



Division of Criminal Justice Services

SFY 2017-18 Defendant Screening Initiative (DSI) REQUEST FOR PROPOSALS (RFP)

Release Date of RFP	Wednesday, January 4, 2017
Submission Deadline:	Tuesday, February 14, 2017 at 12:00 PM
Bidder's Conference/Webinar:	Thursday, January 12, 2017 at 12:30 PM
Deadline for Final Submission of Questions:	Tuesday, January 17, 2017
Response to Questions Posted:	On or about Friday, January 20, 2017
Anticipated Award Announcement	On or about Tuesday, March 14, 2017
Anticipated Contract Start Date:	July 1, 2017

1. Applications must be received by the submission deadline on-line via the DCJS Grants Management System (GMS). **Applicants who are not registered to access GMS, will need to obtain user access in order to respond to this Solicitation.** See Appendix: *DCJS Grants Management System (GMS) Instructions and Helpful Hints*.
2. Questions regarding this RFP must be emailed to ATI.Re-entry@dcjs.ny.gov. Responses to the questions will be posted on the DCJS website at <http://www.criminaljustice.ny.gov/ofpa/index.htm> on or about date indicated above. If the applicant has any general questions such as, "Did DCJS receive my e-mail?" please call (518) 457-9787. Please note that DCJS cannot answer substantive questions concerning this solicitation in any manner other than the e-mail method.
3. A bidder's conference(s) will be held on Monday, January 12, 2017 at 12:30 PM. See information within RFP.
4. Applicants will be advised of award decisions via a letter of notification, which will be emailed to the address provided by applicant in GMS. Where applicable, applicants not receiving an award will receive notification via email and by U.S. Postal Service mail. A debriefing is available to any entity that submitted a proposal or application in response to this solicitation who is not successful in receiving an award. (See Section: Notification of Awards.)
5. Unless otherwise modified by DCJS, the contract period for this grant opportunity will be July 1, 2017 to June 30, 2018 with two (2) one-year optional renewals. *DCJS expects to make 3 to 5 awards subject to the availability of funds and the quality of the submissions.*
6. **Grants Gateway Pre-Qualification – In order to be considered for an award**, not-for-profit (NFP) applicants **must** be pre-qualified through the NYS Grants Gateway prior to the RFP submission deadline. **NFP applicants should begin this process as soon as possible.** See Appendix: *Grants Gateway Prequalification Requirement*.

SFY 2017-18 Defendant Screening Initiative (DSI)

Request for Proposals (RFP)

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APPENDICES

- Grants Gateway Prequalification Requirement
- DCJS Grants Management System (GMS) Instructions and Helpful Hints
- Budget Detail Worksheet and Narrative Guide

ATTACHMENTS

<i>Attachment</i>	<i>1</i>	<i>DCJS Defendant Screening Initiative Needs Screen Instrument Template</i>
<i>Attachment</i>	<i>2</i>	<i>Arraignments by court and the associated felony/misdemeanor arrests</i>

I. INTRODUCTION

The NYS Division of Criminal Justice Services (DCJS) is seeking proposals for Defendant Screening Initiative (DSI) demonstration projects. DSI is a pre-arraignment screen-and-advise model that will serve as a neutral clearinghouse for the identification of arrestee needs as soon after arrest as possible and ideally pre-arraignment. DSI is intended to provide enhanced and expedited routes to services for justice involved individuals. The DSI provider shall be an impartial entity that provides information on defendant needs to the Court, District Attorney and Defense Counsel, allowing for the current circumstances and service needs of arrested persons to first be identified through a quick screening and then taken into consideration as an integrated part of the criminal court case handling process.

A DSI entity must undertake three key program elements:

- 1) Compile an inventory of available, local service resources that clearly indicates eligibility criteria for each service;
- 2) Identify and triage service needs of individuals following arrest, using a standardized, DCJS-provided (or DCJS-approved) needs screening instrument; and
- 3) Provide screening results to the judge, prosecutor and defense attorney.

Additionally, a fourth key program element and its activities are strongly recommended and should be addressed where feasible:

- 4) Make referral recommendations to possible service providers, assist in the making of referral recommendations and/or provide recommendations for further assessments (depending on program design).

