



**Jail-Based Cognitive Behavioral Intervention (CBI) Services Program**  
**SFY 2018-19 REQUEST FOR PROPOSALS (RFP)**

Release Date of RFP:	Tuesday, May 1, 2018
Submission Deadline:	Friday, June 8, 2018 by 12 PM (Noon)
Bidder's Conference/Webinar:	May 10, 2018
Deadline for Final Submission of Questions:	Thursday, May 17, 2018
Response to Questions Posted:	On or about Thursday, May 31, 2018
Notification of Award(s):	On or about July 20, 2018
Anticipated Contract Start Date:	January 1, 2019

1. Proposals 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 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](mailto: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 the date indicated above. If the applicant has any general questions such as, "Did DCJS receive my e-mail?" please call (518) 457-9787. Please note that DCJS cannot answer substantive questions concerning this solicitation in any manner other than the e-mail method.
3. The bidder's conference will be held on May 10, 2018. See Appendix: *Bidder's Conference/Webinar* for additional information.
4. Applicants will be advised of award decisions via a letter of notification, which will be emailed to the address provided by applicant in GMS. Where applicable, applicants not receiving an award will receive notification via email and by U.S. Postal Service mail. A debriefing is available to any entity that submitted an application in response to this solicitation who is not successful in receiving an award. See Section: Notification of Awards.
5. Unless otherwise modified by DCJS, the contract period for this grant opportunity will be one year from January 1, 2019 through December 31, 2019, with three optional one-year renewals.
6. **Grants Gateway Pre-Qualification – To be considered for an award**, not-for-profit (NFP) applicants **must** be pre-qualified through the NYS Grants Gateway prior to the RFP submission deadline. **NFP applicants should begin this process as soon as possible.** See Appendix: *Grants Gateway Prequalification Requirement.*

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Attachment: 1 *Budget Detail Worksheet and Narrative Form*

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

## I. INTRODUCTION

The New York State Division of Criminal Justice Services (DCJS) seeks proposals to provide Jail-Based Cognitive Behavioral Intervention (CBI) services within a jail setting. Subject to available appropriation, approximately \$1.8 million is expected to be made available for awards through this RFP. Eligible applicants include (1) Not-for-Profit organizations in collaboration with a Sheriff and Jail Administrator; (2) Sheriffs and Jail Administrators in New York State; or 3) Local agencies in collaboration with a Sheriff and Jail administrator. All existing Jail-Based Cognitive-Behavioral Intervention (CBI) programs funded by DCJS must apply to this competitive RFP, as prescribed, to be eligible to receive continued funding after December 31, 2018. All submitted proposals will be scored and selected for potential funding consistent with this RFP and in the best interests and value of New York State.

Individuals released from jail have high rates of recidivism upon release. DCJS analysis shows that 66% of individuals released from jail were reconvicted of a crime within five years. CBI services have been demonstrated to improve the individual's understanding of the ways in which thoughts influence behaviors and, ultimately, provide the individual with the skills needed to change thinking and behavior. This RFP is designed to provide CBI services to jail inmates within a jail setting. There are three CBI curricula that are pre-approved for use by DCJS (see APPENDIX: *Pre-Approved Cognitive Behavioral Curricula* for additional information):

- Thinking for a Change (T4C) – A 25 module curriculum completed in closed groups;
- Moral Reconciliation Therapy (MRT) – A 12 to 16 step curriculum which allows for rolling group admissions; and
- Interactive Journaling – This curriculum can be completed individually or within a group setting.

Applicants may propose to use a different CBI curriculum. Any proposed curriculum not listed in Appendix: *Pre-Approved Cognitive Behavioral Curricula* must be explained in detail, and a full copy of the curriculum, the research supporting its use, and justification for using this curriculum in a jail-based setting must be submitted to DCJS as part of the RFP proposal submission. DCJS approval of a proposed CBI curriculum must be obtained prior to contract execution if an award is granted.

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

## II. RFP SPECIFIC INFORMATION

### A. Funding

Subject to available appropriation, approximately \$1.8 million will be made available to support the Jail-Based CBI Services programs. All funding awarded through this RFP must support program efforts that will be accomplished during the contract period. This

funding must supplement, not supplant, non-grant funds that would otherwise be available for expenditure on the programs proposed.

**B. Applicant Eligibility**

Eligible applicants include (1) Not-for-Profit organizations in collaboration with a Sheriff and Jail Administrator; (2) Sheriffs and Jail Administrators in New York State; or 3) local agencies in collaboration with a Sheriff and Jail Administrator. An applicant proposing to provide Jail-Based CBI Services in multiple jails must provide a separate proposal for each jail they propose to provide CBI services.

To be eligible to apply, Not-for-Profit and local agency (other than Sheriff's/ Jail Administrator's offices) applicants must submit a letter attesting to the support, cooperation and collaboration of the Sheriff and Jail Administrator at the jail they propose to serve. Applicants may use the DCJS template provided in Appendix: *Letter of Support*, or they may draft and submit their own Letter of Support. Representations made by applicants in Letters of Support may be subject to verification by DCJS. This letter is not required of the Sheriff and Jail Administrator if they are the sole applicant. It is important to note that Sheriffs and Jail Administrators may provide a Letter of Support to more than one Not-for-Profit proposing to operate a CBI within their facility.

The Letter of Support must include the following:

- A Statement indicating the commitment of the Sheriff and Jail Administrator to allow the applicant to operate a CBI program within the jail;
- A description of how the jail facility staff will support the CBI program with identifying and screening individuals who are eligible for participation, if applicable;
- A description of how access to the jail facility will be granted for CBI program staff, and a description of any limitations to that access;
- A description of the space that will be provided for the CBI program to implement all program elements, including space to conduct assessments; classroom space for conducting group program components; and space to conduct optional services if proposed;
- A Statement indicating that the Sheriff and Jail Administrator agree to provide sufficient uninterrupted time in the classroom for group program components (generally 2 hours per session);
- A description of any security related activities or support that will be provided to ensure that individuals arrive to the classroom prior to the scheduled start time.

**C. Allowable Use of State Funds**

Funds awarded under this RFP may be used by a grantee to implement a new program where such services do not exist, to continue an existing jail-based CBI program or for the expansion/enhancement of an existing CBI program operating in a jail setting.

Awarded funds may only be used for expenses or costs directly related to the delivery of the program services and included on the programs proposed operational budget. These

costs may include direct service delivery personnel, fringe benefits, consultant services, equipment, supplies, travel and subsistence, rent (for Not-for-Profit applicants only), and all other expenses as justified for the efficient and successful delivery of program services. The use of technology such as computer tablets with pre-loaded CBI program software is also an allowable expense. If an applicant proposes to use tablet technology within the jail setting, the applicant must have advance approval from the applicable Sheriff and Jail Administrator and that should be stated in the Letter of Support.

Indirect costs of up to 15% of the total direct costs may be reimbursed to Not-for-Profit applicants.

#### **D. Unallowable Use of State Funds**

Funding under this program must supplement, not supplant, existing available funds that would otherwise be available for expenditure on the programs proposed. Salaries of correctional personnel are not allowable under this funding opportunity. While indirect/administrative costs are allowed for not-for-profit organizations, they are not an allowable expense for governmental agencies.

#### **E. Contract Term**

Grant award terms, unless otherwise modified by DCJS, will be January 1, 2019 through December 31, 2019, with up to three optional one-year renewals at DCJS' discretion.

### **III. PROGRAM MODEL: JAIL-BASED CBI SERVICES PROGRAM**

#### **A. Pre-Approved Cognitive Behavioral Intervention (CBI) Curricula**

CBI services have been demonstrated to improve an individual's understanding of the ways in which thoughts influence behaviors and, ultimately, provide an individual with the skills needed to change thinking and behavior. Research indicates that programs using a cognitive-behavioral approach that includes skills practice can have positive effects on recidivism outcomes. There are three CBI curricula that are pre-approved for use by DCJS (see APPENDIX: *Pre-Approved Cognitive Behavioral Curricula* for additional information):

- Thinking for a Change (T4C) – A 25 module curriculum completed in closed groups;
- Moral Reconciliation Therapy (MRT) – A 12 to 16 step curriculum which allows for rolling group admissions; and
- Interactive Journaling – This curriculum can be completed individually or within a group setting.

