Women's Risk Needs Assessment (WRNA) instrument that will soon be available via the COMPAS suite of the Integrated Justice Portal. Participants will

be trained to properly administer the various components of the WRNA assessment process including performing a case file review, the interview and written survey components, and how to properly assemble a case management treatment plan that provides or makes referrals to appropriate services.

Training Costs

DCJS will be offering limited trainings through March 2018. Programs are encouraged to include funding in their budgets for staff attending trainings, as needed.

APPENDIX: Pre-Approved Cognitive Behavioral and Job Readiness Curricula

Cognitive behavioral interventions (CBI) and job readiness are required elements of all program interventions funded this RFP. (See Program Description section IIIA: *Program Design* and Section IIIB: *Required Program Elements*). Information on pre-approved CBI and job readiness curricula follows. Applicants may propose to use another appropriate CBI or job readiness curricula of their choosing however, any non-pre-approved curriculum must be explained in detail and requires DCJS written approval.

Pre-Approved Cognitive Behavioral Curricula

1) Thinking for a Change

Thinking for a Change (T4C) is a cognitive-behavioral curriculum developed by the National Institute of Corrections that concentrates on changing the criminogenic thinking of offenders. T4C includes cognitive restructuring, social skills development, and the development of problem-solving skills. Active role play is encouraged and participants complete homework exercises to reinforce content learned. T4C includes three components:

- **Cognitive self-change:** Teaches participants a concrete process for self-reflection aimed at uncovering antisocial thoughts, feelings, attitudes, and beliefs.
- **Social skills:** Prepares participants to engage in pro-social interactions based on self-understanding and consideration of the impact of their actions on others.
- **Problem solving skills:** Integrates the two previous interventions to provide participants with an explicit step-by-step process for addressing challenging and stressful real life situations.

Curriculum Overview – 25 sessions, approximately 1.5 - 2 hours each in duration

- Lesson 1 provides an overview and introduction.
- Lessons 2-5 and 11-15 teach social skills.
- Lessons 6-10 teach the cognitive self-change process.
- Lessons 16-24 teach problem solving skills.
- Lesson 25 provides a wrap up of the program.

Lesson Format

- A facilitator and a co-facilitator are required for each lesson.
- Each lesson has trainer scripts and exercises.
- Lessons begins with a summary and rationale section in which the scope, breadth, and reason for teaching the lesson is provided.
- This is followed by concepts and definitions, which outline the key points of the lesson and any definitions necessary for the trainer to facilitate the lesson.

Group Size/Frequency

- 8-12 individuals
- Recommended: 2 sessions per week

Training - DCJS supports T4C by training and certifying facilitators to deliver the curriculum. Approximately 40 hours depending on training model. **Website:** <http://nicic.gov/t4c>

2) Moral Reconciliation Therapy (MRT)

Moral Reconciliation Therapy (MRT) is a systematic treatment strategy that seeks to decrease recidivism by increasing moral reasoning. This cognitive-behavioral approach combines elements from a variety of psychological traditions to progressively address ego, social, moral, and positive behavioral growth. MRT utilizes group and individual counseling, structured group exercises and prescribed homework assignments. The MRT workbook is structured around 16 defined steps (units) focusing on seven basic treatment issues. Specialized workbooks based on the fundamental MRT concepts also exist including workbooks addressing criminal thinking and job readiness.

Seven basic treatment issues:

- Confrontation of beliefs, attitudes, and behaviors
- Assessment of current relationships
- Reinforcement of positive behavior and habits
- Positive identity formation
- Enhancement of self-concept
- Decrease in hedonism and development of frustration tolerance
- Development of higher stages of moral reasoning

Dosage and Frequency

- 12-16 steps/units (13-16 are maintenance steps)
- 1.5 hour sessions
- Groups meet once or twice weekly
- Participant can generally complete all steps of the MRT program in ~~3 to 6 months~~ between 16 to 36 sessions.

Group Size – 6-15 individuals

Training

Training in Moral Reconciliation Therapy (MRT) is a monthly training held in Memphis and consists of 32 hours of training over 5-days. There are fees associated with the training and the instructor workbook. Please note prior written approval by DCJS is required before obligating or expending grant funds for out-of-state travel.

Website: www.ccimrt.com, <http://www.moral-reconciliation-therapy.com>

Pre-Approved Job Readiness Curriculum

1) Ready, Set, Work! (RSW!)

Ready Set, Work! is a 20-hour skill-based training designed to equip offenders and ex-offenders with the necessary skills and tools to obtain and retain quality employment. Emphasis is also placed on career planning and advancement, to encourage longevity in legitimate employment. RSW! can only be facilitated/administered by a certified Offender Workforce Development Specialists (OWDS) however community-based organizations, businesses and volunteers are often used to present selected segments of RSW! program. The RSW! Curriculum includes the following modules:

- Module 1: **Career Assessments**
- Module 2: **Legal Issues and Financial Incentives**
- Module 3: **Job Applications**
- Module 4: **Job Interviews**
- Module 5: **Budget and Spending Plan**
- Module 6: **Employer Expectations**
- Module 7: **Barriers and Resources**
- Module 8: **Job Retention**
- Module 9: **Job Search**
- Module 10: **Using the Local One Stop**

Dosage and Frequency

- 20 hours total
- 2 hour sessions
- Recommended: Two sessions per week

Group Size – 8-10 individuals; for more than 10 participants, there should be at least two facilitators.

