



**New York State Division of Criminal Justice Services (DCJS)**

Office of Probation and Correctional Alternatives (OPCA)

and

Office of Program Development & Funding (OPDF)

**REQUEST FOR PROPOSALS  
200 Percent of Poverty Alternatives to Incarceration**

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# **NYS DIVISION OF CRIMINAL JUSTICE SERVICES**

OFFICE OF PROBATION AND CORRECTIONAL ALTERNATIVES (OPCA)  
AND  
OFFICE OF PROGRAM DEVELOPMENT & FUNDING (OPDF)

## **REQUEST FOR PROPOSALS 200 PERCENT OF POVERTY ALTERNATIVES TO INCARCERATION**

### **APPLICATION HIGHLIGHTS**

1. **Application deadline is 3:00 PM, Wednesday, September 19, 2012.** Applications submitted after the deadline will not be considered for funding.
2. Applications **must** be submitted via the New York State Division of Criminal Justice Services (NYS-DCJS) Grants Management System (GMS). If applicants are not registered to access GMS, it should be a **priority** for non-registered users to register using the forms and instructions included.
3. Questions on the RFP may be submitted to DCJS and are due no later than Monday, August 27, 2012. Responses to questions will be posted on the DCJS website by September 5, 2012.
4. This is a competitive process.
5. Notification of successful bidders is expected to take place on or about **October 24, 2012.**

# NYS Division of Criminal Justice Services

Office of Probation and Correctional Alternatives and  
Office of Program Development and Funding

## Request for Proposals

### 200 Percent of Poverty Alternatives to Incarceration

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# **REQUEST FOR PROPOSALS**

## **200 PERCENT OF POVERTY ALTERNATIVES TO INCARCERATION**

### **I. INTRODUCTION**

The NYS DCJS Office of Probation and Correctional Alternatives (OPCA) exercises general supervision over the administration of probation and alternative to incarceration services in New York State. OPCA is committed to implementing evidence-based practices in programs and services that reduce recidivism, promote public safety, ensure offender accountability and provide restitution to victims. The programs funded through OPCA offer specialized services that are supported by research including employment, cognitive behavioral therapy, life skills training, drug and alcohol treatment, and treatment for individuals with mental illness that assist offenders in changing their thinking and behavior so that they may lead law-abiding and productive lives. In doing so, we strengthen communities throughout New York State.

DCJS expects to issue new contracts for a total of up to approximately \$1,150,000 supported by 200% of Poverty Alternative to Incarceration (ATI) funding to be awarded to successful applicants of this Request for Proposals (RFP). This funding will support community-based alternatives to incarceration programs that provide services to eligible individuals with families whose income does not exceed 200 percent of the federal poverty level. Programs must target individuals involved in the criminal or family court who have delinquent child support obligations. The goals of funded programs is to “re-unite” families or facilitate the payment of child support obligations with the goal of re-establishing family ties, where appropriate, and reducing offender recidivism. The programs will assist in the successful completion of all court-imposed conditions of supervision or release.

### **II. APPLICATION GUIDANCE AND REQUIREMENTS**

#### **A. Underlying Rationale and Purpose of the Contract Award**

Community corrections programs perform a valuable role within New York State’s criminal justice system by identifying eligible offenders that may benefit from community-based services, guidance and supervision, reducing unnecessary reliance on incarceration. Engagement in the community can begin with the assumption of familial support and nurturing responsibilities. A significant number of offenders and/or their families are receiving public assistance; and many have problematic or fragmented family circumstances resulting in minor children living in households that do not provide healthy developmental support, or alternatively in costly foster care. Offender employment, treatment, and cognitive behavioral therapy with the goal of re-establishing responsibility and support of children and families can lead to positive attitude change, respect for others and the community, and law abiding behavior. The engagement of the offender and re-establishment of familial responsibility and support may result in significant cost savings through foster care avoidance, as well as the return of dependent children from foster

care. This population can move from welfare to work, meaningfully and successfully participating in and completing intensive and coordinated services, thereby breaking the cycle of dependency on governmental financial assistance.

The 200% of Poverty programs may operate independently or as “wraparound” services with existing probation or community-based alternative to incarceration programs, concentrating on offender employment, self-sufficiency and the re-establishment of familial responsibilities. Research demonstrates that offenders that are re-engaged with their families in the assumption of care and custody responsibilities, or as non-custodial parents in the payment of child support, are less likely to be re-arrested. Investment in the family and community acts as a protective factor.

Proposals require a program model that utilizes the NYCOMPAS risk and need assessment to develop detailed and goal directed individualized case planning. In addition to obtaining access to treatment and other community services such as housing, projects will be designed to accomplish the following program goals:

- To provide job readiness, placement and job retention measured at 90 and 180 days. Projects may also be designed to provide or to facilitate the acquisition of job skills targeted to market needs that lead to employment.
- To promote job retention and family ties through assumption of familial responsibilities including the avoidance or reversal of foster care placements and child support compliance. Also necessary is advocacy and case management for family reunification where appropriate. Parenting training, including gender-specific programming, is important in promoting healthy families.
- To incorporate an evidence-based cognitive behavioral treatment program in order to address errors in thinking that lead to offending behaviors. Evidence-based programs include the following: Thinking for a Change (T4C), Reasoning and Rehabilitation (R & R), Moral Reconation Therapy (MRT), or the programs provided through the National Curriculum and Training Institute (NCTI).

#### Required Employment Focus

Offender employment increases the potential for success of individuals under criminal justice supervision and reduces recidivism. Employment is viewed as one of the community ties that can make the difference for individuals and their families by participating in the legitimate economies of communities across New York State. In addition to providing a means of support, employment can serve as a strong pro-social bond in the community.

Funded programs will be required to have staff attend National Institute of Corrections’ (NIC) Offender Workforce Development Specialist (OWDS) Training offered by OPCA. This 180-hour, three-week training will provide probation departments and/or alternative to incarceration programs with an excellent opportunity to develop trained OWD Specialists in offender employment. Job-readiness training that will lead to employment can assist offenders and ex-offenders in obtaining and retaining jobs by effectively utilizing existing community employment resources. All OWDS trained staff are required to lead the 20-hour **Ready, Set, Work!** employment groups.

### Incorporation of Evidence Based Practices:

In *When Prisoners Come Home*, Joan Petersilia states that, although difficult to achieve, “Employment remains one of the most important vehicles for hastening offender reintegration and desistance from crime...” (Bushway and Reuter, 2002.) In a 2008 Research Brief, the Urban Institute reported that those who obtained employment within the first two months after release were more likely to successfully avoid recidivism 8 to 12 months after release (*Employment after Prison: A Longitudinal Study of Releasees in Three States*). Petersilia also points out that reviews of prisoners’ family relationships consistently find that men who assume husband and parenting roles have higher rates of post release success than those who do not (Hairston 2002). Proposals submitted under this RFP should be for programs designed to significantly reduce the risk of recidivism through evidence based assessment and case planning, employment and services that encourage the assumption of familial responsibilities and the strengthening of family and community ties.

Applicants are strongly encouraged to visit the National Institute of Corrections website at <http://nicic.org/Library/019342>. This site contains “Implementing Evidence-Based Practice in Community Corrections: The Principles of Effective Intervention” on how to build organizations that reduce recidivism through systemic integration of evidence-based principles in collaboration with community and justice partners. Applicants should also visit the Washington State Institute for Public Policy at [www.wsipp.wa.gov](http://www.wsipp.wa.gov) for a comprehensive review of evidence-based programs for adult offenders.