Applicants may propose to use a different CBI curriculum. Any proposed curriculum not listed in Appendix: *Pre-Approved Cognitive Behavioral Curricula* must be explained in detail. A full copy of the curriculum, the research supporting its use, and justification for using this curriculum in a jail-based setting must be submitted to DCJS as part of the RFP proposal submission. DCJS approval of a proposed CBI curriculum must be obtained

prior to contract execution if an award is granted.

Completion of the CBI program is important to achieving behavioral change. It is also significant to acknowledge that jail settings present unique challenges to ensuring participant program completion. Given this information along with the requirements for the CBI curricula, applicants should consider the following when determining which curriculum to propose:

- Availability of credentialed staff to deliver the intervention;
- Other programming currently available at the jail, including any CBI programming already being offered and other programming that might compete/conflict with DCJS-funded CBI services;
- Jail logistics, such as availability of classroom space for the frequency and duration required by the selected CBI model;
- Size of the jail population and number of potential participants; and
- Applicant's ability and the jail's commitment to ensuring delivery of the curriculum with fidelity as described in APPENDIX: *Pre-Approved Cognitive Behavioral Curricula*.

## **B. Jail Data by County**

Information on recent numbers of individuals sentenced to local jails is provided in APPENDIX: *Jail Data by County*. Sentence length by county is also included in the data tables. Please note that only a small proportion of the total number of sentenced individuals in each county are likely suitable for program participation. These data should be used as a starting point for discussions with jail staff regarding the number of individuals that might be eligible and interested in participating.

Applicants should consider information in APPENDIX: *Jail Data by County* in conjunction with APPENDIX: *Pre-Approved Cognitive Behavioral Curricula* to inform decisions about which curriculum the jail's population could likely support.

## **C. Training**

Applicants should have staff trained, or a plan in place to obtain necessary training for staff (or sub-contractors or consultants), to deliver the CBI proposed for their program. Applicants should include necessary funding for such training in their operational budgets, as needed and justified.

Limited trainings may be offered by DCJS. These trainings are typically held in Albany, New York. However, applicants should not rely solely on training provided by DCJS. Applicants selected for funding under this RFP will be prioritized to participate in DCJS training, subject to availability, in the following areas:

- NYCOMPAS Risk and Needs Assessment training
- Thinking for a Change (T4C) training
- Motivational Interviewing training

- Women's Risk Needs Assessment (WRNA) training
- Interactive Journaling training

#### **D. Target Population, Required Services and Program Participant Costs**

Programs may screen individuals for program eligibility who are detained pretrial or who have been sentenced following conviction for a crime. When individuals are screened for program eligibility, it is essential that criteria include that they are likely to be confined in the jail for a length of time that will allow them to successfully complete the program. Inmates who have been convicted and are serving a sentence have a more predictable release date. However, given that many individuals serve lengthy periods in pretrial detention, pretrial detainees who are probable to be held for a minimum of 90 days may also be included in the CBI if there is expected to be sufficient time to complete the program.

#### **Individuals enrolled in the CBI should have the following characteristics:**

- interest in changing their thinking and behavior to avoid returning to jail in the future; and
- Individuals assessed as moderate to high risk by the applicant and/or Sheriff/Jail Administrator (lower risk individuals are also eligible for participation if there is sufficient space in a CBI class).

#### **Required Services:**

- Screening to determine program eligibility;
- Assessment using a DCJS-approved risk/needs instrument; and
- Cognitive Behavioral Intervention (CBI)

#### **Participant cost:**

Per participant cost reflects the total cost when a participant successfully completes all milestones of the proposed intervention.

The expected per participant cost is \$2,000 to \$2,500 for completion of the required program elements. Applicants may propose a higher cost per participant to provide the services, with appropriate justification, which will be subject to DCJS approval. All submitted proposals will be scored and selected for potential funding consistent with this RFP and in the best interests and value to New York State.

Programs proposing to provide optional services may request additional funds of up to \$250 per participant with justification. Final costs are subject to modification and will be finalized during contract negotiations should an application be selected for funding. See Section V. Performance-Based Contracting and Milestones for additional information.

Applicants may propose a higher cost per participant to provide the services, with appropriate justification, which will be subject to DCJS approval. All submitted proposals will be scored and selected for potential funding consistent with this RFP and in the best interests and value to New York State.

#### IV. FIDELITY AND EVALUATION

DCJS has developed general operating guidelines for DCJS funded community corrections and other programs. While DCJS recognizes that not all guidelines will apply to a jail-based CBI model, applicants are encouraged to review the Appendix: *General Operating Guidelines for DCJS Funded Community Corrections Programs* before preparing their proposals. All applicants are expected to be familiar with the principles of effective interventions. (See <https://nicic.gov/theprinciplesofeffectiveinterventions>) and the risk, needs, and responsivity (RNR) framework.

DCJS maintains a fidelity and evaluation system for funded alternatives to incarceration and community corrections programs. All programs will be required to cooperate fully with the fidelity assessment process, which will:

- Confirm programs are operating as proposed in the proposal;
- Assess fidelity to the CBI curriculum being offered;
- Provide technical assistance from DCJS program staff; and
- Require program submission of case-level data in a format prescribed by DCJS.

DCJS will use the case-level data submitted by grantees to provide regular feedback reports. The feedback reports summarize program activity and can be used by grantees to monitor compliance with contract requirements (e.g., number of CBI enrollments, etc.) and inform programming decisions. DCJS also uses the case-level data to conduct studies examining criminal justice and program outcomes. DCJS may invite grantees and collaborating jails to participate in an outcome evaluation of the jail-based CBI model.

#### V. PERFORMANCE-BASED CONTRACTING AND MILESTONE METRICS

Contracts awarded under this RFP will be performance-based, meaning reimbursement for project services will be based on the number of milestones achieved as per the approved Attachment 2: *Appendix B1-Program Performance Milestones and Costs* and specific documentation in participant case files as outlined in the DCJS provided Work Plan template. Both the Attachment 2: *Appendix B1-Program Performance Milestones and Costs* and the Work Plan will be further addressed in the Request for Proposal Questions section (Section VII) of this RFP. In the program Work Plan that must be completed as part of this application, an objective must be established for each target milestone to be achieved, and specific tasks and activities associated with each payment milestone must be specified.

All proposals must include objectives for Intake/Assessment, CBI Enrollment, CBI Mid-point, CBI Completion and Operational Assurance. The total payments for achievement of all milestones except the Operational Assurance milestone should represent 50% of the total contract value. The “Operational Assurance” milestone should represent the other 50% of the total contract value, to support programmatic and administrative activities (i.e.: hiring and training staff, securing space, purchasing supplies and necessary equipment, enrolling participants, completing

risk/needs assessments, delivering CBI, etc.) necessary to achieve the program goals. There are no quantitative performance targets associated with this Operational milestone, however, the payment is directly tied to the assurance that a program is operating effectively, making programmatic arrangements and incurring expenses necessary to fulfill contractual obligations. Grantees will be required to formally certify the achievement of such activities, which will also be monitored and confirmed during DCJS program site visits and any related audits. This contract milestone should be included in the Work Plan and Attachment 2: *B-1 Performance Milestones and Costs* worksheet. Final approval of the tasks associated with this milestone and additional payment instructions will be provided during contract negotiations should the applicant receive an award.

Applicants proposing to include any optional, additional service(s) may propose and include the related “Optional Service” milestone(s) in both the Work Plan and Attachment 2: *Appendix B1-Program Performance Milestones and Costs* worksheet.

A. Completing Attachment 2: *Appendix B1-Program Performance Milestones and Costs* worksheet.

When completing Appendix B-1, the operating budget for a program must capture the project expenses that are the basis for the total performance-based milestone pricing, and for which successful applicants will expect to be reimbursed.

Applicants should ensure that the operating budget provided on the B-1 reflects the same operating budget line items that will be submitted on Attachment 1: *Budget Detail Worksheet and Narrative Form*.

