



**Office of Program Development and Funding**

**REQUEST FOR APPLICATIONS (RFA)**

***SFY 2015/16 COUNTY RE-ENTRY TASK FORCES***

The New York State Division of Criminal Justice Services (DCJS or Division) solicits applications for funding to provide re-entry services to persons released from state prison to community supervision. This RFA seeks to provide State Fiscal Year (SFY) 2015/16 funds to support County Re-entry Task Forces (CRTFs) in the following counties: Albany, Bronx, Broome, Dutchess, Erie, Kings, Monroe, Nassau, New York, Niagara, Oneida, Onondaga, Orange, Rensselaer, Rockland, Schenectady, Suffolk, Ulster and Westchester.

The Division expects to award SFY 2015/16 funding for the program period July 1, 2015 through June 30, 2016, contingent on the merit of applications and the availability of state funding. Subject to future availability of funds, successful applicants may be eligible to receive up to four annual renewals.

RFA Release Date:	Monday, March 9, 2015
DCJS Webinar on Application:	Wednesday, March 18, 2015 1:00 pm – 3:00 pm
Deadline for Submission of Questions:	Friday, March 20, 2015 by 4:00 pm
Responses to Questions Posted:	On or about Wednesday, March 25, 2015
<b>Application Deadline:</b>	<b>Monday, April 6, 2015 at 12 Noon</b>
Notification of Awards:	On or about Tuesday, May 5, 2015

Complete applications must be submitted on-line via the DCJS Grants Management System (GMS) along with the required attachments as indicated and provided in this RFA. No other format will be accepted. Please plan to submit your CRTF application early to avoid any unanticipated issues with this automated system.

For technical assistance, consult the GMS tutorial and download the GMS User's Manual located at <http://criminaljustice.state.ny.us/ofpa/gms.htm>. GMS questions and assistance requests should be directed to [dcjsfunding@dcjs.ny.gov](mailto:dcjsfunding@dcjs.ny.gov) or 518-457-9787.

Questions regarding this RFA can be emailed to [dcjsfunding@dcjs.ny.gov](mailto:dcjsfunding@dcjs.ny.gov) until 4:00 p.m. on **Friday, March 20, 2015** with subject line in email: CRTF RFA Questions. Questions and Answers will be posted on the DCJS website at <http://www.criminaljustice.ny.gov/ofpa/newrfp.htm>.

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Attachment 1	2015/16 CRTF Funding Levels and Milestone Targets Including CBI and Employment Readiness
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## I. INTRODUCTION

The goals of the New York State (NYS) County Re-entry Task Force (CRTF) Program are:

- To reduce offender recidivism and increase public safety.
- To maintain a county-based service delivery system that addresses criminogenic and stabilization needs of moderate to high-risk persons and special populations released from prison.
- To provide cognitive behavioral intervention (CBI) and/or employment readiness services for up to 30 percent of the CRTF intakes statewide.

Stabilization includes the assessment of needs and the provision of support services including housing, proper identification, substance abuse treatment, medical and mental health services. Additionally, DCJS will fund programs that support behavioral change through the provision of cognitive behavioral intervention services. Evidence has shown that using validated risk and need assessments and developing individual service plans based on identified risks and needs are associated with reductions in recidivism. Offering quality programming that incorporates cognitive-behavioral techniques to target dynamic risk factors has also been associated with reduced recidivism.

County-based re-entry programs partner with the NYS Department of Corrections and Community Supervision (DOCCS) to promote the successful completion of parole. CRTF intakes (including case conferences with DOCCS), and needs assessments, and service referrals support DOCCS case management and offender supervision. NYS has allocated approximately \$3 million for this Request-for-Applications (RFA) to maintain community support and involvement of local service providers to deliver targeted, effective interventions. CRTF's will be expected to direct their services to moderate to high-risk (Track I) released individuals as defined in Section IV. CRTF applications should include a plan to provide CBI and/or employment readiness programming. Applications should propose to enroll up to 30 percent equal to the number of intakes into CBI and/or job readiness programs. Applicants should provide the expected scheduling of these classes on the forms provided, following the sample model.

DCJS will conduct a Webinar on March 18, 2015 for applicants on the preparation of the application.

DCJS is committed to investing in community-based programs that reduce crime in a cost-effective way. DCJS is also committed to building capacity among funded programs by providing training, technical assistance, and regular constructive feedback, and examining participant outcomes. When preparing applications, the following objectives are to be strongly considered.

- Match services and supervision through the application of risk and needs assessments at the earliest possible point.

Moderate to high-risk individuals are identified by DOCCS using the Correctional Offender Management Profiling for Alternative Sanctions (COMPAS) Re-entry Instrument. DOCCS uses this

instrument to identify and assess criminogenic needs and assist in targeting prospective services upon release. DOCCS referrals should include an individual's COMPAS Bar Chart and narrative. Additional information on COMPAS Re-entry can be found at:

<http://www.northpointeinc.com/files/downloads/Reentry.pdf>

- Ensure high quality delivery of CBIs and offender workforce development programs.

Research has shown that CBI and other interventions targeting criminogenic needs are associated with reduced recidivism. However, these services are only as effective as the quality and consistency of their delivery. Assuring high-quality services requires employees have the appropriate competencies, services are matched to an individual's needs, service delivery is monitored, and outcome measures are periodically reviewed.

This application encourages DOCCS and CRTF Co-chairs, Coordinators, and local partner community service providers to review important criminal justice and re-entry population data, plan strategic, effective interventions and manage state and local resources available to support county re-entry programs and services. CRTF funding is available to deliver stabilization services to the Track I target population as defined in this RFA.

### ***Cognitive Behavioral Intervention and Employment Readiness***

In addition to addressing the primary needs of prison releasees, State Fiscal Year (SFY) 2015/16 performance metrics and funding include the full implementation of CBIs and employment readiness training. CRTF applications must include a plan to provide CBI and/or employment readiness such as the following or otherwise approved by DCJS.

- National Institute of Corrections' (NIC) Thinking for Change (T4C)
- Moral Reconation Therapy (MRT)
- NIC Offender Workforce Development Specialist (OWDS) Ready, Set, Work!

During the past several years, DCJS has trained CRTF professional staff in CBI, including NIC OWDS and T4C. DCJS made this investment in recognition of the fact that building capacity to address both stabilization and criminogenic needs can help reduce recidivism. Applicants must propose that its CRTF will offer at least one of these programs, which must meet performance-based funding requirements. DCJS will not approve funding applications that propose any service inconsistent with evidence-based practices or unrelated to the criminogenic or stabilization needs of the target population to be served.

Appendix F and Attachment 4 provide a full description and valid application of CBI and/or employment readiness programs. Appendix F should be used as a guide to determine CBI and employment readiness numbers to be served.

Attachment 1 provides the reimbursement schedule for all milestones and proposed target levels. Milestones 1 and 2 establish intake and retention milestones, respectively. New Milestones 3 and 4 establish enrollment and completion targets for CBI and/or employment readiness programs. Maximum eligible funding will vary upon target numbers achieved.

### ***CRTF 2013/14 Achievements***

DCJS funding support of 19 CRTFs achieved the following results in partnership with DOCCS and respective counties:

- 2013/14 CRTF intakes increased 13 percent to 4,079 as compared to 3,623 intakes in 2012/13 and 1,539 intakes in 2011/12.
- 92 percent of CRTF participants were moderate to high-risk; an additional five percent were sex offenders.
- CRTF retention increased to 69 percent with 2,496 participants remaining in the CRTF program for more than 90 days.
- Collectively, the CRTFs met 100 percent of the intake goal of 4,065 during the contract year. Twelve CRTFs met or exceeded their intake goals, while five CRTFs over-achieved in two other milestone areas.

