



**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
Specialized Supervision and Treatment of Offenders**

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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
Specialized Supervision and Treatment of Offenders**

APPLICATION HIGHLIGHTS

Application deadline is **4:00 PM, Tuesday, June 7, 2011.**

1. Questions due to DCJS by **Monday, May 23, 2011.**
2. Applications must be submitted through the NYS DCJS Grants Management System (GMS). If not registered to access GMS, it should be a priority for non-registered users to register to use this system per attached instructions.
3. Applications submitted after the deadline will not be considered for funding.
4. Notification of successful bidders is expected to take place on or about **June 23, 2011.**

Request for Proposals
Specialized Supervision and Treatment of Offenders

I. INTRODUCTION

The New York State Division of Criminal Justice Services' (DCJS) Office of Probation and Correctional Alternatives (OPCA) is the office with responsibility to exercise general supervision over the administration of probation and alternative to incarceration services throughout New York State. OPCA promotes public safety and offender accountability in probation and other community corrections programs through funding and oversight. OPCA is committed to improving practices 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 treatment training, and drug and alcohol treatment monitoring to assist offenders in changing their behavior and leading law-abiding lives.

OPCA and the Office of Program Development & Funding (OPDF) have prepared this Request for Proposals (RFP) for the operation of programs that provide for the Specialized Supervision and Treatment of Offenders. The total annual amount of funds available through this RFP is approximately \$469,000, contingent upon available appropriation. Grant contracts will be for an initial award period of one year, with start-up targeted for July 1, 2011. It is anticipated that funding will continue to be available for up to four one year renewals beyond the first year of implementation for a total program period of five years subject to the availability of such funding. No cash match commitment is required for the use of these funds.

DCJS intends to issue up to four contracts with an annual minimum value of \$100,000 and a maximum value of \$156,333. It is anticipated that at least fifty percent of the awarded funding will support programs working with offenders in New York City.

Continued funding is **not** automatic for current Specialized Supervision and Treatment of Offenders grant contracts. Agencies with such contracts must respond to this RFP in order to be considered for continuation funding.

II. TARGET POPULATION

Specifically, this RFP solicits programs as an alternative to incarceration for appropriate offenders convicted of a felony or before the court on felony charges.

III. PROGRAM SERVICES

Proposals are to offer structured supervision and appropriate evidenced-based interventions to improve the offender's compliance and response to community supervision, while providing for

public safety. Eligible services include but are not limited to substance abuse assessments, treatment program placement, outpatient and residential treatment, TASC program services, and drug treatment. It is expected that the program would provide services to individuals with serious mental illness including serious and persistent mental illness, in addition to individuals with co-occurring disorders: individuals who are chemically addicted in addition to being seriously mentally ill. Other program characteristics would include culturally competent delivery of services and the involvement of peers in recovery from serious mental illness in the design and operation of the project. Serious mental illness is defined as a DSM-IV psychiatric diagnosis not including organic brain syndromes, developmental disabilities, alcohol or drug disorders as the sole diagnosis or social conditions. Preference will be given to proposals that incorporate evidence-based practices such as Wellness Self-Management and integrated care for dually diagnosed substance abuse and mental illness.

The program is to effectively become an option in a continuum of criminal justice sanctions to avoid the unnecessary use of costly incarceration. The proposed program model must include the use of screening for eligibility, the use of an actuarial risk and needs assessment used to drive individualized case planning, the use of an evidence-based cognitive based intervention such as Thinking for a Change or Moral Reconciliation Therapy and a plan for staff training. Project proposals may suggest either building onto existing services or establishing new services.

Details regarding source(s), amount(s), and duration(s) of other funding currently supporting the project should be specified, where applicable, as well as the numbers being served and the number of additional participants or services resulting from the funds to be awarded under this RFP. Overall program cost, as well as cost per completion, should be included in the proposal.

Services are limited to felony offenders eligible for alternatives to incarceration in accordance with criminal court orders. It is expected that a minimum of 25 offenders will successfully complete the program annually subsequent to the start-up year, through the development of the proposed specialized programming.