Please find below the *required* Jail-based CBI Services Program performance-based objectives (milestones):

- Intake/assessment;
- CBI enrollment;
- CBI Mid-point;
- CBI Completion; and
- Operational Assurance

Optional Service Milestones –Optional Services are allowed but are not required. For any proposed optional services, related payment milestones should be included as appropriate. Optional Services (and related milestones) are subject to final DCJS approval should an award be made.

When completing the Appendix B-1, the *milestones* should reflect the target number of individuals the program plans to serve; however, there are no performance targets associated with the Operational Assurance milestone. The following is an example of a partially completed Appendix B-1 reflecting the expected total cost, reimbursement rates and amounts associated with the completion of all required milestones. Please note, in this example, the CBI program Thinking for a Change (T4C) would be reimbursed at a higher rate, commensurate with the additional time required to complete this CBI. See Appendix: *Pre-Approved Cognitive Behavioral Curricula* for additional information.

# EXAMPLE

## Milestone Payment Weighting Ratios and Example Reimbursement

### Total Cost per Participant Providing Jail-Based Cognitive Behavioral Interventions (CBI)

	(50% of Total Contract Value)				(50% of Total Cost – NOT associated with the completion of the performance-based targets) * – See below	Total Cost per Completion per participant
	Intake/ Assessment	CBI Enroll	CBI Mid	CBI Complete		
T4C	\$300	\$200	\$250	\$500	\$1250	\$2500
MRT/IJ	\$300	\$150	\$200	\$350	\$1000	\$2000
Example Target Number of Participants	100	75	45	38	1	
Payment Weighting (at minimum)	Total Intake/Assessments	75% of Intake/Assessments	60% of CBI Enrolled	50% of CBI Enrolled	N/A	

\*The above illustrative information is provided to demonstrate the total cost for program services and includes consideration of the payment for Operational Assurance. With the inclusion of an “Operational Assurance” milestone, grantees will be eligible for receiving up to 50% of the contract value, payable upon confirmation that the programmatic and administrative activities outlined in the program Work Plan are occurring.

Using the above example, if the applicant successfully provided intake/assessment for the Thinking for a Change (T4C) CBI to 100 program participants, then enrolled 75 of those individuals in CBI, 45 of whom subsequently reached mid-point in the program, with 38 ultimately completing the CBI, the total cost for payment of these milestones would be \$75,250 or 50% of the total contract value (\$150,500 for this example). The operational budget submitted by an applicant would have to support the request for \$150,500. Grantees should be prepared to confirm that the actual expenses incurred in operating the program are at least 90% of total contract reimbursements. Please see the following sample Appendix B-1 using the above example information.

## SAMPLE Appendix B-1: (Target Numbers based on Illustration Above)

 <b>Division of Criminal Justice Services</b>					
<b>APPENDIX B-1</b>					
Program Performance Milestones and Costs					
<b>Grantee:</b>	DCJS		<b>Contract No.</b>	C123456	
<b>Program:</b>	DCJS CBI Jail-Based Program		<b>Budget Term</b>	1/1/19 - 12/31/19	
BUDGET CATEGORIES	OPERATING BUDGET	PERFORMANCE MILESTONES	ANNUAL MILESTONE TARGET	STATE REIMBURSEMENT RATE	TOTAL STATE REIMBURSEMENT
Personal Services	\$ 76,755.00	Intake/Assessment	100	\$ 300.00	\$ 30,000.00
Fringe Benefits	\$ 30,702.00				
Consultant Services		CBI Enrollment (75% of Intake/Assessment)	75	\$ 200.00	\$ 15,000.00
Equipment	\$ -				
Supplies	\$ 2,500.00	CBI Midpoint (60% of CBI Enrollments)	45	\$ 250.00	\$ 11,250.00
Travel and Subsistence	\$ 5,000.00				
Rental of Facilities	\$ 5,000.00	CBI Completion (50% of CBI Enrollments)	38	\$ 500.00	\$ 19,000.00
Alterations and Renovations					
All Other Expenses	\$ 30,543.00	Operational Assurance	1	\$ 75,250.00	\$ 75,250.00
<b>Total Operating Budget</b>	<b>\$ 150,500.00</b>				<b>\$ -</b>
<b>Maximum State Reimbursement</b>	<b>\$ 150,500.00</b>				
		<b>Total</b>			<b>\$ 150,500.00</b>

### B. Completing the Work Plan

When completing the Work Plan in GMS as further instructed in the RFP questions section, enter the objectives as outlined on the Work Plan template. All activities associated with the completion of each payment milestone should be listed as tasks. For example, the Work Plan tasks for the Intake/Assessment must include screening individuals for eligibility and interest, and conducting a risk/needs assessment. The remaining milestones should follow the same format. See Appendix: *DCJS Approved Work Plan Template* for additional information. Final approval of the Work Plan will occur during contract negotiations should the applicant receive an award.

## VI. EVALUATION AND SELECTION

### Tier I Evaluation – Threshold Pass/Fail

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

- Proposal was received by the published deadline;
- Applicant is eligible as defined by this solicitation;

- Not-for-Profit applicants Only: Applicant is an eligible, pre-qualified entity in the Grants Gateway; *and*
- The submitted proposals are complete and include:
  - Answers to questions that provide requested information;
  - Attachment: *Budget Detail Worksheet and Narrative Form*
  - Attachment: *Appendix B-1 Program Performance Milestone and Costs*;
  - Signed Letter of Support, as applicable;
  - Completed Program Work Plan and;
  - All attachments and required documents as specified in the RFP.

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

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

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

### **Tier III Evaluation**

The Tier III Evaluation assessments will be conducted by DCJS' Executive Deputy Commissioner or his designee. During the Tier III Evaluation, applicants shall be selected for funding and award amounts shall be determined through consideration of some or all of the following: Tier II Evaluation scoring and comments, available funding, and the best interests and overall value to New York State. Nothing herein requires DCJS to approve funding for any applicant. DCJS reserves the right to prioritize the awarding of funds in a manner that provides a geographic balance of services throughout the state.

## **VII. REQUEST FOR PROPOSAL (RFP) QUESTIONS**

Applicants must respond to the questions below within the DCJS Grants Management System (GMS), as instructed. **GMS instructions are located as an Appendix to this solicitation.** Please prepare prospective responses in a Microsoft Word Document first, using Arial, 11-point font and 1.5-line spacing. Responses should directly answer Program Narrative Questions and should be thorough and succinct. (Note: when answering questions, please reference question number and letter.)

Responses should then be copied and pasted within GMS under the *Questions* module “tab” of

the application. **Applicants should also attach the Microsoft Word document with responses to these questions using the *Attachments* module on GMS.**

Responses to the following questions will be scored and are the basis for Tier II Evaluation funding recommendations.

All questions, including sub-sections and those which have no point value, must be answered by all applicants.

**Program Narrative Questions:**

- 1. Provide the following information regarding the proposed Jail-Based CBI Services program and location (0 points).**
  - a) In which local correctional facility will the program operate?
  - b) Who directly oversees the day-to-day jail program operations and classroom scheduling? What is/are his/her name(s) and title(s)? If this/these person(s) is/are not the Designated Program Officer, then please identify the Designated Program Officer.
- 2. Experience and Qualifications of the Applicant (10 points)**
  - a) Describe any experience with the development and/or implementation of curriculum-based programming in a correctional facility setting. Note: Programming in visitation, religious services or recreational activities, is not considered curriculum based programming and should not be included. If the applicant does not have experience delivering curriculum-based programming in a correctional facility, describe any experience providing such curriculum to justice involved individuals within a community setting.
  - b) Identify the Cognitive Behavioral Intervention (CBI) curriculum being proposed to be completed in the local correctional facility. Does the applicant (or a partner organization of the applicant) currently have certified facilitators to deliver the proposed curriculum? If yes, please attach individual certificate(s). If no, outline the plan to train or to obtain certified facilitators in the above identified CBI. It is expected that programs utilize appropriately trained, credentialed, and experienced individuals for any interventions being proposed.
  - c) Describe the experience and background of the individual(s) who will be directly responsible for overall delivery of direct services including the completion of 1) the assessment and 2) delivery of the CBI curriculum. Attach job description(s) and resume(s) for all program personnel included in your budget in GMS utilizing the GMS *Attachment* module.
  - d) If not yet hired, provide a job description for the position responsible for overall delivery of direct services, including experience, qualifications, and credentials that are sought to fill the position. Attach the job description in GMS utilizing

the *GMS Attachment* module. Programs are expected to employ qualified staff with the credentials, training, and experience necessary to effectively deliver proposed interventions.