## **II. ELIGIBILITY REQUIREMENTS**

Eligible applicants include those with established re-entry task forces in the following counties: Albany, Bronx, Broome, Dutchess, Erie, Kings, Monroe, Nassau, New York, Niagara, Oneida, Onondaga, Orange, Rensselaer, Rockland, Schenectady, Suffolk, Ulster and Westchester. All CRTFs must serve the eligible population from within their entire county.

Attachment 1 provides the CRTF funding schedule based on 2013 DOCCS releases. The application must be submitted by the chief-elected official or his/her designee of the applicant jurisdiction. If a not-for-profit is the applicant agency for the re-entry project, a letter of support signed by the chief-elected official or designee must accompany the application as a separate attachment uploaded on GMS. In New York City, the chief elected official may be either from the county or the Mayor's Office.

## **III. AVAILABILITY OF STATE FUNDS**

Approximately \$3 million in State Local Assistance Funds is expected to be available to support eligible programs. Grant award agreements will be for twelve months effective July 1, 2015, through June 30, 2016, with four optional (one-year) renewals. 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 proposed program. CRTF funds may not be used to purchase services that are supported through other local, state or federal funding. **There is no match requirement for this grant initiative.**

#### **IV. CRTF TARGET POPULATION**

To provide effective post-release referrals for program services, DCJS has identified two “tracks” of formerly-incarcerated individuals eligible to receive community-based services and programs. To receive grant funding, CRTFs must intake a minimum number of Track I individuals based on the number of actual DOCCS releases. Each applicant must clearly describe the collaborative referral process between DOCCS’ Parole offices and the CRTF to ensure that the target population will be served. See Attachment 1 for target number of eligible Track I intakes.

##### ***Track I Eligibility Criteria***

Moderate to high-risk individuals released from prison pose the greatest risk to public safety and certain special populations have very high needs upon release. Only Track I individuals will be reimbursable under this performance-based contract.

##### ***Track I - Moderate to High- Risk Individuals***

Cases identified as Track I individuals will have a Supervision Level of 1, 2 or 3 based on the risk assessment instrument utilized by DOCCS.

##### ***Track I - Special Populations***

Some special populations may not have an assigned risk level but have special needs that jeopardize successful re-entry. Track I Special Populations include:

- Women with high service needs
- Maximum Expiration Individuals (released from prison without supervision)
- Individuals with a conviction for a designated sex offense requiring registration on the Sex Offender Registry
- Adolescents and juvenile offenders on parole or recently released from an Office of Children and Family Services (OCFS) residential facility
- Persons with mental illness or developmental disabilities, severe medical issues or those with hearing, visual or physical impairments

##### ***DOCCS Referrals to CRTF’s for CBI or Employment Readiness Training Only***

- Individuals who meet the Track I moderate to high-risk eligibility criteria and require only CBIs or employment readiness assistance may be placed in such groups on a space-available basis after priority seating in these groups is given to CRTF intake participants. CRTFs will be reimbursed under Milestones 3 and 4 performance measurements for these placements that require CBI or employment readiness assistance only.

***While CRTF’s may serve other than Track I individuals (i.e. Track II-low risk populations, local jail releases, post-parole population and federal releasees) to assist with their successful re-entry into the community by making referrals, Track II individuals are not reimbursable under any DCJS’ performance-based contract arising from this RFA.***

## V. 2015/16 COUNTY RE-ENTRY TASK FORCE (CRTF) PURPOSE

The performance-based contract deliverables for the CRTFs will include:

- Achieving the targeted number of Track I intakes based on the number of moderate to high-risk persons released to each county.
- Retaining 75 percent of Track I intakes for 45 calendar days to achieve assessed stabilization needs.
- Enrolling up to 30 percent of the number equal to the number of Milestone #1 Intakes in an approved CBI and/or employment readiness program, as outlined in Appendix F.
- Ensuring that a minimum of 50 percent of enrollees in CBI and/or employment readiness program will attend all group or modules of their respective CBI in order to constitute program completions for reimbursement.

## VI. APPROVED USE OF STATE FUNDS

Grant funds may be used to support the following:

- Costs associated with at least one full-time re-entry CRTF Coordinator and additional staff, as appropriate. All applications must include at least one full-time CRTF Coordinator. DCJS reserves the right to review the qualifications of candidates under consideration for appointment as CRTF Coordinator.
- The continuation or expansion of re-entry services not available through other federal, state or local resources.

### A. Personal Services

#### ***CRTF Coordinator***

CRTF Coordinators direct their respective CRTF's in its responsibilities to promote partnerships among criminal justice and human service agencies. The Coordinator reports to the two CRTF Co-chairs. The CRTF Co-chairs oversee the Coordinator and his/her efforts to develop re-entry services that correlate to the individual needs of each CRTF participant.

See Section IX, *County Re-entry Task Force Structure*, and the executed Re-entry MOU for a description of the roles and responsibilities of the Coordinator and Co-chairs. Attach a copy of the current CRTF Coordinator resume to the GMS record as part of the application.

#### ***Additional Staff***

Any additional support staff funded with these state funds must be allocated to the CRTF for at least .5 FTE. A written justification for each position must accompany this line item in the operating budget in the Personal Services category on GMS.

## **VII. PERFORMANCE-BASED CONTRACTS**

Performance-based milestones and payment structure will ensure that services are delivered in a cost-effective manner with an emphasis on completed intakes, stabilization, enrollment and completion of CBIs, and employment readiness programs.

- DCJS reserves the right to select any payment structure (identified metrics/milestones) that best serves the interests of NYS.
- The services provided are to reduce the likelihood of recidivism during program participation and after program completion.
- All funded CRTFs will be reimbursed for services provided and metrics achieved on a performance basis.
- In order to receive reimbursement, all 2015/16 contracts will be based on four performance measures that follow the participation of those identified as Track I eligible:
  1. Intakes including Case Conference
  2. 45-day Retention
  3. CBI and/or employment readiness- Enroll up to 30 percent of the number equal to the number of Milestone I Intakes into an approved CBI and/or the employment readiness program
  4. Fifty percent of those enrolled in the CBI and/or employment readiness will complete all program modules in order to obtain completion reimbursement

## **VIII. STANDARDIZED WORK PLAN**

A standardized work plan has been developed and is consistent for all CRTFs. The work plan is included in this RFA. Please duplicate the workplan as provided and insert the appropriate numbers for your Application in GMS (see Appendix E). The final work plan, with specific milestone targets, will be a component of the CRTF contract and part of the GMS record.

## **IX. COUNTY RE-ENTRY TASK FORCE STRUCTURE**

CRTFs are co-chaired by an executive representative of the jurisdiction where the CRTF is located and a designated DOCCS representative. This ensures effective intergovernmental coordination of services and support for the successful re-entry of individuals upon their release from state prison. Each CRTF is required to maintain a full-time re-entry coordinator who manages the day-to-day delivery of planned services that support community supervision and reduced recidivism. CRTFs also work to increase the community's capacity to assist in offender re-entry and re-integration through public education and the development of necessary services.

### ***CRTF Leadership***

CRTF leadership includes the County Co-chair and the DOCCS Co-chair. The CRTF Co-chairs oversee the Coordinator to ensure the task force functions as intended and with full support from DOCCS and community-based service providers.

- **County Co-chair**

The County Co-chair is the chief-elected official or his/her designee, which may include representatives from an administrative agency or entity (e.g. Director of Probation, Commissioner of Mental Health, District Attorney, Commissioner of Social Services, Criminal Justice Advisory Board Chair, Alternatives to Incarceration Advisory Board Chair and Chair of the Board of Supervisors).