If the applicant proposes the direct delivery of clinical services addressing mental health or co-occurring disorders, then the service provider must be licensed in accordance with the NYS Office of Mental Health and/or other appropriate licensing authorities. If the applicant proposes case management and referral services, the applicant must provide a letter(s) of agreement with a qualified clinical treatment provider(s).

Employment Focus

Stable employment is recognized as having an impact on the success of individuals under criminal justice supervision and on the reduction of recidivism. Employment is viewed as one of the community ties that can make the difference for these individuals and their families by participating in the legitimate economies of communities across New York State. The proposal should commit to have two staff attend National Institute of Corrections (NIC) Offender Workforce Development Specialist (OWDS) Training offered by OPCA. This training will provide agencies with an excellent opportunity to develop trained specialists in offender employment. Employment is essential if offenders are to change their behavior and lifestyles. Employment is also recognized to support the recovery of individuals with mental illness. Treatment and services should be designed to encouraging employment or meaningful

community involvement whenever appropriate. Job-readiness training can assist offenders and ex-offenders in obtaining and retaining jobs by effectively utilizing existing community employment resources.

Incorporation of Evidence Based Practices

The funding will provide for services and expenses associated with entities that can both act as part of a community based sanction and provide support and appropriate interventions. These measures should be designed to lessen or eliminate the risk of recidivism by crafting a program, which is culturally competent, while meeting the immediate social service and treatment needs of this specialized population using evidence-based practices. Each of the eight principles comprising evidence-based practices and how the proposed program will implement these principles must be addressed: assess actuarial risk/needs, enhance intrinsic motivation, target interventions, skill train with directed practice, increase positive reinforcement, engage ongoing support in natural communities, measure relevant processes/practices, and provide measurement feedback. Applicants are strongly encouraged to visit the National Institute of Corrections website at <http://nicic.org/Library/019342> for information on Implementing Evidence-Based Practice in Community Corrections: The Principles of Effective Intervention and how to build organizations that reduce recidivism through systemic integration of evidence-based principles in collaboration with community and justice partners.

IV. APPLICANT ELIGIBILITY

Public or not-for-profit agencies located within New York State are eligible to apply.

V. SUBMISSION OF PROPOSALS

The applicant must submit a complete response to this RFP that conforms to the format and content requirements as set out in this RFP including the administrative conditions set forth in the attached Appendices.

Applications, including the proposal budget, work plan, responses to questions in Section VII, and all required attachments must be submitted electronically using DCJS Grants Management System (GMS). No other format will be accepted. Complete proposals are due by **4:00 pm on Tuesday, June 7, 2011. Proposals submitted after the deadline will not be considered for review.** See Section VI below and Attachment E for information about access to GMS.

All proposals will become the property of NYS Division of Criminal Justice Services, 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 Section VII, with final approval and awards distributed based upon the final recommendation of the Deputy Commissioner and Director of OPCA and final approval by the Acting Commissioner of the Division of Criminal Justice Services. Successful applicants will be notified in writing of their final approved award amount and a contract will be negotiated.

Unsuccessful applicants will also be notified in writing. Notifications will be issued on or about **June 23, 2011**.

VI. GMS REGISTRATION REQUIREMENTS AND TECHNICAL ASSISTANCE

To submit an application, the applicant agency must have a designated signatory registered with the NYS Division of Criminal Justice Service's (DCJS) Grants Management System. This will enable general access to GMS and eSignature of grants. Instructions for GMS registration can be found in Attachment E, and the two required GMS registration forms can be emailed to funding@dcjs.state.ny.us or faxed to (518) 485-2728. Please submit your eSignature registration at least 5 days prior to application submission to allow sufficient time for processing. All applications that are awarded will be processed as eSignature contracts.

A simplified set of instructions for submitting the application with GMS can be found in Attachment E. When accessing GMS to complete an application, click "Project>New", then select "OPCA Supervision and Treatment...(SATSO)" as the funding program to begin entering your application.

It is strongly suggested that the GMS User Manual be downloaded from the following web address: <http://criminaljustice.state.ny.us/ofpa/gms.htm>.