DCJS will issue performance-based contracts with a minimum value of \$100,000 and a maximum value of \$200,000 annually. The minimum number of annual successful program completions is twenty-five (25) participants for contracts of \$100,000 annual value. Proposals will be evaluated based upon the number of program completions and the rigor of the criteria for completion, as well as other milestones and outcomes in relation to the overall program budget. Consistent with OPCA’s long practice, both the quality of the service and the value rendered for cost will receive careful attention in our evaluation of program applications. Contracts will be for an initial award period of one year beginning on January 1, 2013, with the option of two additional one-year/annual renewals, subject to the annual appropriation of state funds and satisfactory program performance. No cash match commitment is required for the use of these funds.

### **B. Eligible Applicants**

Not-for-profit agencies and organizations, including faith-based organizations, or public agencies, including units of local governments within New York State are eligible to apply. A joint application from any such entities will also be accepted. All applicants must have established credentials and experience working with community corrections clients that can be fully documented. The application must also document education and experience of the key personnel who will be involved in this project. Letters of agreement or Memoranda of Understanding (MOUs) defining roles and responsibilities must be included for any joint application or partnership.

### **C. Objectives of the Project Proposal**

In general, this project will enhance New York state community corrections programs that work with individuals in the criminal justice system, whether through pretrial services, interim probation supervision, deferred sentencing, post-conviction/adjudication supervision, reentry or other correctional alternatives. Successful project proposals will offer a comprehensive approach to measure individual participant performance and to foster programmatic and social accountability.

The proposal shall include:

1. The use of the NYCOMPAS actuarial risk and needs assessment to determine appropriateness and eligibility of defendants, offenders or ex-offenders for program enrollment. Programs should target individuals at higher risk of recidivism. Information on the COMPAS instrument can be accessed at <http://www.northpointeinc.com/products/northpointe-software-suite>.
2. The establishment of a program for a minimum of 25 participants successfully completing during the course of a twelve-month contract term subsequent to the start-up year. Participants should normally be enrolled in the program and receive services for a minimum of 90 days. (See Attachment C)
3. The demonstration of the capacity of the proposed model to enhance criminal justice dispositional and case management decision-making and/or improve supervision services.

### **D. Target Population**

Participants will be currently under criminal justice supervision or have been released from a facility within the previous twelve months. Project participants must be New York state residents and may include those referred by or released from:

- a. Criminal courts and family courts
- b. Local probation departments
- c. Alternative to incarceration programs
- d. Local/county correctional facilities
- e. The New York State Department of Corrections and Community Supervision
- f. Federal probation and parole

Project participants must be either custodial or non-custodial parents or adult relative primary caretakers of minor children who qualify as eligible under the 200% of poverty guidelines. The OPCA-4750 and LDSS-4728 forms must be used to determine project eligibility. (See attachment E.)

## **E. Project Services**

Services may include, but are not limited to:

- a. uniformly identifying participant strengths and assessing participant risks and needs using the NYCOMPAS actuarial instrument; (Required)
- b. pre-employment training, job preparation, job placement and job retention services; emphasis is placed on job placement and retention and measured 90 and 180 days from inception and/or program completion; (Required)
- c. research-based cognitive behavioral programming or training for participants; (Required)
- d. screening, referral and monitoring participant progress in community based services;
- e. providing vocational and educational skills leading to secured and documented employment.
- f. advocacy for program participants and case management for family reunification where appropriate; (Required)
- g. providing parenting skills training, which may include gender specific training; (Required)
- h. conducting family case management to address stabilizing needs such as housing;
- i. preparing client-specific release plans;
- j. mentoring;
- k. aftercare services for participants completing the program.
- l. assisting clients with addressing court-ordered child support obligations, payments and arrearages. (Required)

Applicants must include a description of any services that will be provided by any subcontractor.

### **III. SUBMISSION OF PROPOSALS**

The applicant must submit a complete response to this RFP that conforms to the format and content requirements as set forth in this RFP. Applications, including the proposed budget, work plan, responses to questions in Section V and all required attachments must be submitted electronically using the DCJS Grants Management System (GMS). No other format will be accepted. Complete proposals are due by **3:00 pm on Wednesday, September 19, 2012. Proposals submitted after the deadline will not be considered for review.** See **Section IV** below and **Attachment F** for information about access to GMS.

All proposals will become the property of NYS-DCJS, and will be considered public documents once the award is granted and the contract executed.

The review and selection process will begin after the application deadline. Award recommendations will be made in accordance with the evaluation criteria and methodology outlined in Sections V and VI, with awards distributed based upon the final recommendation of the Deputy Commissioner and Director of OPCA and final approval by the Executive Deputy Commissioner of the Division of Criminal Justice Services. Successful applicants will be notified in writing of an approved award on or about October 24, 2012, and a contract incorporating appropriate milestones and outcomes will be negotiated. Unsuccessful applicants will also be notified in writing.

### **IV. GMS REGISTRATION REQUIREMENTS AND TECHNICAL ASSISTANCE**

To submit an application on the DCJS Grants Management System (GMS), the applicant agency must have a designated signatory registered with the NYS-DCJS' Grants Management System. Failure by an applicant to have an authorized signatory with eSignature rights will prevent submission of the application. Other assigned project staff who will need access to GMS must submit a GMS User Registration form. The two GMS registration forms and GMS instructions can be found in Attachment F. Completed GMS registration forms should be emailed to [dcjsfunding@dcjs.ny.gov](mailto:dcjsfunding@dcjs.ny.gov) or faxed to (518) 485-2728 at least 5 days prior to application submission. All applications that are awarded will be processed as eSignature contracts. It is strongly suggested that the GMS User Manual be downloaded from the following web address: <http://www.criminaljustice.ny.gov/ofpa/gms.htm> in order for applicants to become familiar with using GMS.

For general questions related to GMS or for technical assistance with using the Grants Management System, please call the NYS DCJS GMS Help Desk at (518) 457-9787.

## **V. PROPOSAL REQUIREMENTS & REVIEW PROCESS**

When entering applications into GMS, provide all requested information as instructed. Point values for proposal components that will be scored during DCJS' application review process are noted parenthetically in Section D below. Explanation of the application review process, including further explanation of scored proposal elements, is addressed in Section E.

### **A. Transmittal Letter**

Using the GMS Attachments module, submit a transmittal letter signed by the individual authorized to make contractual commitments on the organization's behalf and which contains ALL of the following:

1. A statement attesting to the accuracy and truthfulness of all information contained in the proposal, including federal identification, and for non-profit organizations, the applicant's charity registration number.
2. A statement that the applicant has read, understands, and is able and willing to comply with all standards and participation requirements described in the RFP.

### **B. Other Required Forms/Documents**

**Each application must include a Letter of Support from the chair of the County Criminal Justice Advisory Board or County Alternatives to Incarceration Advisory Board.**

Complete all necessary forms and other required documents indicated in this RFP, including all required signatures where indicated.

The responses to the five RFP questions (not including the transmittal letter, letter of support, budget, work plan and attachments) may not exceed 3,000 words.

### **C. Non-Profit Organizations**

Non-profit applicants that do not have a current grant contract with DCJS must submit one of the following in the GMS Attachments module in order to demonstrate eligibility:

1. Proof of 501 (c) (3) status from the Internal Revenue Service;
2. A statement from the state taxing authority or state Secretary of State, or other similar officials certifying that the organization is a nonprofit operating within the state, and that no part of its net earnings may lawfully benefit any private shareholder or individual;
3. A certified copy of the applicant's certificate of incorporation or similar document; or,

4. Any item above, if that item applies to a state or national parent organization, together with a statement by the state or parent organization that the applicant is a local nonprofit affiliate.

#### **D. Applicant Responses to RFP Questions**

Each proposal must respond to the following questions. All responses must be provided in the GMS Questions module **and** submitted as a separate Microsoft Word document using the GMS Attachments module. Total points attributable to each question are noted parenthetically.