- **DOCCS Co-chair**

The DOCCS Co-chair is designated by the DOCCS Commissioner or his/her designee. The DOCCS Co-chair ensures coordination between DOCCS facility staff, DOCCS field staff and the CRTF. The DOCCS Co-chair is responsible to provide sufficient target population referrals that enable the CRTF to meet its intake performance measure.

### ***CRTF Coordinator and Support Staff***

The CRTF Coordinator oversees the day-to-day functions of the CRTF. Specifically, the Coordinator is required to:

- Facilitate engagement of appropriate state and local partners in the CRTF to ensure the availability of benefits, services, and community-level support to address the criminogenic and stabilization needs of the re-entry population.
- Assist in coordination and management of services provided to individuals to ensure their successful re-entry into the community.
- Coordinate the scheduling of bi-monthly meetings of the CRTF to review program progress in meeting DCJS contractual milestones and current re-entry issues.
- Coordinate bi-weekly case conference (planning) committee meetings.
- Ensure notification to DCJS in advance, of all bi-monthly CRTF meetings and submission to DCJS a copy of the planned meeting agenda along with attendance roster and minutes of prior meetings.
- Educate CRTF members about the CRTF's role as a referral service designed to link returning individuals to necessary services.
- Serve as the primary liaison with DOCCS to receive appropriate referrals.
- Serve as a liaison between the CRTF and DCJS.
- Ensure completion and submission of all required reports to DCJS by established due dates.
- Ensure prompt notification to DCJS and CRTF Co-Chairs of any barriers and limitations to the intake process.
- Ensure prompt notification to DCJS and CRTF Co-Chairs of any critical incidents involving CRTF operations, including its members or staff, specific programmatic services, and/or CRTF participants, as well as any negative media reports.

### ***CRTF Functions and Membership***

The full CRTF meets on a bi-monthly basis to review program progress and identify gaps in service delivery systems. CRTFs routinely develop effective approaches to serve individuals, build capacity and educate the community as to the value of re-entry services to improve public safety. The membership may vary somewhat by county or agency, as the needs of returning individuals and available system resources often differ across jurisdictions. The membership should support the state's focus on the implementation of CBI to affect behavioral change. In addition to Co-chairs and staff, CRTF membership may include, but is not limited to:

- County officials from social services, mental health, motor vehicles, probation, veterans' services, district attorney's office, and/or the county legislature
- State representatives from Office of Alcohol and Substance Abuse Services (OASAS) Field Office, Local ACCES/ Vocational Rehabilitation (VR) Office, Office of Mental Health, Department of Labor's Local One-Stop Center and the Unified Court System
- Direct service providers and community-based organizations
- Law enforcement officials affiliated with the Gun Involved Violence Elimination Initiative (GIVE)
- An individual formerly under DOCCS supervision
- Victim Advocacy Organization(s)
- Local Housing Authority
- Local Research Partners, Educators and Academia
- Representatives from the business community
- Health Homes providers

### ***Case Conference (Planning) Committee***

The committee meets bi-weekly and includes DOCCS field staff, the CRTF Coordinator and relevant primary service providers to ensure the proper coordination of services in support of successful re-entry. The committee should consider meeting in a location where DOCCS staff can access information from the Facility Population Management System (FPMS), and the Case Management System (CMS). Copies of the COMPAS Bar Chart and Narrative should also be shared with the Coordinator and CRTF Caseworker directly involved with the individual on parole supervision. The committee begins to conference cases at the time the individual is referred by DOCCS and, preferably, prior to one's release from prison.

The Re-entry Task Force Referral Form is used by DOCCS to refer potential participants to the CRTF. Based on all available information, members should discuss cases with the goal of identifying and providing effective post-release referrals to services and programs.

## **X. STRATEGIC PLANNING AND SYSTEM-WIDE COORDINATION**

DCJS and the CRTF will continually assess the effectiveness of the service delivery system for consistency with principles of effective practice. These include:

- Use of actuarial risk and needs assessment tool
- Use of Motivational Interviewing techniques
- The risk principle -- targeting higher-risk offenders

- The need principle – identifying criminogenic needs
- The responsivity principle -- providing services in a culturally competent manner
- The use of CBIs
- Use of positive reinforcement and rewards
- Engaging in ongoing, pro-social support
- Measuring change and provide feedback

## **XI. PUBLIC EDUCATION AND OUTREACH**

CRTFs will engage the community, including formerly-incarcerated individuals and their families, in building a comprehensive re-entry system through community education and outreach efforts. Each Task Force is encouraged to conduct four (4) public education/outreach activities during the grant period and to provide a brief summary of the event(s) to DCJS, via GMS. Such activities may include, but are not limited to: public awareness campaigns; mentoring programs; community forum discussions on topics relevant to formerly-incarcerated persons and their families; panel discussions featuring re-entry stakeholders; outreach to employers/job fairs and the business community; and publication of informational materials related to offender re-entry topics.

## **XII. REQUIRED MONTHLY AND QUARTERLY REPORTING**

### ***Monthly Snapshot Reporting***

To track CRTF program progress, CRTFs will submit a Monthly Snapshot Report directly to OPCA. The snapshot report includes data elements reflecting monthly program progress.

### ***GMS Quarterly Progress Reporting***

All DCJS-funded programs are required to submit quarterly progress reports via GMS that describe quarterly performance and activities in support of the CRTF Standardized Work Plan (Appendix E) and Attachment 1.

### ***Case-specific Quarterly Reports***

All CRTFs are required to submit to DCJS, quarterly Case-specific Reports to provide comprehensive intake and discharge data. These reports must be password protected and submitted to a designated DCJS email box. In the near future, these reports will be submitted by CRTFs via the DCJS Integrated Justice Portal (IJP). CRTFs will be notified and instructed on accessing and using the IJP.

### ***Quarterly Fiscal Reports***

All CRTFs are required to submit quarterly fiscal reports and claims for payment as per the approved Appendix B-1, Program Performance Milestones and Costs – See Attachment 2.

**Reporting Due Dates**

Monthly snapshots are submitted electronically to OPCA as follows:

<u>Calendar Month</u>	<u>Report Due</u>
July	August 15
August	September 15
September	October 15
October	November 15
November	December 15
December	January 15
January	February 15
February	March 15
March	April 15
April	May 15
May	June 15
June	July 15

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

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

**CBI and/or OWDS Ready, Set, Work! Rosters**

Grantees will be provided with DCJS-generated Rosters. These rosters must be used to record completions of CBI and/or RSW! programs and are to be submitted to DCJS.

**XIII. APPROVAL AND NOTIFICATION OF AWARDS**

Applicants approved for funding will be notified in writing by DCJS. The terms of agreement specific to metrics are subject to final negotiation between DCJS and the grantee. An applicant whose proposal is not selected for funding also will be notified in writing.

In the event that DCJS and the successful applicant cannot execute a contract within ninety days of notification of selection for award, DCJS reserves the right to rescind the award and redistribute the funds at the discretion of the Executive Deputy Commissioner of the Division of Criminal Justice Services.

#### **XIV. WEBINAR ON 2015/16 APPLICATION**

DCJS will host a webinar on Wednesday, March 18, 2015 to provide an overview of the application and respond to questions from CRTF applicants. Information as to the date and time and the link and instructions for joining this webinar are below:

**2015 CRTF Request-for-Applications - Live Meeting**  
**Wednesday, March 18, 2015**  
**1:00 P.M. – 3:00 P.M.**

To attend click on: [Join the March 18th Live Meeting Now!](#)

If you experience any problems logging into the Live Meeting event using the clickable link above, please copy and paste the entire URL below into the address bar of your Internet Explorer browser. Be sure to copy the entire link beginning with https and ending with 031815.