### **3. Program Logistics (25 points)**

In conjunction with the Sheriff and Jail Administrator, the Designated Program Officer should assist in preparing the responses to questions in this section. Not-for-Profit applicants must also ensure that the Designated Program Officer is involved with or consulted when responding to the following questions.

a) In a jail setting, security protocols can sometimes hinder the ability of program personnel to get to their approved location. How will the facility provide access for program personnel to move to approved program locations in a timely fashion? Indicate if program personnel will need to be escorted while in the jail and, if so, if jail staff will be available.

b) In a jail setting, it can be challenging to get all program participants to the designated classroom space by the scheduled start time. Please describe the procedures the jail has in place to ensure participants can arrive on time and remain for the completion of the CBI sessions.

c) Securing private space can also be challenging in a jail setting. Describe how the facility will ensure that private space, which is large enough to host a group intervention, is available to deliver CBI services consistent with the proposed curriculum's model.

d) Each session of a commonly used Cognitive-Behavioral Intervention takes 90-120 minutes to facilitate. The facility must be able to dedicate blocks of uninterrupted classroom time for the proposed CBI, in accordance with the developer's guidelines (for example 120 minutes per session of T4C or MRT 2 to 3 times per week). Describe how facility staff will ensure the availability of sufficient classroom time to complete CBI sessions.

e) Completion of the CBI program is important to achieving behavioral change. Completions will be a milestone achievement required of all grantees. Describe any existing or proposed strategies, (e.g. motivational interviewing skills), that will be utilized to achieve participant retention and the CBI program participant completion.

### **4. Screening, Referral and Assessment (10 points)**

a) Describe any existing or planned screening and referral protocols to the CBI program within the jail facility. See Appendix: *General Operating Guidelines for DCJS Funded Community Corrections Programs* Section A-3 for a description of the referral practices all programs are expected to have in place.

Describe the commitment made by jail facility officials to make referrals to the program. Include the approximate number of referrals jail officials have estimated they will make annually. These estimates should consider the DCJS eligibility criteria, knowledge of system case flow and population characteristics. Appendix: *Jail Data by County* shows the total number of individuals sentenced within each county and should be used as a starting point only. Only a portion of these individuals would likely be available for programming.

- Using estimates received from the jail and Appendix: *Jail Data by County*, describe the estimated number of referrals expected to support the number of Intake/Assessments proposed in your Appendix B1.
- b) Describe the screening process that will be used to identify potential program participants. Identify which entity (i.e., jail facility staff or CBI service provider) will be responsible for conducting the initial screening for eligibility. How will facility or program staff identify eligible inmates who are expected to be in jail for at least 90 days of programming time?
- c) List the risk/needs assessment instrument(s) to be used in the program. State whether the risk/needs assessment will be completed by the program staff or jail staff. If the jail staff are completing the risk/need assessments, describe the mechanism for sharing assessment results with the program staff. If the proposed risk/needs assessment instrument is not referenced in Appendix: *Risk and Needs and Other Approved Assessment Instruments*, attach a copy of the proposed assessment instrument in GMS. See Appendix: *General Operating Guidelines for DCJS Funded Community Corrections Programs* Sections B-1 through B-5 for more information on the assessment practices. Note: All risk/needs assessment instruments must be approved by DCJS during contract negotiations.

**5. Program Intervention (15 points)**

- a) Identify the specific Cognitive Behavioral Intervention (CBI) to be utilized in the program. Describe the frequency and duration of groups and any opportunities for participants to practice skills in and out of the classroom. Please identify any protocol for the makeup of missed sessions in accordance with the curriculum developers as applicable. See Appendix: *APPENDIX: Pre-Approved Cognitive Behavioral Intervention Curricula* for reference on frequency of groups.

Note: If proposed curriculum is not on the DCJS approved list of curricula, provide a full copy of the curriculum, the research supporting its use, and justification for using this curriculum in a jail-based setting.

## **6. Optional Services (0 points)**

Transition services (e.g., short-term transition plans) may already be provided by the local jail. However, if it is not currently provided, an applicant may propose to provide the service as an Optional payment milestone (up to \$250 per participant.)

a) If the applicant is proposing to provide transition planning, describe what transition planning services, if any, jail personnel already provide, and any enhanced transition planning which is part of the proposed intervention. If the applicant is proposing to provide transition planning, please thoroughly describe the components of the service to justify the reimbursement amount being requested, identify how transition planning will be completed for appropriate program participants. A transition plan, for example, may include a determination of services needed in the community with a referral and scheduled appointment to the service. Also, describe the private space jail officials would make available to the applicant for the development of transition plans.

b) Are there other Optional service(s), not necessarily a transition plan, but beyond what is required of the RFP that the applicant is proposing to provide? This may include any innovative service that would improve the transition process for individuals returning from the jail to the community. Describe the proposed Optional service(s)

## **7. Timetable for Program Implementation (10 points)**

Applicants should have staff trained, or a plan in place to obtain necessary training for staff (or sub-contractors or consultants), to deliver the CBI proposed for their program. Limited trainings may be offered by DCJS. However, Applicants should not rely solely on training provided by DCJS. Applicants should include necessary funding for training in their operational budgets, as needed and justified.

a. For new programs, provide a detailed timetable for the first year of program operation. Include in this plan a process to ensure that the staff who will be delivering direct services have been trained in all components of the program they will be conducting. Please also advise on your timetable for program start-up, including: hiring staff, formalizing communication with Sheriff/Jail Staff, (where the Sherriff/Jail Administrator is not the applicant), identifying program space, developing a formalized referral mechanism, and having staff who will work in the jail setting complete background checks and issue identification papers to all program staff to provide entrance to the facility.

b. For programs that are currently providing CBI services in a jail, describe the plan to expand or maintain the existing program.

## **8. Operating Budget Detail and Justification (15 points)**

a) Complete Attachment 1: *Budget Detail Worksheet and Narrative Form*.

Attachment 1 is a *Budget Detail Worksheet and Narrative Form*, which should be used to identify the operating budget for the Jail-Based CBI program. Once completed, upload this form using the *GMS Attachments* Module.

Within the form, prepare the line item budget, including justification, by appropriate category of expense (e.g., Personnel, Fringe Benefits, Consultants, etc.). All funded positions should clearly indicate the general duties, full annual salary of the position, hours worked per week, and proposed hours or percentage FTE supported by the grant. Budgets should reflect total projected costs for a 12-month contract period and be limited to eligible costs as described in Section II of the RFP. Salaries of correctional personnel are not allowable under this funding opportunity.

The detailed budget for the grant period must be complete and provide sufficient detail. It must also be reasonable and appropriate, as determined by DCJS, and directly tied to the work plan. Applicants proposing to utilize a subcontracted agency to provide services should upload any signed and executed agreements and upload the subcontractor's operating budget using the *Attachment* Module on *GMS*. Subcontractors are subject to DCJS approval after an award is made and as part of contract negotiations.

Note:

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

**Consultant Services:** All consultant services must be obtained in a manner that provides for fair and open competition. The rate for a consultant should not exceed \$650 for an eight-hour day (not including travel and subsistence costs). A rate exceeding \$650 per eight-hour day requires prior written approval from DCJS and may be approved on a case-by-case basis where adequate justification is provided and expenses are reasonable and allowable. A grant award recipient obtaining consultant services that cost more than \$10,000 must use a competitive bidding process. A grant award recipient who proposes to obtain consultant services from a vendor without competitive bidding will be required to obtain the prior written approval of DCJS. The request for approval must be in writing and include, 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 and the State Procurement Council.

- b) To submit the proposal, *GMS* will require a budget entered directly into the system under the *Budget* tab. To accomplish this, create one budget line under the "all other" category and enter the text "See Attached" for the description and justification. Enter the total amount of requested funding for your proposal as the unit cost.