Agencies that are selected to receive funding from DCJS to implement DSI programs should have experience working with justice involved populations. They must demonstrate the ability to effectively screen large numbers of individuals following arrest and prior to arraignment, and provide timely and concise information to the judge, prosecutor and defense counsel, regarding client needs and appropriate service options. Upon agreement of the court and the individual, the DSI entity may make client referrals to community-based treatment providers and/or social service entities. In addition to providing screening information, a successful DSI program will identify individuals that may benefit from a full assessment for behavioral health services and arrange for clinically appropriate services at the earliest possible intervention point.

DCJS enhances public safety by providing resources and services that inform decision making and improve the quality of the criminal justice system. DCJS is a multi-function criminal justice support agency with a variety of responsibilities, including collection and analysis of statewide crime data; operation of the DNA databank and criminal fingerprint files; administration of federal and state criminal justice funds; identifying and funding programs that reduce crime, recidivism, and victimization. Additionally, DCJS administers the state's Sex Offender Registry. DCJS

conducts research on critical criminal justice issues and provides training, legal guidance and regulation to the State's law enforcement, community corrections and prosecution communities.

DCJS is committed to providing programs that improve the effectiveness of New York's criminal justice system. Proposals will be rated and selected for funding consistent with the best interests of the State. Applicants are encouraged to demonstrate in their response to this solicitation how their defendant screening model will support New York's commitment to public safety.

II. FUNDING, ELIGIBLE APPLICANTS, APPROVED USE OF FUNDS AND CONTRACT TERM

A. Funding

Approximately \$1,000,000 (one million dollars) will be made available to support Defendant Screening Initiative demonstration programs. All funding must support program efforts that will be accomplished during the contract period. Funding under this program must supplement, not supplant, non-grant funds that would otherwise be available for expenditure on the programs proposed.

Applicants should request funding amounts appropriate to the number of individuals proposed to be screened. It is expected that proposals will include budgets of between \$150,000 and \$350,000. Greater consideration will be given to proposals that provide a cost-effective model and awards will be made at the sole discretion of DCJS and in the best interests of the State. DCJS intends to make approximately three to five awards, subject to the availability of funds and the quality of the submitted proposals.

B. Eligible Applicants

Units of local government and not-for-profit entities are eligible to apply under this solicitation. This demonstration project will consider funding programs in certain populous upstate jurisdictions that lack robust, existing pre-arraignment court screening programs. The DSI will target those city courts averaging between 1,500 and 10,000 felony and misdemeanor arraignments per year based upon 2015 data: Rochester, Syracuse, Albany, Schenectady, Utica, Niagara Falls, Binghamton and Troy. Applicants should have experience using screening and/or assessment instruments and matching clients to community based services and must have the support of the judiciary within the city court, district attorney, and the public defender's office in the city court jurisdiction in which they plan to operate.

C. Approved Use of State Funds

Awarded funds may only be used for expenses or costs directly related to the operation of the DSI program. These costs may include personnel, fringe benefits, consultant services, equipment, supplies, travel and subsistence, rental of facilities (if non-government applicant), and all other expenses as justified for the efficient and successful operation of

the program. Indirect costs of up to 15% of the total direct costs may be reimbursed to not-for-profit applicants, but indirect costs are not an allowable expense for governmental organizations. Awarded funds must supplement, not supplant, non-grant resources that would otherwise be available for expenditure on the proposed program.

D. Contract Term

Grant award agreements, unless otherwise modified by DCJS, will be for an initial 12 month term effective from July 1, 2017 to June 30, 2018 with the possibility of two optional one-year renewals. Contract budgets will be expenditure based.

III. PROGRAM DESCRIPTION

Target Service Population

The target population consists of adults that have been arrested for a felony or misdemeanor pending arraignment, and currently have an open case before a city criminal court. It is anticipated that DSI programs will screen and triage large numbers of arrested individuals, possibly *all* custodial arrestees within a specific court's jurisdiction.

Point of Intervention

The screening of defendant needs is expected to occur pre-arraignment, so that the judge, prosecutor and defense counsel may be advised of the results at or prior to arraignment. Screening prior to arraignment allows for information on a defendant's needs to be gathered and communicated to the judge, prosecutor and defense counsel. Applicants may also submit proposals that include the screening of a small number of individuals post-arraignment with appropriate justification, including individuals remanded to or detained in jail.