[https://www.livemeeting.com/cc/dcjs/join?id=March\\_18\\_OPCA&role=attend&pw=Attendee\\_031815](https://www.livemeeting.com/cc/dcjs/join?id=March_18_OPCA&role=attend&pw=Attendee_031815)

\*\*\*It is important that you accept the default settings for the Meeting ID and Meeting Key when joining the training session.

\*\*\*This session will also be made available via Internet audio broadcast. If you have a sound card and speakers installed with your PC, you will be able to listen to the audio portion of the presentation directly through your PC. If you do not have a sound card and speakers attached to your PC, then you will need to dial in using the toll-free teleconferencing information listed below.

***NOTE: New Phone Number and Pass Code!***

**AUDIO PORTION (For attendees that do not have sound card and speakers installed with their PC)**

- 1) **Dial (Toll-free): 1-866-394-2346**
- 2) **Participant Passcode: 5148663596#**

#### **DOWNLOAD INSTRUCTIONS**

Attending PCs will require a one-time download and installation. The Live Meeting Windows console needs only one installation for all future meetings attended from the same PC. This download/install is automatic for first-time Live Meeting attendees at the time they connect.

[Live Meeting 2007 Auto Install & System Compatibility Test](#)

To avoid potential download-related delays at start time, please take a moment to *prepare your PC in advance* by copying and pasting the URL listed below into your Internet browser:

<http://go.microsoft.com/fwlink/?LinkId=90703>

Please note: If you have permission to install software from the Internet on your computer, choose the "Recommended (15 MB)" installation option. If you cannot install software on your computer, select the "Use Web Console (Fastest)" installation option.

Please note that the Web Console (Fastest) option has limited functionality. (Not recommended)

**Live Meeting Technical Assistance:**

When installing the Windows client, attending the Live Meeting session, or at any time, users can call Live Meeting Technical Support at 866-493-2825 for assistance.

**XV. ENCOURAGING USE OF NYS BUSINESSES**

NYS 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 NYS, applicants for this solicitation are strongly encouraged and expected to consider NYS businesses in the fulfillment of the requirements of the contract(s) resulting from this RFA. Such partnering with NYS businesses may be as subcontractors, suppliers, protégés or other supporting roles.

**XVI. APPLICATION SUBMISSION AND REQUIREMENTS**

***Grants Management System (GMS)***

Applications must be submitted on-line via GMS. No other application format will be accepted. Applicants who do not currently have access to GMS must first submit a GMS Registration Form. Please allow seven business days to become registered.

Persons authorized to execute contracts on behalf of an applicant must submit a separate GMS eSignature registration form. This allows general access to GMS and for eSignature of grants. All applications, once approved, will be processed as eSignature contracts. Failure of an applicant to have an authorized signatory with eSignature rights will prevent submission of the application.

Both GMS registration forms can be accessed at <http://www.criminaljustice.ny.gov/ofpa/forms.htm> and emailed to [dcjsfunding@dcjs.ny.gov](mailto:dcjsfunding@dcjs.ny.gov) or faxed to (518) 457-1186. These forms should be submitted at least seven days prior to submitting the application to allow sufficient time for the registration process. Instructions for submitting the application within GMS is found in Appendix C.

For general questions or for technical assistance with GMS, please call the GMS Help Desk at (518) 457-9787. Assistance to CRTF applicants will be available until 12 Noon on Monday, April 6, 2015.

## **XVII. PROGRAM NARRATIVE AND BUDGET JUSTIFICATION**

Answer all questions and complete each section in GMS, as instructed. Please prepare answers in a Word Document in Arial 11-point font, then copy and paste responses to each question in GMS under the Questions module “tab” of the application. Applicants also are required to attach the Microsoft Word document with answers to these questions in Arial 11-point font using the Attachments module on GMS.

Answer each of the following program narrative questions and provide requested budget information. Answers will be scored and are the basis for Tier II funding recommendations. Note the aggregate scoring value assigned to each question equals a total possible score of 100 percent. A minimum score of 70 percent is necessary to be eligible for funding. ALL sub-sections, including those that have no point value, must be answered. The recommended length for each answer is provided.

### ***Program Narrative Questions (1-6)***

#### **1. County Re-entry Data and Planning (15 points) Not to exceed two pages**

Answer the following questions using the data provided in Attachment 1. If other local data is used, please provide links to that data or attach the source documents to GMS. NOTE: Questions 1a-1g are worth 5 points total and question 1h is worth 10 points. This section is worth a total of 15 points.

- a. How many DOCCS releases returned to your County in 2013?
- b. How many of the 2013 parolees returning to your County are identified as moderate-to-high risk?
- c. What number represents approximately 50 percent of your County’s re-entry population?
- d. What is the proposed target for Milestone 1: Intakes?
- e. What is the proposed target for Milestone 2: 45-day Retention?
- f. What is the proposed target for Milestone 3: Enroll up to 30 percent equal to the number of Intakes into CBI and/or employment readiness programming.
- g. What is the proposed target for Milestone 4: 50% of individuals enrolled in CBI and/or employment readiness-will attend and complete all required groups and modules.
- h. How does the CRTF leadership plan to serve the number of individuals identified as the re-entry target population? (10 points)

#### **2. Previous CRTF Performance Milestone Achievements (10 points) Not to exceed two pages**

- a. Describe the previous CRTF achievements of the contract performance milestones: Intakes, 45-Day Retention and 90-Day Retention for the following two periods. Include the annual target and numbers achieved for each milestone. (5 points)

July 1, 2013 thru June 30, 2014 (12 months)

**AND**

July 1, 2014 thru December 31, 2014 (6 months)

- b. Explain any shortfalls that occurred for each of the milestones during each of the above timeframes and describe what measures have been implemented to overcome these gaps in the 2015/16 program period. What mechanisms were most helpful to the CRTF’s ability to achieve or exceed prior year milestones? (5 points)

- 3. CRTF Structure (10 points) Not to exceed two pages**
- Describe the CRTF structure and identify the: 1) County Co-chair, 2) DOCCS Co-chair and 3) Coordinator. (0 points)
  - Identify key stakeholders and indicate what services are provided to the CRTF population. (5 points)
  - Does the CRTF hold regularly scheduled meetings? How often are these meetings held? (0 points)
  - How often are case conferencing meetings held and who attends these meetings? (5 points)
- 4. Referral Process and Case Planning (20 points) Not to exceed two pages**
- Describe the processes in place that ensure the flow of moderate-to-high risk individuals referred from DOCCS to the CRTF? (5 points)
  - Identify CRTF staff by name and title and define their specific role(s) that ensure individuals are appropriately identified and referred for CRTF intake and services. (5 points)
  - Describe documentation provided to the CRTF as part of the referral process. (5 points)
  - What is the average timeframe between a person's referral to the CRTF and when the initial intake is conducted? (0 points)
  - Who conducts the Intakes/Assessments of newly-referred individuals? (5 points)
  - In what location(s) are the Intakes conducted and how often? (0 points)
- 5. CRTF Cognitive-Behavior Intervention (CBI) and/or Employment Readiness Program (20 points) Not to exceed three pages**
- Answer the questions below with regard to the following CBI and employment readiness programs:
- Thinking for A Change (T4C)
  - Moral Reconciliation Therapy (MRT)
  - Offender Workforce Development Specialist (OWDS)

Using the information provided in Appendix F and Attachment 4: *Cognitive Behavioral Interventions and/or Employment Readiness Projection Templates* provide a comprehensive action plan to be implemented in support of the two new performance milestones:

- Milestone #3 To enroll individuals assessed as having a CBI / employment readiness need. This can include Track I-eligible parolees who require only CBI or job-readiness programming. The proposed target number can be up to 30 percent equal to the number of Milestone #1 Intakes for performance-based reimbursement.
- Milestone #4 To facilitate the completion of those enrolled in Milestone #3. This can include Track I-eligible parolees who require only CBI or job-readiness programming. The proposed completion number must be up to 50 percent of the Milestone #3 target for performance-based reimbursement.