## 9. Milestone Cost of Delivering the Intervention Required Program Elements/Activities (10 points)

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

Applicants must complete Attachment 2: *Appendix B-1 Program Performance Milestones and Costs* based on both the Work Plan proposed and the completed Budget Detail Worksheet and Narrative Form. Submit the completed Attachment 2: *Appendix B-1 Program Performance Milestone and Costs* to the application using the *Attachments* module in GMS. See RFP Section: V. Performance-Based Contracting and Milestones Metrics for additional information.

## 10. Work Plan (5 points)

Complete a Program Work Plan in the GMS 'Work Plan' Tab in accordance with the Work Plan template provided in the Appendix: *Performance Milestones Work Plan Template* and see the 'GMS Instructions' that are also provided as an Appendix to this RFP. Applicants will be required to use the Work Plan template for all required services. All proposed optional services should also be included in the 'Work Plan' Tab of GMS, formatted using the Appendix: *Performance Milestones Work Plan Template*. Note: Each objective should have associated tasks and performance measures, and should list the case file documentation to be maintained for that objective.

## VIII. NOTIFICATION OF AWARDS

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

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

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

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

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

If DCJS and a successful award recipient cannot agree to contract terms within 90 days of notification of selection for award, DCJS reserves the right to rescind the award and redistribute the funds.

## **IX. REQUIRED REPORTING**

Reporting Requirements:

### **Case-Specific Reports and Progress Reporting**

The grantee shall submit all reports, including quarterly progress reports, to DCJS in a format and time frame as specified in the contract. Grantees are required to submit quarterly case-specific information through the eJusticeNY Integrated Justice Portal. The data that are collected will be analyzed and used to provide summary reports to providers and used to conduct evaluations of program outcomes.

### **Quarterly Fiscal Reports**

All grantees will be required to submit quarterly fiscal reports and claims for payment. Payment for the Operational Assurance milestone can be submitted upon completion of the tasks associated with that milestone and subject to DCJS verification.

Reporting Due Dates:

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

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

## **X. ADMINISTRATION OF CONTRACTS**

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

### **Contract Approval**

A grant contract of \$50,000 or greater is subject to approval by the NYS Office of the Attorney General (OAG) and the Office of the State Comptroller (OSC) before funding may be disbursed. For contracts subject to the approval of the Attorney General and the Comptroller of the State of

New York, the Contract shall be of no force and effect until said approval has been received and indicated thereon.

**Contract Term**

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

**Contract Activities**

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

**Contract Changes**

Contracts resulting from this solicitation may be executed, increased, terminated, renewed, decreased, extended or amended or renegotiated for any reason at the discretion of the Executive Deputy Commissioner of DCJS because 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 case file documentation, 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 using 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, including quarterly progress reports, to DCJS in a format and time frame as specified in the contract. Independent of any reporting schedule, all grantees will be required to inform DCJS of any program issues that are significantly impacting program performance. Any project funded under this solicitation must comply with the requirements established by DCJS. The grantee agrees to submit any other reports considered relevant by DCJS.

**Performance Review**

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

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

### **Disposition of Allocations**

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

### **Revocation of Funds**

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

### **Encouraging Use of New York State Businesses in Contract Performance**

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

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

Article 17-B of the Executive Law enacted in 2014 acknowledges that Service-Disabled Veteran-Owned Businesses (SDVOBs) strongly contribute to the economies of the State and the nation. As defenders of our nation and in recognition of their economic activity in doing business in New York State, bidders/proposers for this contract for commodities, services or technology are strongly encouraged and expected to consider SDVOBs in the fulfillment of the requirements of the contract. Such partnering may be as subcontractors, suppliers, protégés or other supporting roles. SDVOBs can be readily identified on the directory of certified businesses at [https://ogs.ny.gov/Veterans/Docs/CertifiedNYS\\_SDVOB.pdf](https://ogs.ny.gov/Veterans/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](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 because of this solicitation will be subject to the provisions of Appendix A, Appendix A-1, Appendix C and Appendix M, which contain the standard clauses for all New York State grant contracts with DCJS. Appendices are available on the DCJS website at <http://www.criminaljustice.ny.gov/ofpa/applcntgrntfrms.html>.

### **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 more than \$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 more than \$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 more than \$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/applcntgrntfrms.html>.

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/applcngntfrms.html>. There are no points attributable to this component of the application.

### **Vendor Responsibility**

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

### **Charities Registration**

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

### **Data Universal Numbering System (DUNS) Registration Requirements**

All DCJS funding applicants are required to provide a DUNS number. If you are unsure whether 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](mailto:funding@dcjs.ny.gov) to have it entered by DCJS staff prior to submission of the application. Any organization needing a DUNS number can register through the following link: <http://fedgov.dnb.com/webform>. Please note the process of requesting and receiving a DUNS number and/or having it entered into GMS by DCJS staff will require additional time. It is strongly recommended that applicants begin this process early.

## **XI. PROPOSAL SUBMISSION**

### **A. Grants Management System (GMS)**

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

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

### **B. Submitting a Proposal in GMS**

To submit a new proposal in GMS, log into the system and click on "Project." Click the "New" button at the top of the project grid. This will take you to a screen that says "Select

a Program Office.” Using the drop-down box, find and select the designated name of the program ‘Alternative to Incarceration Programs and Services.’ Click “Create Project.” Your proposal will now be ready to complete.

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

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

- Participant name(s);
- Contact information for all participating agencies per application;
- A Fiscal, Primary and Signatory contact must be added at a minimum;
- Program specific questions;
- Project Budget;
- Project Work Plan; and
- Any required attachments, such as letters of support, as indicated

When all the above requirements and GMS Application components are completed, click the “**Submit**” button. Once all fields are complete and you submit successfully, GMS will display a screen that says “*Your application has been submitted.*”

## XII. PROPOSAL CHECKLIST

- Not-for-Profit applicants ONLY: Complete Grants Gateway Prequalification Requirements – See Appendix: *Grants Gateway Prequalification Requirement*
- All applicants: Complete all DCJS Grants Management System (GMS) Registration Requirements – See Appendix – *DCJS Grants Management System (GMS) Instructions and Helpful Hints.*
- Complete all necessary contractual requirements as described in Section: *Administration of Contracts.*
- Answer Program Narrative Questions in *QUESTIONS* TAB in GMS and attach the answers on a Word Document to GMS.
- Complete Attachment 1: *Budget Detail Worksheet and Narrative Form*
- Complete Attachment 2: *B-1 Program Performance Milestones and Costs*
- Complete the Work Plan – See *RFP specific requirements.*
- Signed Letter of Support - See Appendix: *Template Letter of Support*

## **APPENDIX: Webinar Bidder's Conference Information**

**Topic: Jail-Based Cognitive Behavioral Intervention Services RFP**

**Date and Time: May 10, 2018**

**2:30 P.M.**, Eastern Daylight Time (New York, GMT-14:30)

Event number: 314 310 025

Event password: May102018

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### **To join the online event**

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

Or copy and paste the following link to a browser:

<https://meetny.webex.com/meetny/onstage/g.php?MTID=e99e9e845f4c22b27dc11507a6152f8c4>

2. Click "**Join Now**".

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### **To join the audio conference only**

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

US Toll Free: 1-844-633-8697

Local: 1-518-549-0500

Access code: 314 310 025

**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 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 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](mailto:grantsreform@budget.ny.gov).

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

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

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

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

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

**Getting Started:** Sign on to GMS.

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

This begins your application. You may work on the application, save and return to it later, except as noted below. Note: GMS will time out after 30 minutes of inactivity. This 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. If the contact you are attempting to add does not appear in a search, click the "New Contact" button to add the contact to our database.

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

**Budget - See Application for additional specific instructions.**

**Work Plan** - In the GMS Work Plan module, enter the Project Goal, Objectives, Tasks and Performance Measures. (See *Appendix: Performance Milestones (Work Plan Template)*).

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

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

Answer all required program narrative and budget information questions.