##### **1. What are the applicant's experience and qualifications? (15 points)**

- Describe the applicant's experience in working with criminal justice and family court populations and demonstrated ability to collaborate with other criminal justice and human service agencies and service providers.
- Detail the applicant's track record in the development and implementation of successful projects. Include a summary of relevant prior experience in the proposal.
- Provide information about the project director responsible for overall management of project services and his/her experience. Provide information about all personnel or resources available to the organization that will qualify the applicant to conduct these activities, including information for joint applicants. Joint applications, or applications that involve partnerships, must describe the roles and responsibilities of all parties involved. Include education and experience of project personnel identified.
- Using the GMS Attachments module, attach resumes and job descriptions for the program lead person and other program staff.

##### **2. What are the services you are proposing and who is the target population? (20 points)**

- What are the specific services you are offering and to whom?
- How will the program incorporate one or more evidence-based treatment practices to assist the program participants in complying with court-ordered sanctions?
- Describe how the screening, assessment and case planning processes will be used to identify the level of risk of recidivism and to measure criminogenic needs of the identified population.
- Describe how the assessment instrument will be utilized to enhance the provision of services.
- What are the anticipated needs of the identified population and how will the program address these needs?

- Specify the characteristics of the persons you plan to serve.
- Describe the criteria for the identification of eligible persons and how you will process the referrals.
- Describe any exclusionary criteria.

**3. What outcomes are you committed to achieving? (25 points)**

- Describe the expected outcomes of the program activities and the expected impact on the participant's behavior and compliance with community supervision.
- Describe the program's anticipated impact on the criminal justice system, including "stakeholders."
- Describe quantitative and qualitative results expected as related to performance objectives.
- Describe the evaluation component that will be used to measure the impact in the community and systemically of the proposed program.

**4. What is the timetable for implementation and what organizations will provide services to the program? (10 points)**

- Provide a timetable for program implementation and subsequent years of operation.
- Letter(s) of agreement/memoranda of understanding (MOUs) from all service providers named in the application must be submitted using the GMS Attachments module.

**5. How will you spend the DCJS 200% of Poverty grant funding if selected? (30 points)**

- Describe program milestones, outcomes and costs, and link these to performance objectives for the services described. Also describe the expected participant outcomes as a result of project activities, and include the cost per successful project completion of a participant. All applicant responses to this question must include:
  - Milestones, Outcomes, Costs form(s). The Milestone, Outcomes, Costs form and guidelines are provided in RFP Attachment C. Completed forms should be submitted using the GMS Attachments module; and
  - A Program Work Plan completed in the GMS Work Plan tab in accordance with the guidance provided in RFP Attachment D.
- Using the GMS Budget tab, provide a program operating budget in accordance with the guidance provided in RFP Attachment B.

- Describe how the program will potentially access additional services for your target population as appropriate for the participants served. Detail how any services in addition to those included in the budget for the program will be funded. (Funds should not be co-mingled.) Enhancements to an existing program should be quantified, whether additional services or an increase in the number of participants.
  - Detail direct service personnel salaries and percentage FTE, fringe benefits, and any direct service contractual expenses. These costs are usually the majority of the program budget.
  - Specify costs other than personnel costs. Indirect costs may not exceed 15 % of the budgeted salary plus fringe costs. Indirect costs are not an allowable expense for public agencies.

#### **E. Review Process in Detail**

Applications will be rated using a two-tiered system of review. The criteria for the two tiers of the process are described below.

##### **Tier 1: Qualifying Information**

Qualifying information is information that must be provided or criteria that must be met in order for an application to advance to Tier 2 of the review process. **Any application that does not meet all criteria outlined in this section will be automatically disqualified from further review.**

All applications MUST be:

- submitted by an eligible applicant;
- submitted on-line via the DCJS Grants Management System (GMS) by the **3:00 pm Wednesday, September 19, 2012 deadline;**
- complete, including the following required proposal elements:
  - Transmittal Letter;
  - Qualifying documentation demonstrating eligible non-profit status (only for non-profit applicants that do not have a current DCJS grant contract);
  - Letter of Support from the chair of the County Criminal Justice Advisory Board or County Alternatives to Incarceration Advisory Board
  - Responses to RFP Questions 1 – 5 in Section V (D) must be provided in both the GMS Questions module and submitted as a separate Microsoft Word document attached in GMS;
  - Resumes and job descriptions for the program lead person and other individuals involved in program implementation and accomplishment of

- performance objectives;
- Letter(s) of agreement/MOUs from all service providers named in the application;
- A Program Budget completed in the GMS Budget tab (See RFP Attachment B);
- Milestone, Outcomes, Costs form(s) (See RFP Attachment C);
- A Program Work Plan completed in the GMS Work Plan tab. (See RFP Attachment D).

**Tier 2: Application Scoring Process**

All applications meeting all of the criteria outlined in Tier 1, “Qualifying Information,” will be subject to Tier 2 of the review process.

Proposals will be recommended for award based upon highest RFP evaluation scores. A team of DCJS employees will conduct the Tier 1 review process. DCJS may elect to include employees of other criminal justice and treatment agencies in the Tier 2 review process.

The Tier 2 review process involves the use of a rating scale as described below that will result in a maximum possible score of 100 points for each application. Each application will be independently reviewed by at least two reviewers using this same rating scale. The team will convene to discuss reviews and reviewers’ scores for each application. Scores will be averaged to obtain a final average score and a rank ordering of applications from highest to lowest score. The review team’s recommendation to award a contract to qualified applicants based upon the ranked RFP scores is subject to the approval of the Deputy Commissioner and Director of OPCA and final approval by the Executive Deputy Commissioner of DCJS.

**VI. SCORING PROPOSAL ELEMENTS**

**1. Experience, Qualifications and Resources: (0 to 15 points)**

This item will include two scoring dimensions:

- a. The applicant possesses demonstrated success in working with criminal justice and/or family court populations. 10.0 points max
- b. The project personnel possess appropriate experience/educational background. 5.0 points max

**Discussion:** The applicant has demonstrated ability to collaborate with other criminal justice and human service agencies and service providers. The applicant demonstrates an excellent track record in the development and implementation of projects that are successful with criminal justice populations. A summary of relevant prior experience and successful outcomes is briefly included in the answer to this question. Resumes or

descriptions of the qualifications of those providing services should be attached. The project director responsible for overall management of project services and all project staff possess suitable education and experience. If staff is not yet hired, job description(s) with qualifications must be included in lieu of resumes. Program strengths are viewed as those proposals that document the essential expertise to complete the milestones and outcomes/objectives of the project.

**2. Project Services and Target Population: (0 to 20 points)**

This item will include three scoring dimensions:

- a. What services are proposed? 10.0 points max
- b. Utilization of the Northpointe, Inc. COMPAS instrument for risk and needs assessment, case planning and reassessment. 5.0 points max
- c. Process for selection of participants and characteristics of individuals to be served. 5.0 points max

**Discussion:** It is expected that the best proposal(s) will describe a service model that incorporates evidence-based practices, promotes job readiness, placement and retention, and utilizes an actuarial risk and needs assessment for initial screening and case planning, including subsequent re-assessment. Utilization of the Northpointe, Inc. COMPAS instrument is required. Information on the COMPAS instrument can be accessed at <http://www.northpointeinc.com/products/northpointe-software-suite>.

Characteristics of the program population should be the critical element of this item. Implicit in the question is the expectation that criminal justice process points would be described as well as the court jurisdictions and counties to be served. The criteria and process for selection should provide a description of specific agency actions and transactions between agencies to identify the persons best served through this program. The targeted population should be clearly identified, including any exclusionary criteria.