Describe the CRTF's ability to meet the proposed targets for milestones #3 and #4. List staff trained as facilitators for each of the curricula listed above. Include their names/ titles/ CRTF affiliation AND

indicate their availability to facilitate groups for the CRTF in 2015-16. Specify what CBI or employment programs are currently available to CRTF participants. How many groups (cycles of each) of those programs were completed during 2014? Note: For OWDS, *Ready, Set, Work!* is the curriculum for participants? How many additional trained facilitators for each program does the CRTF anticipate will be needed in the 2015-16 contract period?

**6. New York State Businesses Question: (0 points)**

To assist in demonstrating commitment to the use of NYS businesses in the performance of the contract(s), all applicants must answer Question #6 in the GMS regarding the use of New York State Businesses in Contract Performance.

Will New York State Businesses be used in the performance of this contract? If yes, identify whether New York State businesses that will be used and attach supporting documentation to the GMS record.

**7. Budget Detail and Justification Narrative (25 points)**

***Operating Budget (20 points)***

Enter the operating budget directly into the Budget module “tab” of the GMS application. Attachment 3 provides the format for a Budget Detail and Justification Narrative that must be used to organize the operating budget, including budgets submitted by subcontracted service providers receiving funds under the 2015/16 grant award. Upload the completed Attachment 3 using the GMS Attachments Module. Operating budgets should project total costs for a 12-month contract period and must not exceed the applicant’s eligible award amount outlined in Attachment 1.

A detailed budget for the first year must be complete, provide sufficient detail, be reasonable and appropriate to support the CRTF program and it must be tied to the work plan. A funded position should clearly indicate the general duties, full annual salary of the position, hours worked per week, proposed hours or percentage of FTEs supported by the grant, and the projected percent of time the employee is expected to perform each activity. For subcontract agencies approved to provide CRTF services, upload signed and executed agreements and the approved operating budget using the Attachment feature on GMS.

Operating budgets should allocate between \$3,000 and \$5,000 based on estimated per diem and travel costs to attend DCJS-required trainings and meetings. Prior approval by DCJS is required before obligating or expending grant funds for out-of-state travel. Training and technical assistance will be provided to enhance the knowledge and skills of CRTFs with respect to collaboration, evidence-based practices, and service provision.

Funding for indirect costs is capped at a rate of 15 percent. Indirect costs are not an allowable expense for governmental organizations.

***Performance-based Milestone Budget (5 points)***

See Attachment 2, *Appendix B-1: Program Performance Milestones and Costs*, which includes a sample with milestones, targets and associated reimbursement costs for the CRTF. Download this

document and fill in the subtotal amounts allocated to each of the budget categories in the column, Operating Budget. Based on the information provided in Attachment 1, complete the Appendix B-1 with annual milestone targets and associated state reimbursement costs for your county. The amounts entered must correspond to the operating budget entered in GMS and uploaded as Attachment 3. Upon completion, upload the Appendix B-1 as an attachment to the GMS record. Name this document: Name of County *CRTF Appendix B-1 2015-16*.

## **XVIII. EVALUATION OF APPLICATIONS**

All applications will undergo a three-tier evaluation as part of the review process to recommend funding awards.

### ***Tier I Evaluation – Threshold Pass/Fail***

The Tier I evaluation assesses whether applications satisfy minimum “pass/fail” criteria for funding. All proposals will be initially screened by DCJS reviewers to determine the completeness of the application using the following criteria.

- Application was submitted by the published deadline.
- Applicant is an eligible, pre-qualified entity in the Grants Gateway. (Pre-qualification requirements only apply to not-for-profit applicants.)

The application includes:

- All questions are answered in the Program Narrative.
- The Budget Detail Worksheet and Justification Narrative itemizes operating expenses in support of the program.
- Program Work Plan is completed.
- All attachments and required documents are included.

Tier I review items will receive pass/fail ratings. Any application that does not meet each of these criteria will be subject to disqualification from further review.

### ***Tier II Evaluation – Evaluation and Scoring***

Teams of at least two DCJS staff reviewers will evaluate proposals that successfully pass the Tier I evaluation. A standard rating tool will be used to score each application.

The maximum score will be 100 points. Each category within a proposal will be scored and the category scores will be totaled for an overall score. The final score will be determined by averaging Team Reviewers’ overall scores for each application. Applicants who are eligible for funding must receive a final score of at least 70 percent in order to be considered for an award. DCJS may request additional information from an applicant as deemed necessary.

### ***Tier III Review***

The Tier III Review will be conducted by DCJS executive staff. The Tier III Review will select applicants for funding and determine the award amount by considering the Tier II Review scoring and comments, strategic priorities, available funding, and best overall value to NYS.

Final award decisions will be made by DCJS' Executive Deputy Commissioner or his/her designee in accordance with the best interests of the State. Nothing herein requires DCJS to approve funding for any applicant. DCJS may require an applicant to answer additional questions regarding the proposed CRTF project during the Tier III Review process.

## **XIX. ADMINISTRATION OF CONTRACTS**

DCJS will negotiate and develop a grant contract with each successful applicant. The grant contract is subject to approval by the NYS Office of the Attorney General and the Office of the State Comptroller before grant funding may actually be disbursed. In the event that the grantee cannot begin contractual activities within 90 calendar days of contract execution, DCJS reserves the right to rescind the award and redistribute the grant funds.

### **Contract Approval**

All contracts are subject to the approval of the Attorney General and the Comptroller of the State of New York, and until said approval has been received and indicated thereon, the Contract shall be of no force and effect.

### **Contract Period**

DCJS will enter into a contract for an initial period of 12 months beginning July 1, 2015. DCJS reserves the right to modify the contract period 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 RFA may be executed, increased, terminated, renewed, decreased, extended, amended, or renegotiated at the discretion of the Executive Deputy Commissioner of DCJS in light of a grantee's performance, changes in project conditions, or otherwise.

### **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 DCJS' agency-specific standard contract provisions Appendix A-1, grantee staff whose salaries are paid in whole or in part from grant funds shall maintain a time recording system that shows 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 incurred during the performance of approved activities or caused by the use of equipment purchased with grant funds.

**Payments**

Payments to reimburse performance-based project expenses will be made pursuant to a schedule specified in the contract between the State of New York and the grant award recipient. 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 grant 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 RFA 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 noncompliance.

**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 Commissioner of the Division of Criminal Justice Services.

**Standard Contract Provisions**

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

**Vendor Responsibility**

Not-for-Profit organizations 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/vendor\\_index.htm](http://www.osc.state.ny.us/vendrep/vendor_index.htm).

### **Charities Registration**

Not-for-Profit organizations 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>.

### **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 of their application; existing DCJS grantees whose DUNS number is not already on file should email the number to

[dcjsfunding@dcjs.ny.gov](mailto:dcjsfunding@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>.

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

## **XX. MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISES**

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.