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

**Attaching Items to GMS -**

Click on “Attachment,” on the left side navigation bar of the screen. Once in the “Attachment” module, click the ‘new’ button. You are now going to browse for your file, click the ‘browse’ button next to the ‘address bar’ and find the document you want to attach to the project. (Please be aware that there is a character limit on the name of the document you can attach, you may need to rename and re-upload.) Once you have selected your document and the file path is in the ‘address bar’, click the ‘upload’ button. Once attached, you will see a message that “\_\_\_\_\_.pdf was successfully uploaded”. You can browse for any additional documents that you need to attach or you can click the ‘Go back to list’ to see all the documents you have attached thus far. If you receive a red message that says it ‘failed’, this means that your document name was too long or you attempted to upload a file type that the system does not accept. If the name was too long, you need to resave the document with a shorter name, browse for the new file and re-upload. If it was the wrong file type, convert it to an acceptable file type, browse for the file and re-upload. Please remember to upload all 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 the above requirements and GMS Application components are completed, click the “**Submit**” button. 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.

## **APPENDIX: DCJS Approved Work Plan Template**

Note: Programs who propose to perform any of the following tasks in different order may propose them within the Work Plan. All Work Plans are subject to final approval from DCJS during contract negotiations. However, all tasks below, except for those associated with the optional, Optional Milestone(s) indicated, are a requirement of this RFP.

### **Objective #1: Intake /Assessment\*** per milestone targets in Appendix B-1

Tasks to be completed for payment of this objective:

1. Individuals are screened for program eligibility and interest;
  2. Complete or obtain completed DCJS approved risk/needs assessment.
- Case file documentation will include but not be limited to:
    1. Screening information, i.e. notes, recommendations to program, etc., if available;
    2. Risk/Needs assessment information.
  - Performance Measures:
    1. Number of individuals' intake/assessed.

### **Objective #2 CBI Enrollment** per milestone targets in Appendix B-1

Tasks to be completed for payment of this objective:

1. Assessed participant admitted into the program;
  2. Participant enrolled and is attending the DCJS approved Cognitive Based Intervention (CBI);
- Case file documentation will include but not be limited to:
    1. CBI enrollment form;
    2. CBI attendance sheets;
  - Performance Measures:
    1. Number of participants enrolled in the CBI.

**\*Objective #1 lists the inclusion or completion of a risk/needs assessment. If a program proposes to include or complete the risk/needs assessment within Objective #2, rather than in Objective #1, justification must be provided and final approval must be obtained during contract negotiations. The milestone payment reimbursement rate may be adjusted during contract negotiations to account for the work necessary to complete the risk/needs assessment depending on which objective the assessment is completed.**

### **Objective #3: CBI Midpoint** per milestone targets in Appendix B-1.

- Tasks to be completed for payment of this objective:
  1. Participant has been enrolled and engaged in the DCJS approved CBI for at least 50% of the curriculum;
- Case file documentation will include but not be limited to:
  1. CBI attendance sheets.
- Performance Measures:
  1. Number of participants achieving CBI midpoint.

### **Objective #4: CBI Completion** per milestone targets in Appendix B1

- Tasks to be completed for payment of this objective:
  1. Participant has completed CBI;
- Case file documentation will include but not be limited to:
  1. CBI attendance sheets;
  2. Completion certificate;

- Performance Measures:
  1. Number of participants completing CBI.

## **OPERATIONAL ASSURANCE MILESTONE**

All proposals must include objectives for Intake/Assessment, CBI Enrollment, CBI Mid-point, CBI Completion and Operational Assurance. The total payments for achievement of all milestones except the Operational Assurance milestone should represent 50% of the total contract value. The “Operational Assurance” milestone should represent the other 50% of the total contract value, to support programmatic and administrative activities (i.e.: hiring and training staff, securing space, purchasing supplies and necessary equipment, enrolling participants, completing risk/needs assessments, delivering CBI, etc.) necessary to achieve the program goals. There are no quantitative performance targets associated with this milestone. Grantees will be required to formally certify the achievement of such activities, which will also be monitored and confirmed during DCJS program site visits and any related audits. This contract milestone should be inserted into the Work Plan and Attachment 2: *B-1 Performance Milestones and Costs Worksheet*. Final approval of the tasks associated with this milestone and additional payment instructions will be provided during contract negotiations should the applicant receive an award.

### **Objective #5: Operational Assurance Milestone per Appendix B-1 (50% of the contract value).**

Tasks to be completed for payment of this objective:

1. Grantee certifies actual program operation which includes but is not limited to: training, intakes, enrollment, delivery and completion of CBI to identified program participants, and hiring (as applicable).
- Case file documentation will include but not be limited to:
    1. Operating Budget justification and associated costs listed for program operation.
  - Performance Measures:
    1. Operational Assurance Costs documented.

### **Objective #6: Optional Services per Appendix B-1.**

**NOTE: THIS IS AN EXAMPLE. OPTIONAL SERVICES ARE NOT REQUIRED**

#### **Task #1 for Objective #5 (Optional Service):**

Transition Plan:

1. Meet with program participant
  2. Determine needs
  3. Prepare Transition Plan
- Case file documentation will include but not be limited to:
    1. Dates met with participant; copy of risk/needs assessment; copy of Transition plan.
  - Performance Measures:
    1. Number of participants completing a Transition Plan.

## **APPENDIX: Risk and Needs and Other Approved Assessment Instruments**

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

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

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

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

- NYCOMPAS was developed for use on probationer populations and is currently used by all 57 probation departments outside New York City. Numerous state funded Alternatives to Incarceration (ATI) programs also use NYCOMPAS to assess participants.
- Research has shown that 54% of probationers assessed as *High Risk*, 33% assessed as *Medium Risk*, and 17% assessed as *Low Risk* using NYCOMPAS were rearrested for a felony or misdemeanor within two years of the start of the probation sentence<sup>1</sup>.
- NYCOMPAS is available for use free of charge to probation departments and community corrections (ATI) providers on the Integrated Justice Portal, a secure criminal justice network.
- There are several scale sets within NYCOMPAS assessing risk of recidivism, risk of violence, substance abuse and vocational/education and cognitive needs. The scale sets vary in length and the determination of which scale set is most appropriate for use will depend on the program model and what, if any, additional needs assessment instruments the program plans to use. For jail-based CBI services, the Screener Input with Recidivism might be more appropriate than the full NYCOMPAS.
- Applicants who will be serving probationer populations should seek to obtain the NYCOMPAS assessment, or other DCJS approved instrument, that has already been completed by the probation department. Applicants serving court referred participants may use any of the three versions of the NYCOMPAS to assess risk and needs, or may use another validated instrument.

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<sup>1</sup> NYS Division of Criminal Justice Services