Eligible Program Types / Program Flexibility

While all DSI proposals *must* address the first three key program elements described in the *Essential Program Elements* section below, the DSI is a demonstration project and approaches to implementation may differ by site in terms of program components and whether the fourth program element is feasible. Applicants may build upon processes or infrastructure that already exist within their city court, but must thoroughly describe how their DSI proposal will achieve specific program components, as applicable. Examples of program types that could house a DSI program include, but are not limited to: existing pre-trial services screening programs, jail/court mental health screening programs and defender-based screening and advocacy programs. If a DSI program chooses to add components to an existing initiative, care must be taken to avoid supplanting, and funds cannot be co-mingled.

Regardless of whether a DSI builds on an existing initiative or is designed from the ground up as a new program, applicants must describe how the information and recommendations derived from the needs screening process will inform the judicial

process and/or be communicated to the judge, prosecutor, and defense counsel, noting any existing relationships or processes that currently exist. Proposals must also detail how linkages with community based treatment programs and social services will be utilized to accomplish the goal of enhancing and expediting routes to service for justice involved individuals. DSI programs must maintain an inventory of community based services, resources, agencies, entities and providers that individuals may be referred to through the DSI, including local treatment and social service providers, in order to ensure that timely linkages, referrals, and/or treatment placements can be made.

Essential Program Elements

Program Elements one through three (below) are mandatory program elements that must be addressed in any DSI program proposal. Program Element four is strongly recommended and should be addressed where feasible. Approaches to accomplishing the different program elements may vary, and it is acceptable and expected that not all of the bulleted sub-elements below will be addressed in every proposal. Proposals will however be judged in part upon thoroughness of description and completeness to the below listed core elements and sub-elements:

1) Inventory service resources and availability:

- Identify existing available services in the community;
- Service inventory can include, but is not limited to, not-for-profit organizations providing behavioral health treatment services, problem-solving courts, Department of Social Services programs including housing services, mental health services, Health Homes¹, veterans services, or other county based services that can potentially be leveraged to better serve justice involved individuals;
- Service inventory can take multiple forms such as a *Catalog of Referral Services*, an *Advisory Group*, and/or a *Flow Chart/Processing Hierarchy* for systematically handling cases; and
- Service inventory should not be limited to DCJS funded programs;
- Service inventory must detail the participant eligibility criteria for each service/service provider.

2) Identify and triage defendant's needs through the use of a DCJS approved needs screening instrument:

- Provide for on-site personnel at a central processing point (e.g. lock-up, courthouse) to screen for defendant needs immediately after arrest;
- Screen large numbers of individuals for service needs using a standardized, DCJS-provided (or DCJS-approved) needs screening instrument;

¹ A **Health Home** is a care management service model whereby all of an individual's caregivers communicate with one another so that all of a patient's needs are addressed in a comprehensive manner.

- Perform a broad needs screen: Areas to be screened for include substance abuse issues, mental health issues, housing, education deficits, and employment needs;
- Identify persons currently in treatment or receiving services to leverage existing client/provider relationships;
- Differentiate acute issues which require immediate attention (full assessment or hospitalization) from issues which can be addressed through a referral or as part of an ongoing case plan; and
- Incorporate a second screening opportunity for jailed individuals who may have been missed in the initial screen.

3) Provide screening information to the judge, prosecutor and defense counsel:

- Provide the judge, prosecutor and defense counsel with a brief, but specific and understanding about an individual's current service needs;
- Promote an approach that recognizes and addresses individual's non-criminal justice related needs; and
- Have staff present the results of screenings of individuals to the judge, district attorney and defense counsel prior to or at arraignment and/or at follow-up hearings.

4) Make referrals, assist in the making of referrals to possible service providers, or provide recommendations for further assessments

- Promote objective, needs-based referral and enrollment into service programs. For areas of obvious need, screeners may make a referral recommendation to the judge, prosecutor and defense counsel and provide service information to the arrested individual;
- For screened individuals that present with a service need that warrants immediate acute services or treatment, aid in the quick referral/admission to services or treatment;
- In instances where there is an existing defendant-provider relationship, ensure that provider is aware of the new arrest so that they can offer and provide assistance if appropriate; and
- Increase overall coordination among system elements, for example, ensuring recommendations and/or referrals are in-line with available resources/programs.