All DCJS grant 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 submit a Local Assistance M/WBE Subcontractor/Supplier Utilization Proposal Form (DCJS-3301), Local Assistance M/WBE NPS Discretionary Budget Determination Worksheet (DCJS-3309), and a Minority and Women-Owned Business Enterprises and Equal Employment Opportunity Policy Statement. For contracts in excess of \$250,000 applicants must also submit an M/WBE Equal Employment Opportunity Staffing Plan (DCJS-3300). (Note: Submit as Word and/or Excel document attachments, as warranted.)

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 (Attachment 5) and advise the applicant of DCJS' acceptance once an award determination is made. There are no points attributable to this component of the application

## **CONTRACTOR REQUIREMENTS AND PROCEDURES FOR BUSINESS PARTICIPATION OPPORTUNITIES FOR NEW YORK STATE CERTIFIED MINORITY- AND WOMEN-OWNED BUSINESS ENTERPRISES AND EQUAL EMPLOYMENT OPPORTUNITIES FOR MINORITY GROUP MEMBERS AND WOMEN**

### **NEW YORK STATE LAW**

Pursuant to New York State Executive Law Article 15-A and 5 NYCRR 140-145 DCJS recognizes its obligation under the law to promote opportunities for maximum feasible participation of certified minority-and women-owned business enterprises and the employment of minority group members and women in the performance of DCJS contracts.

In 2006, the State of New York commissioned a disparity study to evaluate whether minority and women-owned business enterprises had a full and fair opportunity to participate in state contracting. The findings of the study were published on April 29, 2010, under the title "The State of Minority and Women-Owned Business Enterprises: Evidence from New York" ("Disparity Study"). The report found evidence of statistically significant disparities between the level of participation of minority-and women-owned business enterprises in state procurement contracting versus the number of minority-and women-owned business enterprises that were ready, willing and able to participate in state procurements. As a result of these findings, the Disparity Study made recommendations concerning the implementation and operation of the statewide certified minority- and women-owned business enterprises program. The recommendations from the Disparity Study culminated in the enactment and the implementation of New York State Executive Law Article 15-A, which requires, among other things, that DCJS establishes goals for maximum feasible participation of New York State Certified minority- and women – owned business enterprises ("MWBE") and the employment of minority groups members and women in the performance of New York State contracts.

### **Business Participation Opportunities for MWBEs**

For purposes of this solicitation, DCJS hereby establishes an overall goal of 30% for MWBE participation, 25 percent for New York State certified minority-owned business enterprises ("MBE") participation and five percent (5%) for New York State certified women-owned business enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs). A contractor ("Contractor") on the subject contract ("Contract") must document its good faith efforts to provide meaningful participation by MWBEs as subcontractors or suppliers in the performance of the Contract and the Contractor agrees that DCJS may withhold payment pending receipt of the required MWBE documentation. The directory of MWBEs can be viewed at: <https://ny.newnycontracts.com>. For guidance on how DCJS will determine a Contractor's "good faith efforts," refer to 5 NYCRR §142.8.

In accordance with 5 NYCRR §142.13, the Contractor acknowledges that if it is found to have willfully and intentionally failed to comply with the MWBE participation goals set forth in the Contract, such finding constitutes a breach of Contract and DCJS may withhold payment from the Contractor as liquidated damages.

Such liquidated damages shall be calculated as an amount equaling the difference between: (1) all sums identified for payment to MWBEs had the Contractor achieved the contractual MWBE goals; and (2) all sums actually paid to MWBEs for work performed or materials supplied under the Contract.

By submitting a bid or proposal, a bidder on the Contract ("Bidder") agrees to demonstrate its good faith efforts to achieve its goals for the utilization of MWBEs by submitting evidence thereof through the New York State Contract System ("NYSCS"), which can be viewed at <https://ny.newnycontracts.com> provided, however, that a Bidder may arrange to provide such evidence via a non-electronic method by contacting [dcjsfunding@dcjs.ny.gov](mailto:dcjsfunding@dcjs.ny.gov). Please note that the NYSCS is a one stop solution for all of your MWBE and Article 15-A contract requirements. For additional information on the use of the NYSCS to meet Bidder's MWBE requirements please see the attached MWBE guidance, "Your MWBE Utilization and Reporting Responsibilities Under Article 15-A."

Additionally, a Bidder will be required to submit the following documents and information as evidence of compliance with the foregoing:

- A. An MWBE Utilization Plan with their bid or proposal. Any modifications or changes to the MWBE Utilization Plan after the Contract award and during the term of the Contract must be reported on a revised MWBE Utilization Plan and submitted to DCJS.

DCJS will review the submitted MWBE Utilization Plan and advise the Bidder of DCJS acceptance or issue a notice of deficiency within 30 days of receipt.

- B. If a notice of deficiency is issued, the Bidder will be required to respond to the notice of deficiency within seven (7) business days of receipt by submitting to DCJS' Finance Office at Alfred E. Smith Office Building, 10<sup>th</sup> floor, 80 South Swan Street, Albany, New York 12210, a written remedy in response to the notice of deficiency. If the written remedy that is submitted is not timely or is found by DCJS to be inadequate, DCJS shall notify the Bidder and direct the Bidder to submit, within five (5) business days, a request for a partial or total waiver of MWBE participation goals. Failure to file the waiver form in a timely manner may be grounds for disqualification of the bid or proposal.

DCJS may disqualify a Bidder as being non-responsive under the following circumstances:

- a) If a Bidder fails to submit a MWBE Utilization Plan;
- b) If a Bidder fails to submit a written remedy to a notice of deficiency;
- c) If a Bidder fails to submit a request for waiver; or
- d) If DCJS determines that the Bidder has failed to document good faith efforts.

The Contractor will be required to attempt to utilize, in good faith, any MBE or WBE identified within its MWBE Utilization Plan, during the performance of the Contract. Requests for a partial or total waiver of established goal requirements made subsequent to Contract Award may be made at any time during the term of the Contract to DCJS, but must be made no later than prior to the submission of a request for final payment on the Contract.

The Contractor will be required to submit a Contractor's Quarterly M/WBE Contractor Compliance & Payment Report to the DCJS, by the 10<sup>th</sup> day following each end of quarter over the term of the Contract documenting the progress made toward achievement of the MWBE goals of the Contract.

### **Equal Employment Opportunity Requirements**

By submission of a bid or proposal in response to this solicitation, the Bidder/Contractor agrees with all of the terms and conditions of Appendix A – Standard Clauses for All New York State Contracts including Clause 12 - Equal Employment Opportunities for Minorities and Women. The Contractor is required to ensure that it and any subcontractors awarded a subcontract over \$25,000 for the construction, demolition, replacement, major repair, renovation, planning or design of real property and improvements thereon (the "Work"), except where the Work is for the beneficial use of the Contractor, undertake or continue programs to ensure that minority group members and women are afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status. For these purposes, equal opportunity shall apply in the areas of recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff, termination, and rates of pay or other forms of compensation. This requirement does not apply to: (i) work, goods, or services unrelated to the Contract; or (ii) employment outside New York State.

The Bidder will be required to submit a Minority and Women-Owned Business Enterprises and Equal Employment Opportunity Policy Statement, Form # 4, to DCJS with their bid or proposal.

To ensure compliance with this Section, the Bidder will be required to submit with the bid or proposal an Equal Employment Opportunity Staffing Plan, upon request, identifying the anticipated work force to be utilized on the Contract and if awarded a Contract, will, upon request, submit an Equal Employment Opportunity Workforce Employment Utilization Compliance Report identifying the workforce actually utilized on the Contract, if known, through the New York State Contract System; provided, however, that a Bidder may arrange to provide such report via a non-electronic method by contacting:

**DCJS Finance Office  
Alfred E. Smith Office Building, 10<sup>th</sup> Floor  
80 South Swan Street  
Albany, NY 12210**

Further, pursuant to Article 15 of the Executive Law (the "Human Rights Law"), all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor and sub-contractors will not discriminate against any employee or applicant for employment because of race, creed (religion), color, sex, national origin, sexual orientation, military status, age, disability, predisposing genetic characteristic, marital status or domestic violence victim status, and shall also follow the requirements of the Human Rights Law with regard to non-discrimination on the basis of prior criminal conviction and prior arrest.