For general questions related to GMS or for technical assistance with the Grants Management System, please call the NYS DCJS Office of Program Development and Funding at (518) 457-9787.

VII. PROPOSAL REQUIREMENTS & REVIEW PROCESS

When entering applications into GMS, provide the information requested in this section 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 below.

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, specifically for non-profit organizations, the applicant's charity identification.

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 Forms/Documents

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

The proposal narrative (not including the transmittal letter, budget, work plan and attachments) may not exceed 3000 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** in a separate Microsoft Word document using the GMS Attachments module. Total points attributable to each question are noted parenthetically.

1. **Whom will you serve? (10 points)**
 - Specify the characteristics of the persons you plan to serve.
 - Describe any exclusionary criteria.
 - Describe the proposal development and criteria for the identification of eligible persons and how you will process the referrals.
2. **What is the service you are offering? (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 participant 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?
 - Provide a timetable for program implementation and subsequent years of operation.
3. **What results are you committed to achieving? (30 points)**
- Describe the expected results 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 put into place to measure the participant's progress toward reducing his dynamic risk of recidivism level.
4. **Who is going to have active involvement in the program? (10 points)**
- Who is going to be the lead person for this program?
 - What other individuals will be involved in the program's implementation and the attainment of performance objectives?
 - Using the GMS Attachments module, provide letter(s) of support from the NYS Office of Alcohol and Substance Abuse regional field office if indicated.
 - Letter(s) of collaboration in support of the program from all service providers named in the application must be submitted using the GMS Attachments module.
 - Provide evidence of the capabilities of these individuals and describe how they relate to the participants served by the program.
 - Using the GMS Attachments module attach resumes and job descriptions for the program lead person and other program staff.
 - Describe the collaboration with identified stakeholders in the development of the program and attach all linkage agreements and service agreements using the GMS Attachments module.
5. **How will you spend the NYS funding? (30 points)**
- Describe program milestones, costs, and performance objectives and link program milestones with the services described, performance objectives to be achieved and the expected participant outcomes after project completion. All applicant responses to this question must include:

- Milestones, Outcomes, Costs form(s). The Milestone, Outcomes, Cost 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 module in accordance with the guidance provided in RFP Attachment D.
- Using the GMS Budget module, provide a program budget in accordance with the guidance provided in RFP Attachment B and include the cost per successful project completion of a participant.
 - Describe how the program will potentially access additional services for your target population, as appropriate to 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 including 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 direct 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. All applications are subject to review based on Tier 1 and Tier 2 criteria. The two tiers of the review 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 be advanced to Tier 2 of the review process. **Any application that does not meet all of the criteria outlined in this section will be automatically disqualified from further review.**

All applications MUST:

- be submitted by an eligible applicant;
- be submitted on-line via the DCJS Grants Management System (GMS) by the stated deadline

- be 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 DJCS grant contract);
 - Responses to RFP Questions VII (D) 1 – 5 provided in both the GMS Questions module and in a separate, attached Microsoft Word document;
 - Resumes and job descriptions for the program lead person and other individuals involved in program implementation and accomplishment of performance objectives;
 - Letter(s) of support from the NYS Office of Alcohol and Substance Abuse regional field office if indicated;
 - Letter(s) of collaboration in support of the program from all service providers named in the application;
 - Collaborative agreements including qualified service agreements and/or linkage agreements;
 - Milestone, Outcomes, Cost form(s) (RFP Attachment C);
 - A Program Work Plan completed in the GMS Work Plan module (See RFP Attachment D); and
 - A Program Budget completed in the GMS Budget module (See RFP Attachment B).

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 evaluative scores. A team consisting of DCJS employees will conduct the 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 reviewer will conduct independent reviews of all applications using this same rating scale. The team will convene to discuss reviews and reviewers’ scores for each application 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 Acting Commissioner of the Division of Criminal Justice Services.

Proposal Elements:

1. **Whom will you serve? (0 to 10 points)**

This item will include three scoring dimensions:

- a. The criteria and process for selection of participants. 2.5 points max
- b. Characteristics of individuals to be served. 5.0 points max
- c. How was the proposal developed? 2.5 points max

Discussion: Characteristics of the program population anticipated 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 and proposal development should provide a description of specific agency actions and transactions between agencies to identify the persons best served through this program.