IV. SCREENING INSTRUMENT AND REFERENCE INFORMATION

A. Screening Tool

DCJS has provided a standardized needs screening tool template (Attachment 1). A program may make modifications to the screening tool or suggest the use of an alternate screening tool if they can demonstrate that a modified/alternate version

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will better align with their proposed program and the overarching goals of the DSI, however, any modified or alternative tool must be approved by DCJS during the contract negotiation process. If modifications are made to the DCJS standardized needs screening tool template or an alternative screening tool is proposed, the screening tool should be submitted with the application utilizing the attachment section of GMS.

B. Reference Materials

Attachment 2 provides applicants with information on arraignments by court and the county felony/misdemeanor arrests.

V. EVALUATION AND SELECTION

Tier I Evaluation – Threshold Pass/Fail

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

- Proposal was received by the published deadline;
- Applicant is eligible as defined by this solicitation; and
- Applicant is pre-qualified entity in the Grants Gateway. (*This pre-qualification requirement applies only to not-for-profit applicants.*)

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

Tier II Evaluation – Evaluation and Scoring

DCJS staff reviewers will evaluate proposals that successfully pass the Tier I Evaluation. A standard rating tool will be used to score responses to questions provided in the proposal. (See *Questions* Section IV for additional information). The aggregate scoring value assigned to all questions equals a total possible score of 100 points. Each response will be scored and all scores will be totaled, resulting in an overall score. The final score will be determined by averaging team reviewers' overall scores for each proposal. Applicants must attain a minimum proposal score of 70 points in order to be eligible for funding. DCJS may, at their discretion, request additional information from an applicant as deemed necessary. In the event of a substantial scoring disparity between reviewers, an additional reviewer may rate the affected proposals and the average of all of the scores will determine the final average score of the proposal. In the event of a tie score among applicants, and where both applicants cannot be selected, an additional reviewer will rate the affected proposal and the average of the scores would represent the final score.

Tier III Evaluation

The Tier III Evaluation assessments will be conducted by designated DCJS executive staff. The Tier III Evaluation will select applicants for funding and determine award amounts through consideration of the Tier II Evaluation scoring and comments, strategic priorities, available funding and best overall value to New York State.

Final award decisions will be made by DCJS in accordance with the best interests of the State. Nothing herein requires DCJS to approve funding for any applicant.

The DCJS' Executive Deputy Commissioner, or his or her designee, will make final decisions regarding approval and individual award amounts based on the quality of each submission, the recommendations of the reviewers, specific criteria set forth in this solicitation and, where applicable, geographic balance, and other relevant data.

VI. REQUEST FOR PROPOSALS QUESTIONS

Applicants must respond to the questions below within the DCJS Grants Management System (GMS), as instructed. **GMS instructions are located as an Appendix to this solicitation.** Please prepare prospective responses first in a Microsoft Word Document using Arial, 11 point font using 1.5 line spacing.

Responses should then be copied and pasted to GMS under the *Questions* module "tab" of the application. Applicants are also requested to attach the Microsoft Word document with responses to these questions using the *Attachments* module on GMS. The maximum number of pages allowed for each question is indicated.

Responses to the following questions will be scored and are the basis for Tier II Evaluation funding recommendations. Note: The aggregate scoring value assigned to all questions equals a total possible score of 100 points. Applicants must attain a minimum proposal score of *70 points* in order to be eligible for funding. All questions, including sub-sections and those which have no point value, must be answered.

Question #1

Program Description – 30 points total (4 page limit)

Describe your proposed DSI screen and advise model in your city's criminal court. The best responses will include the following:

- Steps you have taken to secure the support of the Judiciary, District Attorney, and Public Defender in your jurisdiction (letters of support or other collaborative agreement, while not required, would strengthen the response).
- The number of arrestees you propose to screen;
- Detailed information on proposed intervention point(s) for screening;
- Who will conduct the screening;
- A description of where the screenings will be conducted, demonstrating that an appropriate space is available to conduct screenings;

- How the information will be presented to or otherwise shared with the arraignment judge, prosecutor and defense counsel;
- A detailed description of how and when in the process referrals to services or recommendations for further assessments will made; and
- The time, place, and days of the week that the interview screening will occur.