**3. Outcomes and Anticipated Results: (0 to 25 points)**

This item will include three scoring dimensions.

- a. Program workplan objectives, milestones and outcomes are achievable and measurable. 15.0 points max
- b. System impacts identified. 5.0 points max
- c. Evaluation component. 5.0 points max

**Discussion:** What results is the program committed to achieving? Milestones and outcomes, workplan objectives and the associated tasks should represent program components and realistic progress through the program that can be documented.

Discussion of the number of participants actually enrolled with concrete expectations of program completion will obtain a higher score than a focus on the number of participants screened or interviewed. Objectives should represent substantial, important achievements. A discussion of expected system impacts on public safety and “stakeholders” should be described. Stakeholders should include the courts and other system components and agencies that may contribute to the program that would not be paid by the grant, as well as other agencies and individuals who will benefit from this program.

It is recognized that a fully developed impact evaluation of the services proposed cannot be completed within the first twelve months of program activities. A *plan* for an outcome evaluation of the community and system impacts should be included, however, as the project is expected to be funded for a three-year period.

#### **4. Implementation Timetable and Collaboration Agreements: (0-10 points)**

This item will include two scoring dimensions.

- a. Timetable for implementation provided. 5.0 points max
- b. Agency letters of agreements/MOUs. 5.0 points max

**Discussion:** The timetable for implementation of the proposed program is realistic and achievable, but also expeditious in commencing program activities. Letters of agreement/MOUs from all service providers named in the application must be submitted using the GMS Attachments module.

#### **5. Budget Detail and Narrative: (0 to 30 points)**

This item includes five scoring dimensions.

- a. Weighting of milestones/outcomes pricing. 10.0 points max
- b. Clear description and justification of program expenses. 5.0 points max
- c. Description of linkage to current funding. 5.0 points max
- d. Direct service personal costs. 5.0 points max
- e. Other than personal costs. 5.0 points max

**Discussion:** The contract that results from this RFP will be performance based. The program milestones, outcomes and costs will provide the basis for the contract budget. Proposals should give greater weight in pricing to program retention and program completion on Attachment C – Milestones, Outcomes and Costs. The total of the program milestones/outcomes and costs should be equal to the total of the proposed operating budget. The costs included in the operating budget should be clearly described and justified. The discussion should include how current funding, if any, is being used and how the DCJS grant award will be integrated into the program. The discussion should clearly present what enhancements will be gained, and the enhancements must be quantifiable. For example, a quantifiable enhancement could be the identification of

additional services for project participants, or it could increase the number of participants to be served. If the applicant proposes the direct delivery of services, they must provide plans for training, supervision, follow-up and sustainability of the program.

Direct service personal costs should be at least 75% of the budget and include salaries, fringe benefits and/or any direct service contractual expenses with an outside service provider. Costs for other than personal services should be justified and reasonable. Indirect costs should not exceed 15% of the salaries plus fringe. Indirect costs are not an allowable expense for public agencies.

## **VII. ADMINISTRATIVE CRITERIA AND CONDITIONS**

### **A. Cost Incurred Prior to Contract Approval:**

The state of New York will not be liable for any cost incurred by a service provider in preparation for, or prior to, the approval of an executed contract by the NYS Office of the Attorney General and the Office of the State Comptroller. Additionally, no cost will be incurred by the State for the service provider's participation in any pre-contract award activity.

### **B. Commitment**

Submission of a response to this RFP shall not be construed as a commitment by the State to proceed with this project.

### **C. Certain State's Rights**

The State reserves the right to:

1. Reject all proposals and re-issue a subsequent version of this RFP.
2. Utilize any or all ideas submitted in the proposals unless those ideas are covered by legal patent or proprietary rights.
3. Amend RFP specifications to correct errors or oversights, or to supply additional information. Notification of any such changes will be posted on the DCJS website and per the original RFP distribution.
4. Make typographical corrections to proposals with the concurrence of the applicant.
5. Correct computational errors with the concurrence of the applicant.
6. Change any of the scheduled dates stated herein with notification posted on the DCJS website and per the original RFP distribution.

7. Negotiate with service providers responding to this RFP within the RFP requirements to serve the best interests of the State.
8. In the event that the State is unsuccessful in negotiating a contract with an originally selected applicant within 30 days of the notification of an award, the State reserves the right to rescind the award and begin contract negotiations with the next highest scoring applicant(s) in order to serve the best interests of the State.
9. Disqualify proposals that fail to meet mandatory requirements.
10. Waive a mandatory requirement if unmet by all applicants and is non-material in nature.
11. The State may award a contract for any or all parts of a proposal and negotiate contract terms and conditions to meet DCJS' and the applicant agency's needs consistent with the solicitation.
12. In the event that two applications are found to be substantially equivalent, the lowest price per successful program completion shall be the basis for determining which of the applications will receive the award.

#### **D. Contract Negotiations**

During contract negotiations, the State expects to have direct access to applicant personnel who have full authority to make commitments on behalf of the applicant. An applicant must include, as part of its proposal, any restrictions under which its primary negotiations will operate.

#### **E. Executed Contracts**

Any negotiated contract must conform to the laws of New York State and will be subject to approval by the NYS Office of the Attorney General and the Office of the State Comptroller. The contract will not be considered fully executed until formal approval has been granted by the NYS Office of the Attorney General and the Office of the State Comptroller.

#### **F. Contract Period**

DCJS will enter into contracts for a period of 12 months, with two (2) 1-year renewal options contingent upon program performance and the availability of funds. DCJS reserves the right to modify the contract period due to unsatisfactory program performance or in the best interests of the State.

**G. Contract Activities**

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

**H. Contract Changes**

Contracts resulting from this RFP may be executed, increased, terminated, renewed, decreased, extended, amended, or renegotiated at the discretion of the Executive Deputy Commissioner of the Division of Criminal Justice Services in light of a grantee's performance, changes in project conditions, or otherwise.

**I. Records**

Grantees 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.

**J. 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.

**K. Standard Contract Provisions**

Any contracts negotiated as a result of this RFP will be subject to the provisions of the standard New York State Agreement, Appendix A (Standard Clauses for New York State Contracts), Appendix A-1 (Agency-specific clauses) and Appendix C (Payment & Reporting Schedule), which contain the standard clauses for all New York state grant contracts with DCJS. Appendices are available for review on the DCJS website at: <http://criminaljustice.ny.gov/ofpa/forms.htm>.

**L. Proposal Security**

Public inspection of the bids is regulated by the Freedom of Information Law (Article 6 of the New York State Public Officers Law). The bids are presumptively available for public inspection. If this would be unacceptable to an applicant, the applicant should apply to the State for trade secret protection of its bid. In applying for trade secret protection, it would be unacceptable to indiscriminately categorize the entire proposal as such. The applicant should point out those sections of the proposal that are trade secrets and explain the reasons therefore. The State will review applications and grant trade secret protection, if appropriate.

**M. State Property**

All proposals and any accompanying documentation become the property of the state of New York and will not be returned.

**N. Vendor Responsibility**

New York state procurement laws and guidelines require the award of state contracts to responsible vendors. Accordingly, not-for-profit agencies selected for a grant award valued at \$100,000 or more will be required to provide vendor responsibility information and certify the accuracy of such information prior to DCJS' submission of an executed grant contract for approval by the New York State Attorney General and the Office of the State Comptroller (OSC). Additional information about vendor responsibility requirements, including the Vendor Responsibility Questionnaire (VRQ) for not-for-profit business entities and guidance for submitting VRQs using the NYS VendRep System, is available on OSC's website at <http://www.osc.state.ny.us/vendrep/index.htm>. A grant award could be rescinded if, after review of the Vendor Responsibility documents, an awardee is determined to be "Non-responsible." In this event, an award can be redirected to the next highest scoring applicant(s).