Training - DCJS, in partnership with the National Institute of Corrections (NIC), facilitates the delivery of the 180 hour OWDS training. **Website:** <http://nicic.gov/training/owdsfy14>

APPENDIX: *General Operating Guidelines for DCJS Funded Community Corrections Programs*

A. Program Administration (applies to all programs receiving DCJS funding)

1. **Staff Training**: Staff are trained in the specific evidence-based practices and interventions used by the program. Initial training is provided before new staff begin delivering interventions. Ongoing training is provided for all staff. All assessments are conducted by individuals who have completed training recommended by the developer of the specific instrument used.
2. **Target Population**: The program has written eligibility and exclusionary criteria to assist staff in determining which prospective participants are admitted into the program and to identify situations where an individual should be referred to an alternate program.
3. **Referral Mechanism**: The program maintains a referral network and referring organizations are aware of the criteria for eligibility and exclusion from the program.
4. **Completion Criteria**: Clear criteria for program discharge considers an individual's progress in developing pro-social behaviors and attitudes, completion of individual case plans, and completion of group curricula, where applicable.
5. **Record Keeping**: Complete and accurate records include assessment results, case plans with progress notes, and discharge plans with referrals for continued services, where applicable.
6. **Quality Assurance System**: Quality Assurance methods include file reviews and regular observation of and feedback to staff delivering services.

B. Screening, Assessment, and Case Planning (applies to programs seeking to reduce recidivism)

1. **Risk Assessment**: Use DCJS approved validated instruments to assess risk of recidivism or failure to appear.
2. **Criminogenic Needs Assessment**: Use validated instruments to assess criminogenic needs.
3. **Target Behaviors**: For behaviors targeted by the program, conduct pre/post assessments to measure progress.
4. **Motivation**: Assess level of motivation using a validated approved instrument.
5. **Specialized Assessments**: If program provides mental health or substance use disorder treatment, assessment tools are approved by appropriate state or local mental health or substance abuse governmental oversight agency.
6. **Case Plan**: Prior to developing a case plan, evaluate participant for risk, needs, and responsivity factors. Case plans address assessed criminogenic needs and responsivity

factors, and reflect a developmentally and culturally appropriate approach for each participant.

C. Intervention (applies to programs seeking to reduce recidivism)

1. Higher Risk Participants: Risk assessment scores are considered to ensure that at least 70% of the participants accepted into the program are within the moderate to high risk range.
2. Consider Risk: Whenever possible, moderate to high risk individuals are treated separately from low risk participants.
3. Intervention Intensity: The intensity of the intervention is informed by risk and needs levels. Higher risk/needs individuals should receive more intensive services.
4. Intervention Length: Length of program participation is of sufficient dosage/duration to affect behavior change.
5. Intervention: Social learning and cognitive behavioral approaches are reflected in the applicable training curricula, group interventions, case management sessions, and in all interactions with participants. The majority of intervention components target criminogenic needs.
6. Behavior Change: Program has a formal behavioral modification system to assist in the modification of participant behavior. The system includes a written policy that outlines the range of reinforcers and sanctions available to staff and provides guidance regarding their use. Reinforcers are used more frequently than sanctions.
7. Participant Feedback: Participants are provided with regular feedback about their progress in the program, including progress towards goals outlined in case plans and progress in meeting the criteria for program completion.
8. Program Discharge: Formal discharge plans are developed with and provided to the participant upon discharge from the program to summarize progress in meeting goals, identify areas that need continued work, and provide referrals to community-based service providers, as applicable.

D. Groups (applies to programs conducting group interventions)

1. Group Curricula: Curricula are implemented as intended by the training curricula developer. For example, the size of the group, length and frequency of sessions, and delivery mechanism are as recommended by the applicable developer.

Gender: Programs serving both males and females separate services by gender when feasible.

Appendix: *Sample Jail-based Cognitive Behavioral Intervention Services Letter of Support*

SAMPLE

NYS Division of Criminal Justice Services
Office of Program Development and Funding (OPDF)
80 South Swan Street
Albany, NY 12210

RE: Letter of support for (Program name)

To whom it may concern,

I, (Name), as Sheriff or Jail Administrator of the (Name of Correctional Facility), have been informed that (Name of Applicant) is proposing to provide the (Name of Program) within the _____ correctional facility. This program proposes to serve ____ individuals annually. We fully support this proposal and agree to assist the program in the following ways:

- Assist the program in identifying and screening individuals who are eligible for participation;
- Provide access to the correctional facility for program staff;
- Provide suitable space for the program to implement all program elements, which includes space to conduct assessments and conduct discharge planning;
- Provide classroom space for conducting group program components;
- Ensure participants are present for class on time; and
- Provide sufficient uninterrupted time in the classroom for group program components (generally 2 hours per session).

I look forward to working with (Name of Program) to provide these critical services within the correctional facility. If you have any questions or need additional information, please contact me at _____. Thank you.

Sincerely,

(Signature)
(Name of Sheriff or Jail Administrator)

APPENDIX: *Sample Work Plan Format*

Objective (Milestone) #1

Plans Prepared

(Include the proposed number of to plans prepared)

Task #1:

Numerically order tasks for this milestone

List case file documentation that supports each task

Performance measure #1:

Number of plans prepared

Objective (Milestone) #2:

Plans Accepted

(include the proposed number of plans accepted)

Task #2:

Numerically order tasks for this milestone

List case file documentation that supports each task

Performance measure #2:

Number of plans accepted

Objective (Milestone) #3:

CBI Enrollment

(Include the proposed number of enrollments)

Task #3:

Numerically order tasks for this milestone

List case file documentation that supports each task

Performance measure #3:

Number of CBI enrollments

Objective (Milestone) #4:

CBI Completions

(Include the proposed number of completions)

Task #4:

Numerically order tasks for this milestone

List case file documentation that supports each task

Performance measure #4:

Number of CBI completions

End of RFP