Question #2

Target Population – 10 points (2 page limit)

- Describe your proposed Target Population.
- What is the estimated number of arrestees appearing for arraignment that will be screened?
- In the event that you plan to use exclusionary criteria (eg. specific crime types, gender, etc.) please describe the exclusionary criteria in detail and give a justification for exclusions.

Question #3

Service Provider Inventory - 15 points (4 page limit)

- Describe how you will identify and catalog existing available services in the community. Include a description of what information will be maintained on each service provider.
- Describe how you will document eligibility criteria for each service provider to help promote suitable referrals.
- Describe the type of services that will be included in your inventory, and be as specific as possible in terms of the name of each organization, type of service provided and participant criteria, if available.
- Describe what steps have been taken to confirm that these organizations will accept justice involved individuals.
- Describe who will have access to the inventory and what your process will be for keeping it up to date.
- Describe in detail the referral-linkage system that will be developed to connect individuals to services, and how you will confirm the linkage has occurred.

Question #4

Needs Screening – 15 points (2 page limit)

- Describe how results of the defendant needs screen instrument will be used.
- How will the information obtained be used to make the judicial case handling more of a holistic, all-inclusive process?
- What impacts do you expect as a result of having additional information available to the judge, district attorney and defense counsel at arraignment?
- Explain how individuals will benefit from screening and referral and the likelihood of getting identified service needs met or met more quickly.

Question #5

Existing Needs Screening (if any) – 0 points (1 page limit)

- Describe what, if any, processes exist within the city criminal court to currently screen defendants for service needs.

- If a needs screening process currently exists, discuss at what point in the criminal case process it occurs, who conducts the screening, what is screened for, who gets the results, and how the results are used.
- If a current process exists, how will your RFP proposal augment current practice without supplanting current activities?

Question #6

Operating Budget Detail and Justification - (20 points)

- Using the Budget Detail Worksheet and Budget Narrative sheet as a guide, enter the operating budget directly into the Budget module “tab” of the GMS application. Prepare a line item budget, including justification, by appropriate category of expense (e.g., Personnel, Fringe Benefits, Consultants, etc.). All funded positions should clearly indicate the general duties, full annual salary of the position, hours worked per week, and proposed hours or percentage FTE supported by the grant. Budgets should reflect total projected costs for a 12-month contract period and be limited to eligible costs. Operating budgets must not exceed the applicant’s eligible award amount if provided.
- A detailed budget for the grant period provided must be complete, provide sufficient detail and justification. It must also be reasonable and appropriate, as determined by DCJS, and directly tied to the work plan. Where applicable, the applicant must identify any proposed subcontractor(s). The subcontractor’s anticipated operating budget should be captured using the Budget Detail Worksheet and Budget Narrative sheet and uploaded to GMS using the Attachment module. Any agreement should be attached as well. Grantees and subcontractors will be subject to the Consultant Services procurement guidelines (see below).
- Consultant Services: All consultant services must be obtained in a manner that provides for fair and open competition. The rate for a consultant should generally not exceed \$650 for an eight-hour day (not including travel and subsistence costs). A rate exceeding \$650 per eight-hour day requires prior written approval from DCJS and may be approved on a case-by-case basis where adequate justification is provided and expenses are reasonable and allowable. A grant award recipient obtaining consultant services that cost in excess of \$10,000 must use a competitive bidding process. A grant award recipient who proposes to obtain consultant services from a particular vendor without competitive bidding, will be required to obtain the prior written approval of DCJS. The request for approval must be in writing and set forth, at a minimum, a detailed justification for selection and basis upon which the price was determined to be reasonable. Further, such consultant services must be in accordance with the guidelines, bulletins and regulations of the NYS Office of the State Comptroller, State Procurement Council and, if applicable, the U.S. Department of Justice. See <http://www.criminaljustice.ny.gov/ofpa/pdfdocs/appendixa1.pdf> for additional information.

Note:

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

Question #7

Program Work Plan - 10 points (3 page limit)

In the GMS *Work Plan* module, enter your Project Goal, All Objectives, Tasks, and Performance Measures that are necessary to operate the proposed program. These entries are necessary for the GMS to accept your application.