**O. Announcements or Releases**

Public announcements or news releases pertaining to the selection of the applicant or award of a contract must not be made without prior written approval from DCJS.

**P. Debriefing Sessions**

Unsuccessful applicants will be notified in writing and will be offered an opportunity to be debriefed. A debriefing, if requested, will be scheduled for any unsuccessful applicant at a date and time convenient to both DCJS and the applicant concerned, but not before completion of contract negotiations.

**Q. Miscellaneous Requirements**

1. Confidentiality of Information

a. New York State Law protects the privacy of criminal history records and other confidential information. The applicant shall take all steps required by the State to protect confidential information. This may include, but not be limited to, execution of a non-disclosure agreement with each staff assigned to the project, fingerprinting checks of applicant personnel with access to such information, and a requirement that the applicant replace personnel at the discretion of the State.

b. The applicant shall be responsible for assuring that it notifies its officers, agents, and employees involved with the contract of the provisions of this subsection. The applicant shall be responsible for

assuring that any joint agreement contains a provision that conforms to the provisions of this subsection.

c. All applicants will require that program participants undergoing drug or alcohol treatment to sign the appropriate consent form in order to allow OPCA and the CONTRACTOR access to treatment information for purposes of determining project compliance.

d. The CONTRACTOR specifically agrees to comply with New York state's "Information Security Breach and Notification Act" as set forth in State Technology Law Section 208 and General Business Law Section 899-aa. The CONTRACTOR shall promptly notify DCJS where there is reasonable belief of breach of security, unauthorized access or unauthorized release of personal computer data containing personal information and take appropriate action with respect to notification of affected individuals and to other required state agencies consistent with such Act. CONTRACTOR shall be liable for the costs associated with such breach if caused by CONTRACTOR'S negligent or willful acts or omissions, or the negligent or willful acts or omissions of CONTRACTOR'S agents, officers, employees or subcontractors.

## 2. Case Files

The applicant must maintain individual case files on clients being served under this program. Such case files must include a description of the coordination of services delivered to the target population. Files shall also include relevant court records including court orders and conditions, as well as information stating the degree to which the conditions are being satisfied. Documentation of each participant's achievements per contract milestones and outcomes shall also be included, as well as a summary chart of those achievements.

## 3. Contract Funding and Reporting

a. Successful applicants will be required to enter into contracts with DCJS, subject to the approval of the NYS Office of the Attorney General and Office of the State Comptroller and subject to the availability of funding. Provision of program services beyond the first year is subject to the appropriation of funds in future enacted state budgets. Funds will be awarded through the execution of a contract that specifies the obligations of all parties and includes the applicant's proposal in its approved form. Payment of funds will be made after submission to the designated payment office of a NYS Standard Voucher and any other information that may be required. All reimbursement will be based upon the applicant's progress towards achieving the contract award milestones, outcomes, and performance objectives, and compliance with the contract terms and conditions including, but not limited to, receipt of certain programmatic

reports. Standard voucher claims will be made quarterly and based on project milestones and outcomes achieved.

b. Throughout the contract period, and as specified in the contract or otherwise, grant recipients will be required to submit reports on a quarterly basis including demographic data, participant-specific data and monthly aggregated data to document income eligibility, criminal justice involvement, types of services rendered, and program outcomes.

Elements of the quarterly reports shall also include, but not be limited to:

- i. Barriers to implementation of the proposed program elements and
- ii. Solutions developed to overcome these barriers.
- iii. Fiscal cost reports, state aid vouchers and other detailed itemization forms must be submitted to support payment claims.
- iv. Other reports, as requested.

## **VIII. RFP TECHNICAL ASSISTANCE & INQUIRIES**

DCJS staff will not privately address any questions regarding the RFP except to provide GMS technical assistance.

Requests for technical assistance with accessing and using GMS may be directed to the DCJS GMS Help Desk at (518) 457-9787.

Non-GMS questions regarding this RFP may be emailed to [dcjsfunding@dcjs.ny.gov](mailto:dcjsfunding@dcjs.ny.gov) through **Monday, August 27, 2012**. Please reference the “OPCA 200 percent RFP” in the subject line of your email. By **Wednesday, September 5, 2012**, DCJS will post answers to the received questions on our website at <http://www.criminaljustice.ny.gov/ofpa/newrfp.htm> without identifying questioners.

**ATTACHMENT A**

**FINAL APPLICATION CHECKLIST**

This checklist should be completed by the applicant for their internal use. It is not required for submission.

**\*Attachments (as specified below) are to be uploaded and submitted with the application on GMS.** Documents should be saved in *Microsoft 97-2003* versions or Adobe to be compatible for uploading to GMS.

*Absence of any of the following as described may serve to disqualify a proposal from consideration.*

	<b>Submitted with Proposal Yes/No</b>	<b>Signed Yes/No/NA</b>
<b>Transmittal Letter</b> - (See RFP Section V.A) Signed by the individual authorized to make contractual commitments on the behalf of the organization. <u>*Sign and submit as a GMS Attachment.</u>		
<b>Qualifying proof of eligible not-for-profit status-</b> (See RFP Section V.C) Required only for non-profit applicants that do not have a current grant contract with DCJS. <u>* Submit as a GMS Attachment.</u>		<b>NA</b>
<b>Letter of Support</b> from chair of the County Criminal Justice Advisory Board or County Alternatives to Incarceration Advisory Board		
<b>Responses to RFP Questions</b> – (See RFP Section V (D) & VI.) <u>Enter responses to Questions on GMS AND Submit as a GMS Attachment in a separate Microsoft Word document.</u>		<b>NA</b>
		<b>NA</b>
<b>Resumes and job descriptions</b> for the program lead person and other program staff. <u>*Submit as GMS Attachment(s).</u>		<b>NA</b>
<b>Letters of Agreement/MOUs</b> - <u>*Submit as a GMS Attachment.</u>		
<b>Budget</b> - (See RFP Section V (D), VI & and Attachment B) Complete on GMS.		<b>NA</b>
<b>RFP Attachment C: Milestones, Outcomes, Costs.</b> <u>*Complete Attachment C and submit as a GMS Attachment:</u>		<b>NA</b>
<b>Work Plan</b> - (See RFP Section V(D),VI & Attachment D) Complete on GMS.		<b>NA</b>

**Application deadline is 3:00 pm on Wednesday, September 19, 2012.**

## ATTACHMENT B

### BUDGET SUMMARY

The operating budget includes the project expenses that are the basis for the performance based milestone and outcome total pricing. Reimbursement for project services will be based on performance based milestones and outcomes achieved and documented by the program. The performance based budget (Milestones, Outcomes, Costs) including number of participants are to be provided in Attachment C.

The operating budget for the proposed program is to be entered on GMS. The Budget will detail the amounts and types of budget items that the applicant requires to operate the program for a **one year period** commencing January 1, 2013. Costs must be directly related to the delivery of the program services and activities that will take place. The Budget Description and Justification sections in the GMS Budget module require further details and information to support the amounts listed in each Budget category.

Not-for-profits grantees may request an advance payment up to 25% of the annual contract budget under the Budget tab in GMS.

For additional budget requirements, please refer to Appendix A1 (Agency-specific Clauses) which will be included in all grant contracts negotiated as a result of this RFP. A copy of Appendix A1 is available on DCJS' website at <http://www.criminaljustice.ny.gov/ofpa/forms.htm>.