**Please Note: Failure to comply with the foregoing requirements may result in a finding of non-responsiveness, non-responsibility and/or a breach of the Contract, leading to the withholding of funds, suspension or termination of the Contract or such other actions or enforcement proceedings as allowed by the Contract.**

## **XXI. APPLICATION CHECKLIST**

### **Checklist: Have you reviewed and/or completed the following?**

- Complete Grants Gateway Prequalification Requirements – Appendix A.
- Complete all DCJS Grants Management System (GMS) Registration Requirements.
- Review and complete, as necessary, contractual requirements as described in Section XIX.
- Answer Program Narrative Questions # 1-6 as provided in Section XVII of the Application in the QUESTIONS TAB in GMS. Also attach the answers on a Word Document to GMS.
- Attach a completed CBI and Employment Readiness Group Projection Chart to GMS.
- Complete PARTICIPANTS TAB on GMS.
- Complete BUDGET TAB on GMS by entering the 2015/16 line-item Budget.
- Upload onto GMS a completed Attachment 3: Budget Detail Worksheet and Justification Narrative
- Review and Complete WORKPLAN on GMS, as provided in Appendix E.
- Complete M/WBE Requirement Forms as instructed in Section XX.
- Complete Operating Budget and upload the attachment Appendix B-1 Program Performance Milestones and Costs.
- Attach Resume of current CRTF Coordinator.
- Attach a Letter of Support from the Chief Elected Official or his/her designated representative, if applicable.

### **To submit the application on GMS:**

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.*”

### **The deadline for the completed application is no later than 12 Noon on Monday, April 6, 2015.**

**Applicants are encouraged to complete the GMS Application as well as the registration and/or pre-qualification on the Grants Gateway early to avoid any concerns with these automated systems**

**APPENDIX A**  
**Grants Gateway Prequalification Requirement**

**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](#).

Specific questions about the prequalification process should be referred to your agency representative or to the Grants Reform Team at [grantsreform@budget.ny.gov](mailto: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 the process as soon as possible in order to participate in this opportunity**

## **APPENDIX B**

### **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, bidders/proposers for this contract for commodities, services or technology are strongly encouraged and expected to consider New York State businesses in the fulfillment of the requirements of the contract. Such partnering may be as subcontractors, suppliers, protégés or other supporting roles.

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, to use responsible and responsive New York State businesses in purchasing commodities that are of equal quality and functionality and in utilizing services and technology. Furthermore, bidders/ proposers are reminded that they must continue to utilize small, minority and women-owned businesses, consistent with current State law.

Utilizing New York State businesses in State contracts will help create more private sector jobs, rebuild New York's infrastructure, and maximize economic activity to the mutual benefit of the contractor and its New York State business partners. New York State businesses will promote the contractor's optimal performance under the contract, thereby fully benefiting the public sector programs that are supported by associated procurements.

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

Applicants can demonstrate their commitment to the use of New York State businesses by responding to **Question #6 in the GMS Question Module**.

## APPENDIX C DCJS Grants Management System (GMS) Helpful Hints

**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.** Complete the text screens and press save.

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 "*Reentry Task Forces and Enhanced 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**

Select the “**Budget**” tab at the top of the application screen. Click on “**Create a new budget for (your agency)**”. On the subsequent entry screen, you will choose a budget category to work on from a drop-down list. You may continue to work within a category, or choose a new category at any time. Proceed through the various budget categories to enter the proposed operating budget. Please make sure that sufficient justification is provided for each budgeted line item. Upload a completed Budget Detail Worksheet and Budget Narrative as provided as Attachment 3.

If you should need to exit the budget module and return to it later for editing or updating, click the blue “Edit” button to return to the budget screen to input your updates.

**Workplan** - A standardized work plan has been developed and is consistent for all CRTFs. The workplan is included in Appendix E of the RFA. Please duplicate the workplan as provided and insert the appropriate number for your Application in GMS. The final workplan, including specific milestone targets will be a component of the CRTF contract and part of the GMS record.

### **Instruction**

In the GMS workplan module, enter your Project Goal, Objectives, Tasks and Performance Measures. More than one Objective, Task and Performance Measure can be added. **This is necessary in order for GMS to accept your application.** Upon successful application and notification of award, DCJS staff will then assist awarded agencies, as needed, with adjusting the workplan.

- 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**

For purposes of this RFA, when entering applications into GMS, make sure to answer all required program narrative and budget information questions.

**Hint: Answers should be developed in Word. DCJS-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.**

### **Attachments**

Click on “**Attachment,**” and upload the required attachments for this RFA. 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 an award being rescinded for the application being untimely.

When all requirements 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 the application is successfully 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 D**

### **Standardized Credentials – Recommended Qualifications for CRTF Coordinator**

Supervision and direction of the CRTF Coordinator is the responsibility of the implementing agency.

#### **Minimum Qualifications**

1. Education and Experience:
  - a. Associate degree in criminal justice **and** five years' experience working with the criminal justice population
  - b. Bachelor degree in criminal justice, social work, psychology or related field **and** three years' experience working with the criminal justice population
2. Strong verbal, written communication skills and organizational skills
3. Demonstrate knowledge of community based service organizations
4. Demonstrate ability to coordinate service delivery in a multidisciplinary environment which provides services to ex-offenders
5. Demonstrate ability to work as a member of a case management team
6. Demonstrate proficiency with computer applications specifically knowledge of Microsoft Office software applications such as Word and Excel
7. Demonstrate ability to work in a fast paced work environment
8. Strong time management skills and ability to prioritize tasks necessary to accomplish goals

#### **Preferred Qualification**

1. Knowledge of the Transition from Prison to Community Model and Evidence Based Principles

#### **Other Requirements**

1. Candidate will be subject to background investigation
2. Candidate will be required to disclose associations and/or family members under the supervision of parole or probation or currently incarcerated
3. Representative(s) of DOCCS (Parole) will be on the interview committee

## APPENDIX E CRTF Standardized Work Plan

**Contract Term:** July 1, 2015 – June 30, 2016

The **Goals** of the statewide plan for CRTF programs are as follows:

- To reduce offender recidivism and increase public safety.
- To maintain a county-based service delivery system that addresses criminogenic and stabilization needs of moderate to high-risk persons and special populations released from prison.
- To provide Cognitive behavioral interventions (CBIs) and/or employment readiness services to 30 percent of the CRTF intakes statewide during the period July 1, 2015 through June 30, 2016.

### **Objective #1: Track I Intakes**

Intake, assess and hold the first case conference for (**insert target number**) Track I individuals.

#### **Task #1 for Objective #1**

The following tasks are associated with this objective.

- Participants will be moderate to high-risk and/or special population individuals (referred to as Track I).
- Each CRTF will receive Track I referrals from DOCCS, screen individuals for eligibility, determine each individual's service needs, conference cases with DOCCS (Parole), develop a service plan and refer individuals to appropriate services.

**Case file documentation:** Maintain case files for each participant to include documentation of contacts, case conferences, referrals and services provided, as described above.

#### **Performance Measure**

- The number of Track I intakes completed.

### **Objective # 2: 45-day retention (75% of total Track I intakes):**

(**Insert target number**) individuals reach 45 day retention point.

#### **Task #1 for Objective #2**

The following tasks are associated with this objective.