In addition, work plans should be developed keeping in mind that awarded DSI programs will be required to collect the following information to assess the program's operation:

- Number of defendant screenings attempted;
- Number of individuals refusing to be screened for needs;
- Number of persons screened where at least one service need was identified;
- Number of persons referred to services or for further assessment at time of screening;
- Number of persons referred to services or for further assessment after initial DSI screen (if known).

DCJS reserves the right to assist awarded agencies in modifying their program work plan if necessary to assure that all data necessary for program evaluation is collected.

VII. NOTIFICATION OF AWARDS

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

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

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

An unsuccessful Applicant's written request for a debriefing must include specific questions that the Applicant wishes to be addressed and must be submitted to DCJS at

ATI.Re-entry@dcjs.ny.gov with the following in the subject line: Request for Debriefing (SFY 2017-18 Defendant Screening Initiative (DSI) Request For Proposals (RFP). The debriefing shall be scheduled within 30 days business days of receipt of written request by DCJS or as soon after that time as practicable under the circumstances. The preferred method for the debriefing will be in-person, however, upon mutual agreement by all parties, another means such as via telephone, webinar, or any combination thereof may occur.

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

VIII. REQUIRED REPORTING

Reporting requirements are provided below:

GMS Quarterly Progress Reporting

All grantees will be required to submit quarterly progress reports via GMS that describe quarterly performance and activities in support of the program Work Plan entered in GMS.

Case-Specific Reports

Programs will be required to submit case-level data regarding the screens the program has completed. For each individual screened or attempted to be screened, the information that will be required will include but not be limited to NYSID, whether or not the screen was completed, and who the screen results were shared with. The information will be provided in a format and manner prescribed by DCJS and will be used by DCJS solely for research and program evaluation purposes.

Quarterly Fiscal Reports

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

Reporting Due Dates:

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

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

IX. ADMINISTRATION OF CONTRACTS

DCJS will negotiate and develop a contract with each successful applicant. The grant contract will be subject to approval by the NYS Office of the Attorney General (OAG) and the Office of the

State Comptroller (OSC) before funding may actually be disbursed. In the event that DCJS and the successful applicant cannot agree to contract terms within ninety days of notification of selection for award DCJS reserves the right to rescind the award and redistribute the funds.

Contract Approval

All contracts will be 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 Term

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

Contract Activities

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

Contract Changes

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

Records

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

Liability

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

Payments

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

Reports

The grantee shall submit all reports to DCJS in a format and time frame as specified in the contract. Quarterly progress reports shall include a description of the grantee's efforts undertaken

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

Performance Review

The grantee's performance in all areas mentioned above, in addition to the services contracted for, will be monitored periodically by DCJS and will take the form of site visits, program file review, written and telephone communication, and any other methods deemed necessary by DCJS to ascertain the quality and quantity of grantee activities.

Disposition of Allocations

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

Revocation of Funds

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

Encouraging Use of New York State Businesses in Contract Performance

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

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

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

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

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

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

Standard Contract Provisions

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

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

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

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

Accordingly, applicants requesting in excess of \$25,000 must be prepared to submit a Local Assistance M/WBE Subcontractor/Supplier Utilization Proposal Form (DCJS-3301), and a Local

Assistance M/WBE NPS Discretionary Budget Determination Worksheet (DCJS-3309). For contracts in excess of \$250,000 applicants must also submit an M/WBE Equal Employment Opportunity Staffing Plan (DCJS-3300). All forms are located at <http://www.criminaljustice.ny.gov/ofpa/mwbe/index.htm>.

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

Vendor Responsibility

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

Charities Registration

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

Data Universal Numbering System (DUNS) Registration Requirements

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

X. APPLICATION SUBMISSION

A. Application Specific Instructions

One application should be submitted for each proposal.

B. Grants Management System (GMS)

Applications must be submitted to DCJS using the Grants Management System (GMS). First time GMS users should download the GMS User Manual located at

<http://www.criminaljustice.ny.gov/ofpa/gms.htm>. Applications must be complete in order for the GMS submission to be successful. If you need assistance with accessing and using GMS, please contact the DCJS Office of Program Development and Funding GMS Help Desk at (518) 457-9787.

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

Accessing the Application on GMS

To access a new application on GMS, log on to the system and click on “Project.” Click the “New” button at the top of the project grid. This will take you to a screen that says “Select a Program Office.” Using the drop-down box, find and select *Defendant Screening Initiative*. Click “Create Project.” Your application will now be ready to complete.