2. What is the service you are offering? (0 to 20 points)

This item will include four scoring dimensions:

- a. What service is proposed? 5.0 points max
- b. How will the service achieve results as articulated in the milestones and outcomes/work plan performance objectives? 5.0 points max
- c. How will the program utilize an actuarial risk and needs assessment. 5.0 points max
- d. Timetable for implementation provided. 5.0 points max

Discussion: The proposed services anticipated results and work plan to achieve the results proposed should carry the greatest weight for this question. It is expected that the best proposal(s) will describe a service model that utilizes an actuarial risk and needs assessment for assessment and case planning, is evidenced-based and will explain how these services will meet the needs of the participants, while satisfying public safety concerns. Program strengths are viewed as those proposals that document the essential expertise to complete the milestones and outcomes/objectives of the project. The timetable provided is realistic and achievable but also expeditious in commencing program activities.

3. What results are you committed to achieving? (0 to 30 points)

This item will include four primary scoring dimensions:

- a. Program milestones and outcomes/objectives achievable and measurable. 10.0 points max
- b. Participant outcomes. 5.0 points max
- c. Evaluation component. 5.0 points max
- d. System impacts identified. 5.0 points max
- e. Stakeholders. 5.0 points max

Discussion: Milestones and outcomes/objectives and the associated tasks should represent program desired 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 gain greater value than a focus on the number of

participants screened or interviewed. Outcomes should represent substantial, important achievements. It is recognized that a fully developed impact evaluation of the service proposed cannot be completed within the first twelve months of program activities. A plan for a long term impact evaluation should be included, as the project is expected to be funded for a five-year period. A discussion of expected system impacts, including “stakeholders” should be described. Stakeholders should include the courts and other agency representatives that may contribute to the program but would not be paid by the grant as well as other agencies and individuals who will benefit from this program.

**4. Who is going to have active involvement in the program?
(0 to 10 points)**

This item will include four scoring dimensions:

- | | |
|---|----------------|
| a. Lead person. | 2.0 points max |
| b. Qualification and experience of other program staff. | 2.0 points max |
| c. Evidence of capability. | 2.0 points max |
| d. Agency collaboration agreements/letters. | 4.0 points max |

Discussion: The program or service proposed should include *any staff position that this grant award would require*. Any such positions (or persons) should be included in this section of the proposal. Additionally, the *position (or individual) that will take responsibility* for the management of this grant award, including program and fiscal responsibility, must be identified. Descriptions of the qualifications of those providing services will be required. In all cases, evidence of the ability to complete project activities must be included. Finally, a description of the supervising agency collaborative agreements including qualified service agreements and/or linkage agreements must be attached to the grant application. Letters of collaboration in support of the program from all service providers named in the application must be submitted.

5. How will you spend the NYS funding? (0 to 30 points)

This item includes five dimensions for scoring purposes:

- | | |
|---|-----------------|
| a. Weighing of milestones/outcomes pricing. | 10.0 points max |
| b. Clear description 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: This item will describe how much money will be spent to add direct value to an agency’s operations in order to complete the proposal activities. Indirect costs should not exceed 15% of the operating budget. Indirect costs are not an allowable expense for public agencies. 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. OPCA is most interested in proposals that give greater weight to program retention and program completion. The program milestones/outcomes and costs should be directly related to the proposed program budget. 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. 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. 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 including 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.

VIII. ADMINISTRATIVE CRITERIA AND CONDITIONS

A. Cost Incurred Prior to Contract Approval:

The State of New York is not 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 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:

1. To reject all quotations or to acquire portions of a quotation, and re-issue a modified version of this RFP.
2. Utilize any or all ideas submitted in the proposals received unless those ideas are covered by legal patent or proprietary rights.
3. Amend RFP specifications to correct errors or oversights, and to supply additional information as it becomes available. All applicants who have received this RFP will be supplied with all amendments or additional information issued.
4. Make typographical corrections to proposals with the concurrence of the applicant.