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

### **Women's Risk Needs Assessment (WRNA)**

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

### ***Motivational Assessment***

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

### ***Criminal Thinking Assessments***

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

## COMPARISON OF NYS COMPAS ASSESSMENT INSTRUMENTS

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

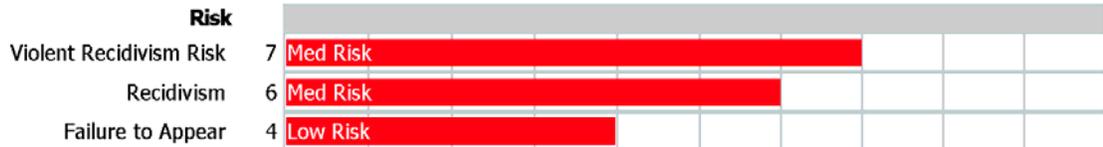
## Risk Assessment

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

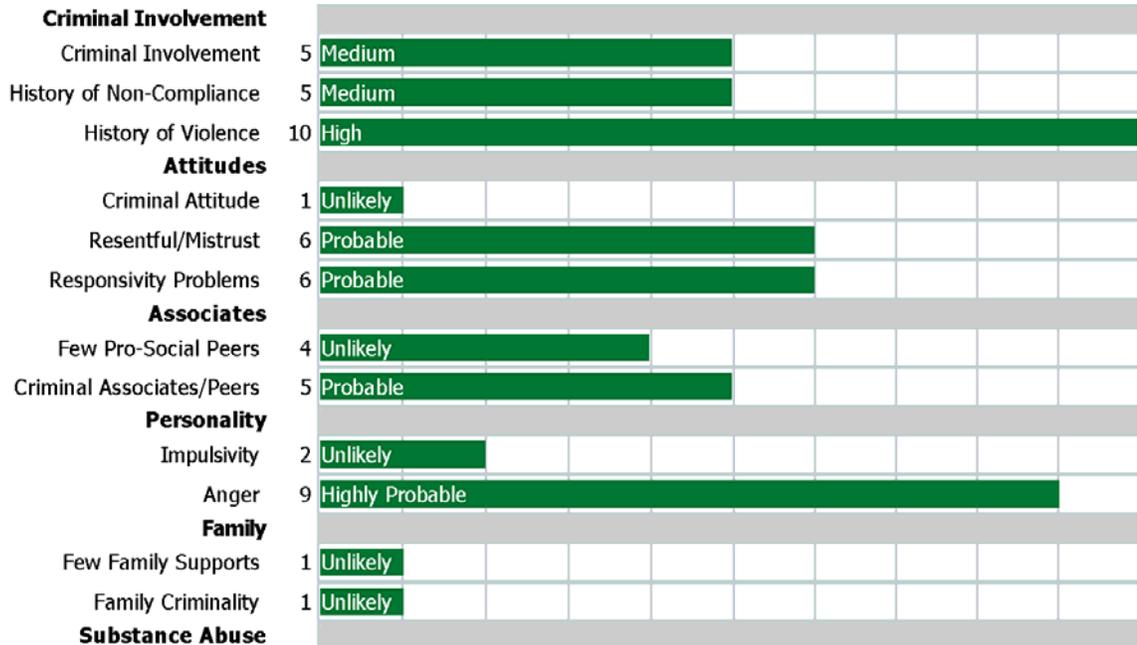
ASSESSMENT INFORMATION			
<b>Case Identifier:</b>	<b>Scale Set:</b>	<b>Screener:</b>	<b>Screening Date:</b>
	Full COMPAS Assessment v3		

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

### Overall Risk Potential



### Criminogenic Need Scales



FULL NY COMPAS (Continued)

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

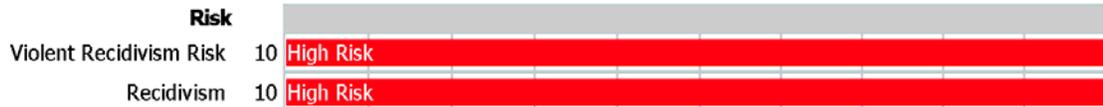
## Risk Assessment

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

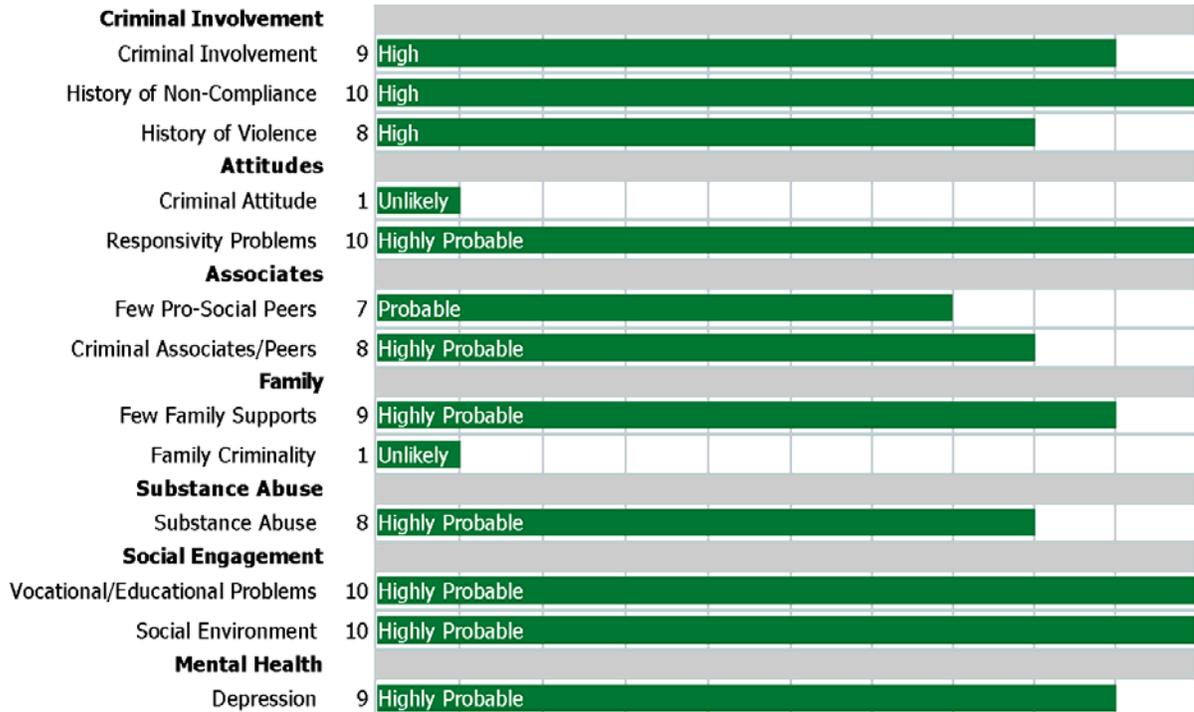
ASSESSMENT INFORMATION			
<b>Case Identifier:</b>	<b>Scale Set:</b>	<b>Screener:</b>	<b>Screening Date:</b>
	Screeener Input Only w/Recidivism v3		

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

### Overall Risk Potential



### Criminogenic Need Scales



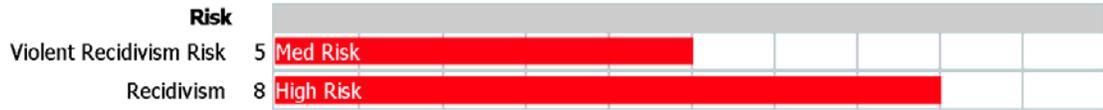
### Risk Assessment

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

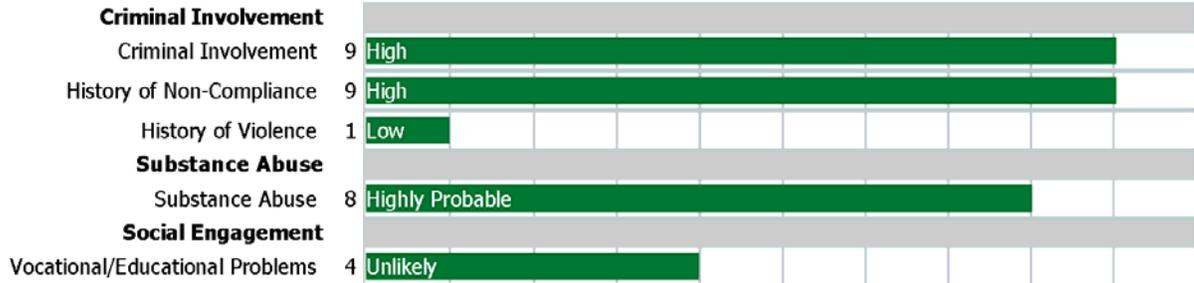
ASSESSMENT INFORMATION			
<b>Case Identifier:</b>	<b>Scale Set:</b>	<b>Screener:</b>	<b>Screening Date:</b>
	Violence and Recidivism Risk w/Sub. Abuse Scale v3		

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

#### Overall Risk Potential



#### Criminogenic Need Scales



## **APPENDIX: Training Opportunities Offered by DCJS**

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

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

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

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

**Women's Risk Needs Assessment (WRNA) training** – Administered over the course of three days, this training will provide participants with the skills and knowledge required to effectively administer and interpret the results of the Women's Risk Needs Assessment (WRNA) instrument that will soon be available via the COMPAS suite of the Integrated Justice Portal. Participants will be trained to properly administer the various components of the WRNA assessment process including performing a case file review, the interview and written survey components, and how to properly assemble a case management treatment plan that provides or makes referrals to appropriate services.

**Interactive Journaling** - Offered by The Change Companies, is an evidence-based program designed to promote lasting behavioral change in the offender population. The design of this program provides structure to the service delivery process, while building and enhancing offender-provider rapport. The two-day Facilitator Training will include an introduction to The Courage to Change model, the research that supports the efficacy of the program, along with opportunities to practice the facilitation and delivery of the curriculum.