Completing the Application

Applicants are encouraged to complete the GMS Application as well as the registration and/or pre-qualification on the NYS DCJS Grants Gateway System, where applicable, early to avoid any concerns with these automated systems.

Each application will consist of the following components that must be completed using GMS:

- Participant name(s);
- Contact information for all participating agencies per application;
- Program specific questions;
- Project budget; and
- Program work plan.

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.*”

XI. APPLICATION CHECKLIST

- Not-for-Profit Applicants ONLY: Complete Grants Gateway Prequalification Requirements – See Appendix: *Grants Gateway Prequalification Requirement*
- All Applicants:
 - Complete all DCJS Grants Management System (GMS) Registration Requirements – See Appendix – *DCJS Grants Management System (GMS) Instructions and Helpful Hints*.
 - Complete all necessary contractual requirements as described in Section: *Administration of Contracts*.
 - Answer Program Narrative Questions in *QUESTIONS* TAB in GMS and also attach the answers on a Word Document to GMS if indicated.

- Complete BUDGET TAB on GMS by entering the line-item Operating Budget.
- Complete Work Plan as instructed in the solicitation.
- If applicable, - Attach Letter(s) of Support, Memorandum of Understanding(s), etc. as indicated.
- Any requested attachments as instructed in the solicitation.
- If modifications are made to the DCJS standardized needs screening tool template or an alternative screening tool is proposed, the screening tool should be submitted with the application utilizing the attachment section of GMS.

WEBINAR AND/OR BIDDER'S CONFERENCE

A Bidder's Conference will be held via Webinar on Thursday, January 12, 2017 at 12:30 PM

Topic: DSI Bidders Conference Date and Time:

Thursday, January 12, 2017 12:30 pm, Eastern Standard Time (New York, GMT-05:00)

Event number: 648 525 763

Event password: January12

Panelist password: The Event has no Panelist Password

Host key: 257807 (Use this to reclaim host privileges.)

Event address for attendees:

<https://meetny.webex.com/meetny/onstage/g.php?MTID=ebfb1c4e25cb846ffc0bce4a9911a9ca5>

Event address for panelists:

<https://meetny.webex.com/meetny/onstage/g.php?MTID=e5e5d84dc57ff9a762bb32196ffc333c6>

To start the online event

At least 30 minutes before the starting time:

1. Go to <https://meetny.webex.com/meetny/onstage/g.php?d=648525763&t=h>
2. Log in to your host account if you have not yet done so.
3. On the Event Information page that appears, click "Start Now".

Audio conference information

1. Provide your number when you join the event to receive a call back. Alternatively, you can call one of the following numbers:
Local: 1-518-549-0500
Toll Free: 1-844-633-8697
Alternate Toll Free - (For callers not able to call the 844 Toll Free Number): 1-866-776-3553
2. Follow the instructions that you hear on the phone.
Cisco Unified MeetingPlace meeting ID: 648 525 763
Cisco Unified MeetingPlace profile number for meeting host: 24164811

<https://www.webex.com>

Appendix

Grants Gateway Prequalification Requirement – Not for Profit Applicants Only

Grants Gateway Pre-Qualification

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

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

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

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

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

Appendix

DCJS GRANTS MANAGEMENT SYSTEM (GMS) INSTRUCTIONS AND HELPFUL HINTS

Dated February 2016

GMS Helpful Hints: Also read [Application for additional specific GMS directions](#).

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

Getting Started: Sign on to GMS.

Click "Project" to go to project grid. Click the "New" button at the top of the project grid. This will take you to a screen that says "Select a Program Office" in a drop-down box format. Find and highlight "Name of funding program," then click "Create Project."

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

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

General - Complete the text screens and press save.

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

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

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

Note: If the signatory you try to add is not eSignature registered, you will get an error message

and will not be allowed to add that person at that time. You will NOT be able to submit the application without a signatory attached.

Budget - See Application for additional specific instructions.

Work plan - In the GMS work plan module, enter the Project Goal, Objectives, Tasks and Performance Measures provided in the Standard Work Plan within this solicitation.

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

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

Answer all required program narrative and budget information questions.