5. Correct computational errors with the written concurrence of the applicant.
6. Change any of the scheduled dates stated herein with written notice to all applicants who have received this RFP.
7. Negotiate with service providers responding to this RFP within the RFP requirements to serve the best interests of the State.
8. Begin contract negotiations with an agency, other than the originally selected applicant, in order to serve the best interests of the State in the event that the State should be unsuccessful in negotiating a contract with the originally selected applicant within 30 days of the notification of the award.
9. Disqualify proposals that fail to meet mandatory requirements.
10. Waive a mandatory requirement if unmet by all proposers 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 the agency program needs consistent with the solicitation.
12. In the event that two applicants are found to be substantially equivalent, price 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 four (4) 1-year renewal options contingent upon program performance and the availability of funds. DCJS

reserves the right to modify the contract period for lack of 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 and the federal government.

H. Contract Changes

Contracts resulting from this RFP may be executed, increased, terminated, renewed, decreased, extended, amended, or renegotiated at the discretion of the Acting 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.state.ny.us/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>.

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 OPCA.

P. Debriefing Sessions

Unsuccessful applicants will be notified in writing and will be offered an opportunity to be debriefed. A debriefing, if any, will be scheduled for all unsuccessful applicants, upon request of those applicants, at a date and time convenient to both OPCA and the applicants 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 participant-specific data and monthly aggregated data to document income eligibility, criminal justice involvement, types of services rendered, and program outcomes. The grant recipient will also be required to produce and submit policies and procedures within three months of beginning program operations. Elements of the quarterly reports shall include, but not be limited to:

i. Barriers to implementation of the proposed program elements; and

ii. Solutions developed to overcome these barriers.

Also, fiscal cost reports and other reports, as requested, must be submitted to support payment claims on behalf of program implementation.

IX. RFP Technical Assistance & Inquiries

Requests for technical assistance with accessing and using GMS may be directed to the DCJS Office of Program Development and Funding at (518) 457-9787.

Non-GMS questions regarding this RFP may be emailed to funding@dcjs.state.ny.us through **Monday, May 23, 2011**. Please reference the “OPCA Specialized Supervision RFP” in the subject line of your email. On **Thursday, May 26, 2011** DCJS will post answers to the received questions on our website at <http://criminaljustice.state.ny.us/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 saved in Microsoft 97-2003 or earlier format or scanned and submitted as an attachment with the GMS application.

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

	Submitted with Proposal Yes/No	Signed Yes/No/NA
*Sign, scan and submit as a GMS Attachment: Transmittal Letter signed by the individual authorized to make contractual commitments on the organization's behalf (See RFP Section VII A)		
*Scan and submit as a GMS Attachment: Qualifying proof of eligible not-for-profit status . Required only for non-profit applicants that do not have a current grant contract with DCJS. (See RFP Section VII C)		NA
Enter on GMS responses to RFP Questions (See RFP Section VII D)		NA
*Submit as a GMS Attachment: responses to RFP Questions in a separate Microsoft Word document .		NA
*Scan and submit as a GMS Attachment: Resumes and job descriptions for the program lead person and other program staff.		NA
*Scan and submit as a GMS Attachment: Letter(s) of support from the NYS Office of Alcohol and Substance Abuse regional field office <i>if indicated</i>		
*Scan and submit as a GMS Attachment: Letter(s) of collaboration in support of the program from all service providers named in the application		
*Scan and submit as a GMS Attachment: Collaborative agreements including qualified service agreements and/or linkage agreements		
*Complete and submit as a GMS Attachment: RFP Attachment C: Milestones, Outcomes, Costs .		NA
Complete Work Plan on GMS. (See RFP Section VII D (5) and RFP Attachment D)		NA
Complete Budget on GMS. (See RFP Section VII D (5) and RFP Attachment B)		NA

Application deadline is **4:00 pm on Tuesday, June 7, 2011**.

ATTACHMENT B

BUDGET SUMMARY

The 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 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 July 1, 2011. 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.

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://criminaljustice.state.ny.us/ofpa/pdffdocs/appendixa1.pdf>

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.