*A start-up year budget may be provided as Budget Version 1. Such a budget would include training and any equipment purchases that would not be ongoing items in a fully operational budget. If a start-up budget is being included, then the fully operational budget should be included as Budget Version 2. Otherwise, enter the fully operational budget under Budget Version 1 on GMS, under the Budget tab.*

## ATTACHMENT C

### GUIDELINES

**The Milestones, Outcomes, and Costs chart (Attachment C) must be completed and submitted as an attachment to the GMS application.**

#### **Performance Based Outcome Measures**

- A minimum of 50% of the participants taken into the project (intake milestone) would successfully complete the project.
- The project's services would reduce the likelihood of re-offending during project participation and after project completion.

#### **Performance Based Payment Structure**

- The CONTRACTOR would be paid based on achieving agreed upon project milestones and outcomes or a negotiated alternate payment structure.
- To the extent that the milestones cover the cycle of project participation (intake, retention for various time periods and project completion), the funding allocated to those milestone-based payments would be weighted to favor retention and project completion.
- In addition, 85% of the total proposed cost would be milestone-based payments and 15% of the total cost would be outcome-based payments.

#### **Cost Proposal**

Applicants may propose alternative payment structures. DCJS reserves the right to select any payment structure that is in the State's best interest. For the purposes of comparison, proposers should submit a Cost Proposal that meets the standards prescribed below.

- Complete Attachment C: Milestones, Outcomes, Costs form allowing for 85% of the cost to be attributable to the milestone payments and 15% of the cost to outcome-based payments. Other appropriate outcome measures may be proposed in addition to those listed on Attachment C. Milestone pricing should be weighted to favor retention and project completion.
- Complete Attachment D: Program Work Plan on GMS.
- Provide a detailed cost justification for the proposed project including total cost, and average cost per completion (total cost divided by number of completions). Include the amount of funding required for both annualized costs and start-up, if applicable.
- Include a listing of any other sources and amounts of funding that will support the proposed project.

## **ATTACHMENT C (continued)**

### **Start-up Year Operations (if applicable):**

It is anticipated that the number of participants completing a program during the first year of operations may be less than the number that would be targeted for completion and for other milestones after the start-up period when the project is fully operational. Therefore, an Attachment C may be submitted for the first or start-up year with start-up target numbers and costs. If such an Attachment C is submitted, an Attachment C for the subsequent contract year(s) with targets and costs established for the project being fully operational should be included with the proposal submission as well. Also, outcomes for the start-up year could include limited amounts (not to exceed \$25,000) for project start-up activities such as hiring and training of staff, setting up tracking and reporting systems, the establishment of written policies and procedures, and training for cognitive behavioral and OWDS. Further, if a start-up Attachment C is submitted, both a start-up and second year operating budget should be submitted with the respective costs for each year.

**ATTACHMENT C**

**MILESTONES, OUTCOMES, COSTS**

1	A	B	C	D	E	F
2	Milestones	# of Participants	Cost/ Participant	Milestone Cost (Col .B x Col. C)	Outcome-based Payment (Col. B x Col. C)	Total Cost
3	Assessment/ Intake					
4	30-day Retention in Program					
5	Half-way Point in Program ( ___ days) <sup>1</sup>					
6	Three Quarter Point in Program ( ___ days) <sup>1</sup>					
7	Program Completion <sup>2</sup> ( ___ days) <sup>1</sup>					
8	Outcomes <sup>3</sup>					
9						
10						
11						
12						
13						
14	Total Cost		(Sum of Col. C - Maximum Potential Fee)	(Sum of Col. D)	(Sum of Col. E)	(D14+E14)

Cell 14D - Total Milestone Payments should equal 85% of Total Cost  
 Cell 14E - Total Outcome-based payments should equal 15% of Total Cost  
 Cell 14F - Total Cost

<sup>1</sup>Specify number or range of days based on days for completion of milestone proposed. A three quarter milestone is not required.

<sup>2</sup>The number completing must be at least 50% of the intake number. Minimum: 25 completions.

<sup>3</sup>List outcomes appropriate to the project such as achieving and maintaining employment for 90, and 180 days, living in stable housing, completing *Thinking for a Change* (or other approved cognitive behavioral curriculum), no re-arrest for 180 days, etc. Each outcome should be listed as a distinct objective in the GMS workplan.

## ATTACHMENT D

### PROGRAM WORK PLAN *(to be completed on GMS)*

**OBJECTIVES** – The Objectives in the Work Plan and the target numbers should correspond to the Milestones and Outcomes provided in Attachment C- Milestones, Outcomes and Costs. Each objective must have at least one task and usually will include multiple activities. (If there are multiple tasks but only 3 out of 5 required, this standard should be stated in the Objective.)

**TASKS** - Identify specific activities to be accomplished by participant and specify the case file documentation relevant to each **task** that will be retained in the case file. Multiple tasks associated with a single objective may be entered in one task box.

**PERFORMANCE MEASURES** - Each task group must have at least one **performance measure** that indicates achievement of the Objective.

**PROGRAM GOAL:** State the goal of your project (*identify target population, methods to accomplish and end results*)

**OBJECTIVE 1:** Example: Assessment / intake of (*target number*) participants identified as eligible and appropriate for the project

**Task #1 for Objective #1:** The following activities are associated with this task:

1. Complete 200 percent of poverty eligibility application and LDSS-4728.
2. A comprehensive assessment utilizing (*name of assessment instrument*) will be completed.  
Case file documentation will include: (*Identify documentation to be retained that supports the above tasks.*)

**Performance Measure:** The number of assessments/intakes completed.

**OBJECTIVE 2:** Example: 30 day retention in project will be accomplished by (*target number*) participants

**Task #1 for Objective #2:** The following activities are associated with this task:

1. Meet weekly with case manager
2. Attend or maintain referral appointments, as applicable.
3. Begin classes in *Thinking for a Change* program.
4. Initiate family reunification process as appropriate.
5. Maintain compliance with probation, parole or court-ordered requirements.

Case file documentation will include: (*Identify documentation to be retained that supports the above tasks.*)

**Performance Measure:** The number of participants who reach the 30 day retention mark and have accomplished the associated tasks.

## ATTACHMENT D (Continued)

**OBJECTIVE 3:** Example: half-way point in project (*identify range of days required*) is reached by insert target number of participants

**Task #1 for Objective #3:** (fill in)

**Performance Measure:** (fill in)

**OBJECTIVE 4:** Example: three-quarter point in project (*identify range of days required*) is achieved by insert target number of participants

**Task #1 for Objective #4:** (fill in)

**Performance Measure:** (fill in)

**OBJECTIVE 5:** Example: Successful project completion (*identify range of days required*) is achieved by insert target number of participants

**Task #1 for Objective #5:** (fill-in)

**Performance Measure:** (fill-in)

**OBJECTIVE 6, etc.:** Example: Identify outcome(s) which would be achievements above and beyond project completion (e.g., 90 days employment, 180 days employment, no re-arrest for 180 days, etc.) *Include target number of participants to complete each outcome.*

**Task #1 for Objective #6:** (fill-in)

**Performance Measure:** (fill-in)

# **Attachment E**

**200% of Poverty Services Application (OPCA-4750)**

**200% of Poverty Guidelines Chart**

**Non custodial Parent form (LDSS-4728)**

# 200% OF POVERTY SERVICES APPLICATION

## Instructions

- The information requested on this form is necessary to determine whether or not 200% of Poverty funding may be used to provide services to you.
- Additional information about the terms in this form are included under “Definitions”.

**Are any of these people living in your household? Check all that apply:**

- A minor child under the age of 18 or under the age of 19 and attending secondary school (high school) or an equivalent level of vocational or technical training, (e.g., a BOCES program),
- A pregnant woman,
- An adult who is not the parent, but is a relative caring for a minor child,

**OR**

- You are the non-custodial parent of a minor child.
- If no boxes are checked, **STOP**. You do not qualify for 200% of Poverty funded services.
- If one or more boxes are checked, continue with the application.