- Record the number of individuals who are actively involved and receiving one or more of the following services based on assessed stabilization needs. The number to be reported is the number reaching the 45-day retention point.
- Housing: The CRTF shall assist individuals in obtaining housing that is conducive to maintaining a law abiding lifestyle (i.e., parole stabilization housing, residential treatment, halfway house, and private residence).

- Employment: The CRTF shall assist individuals in obtaining employment or employment programs/services (i.e., One Stop Center, Department of Labor, ACCES/Vocational Rehabilitation (VR), transitional employment, temp agency).
- Education: The CRTF shall assist individuals in pursuing education and vocational services (i.e., GED training program, educational program or vocational training program).
- Social Services Assistance: The CRTF shall assist individuals in obtaining social services (i.e., SSI, SSD, food stamps, Medicaid and TANF).
- Treatment: The CRTF shall assist individuals in obtaining treatment (i.e., chemical dependency treatment, mental health treatment and sex offender treatment).
- Offender Accountability: The CRTF shall assist individuals in receiving offender accountability programming.
- Cognitive Behavioral Intervention (CBI) Programs: The CRTF shall assist individuals in obtaining CBI programs that are approved by DCJS.
- Mentoring Services: The CRTF shall assist individuals in obtaining mentoring services.
- Health Homes: The CRTF shall assist individuals to access health care managers who are available to provide access to health care services and support.

Case file documentation: Maintain case files for each participant to include documentation of contacts, referrals and services provided, as described above.

#### Performance Measure

The number of individuals who are actively involved and receiving services at the 45 day point based on assessed needs.

#### **Objective #3: Enroll (*insert target number*) Track I individuals into an approved Cognitive-Behavioral Intervention (CBI) and/or employment readiness programs.**

- Approved programs include T4C, MRT, and RSW! program or any other program approved by DCJS.

#### Task #1 for Objective #3

The following tasks are associated with this objective:

- Assist individuals to support their initial engagement in an approved CBI and/or employment readiness program.
- Monitor the attendance and achievement of participants enrolled in an approved CBI and/or employment readiness program.

Case file documentation: Maintain attendance sheets with dates/times and participants' sign-ins for each CBI or other approved DCJS program. CBI rosters and Ready, Set, Work! rosters will also be submitted to DCJS as instructed.

Performance Measure

The number of individuals who are enrolled/engaged in an approved CBI and/or employment readiness program.

**Objective #4: (insert target number) Track I-eligible individuals** (50% of those enrolled in CBI and/or employment readiness) who complete the designated program.

- Enrollees must complete the required number of modules for the specific program to be eligible for this milestone reimbursement.

Task #1 for Objective #4

The following tasks are associated with this objective:

- Assist individuals to support their continued engagement in an approved CBI and/or employment readiness program.
- Monitor the attendance, achievement and completion of an approved CBI and/or employment readiness program by participants.

Case file documentation: Maintain attendance sheets with dates/times and participants' sign-ins for each CBI or other approved DCJS program. CBI rosters and Ready, Set, Work! rosters will also be submitted to DCJS, as instructed.

Performance Measure

The number of individuals who complete all required modules of an approved CBI and/or employment readiness program.

## **APPENDIX F**

### **Cognitive Behavioral Therapy Programs for CRTF Target Populations**

#### **1) National Institute of Corrections' 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 is a cognitive–behavioral therapy (CBT) program that includes cognitive restructuring, social skills development, and the development of problem-solving skills. Active role play is encouraged in groups and participants complete homework exercises to reinforce content learned.

Three components:

- Cognitive self-change - teaches individuals a concrete process for self-reflection aimed at uncovering antisocial thoughts, feelings, attitudes, and beliefs.
  
- Social skills - instruction prepares group members 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 group members with an explicit step-by-step process for addressing challenging and stressful real life situations.

#### **Curriculum Format**

- Lesson 1 begins the program with 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 with the option of extending the program based on the needs of group members.

#### **Lesson Format**

- A facilitator and a co-facilitator are present 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

#### **Training**

DCJS supports T4C by training and certifying facilitators to deliver the curriculum to CRTF participants.

#### **Sessions**

- 25 lessons, with option of aftercare sessions
- Sessions: 1-2 hours in duration, but can be longer or shorter in time depending on the agency

## **Lessons**

- Lesson 1: Introduction
- Lesson 2: Active Listening
- Lesson 3: Asking Questions
- Lesson 4: Giving Feedback
- Lesson 5: Knowing Your Feelings
- Lesson 6: Thinking Controls Our Behavior
- Lesson 7: Pay Attention to Our Thinking
- Lesson 8: Recognize Risk
- Lesson 9: Use New Thinking
- Lesson 10: Thinking Check-in
- Lesson 11: Understanding the Feelings of Others
- Lesson 12: Making a Complaint
- Lesson 13: Apologizing
- Lesson 14: Responding to Anger
- Lesson 15: Negotiating
- Lesson 16: Introduction to Problem Solving
- Lesson 17: Stop and Think
- Lesson 18: State the Problem
- Lesson 19: Set a Goal and Gather Information
- Lesson 20: Practice Problem Solving Skills 1 – 3
- Lesson 21: Think of Choices and Consequences
- Lesson 22: Make a Plan
- Lesson 23: Do and Evaluate
- Lesson 24: Problem Solving
- Lesson 25: Next Steps

## **Group Size/Frequency**

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

**Contact:** DCJS Office of Probation and Correctional Alternatives, 518-485-2393  
Website: <http://nicic.gov/t4c>

## **2) Moral Reconciliation Therapy**

Moral Reconciliation Therapy (MRT) is a systematic treatment strategy that seeks to decrease recidivism among juvenile and adult criminal offenders by increasing moral reasoning. Its cognitive-behavioral approach combines elements from a variety of psychological traditions to progressively address ego, social, moral, and positive behavioral growth. MRT takes the form of group and individual counseling using structured group exercises and prescribed homework assignments. The MRT workbook is structured around 16 objectively defined steps (units) focusing on seven basic treatment issues.

Participants meet in groups once or twice weekly and can complete all steps of the MRT program in a minimum of 3 to 6 months.

While MRT was first designed as a criminal justice-based drug treatment method, a host of other treatment adaptations have been made, including more individualized programs that deal with parenting, spiritual growth, anger management, juvenile offenders, sexual and domestic violence, and treatment and job readiness. Different workbooks based on the fundamental MRT concepts exist for each of these areas.

### **Dosage and Frequency**

- 12-16 steps
- 1.5 hour sessions, weekly

### **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

### **Training**

Basic training in Moral Reconciliation Therapy (MRT) is conducted by Correctional Counseling, Inc. (CCI) and it consists of 32 hours over 5-days. There are fees associated with the training and the workbook. Prior approval by DCJS is required before obligating or expending grant funds on out-of-state travel.

**Website:** [www.ccimrt.com](http://www.ccimrt.com)  
<http://www.moral-reconciliation-therapy.com>

### **3. NIC Offender Workforce Development Specialist (OWDS) Ready, Set, Work! (RSW!)**

DCJS is in partnership with NIC to train and certify OWDS and facilitate job readiness groups for persons with a criminal history. Although OWDS certification is required in order to facilitate the curriculum, OWDS are encouraged to include community-based organizations, businesses or volunteers to present selected segments of these groups. A certified OWDS facilitator is required to be present for all sessions.

RSW! is a 20-hour skill-based training to equip offenders and ex-offenders with the necessary tools to get and retain quality employment. There is also an emphasis on career planning and advancement, to encourage longevity in legitimate employment. 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

Website: <http://nicic.gov/training/owdsfy14>