Hint: Answers should be developed in Word. 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 solicitation. Note: Follow the instructions in the GMS User's Manual for Attachments; also, see screen instructions for accepted file types and advice on file names.

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

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

APPENDIX: BUDGET DETAIL WORKSHEET AND BUDGET NARRATIVE GUIDE

PERSONAL SERVICES – List each position by title and name of employee, if available. Show the annual rate of pay, the percentage of time to be devoted to the project (percent of FTE) and the cost to grant funding.				
Name	Position	Salary	Computation (Annual Salary, % of FTE Time)	Cost
<i>Personal Narrative:</i> Describe responsibilities and duties of each position in implementing and operating the grant program. _____				
FRINGE BENEFITS - Should be based on actual known costs or approved negotiated rate of the agency. Fringe benefits are for the personnel listed above, and only for the percentage of time (%FTE) of each position charged to the project.				
Approved Rate or Description of Actual Costs	Computation (Salary x Rate)		Cost	
<i>Fringe Benefits Narrative:</i> Describe computation of fringe benefits to be charged to the project. _____				
CONSULTANT SERVICES – For each consultant, enter the name, service to be provided, hourly or daily fee, and estimated time on the project. Upload the signed consultant agreement as an Attachment in GMS.				
Name of Consultant	Service Provided	Computation	Cost	
<i>Consultant Services Narrative:</i> Explain how each consultant is necessary to the success of the project and discuss the procurement method to be used. Using the format of "F – Travel" category, list all expenses to be paid from the grant to the individual consultants in addition to their fees (e.g., travel, meals, lodging). This includes travel expenses for anyone who is not an employee of the applicant such as participants, volunteers, community partners. Consultant costs are limited to \$650 per 8 hour day (excluding travel, meals, and lodging) unless justification is provided and approved by DCJS. _____				
EQUIPMENT – List non-expendable items that are purchased. List expendable equipment under the "Supplies" category. Rented or leased equipment should be listed in this category.				
Item	Quantity	Cost per Item	Total Cost	
<i>Equipment Narrative:</i> Explain how the equipment is necessary for the success of the Project and describe the procurement method to be used. _____				
SUPPLIES – List supplies by type (office supplies, postage, training materials, copying paper, and expendable equipment, such as books or hand-held tape recorders) and how the basis of computation.				
Item	Quantity	Cost per Item	Total Cost	
<i>Supplies Narrative:</i> Discuss the supplies needed for success of the project and indicate who will be using expendable materials. _____				
TRAVEL AND SUSTENANCE – Itemize project related expenses required of staff by purpose (e.g. training, field work, meetings). Prior to any out-of-state travel, a written request for approval to use grant funds must be submitted to, and granted approval by DCJS. Show all travel expense computations (# of people x cost of travel, daily lodging cost x number of rooms x number of nights, per diem meals x number of travelers). Identify location.				
Travel Purpose and Location	Number of People	Cost of Travel per diem	Number of Travel Days	Total Cost
<i>Travel and Sustenance Narrative:</i> Describe location of travel, purpose of travel, mode of transportation and cost. Also indicate who is traveling and how this travel is necessary for the success of the project. Meals and lodging must be itemized and must not exceed published NYS per diem rates. _____				
RENTAL OF FACILITIES – Provide square footage of NEW space rented specifically for the project and the rental cost				

per square foot. Provide a monthly cost multiplied by the number of months that rent is required within the program period.
 Note: Units of local government may not charge rent to the awardee for existing agency office space.

Monthly Rent	X Number of Months	Cost

ALL OTHER COSTS – List line item costs, such as reproduction and telephone, by category and the basis for computation.

Description	Computation	Cost

INDIRECT COSTS – Combined funding for administrative and/or indirect costs is capped at a rate of 15 percent. Note: Indirect / administrative costs are not an allowable expense for governmental agencies.

Description	Computation	Cost

BUDGET CATEGORY	AMOUNT
Personal Services	\$
Fringe Benefit	\$
Consultant Services	\$
Equipment	\$
Supplies	\$
Travel and Sustenance	\$
Rental of Facilities	\$
All Other Expenses	\$
Administration/Indirect Costs	\$
TOTAL OPERATING BUDGET	\$

Grant Amount Requested:	Match Amount (if applicable):	Total Project Amount:
\$	\$	\$