ATTACHMENT C

MILESTONES, OUTCOMES, COSTS

1	A	B	C	D	E	F
2	Milestones	# 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) ¹					
6	Three Quarter Point in Program (___ days) ¹					
7	Program Completion ² (___ days) ¹					
8	Outcomes ³					
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

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

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

³List outcomes appropriate to the project such as achieving and maintaining employment for 30, 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..

ATTACHMENT C (continued)

GUIDELINES

The completed Milestones, Outcomes, and Cost chart (Attachment C) must be scanned 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.
- The Agency and the contractor will negotiate appropriate outcomes to be achieved by project participants.

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 long-term retention and project completion.
- 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. The Agency 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 long-term retention and project completion.
- Complete Attachment D, Program Work Plan on GMS.
- Provide a detailed cost justification for the proposed project including total cost, average cost per intake (total cost divided by number of intakes) 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

ATTACHMENT C (continued)

proposed project.

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 (preferably not more than \$30,000) 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 expenditure budget should be submitted with the respective costs for each year.

ATTACHMENT D

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

OBJECTIVES - Each **objective** will have at least one task and usually will have more than one. 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.

PERFORMANCE MEASURES - Each task must have at least one **performance measure** but may in some instances have more than one.

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

OBJECTIVE 1: Assessment / Intake of insert target # individuals identified as eligible and appropriate for the project

Task #1 for Objective #1: COMPAS assessment will be completed and copy retained in case file.

Performance Measure: The number of COMPAS assessments completed.

Task #2 for Objective #1:

Performance Measure:

Task # 3 for Objective #1:

Performance Measure:

OBJECTIVE 2: 30 Day Retention in Project will be accomplished by insert target # participants

Task #1 for Objective #2:

Performance Measure:

Task #2 for Objective #2:

Performance Measure:

ATTACHMENT D (Continued)

Task # 3 for Objective #2:

Performance Measure:

OBJECTIVE 3: Half-way Point in Project (identify range of days required) is reached by insert target # participants

Task #1 for Objective #3:

Performance Measure:

Task #2 for Objective #3:

Performance Measure:

Task # 3 for Objective #3:

Performance Measure:

OBJECTIVE 4: Three-quarter Point in Project (identify range of days required) is achieved by identify target # participants

Task #1 for Objective #4:

Performance Measure:

Task #2 for Objective #4:

Performance Measure:

Task # 3 for Objective #4:

Performance Measure:

ATTACHMENT D (Continued)

OBJECTIVE 5: Successful Project Completion (identify range of days required) is achieved by insert target # participants:

Task #1 for Objective #5:

Performance Measure:

Task #2 for Objective #5:

Performance Measure:

Task # 3 for Objective #5:

Performance Measure:

OBJECTIVE 6: Identify Outcome(s) which would be achievements above and beyond project completion (e.g., 90 Days Employment, 180 days Employment, No Recidivism for 180 Days)

Task #1 for Objective #6:

Performance Measure:

Task #2 for Objective #6:

Performance Measure:

Task # 3 for Objective #6:

Performance Measure:

Attachment E

GMS 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.state.ny.us>

Office of Program Development and Funding

GMS USER REGISTRATION

In order to complete grant applications online, 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 funding@dcjs.state.ny.us . When your request has been processed, you will be sent a username and instructions. Please download the GMS User Manual at <http://criminaljustice.state.ny.us/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#):

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.state.ny.us/ofpa/gms.htm> . Fax to (518) 485-2728.

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



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

Office of Program Development and Funding

GMS SIGNATORY REGISTRATION

In order to complete grant applications online, your agency must register with the GMS system. Do so by submitting this Registration Request form via email attachment to funding@dcjs.state.ny.us . When your request has been processed, you will be sent a username and instructions. Please download the GMS User Manual at <http://criminaljustice.state.ny.us/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#):

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.state.ny.us/ofpa/gms.htm> .

GMS Helpful Hints

First time GMS users should download the GMS User Manual located at <http://criminaljustice.state.ny.us/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 Supervision and Treatment...(SATSO)**”

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 VII)

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.