**SECTION ONE:**

**Information About the Applicant and the Applicant’s Family (Family Members)**

- Be sure to read the definition of “**Applicant**” under “Definitions”.
- Information provided in Item A should be about the applicant for 200% of Poverty Services.

A. Applicant’s Name: \_\_\_\_\_

Home Address: \_\_\_\_\_  
(Street) (Apartment) (City, State, Zip Code)

Telephone Number: \_\_\_\_\_

B. Provide information below about the applicant and the applicant’s **Family Members** who live with the applicant. Be sure to read the definition of **Family Members** under “Definitions”.

	NAME (First, Middle Initial, Last)	RELATIONSHIP TO YOU	DATE OF BIRTH	PLACE OF BIRTH
1.	<b>Applicant</b>	Self		
2.				
3.				
4.				
5.				
6.				

C. If the applicant for services is a minor child, is the child (check one if either applies):

- Living with a relative who is the primary caretaker of the minor child  
or  
 In foster care and there is a plan to return the child to the home.

**Is there a minor child included in Item B above?**

- Yes, **go to** Section Two.  
 No, **go to** the next question (D).

D. If there is not a minor child included in B, is the applicant or a family member pregnant?

- Yes, **go to** Section Two.  
 No, **go to** the next question (E).

E. Is a family member included in Item B above the primary caretaker of a minor child (see definition on page 6)?

- Yes, complete the following regarding the minor children being cared for:

	CHILD’S NAME	DATE OF BIRTH	RELATIONSHIP
1.			
2.			
3.			

**Go to** Section Two.

- No, **go to** the next question (F).

F. Are you the non-custodial parent of a minor child(ren) who does not live with you?

- No. **Stop here.** You cannot receive 200% of Poverty Services because neither you nor a family member is a minor child, is pregnant, is the primary caretaker of a minor child, or you are not the non-custodial parent of a minor child.
- Yes. Complete the information below:

	CHILD'S NAME	DATE OF BIRTH
1.		
2.		
3.		
4.		

You must also complete the *“Non-Custodial Parent Information Referral”* form (LDSS-4728)

**SECTION TWO: Income of Family Members**

A. **Income** of the applicant and the applicant’s family members.

- Include the gross income (income before taxes and deductions) of each family member listed in Section One Item B who has income. See the **“Gross Income”** definition under “Definitions” for an explanation of the income you must tell us about and what income you do not need to include.
- List all sources of gross income, including wages, social security benefits, public assistance benefits, child support, alimony, etc. received and any other recurring income of a family member.

	NAME	INCOME SOURCE: WAGES, SOCIAL SECURITY, etc.	AMOUNT	RECEIVED (Check One)		
				Yearly	Monthly	Weekly
1.	<b>Applicant</b>					
2.						
3.						
4.						
5.						
6.						

B. Does the applicant or any family member currently regularly pay child support in accordance with a court order for children who do not reside in the household?

- No, **go to** Section Three.
- Yes If yes, how much does the family member pay? \$\_\_\_\_\_. How often does the family member pay this amount (weekly, monthly or annually)? \_\_\_\_\_.

**Go to Section Three**

**SECTION THREE: Applicant Notification and Signature**

By signing this, I am swearing, under penalty of perjury, that:

- All of the above statements are true to the best of my knowledge and that I am willing to cooperate with any efforts to verify the information provided, including household composition and income.

\*Signed: \_\_\_\_\_ Date: \_\_\_\_\_

**SECTION FOUR: Agency / Organization Review**

Calculation of Gross Income – convert all income to annual income.

Source	<u>Yearly</u>	<u>Monthly</u> (x12=yearly)	<u>Weekly</u> (x 52=yearly) (x4.333=monthly)
1.			
2.			
3.			
4.			
5.			
<b>a. Total gross income is:</b>		\$ _____	per year.
<b>b. Subtract child support payments made</b>		- \$ _____	per year.
<b>c. Net gross income for 200% test is:</b>		\$ _____	per year.
(Time period must be the same for a, b, and c)			
<b>d. Total family size is _____.</b>		<b>200% Income Standard</b>	_____

Compare combined gross income (item c) to the 200% of poverty standard for the individual's family size (item d) to determine if income is equal to or less than the 200% standard.

Note 1: Include only countable income.

Note 2: Programs are responsible for utilizing the 200% of poverty guidelines established and in effect at the date of enrollment for each applicant.

**Eligibility Decision**

- The applicant is eligible for 200% of Poverty Services.**
- The applicant is not eligible to receive 200% of Poverty Services for the following reason(s):**
  - The applicant is not a resident of New York State.
  - The applicant's family does not include a minor child, pregnant woman, caretaker of a minor child or the applicant is not a non-custodial parent.
  - The income of the family members is above 200% of poverty.
  - Other (For example, the person refused to sign the form) Specify reason(s) below.

\_\_\_\_\_

Signature of reviewer: \_\_\_\_\_ Date: \_\_\_\_\_

Agency/Organization: \_\_\_\_\_

## Definitions

**MINOR CHILD:** A “*minor child*” is a child who is under 18 years of age or is under 19 years of age and attending secondary school (high school) or an equivalent level of vocational or technical training (for example, a BOCES program). In order for the minor child to be eligible for 200% of Poverty services, the minor child must be living with a parent or other relative who is the primary caretaker of the child, or be in foster care with a plan to return home.

**PRIMARY CARETAKER:** The primary caretaker is the adult relative with whom a minor child lives, if the child does not live with his or her parent. The primary caretaker makes the majority of the decisions about the child’s well-being.

**NON-CUSTODIAL PARENT:** A non-custodial parent is a parent who does not live with or have physical custody of the child, but who is legally responsible for providing financial and medical support to the child.

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### **Who is the applicant for 200% of Poverty Services?**

The person who is requesting 200% of Poverty Services is the applicant. The information about this person must be included in Section One, Items A and B. When more than one person is requesting 200% of Poverty Services, an adult family member applying for 200% of Poverty services must be listed as the applicant.

---

### **Who are the family members?**

All of the following persons **who live with** the applicant are family members and must be included in Section One, Item B:

- the applicant’s husband or wife
- the applicant’s minor children and their siblings who are also minor children (including half and step-siblings),

#### **Special Rules for Family Members**

##### **Children in Foster Care**

A child who is in foster care is included as a “family member” if there is a plan to return the child to the home.

##### **Married Minors**

- A minor child who is married and is living in the applicant’s household is not included as a minor child family member.

## **GROSS INCOME**

You must tell us about the current income of the family members that you listed in Section One, Item B. You must provide us with gross income amounts. Gross income means income before taxes and other deductions. Income you must list includes, but is not limited to:

- Wages, salary and tips from work
- Self-employment income (after business expenses)
- Social Security benefits
- Public assistance (Family Assistance, Safety Net Assistance)
- Unemployment compensation
- Workers' compensation
- Supplemental Security Income (SSI)
- Child support payments received
- Alimony received
- Interest payments
- Other recurring income that is not excluded below

## **Income you should not include**

- Earned income of a minor child
- Adoption/foster care payments
- One-time loans, gifts, lump sum payments or other non-recurring income
- Child care subsidy payments

## **Current Income**

Current income is income that has been or is expected to be received in the calendar month of the application for 200% of Poverty Services, and is expected to continue beyond this month.

**or**

If your income in the calendar month of application is higher than your regular monthly income, you may provide information based on your annual income (income from the prior twelve months). This annual income must be adjusted for any change in income known or expected to occur. For example, if you recently got a new job, you should include the income from this job to calculate your annual income. You should not include income received in the past that you do not expect to recur.

**200% of Poverty Guidelines Chart  
Effective June 1, 2012**

<u>Family Size</u> <u>Income</u>	<u>Monthly Income</u>	<u>Annual</u>
1	\$1,862	\$22,340
2	\$2,522	\$30,260
3	\$3,182	\$38,180
4	\$3,842	\$46,100
5	\$4,502	\$54,020
6	\$5,162	\$61,940
7	\$5,822	\$69,860
8	\$6,482	\$77,780

For family units with more than eight members add \$660 monthly or \$7,920 annually, for each additional family member.

Please note that the above guidelines are generally revised annually. You can find additional information about the Federal poverty levels at: <http://aspe.hhs.gov/poverty/>.

## Non-Custodial Parent Information Referral

**TO:** Child Support Enforcement Unit

**FROM:** Agency Name:

Address:

Telephone No.:

Contact Person  
at Agency:

The following non-custodial parent has applied for TANF funded services with our agency. This information is provided for you to use as needed where the custodial parent is receiving child support services. If there is a case in another district/state, please forward this referral to the appropriate child support district/state.

**Non-Custodial Parent Information** *(All of the following information must be provided.)*

Name:

Social Security Number:

Address:

Employer's Name and Address:

Phone Number (work):

Phone Number (home):

**Children in Need of Child Support**

*(The non-custodial parent must complete as much information as possible.)*

Number of children: \_\_\_\_\_

Please provide the following information for each child:

**First Child:**

**Second Child:**

1. Name: \_\_\_\_\_

2. Sex: \_\_\_\_\_

3. Date of Birth: \_\_\_\_/\_\_\_\_/\_\_\_\_

4. Social Security Number: \_\_\_\_ - \_\_\_\_ - \_\_\_\_

5. Custodial parent or guardian's name and address:  
\_\_\_\_\_  
\_\_\_\_\_

1. Name: \_\_\_\_\_

2. Sex: \_\_\_\_\_

3. Date of Birth: \_\_\_\_/\_\_\_\_/\_\_\_\_

4. Social Security Number: \_\_\_\_ - \_\_\_\_ - \_\_\_\_

5. Custodial parent or guardian's name and address:  
\_\_\_\_\_  
\_\_\_\_\_

6. Do you have a child support order for the child?

yes  no (go to question 7 below)

7. If there is no support order for the child named,  
is there a court date and in what court?

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

Court (county/state)  
\_\_\_\_\_  
\_\_\_\_\_

6. Do you have a child support order for the child?

yes  no (go to question 7 below)

7. If there is no support order for the child named,  
is there a court date and in what court?

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

Court (county/state)  
\_\_\_\_\_  
\_\_\_\_\_

Information for other children should be put on a separate page.

I agree to cooperate with all activities regarding child support for my children. I authorize representatives of any New York State Child Support Enforcement Office to provide information to the agency sending this referral regarding my cooperation in all child support enforcement activities.

Signature: \_\_\_\_\_

(Non-Custodial Parent)

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

## **Attachment F**

**GMS User Registration Form**

**GMS Signatory Registration Form**

**Helpful Hints for GMS**



**NYS Division of Criminal Justice Services**  
**4 Tower Place**  
**Albany, NY 12203**  
**Phone: (518) 457-8462**  
<http://criminaljustice.ny.gov>

## **Office of Program Development and Funding**

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### **GMS USER REGISTRATION**

In order to complete grant applications online to DCJS, your agency must register with the GMS system. Do so by submitting this Registration Request form – and the attached IRS W-9 form – via email attachment to [dcjsfunding@dcjs.ny.gov](mailto:dcjsfunding@dcjs.ny.gov). When your request has been processed, you will be sent a username and instructions. Please download the GMS User Manual at <http://criminaljustice.ny.gov/ofpa/gms.htm>.

**Please allow 3-5 business days for your Registration Request to be processed.**

Registrant Information (all fields are required):

Agency:

EIN (Tax ID#):

NYS Vendor ID (required): \*If you do not have a Vendor ID, or are unsure whether you have one, access the [OSC Vendor Guide](#) for guidance.

Registrant:

Title:

Address:

Address2: (if applicable)

City/State:

Zip:

Email:

Phone: (Ex.: (555) 111-1111)

DCJS #s of Current Grants (if applicable):

**NOTE: You must also complete IRS form W-9, Request for Taxpayer Identification Number and Certification, in order for your registration to be processed. Faxed signatures are acceptable. Download the form at <http://criminaljustice.ny.gov/ofpa/gms.htm>. Fax to (518) 485-2728.**

**Indicate here that form W-9 has been completed and faxed:**



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### **GMS SIGNATORY REGISTRATION**

In order to complete grant applications online to DCJS, your agency must register with the GMS system. Do so by submitting this Registration Request form via email attachment to [dcjsfunding@dcjs.ny.gov](mailto:dcjsfunding@dcjs.ny.gov). When your request has been processed, you will be sent a username and instructions. Please download the GMS User Manual at <http://criminaljustice.ny.gov/ofpa/gms.htm>.

**Please allow 3-5 business days for your Registration Request to be processed.**

Registrant Information (all fields are required):

Agency:

EIN (Tax ID#):

NYS Vendor ID (required): \*If you do not have a Vendor ID, or are unsure whether you have one, access the [OSC Vendor Guide](#) for guidance.

Authorized Signing Official:

Title:

Address:

Address2: (if applicable)

City/State:

Zip:

Email:

Phone: (Ex.: (555) 111-1111)

Basis for signing authority (Ex., executive officer, authorized by municipal charter, e.g.)

DCJS #s of Current Grants (if applicable):

- **NOTE:** If your agency has not yet submitted IRS form W-9, Request for Taxpayer Identification Number and Certification, you will be required to do so. Download the form at <http://criminaljustice.ny.gov/ofpa/gms.htm>. Fax to (518) 485-2728.

## GMS Helpful Hints

**First time GMS users should download the GMS User Manual located at:**

<http://www.criminaljustice.ny.gov/ofpa/gms.htm>

Sign on to GMS.

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 “**OPCA 200-percent Poverty (TANF)**”

Then click “**Create Project**”

In the newly created project, complete following modules:

### > **General**

Complete the text screens and press save.

### > **Participants/Contacts**

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, click in the blue section of your agency name.

This will prompt a drop down list that defaults to “Grantee”. Click Add.

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.**

*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.*

**Hint: You should work in a word processing document for any long answers. DCJS-GMS will time out after 30 minutes and you will lose any unsaved material.** Cutting and pasting from a word processing software document will prevent you from losing any work in this manner.

### > **Budget**

Click “*Create a budget version for your agency (grantee)*”. There is no match requirement for this program.

### > **Work plan**

Fill in the “Project Goal text box and click “*Save.*” Click “*Create New Objective*” and fill in the text box and click “*Save*” (**Note:** This can be repeated, as needed, for multiple Objectives.) Click “*Add Task to this Objective*” and fill in the text box and click “*Save*” (**Note:** This can be repeated, as needed, for multiple Tasks.) Click “*Add Performance Measure to this Task*” and fill in the text box and click “*Save*” (**Note:** This can be repeated, as needed, for multiple Performance Measures.)

### > **Questions**

Go to the questions tab and answer all required questions (See RFP Section V.)

Just click on the question and it will take you to a text box for your answer.

### > **Attachments**

You may click on “*Attachment,*” and upload required attachments. Note: Follow the instructions in the GMS Users Manual for Attachments.

Remember: Failure to submit required documents will be considered the same as failure to meet the deadline for application submission. Failure to submit required documents will result in disqualification of the application.

### > **Acceptance**

Go to the Acceptance tab to certify all of the required assurances as listed as these must be certified before the application can be submitted.

### > **Submitting Your Application**

When you have completed all of the above requirements, 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.*” 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.