## **Training Costs**

Limited trainings may be offered by DCJS. Applicants should not rely solely on DCJS for training. Programs are encouraged to include funding in their budgets for staff attending trainings, as needed.

Applicants selected for an award will be advised of upcoming trainings available by DCJS.

## **APPENDIX: Pre-Approved Cognitive Behavioral Curricula**

Cognitive behavioral interventions (CBI) is a required element for all applicants funded this RFP. Information on pre-approved CBI curricula follows. Applicants may propose to use another appropriate CBI curriculum of their choosing however, any curriculum not listed below must be explained in detail as part of the RFP submission and will require DCJS approval prior to contract execution if an award is granted.

### Pre-Approved Cognitive Behavioral Curricula

#### **1) Thinking for a Change**

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

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

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

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

#### **Lesson Format**

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

#### **Group Size/Frequency**

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

**Training** - DCJS supports T4C by training and certifying facilitators to deliver the curriculum. Approximately 40 hours depending on training model.

**Website:** <https://nicic.gov/thinking-change-40>

## **2) Moral Reconciliation Therapy (MRT)**

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

### **Seven basic treatment issues:**

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

### **Dosage and Frequency**

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

**Group Size** – 6-15 individuals

### **Training**

Training in Moral Reconciliation Therapy (MRT) is provided by Correctional Counseling, Inc. (CCI) and consists of 32 hours of training over 5-days. While CCI provides training at their headquarters in Tennessee, there may also be opportunities to bring this training to NYS. There are fees associated with the training and the instructor workbook. Please note prior written approval by DCJS is required before obligating or expending grant funds for out-of-state travel.

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

## **3) Interactive Journaling**

Interactive Journaling, offered by The Change Companies, is an evidence-based program designed to promote lasting behavioral change in the Criminal Justice population. The design of this program provides structure to the service delivery process, while building and enhancing participant-provider rapport. *Interactive Journaling*<sup>®</sup> emphasizes real-life application, encouraging participants to ask, “What does this mean to me?” With a strong evidence base to help individuals

achieve their change goals, Interactive Journals are accessible and engaging for a wide variety of users.

## **Training**

Training in *Interactive Journaling*<sup>®</sup> is provided by The Change Companies and consists of a two-day Facilitator Training. This training includes an introduction to The Courage to Change model, the research that supports the efficacy of the program, along with opportunities to practice the facilitation and delivery of the curriculum.

**Website:** <https://www.changecompanies.net/interactivejournaling/>

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

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

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

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

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

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

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

**D. Groups** (applies to programs conducting group interventions)

1. Group Curricula: Curricula are implemented as intended by the training curricula developer. For example, the size of the group, length and frequency of sessions, and delivery mechanism are as recommended by the applicable developer.
2. Gender: Programs serving both males and females separate services by gender when feasible.

## Appendix: *Template Letter of Support*

NYS Division of Criminal Justice Services  
Office of Program Development and Funding (OPDF)  
80 South Swan Street  
Albany, NY 12210  
Attention: Deputy Commissioner Jeff Bender

Deputy Commissioner Bender:

This letter is submitted to the NYS Division of Criminal Justice Services (DCJS) to document the commitment as presented by the Sheriff and Jail Administrator of the \_\_\_\_\_ (name of jail) in support of a program to provide cognitive behavioral interventions (CBI) within a jail-based setting. Our organization/agency has met with and obtained agreement from the \_\_\_\_\_ to propose to DCJS in response to an RFP to provide Cognitive Behavioral Intervention (CBI) services in the \_\_\_\_\_ (name of jail.)

Support of this program by the Sheriff and Jail Administrator does not prohibit the Sheriff and Jail Administrator from also agreeing to support another applicant proposing the same services at the jail and submitting a proposal to DCJS. Such services and the final awarded applicant(s) will be determined based on the evaluation results of the competitive RFP issued by the DCJS.

This applicant has met with and received verification of the following from the \_\_\_\_\_ County Jail:

If funded by DCJS, the Sheriff and the Jail Administrator are committed to allowing CBI programming to occur at their facility by (Name of Program) and will:

- Assist the program in identifying, referring, and screening individuals who are eligible for participation;
- Provide access to the correctional facility for program staff;
- Provide suitable space for the program to implement all program elements, which will include at a minimum, space to conduct assessments; classroom space for conducting group program components; and space to conduct transition planning;
- Provide sufficient uninterrupted time in the classroom for group program components (generally 2 hours per session).

If you have any questions or need additional information, please contact \_\_\_\_\_ either through email at \_\_\_\_\_ or by phone at ( ) \_\_\_\_\_.

Sincerely,

Applicant

CC: Sheriff and Jail Administrator

**Appendix: *Jail Data by County***

### 2017 Disposed Arrests: Sentences by County

County	Probation	Jail	Time Served	Split	Total Jail Sentences	Prison
Albany	590	498	457	237	1,192	403
Allegany	84	50	2	6	58	25
Bronx	859	2,813	2,192	147	5,152	1,122
Broome	463	392	236	171	799	285
Cattaraugus	199	156	15	25	196	68
Cayuga	135	199	10	56	265	110
Chautauqua	179	302	245	149	696	104
Chemung	179	344	54	48	446	103
Chenango	31	133	17	51	201	60
Clinton	172	157	21	47	225	144
Columbia	78	47	17	23	87	51
Cortland	182	134	44	33	211	49
Delaware	52	39	1	20	60	31
Dutchess	467	493	126	163	782	249
Erie	770	1,971	913	218	3,102	526
Essex	51	51	9	11	71	40
Franklin	125	58	3	27	88	45
Fulton	90	99	81	34	214	75
Genesee	191	167	13	52	232	89
Greene	58	34	39	14	87	61
Hamilton	5	0	0	5	5	1
Herkimer	77	65	22	19	106	57
Jefferson	205	118	137	115	370	105
Kings	803	4,234	8,531	233	12,998	1,331
Lewis	38	14	3	15	32	36
Livingston	110	148	17	104	269	63
Madison	84	129	22	36	187	45
Monroe	1,297	2,280	533	500	3,313	699
Montgomery	91	122	34	23	179	44
Nassau	1,340	1,988	369	883	3,240	591
New York	1,214	6,647	10,575	292	17,514	2,717
Niagara	312	592	162	18	772	142
Oneida	340	848	159	166	1,173	298
Onondaga	1,216	737	389	189	1,315	526
Ontario	256	209	39	132	380	138
Orange	593	743	344	154	1,241	358
Orleans	40	135	16	18	169	36
Oswego	192	194	80	115	389	122
Otsego	50	93	19	17	129	43
Putnam	93	88	27	7	122	32
Queens	699	3,236	2,753	210	6,199	1,190
Rensselaer	159	268	187	43	498	101

### 2017 Disposed Arrests: Sentences by County

County	Probation	Jail	Time Served	Split	Total Jail Sentences	Prison
Richmond	199	1,071	379	93	1,543	243
Rockland	278	150	68	28	246	122
St. Lawrence	115	144	22	36	202	76
Saratoga	222	362	137	117	616	149
Schenectady	173	474	678	47	1,199	239
Schoharie	55	15	0	6	21	20
Schuyler	33	10	2	7	19	40
Seneca	58	86	0	26	112	48
Steuben	211	180	14	47	241	133
Suffolk	1,725	2,636	757	321	3,714	608
Sullivan	136	208	16	22	246	97
Tioga	59	75	2	6	83	42
Tompkins	139	102	25	35	162	45
Ulster	329	391	34	54	479	176
Warren	193	167	21	55	243	103
Washington	63	62	3	29	94	125
Wayne	107	204	6	38	248	33
Westchester	1,406	1,489	574	274	2,337	342
Wyoming	86	50	3	7	60	82
Yates	34	42	0	17	59	21
<b>NYC Total</b>	<b>3,774</b>	<b>18,001</b>	<b>24,430</b>	<b>975</b>	<b>43,406</b>	<b>6,603</b>
<b>ROS Total</b>	<b>16,016</b>	<b>20,942</b>	<b>7,224</b>	<b>5,116</b>	<b>33,282</b>	<b>8,456</b>
<b>Statewide Total</b>	<b>19,790</b>	<b>38,943</b>	<b>31,654</b>	<b>6,091</b>	<b>76,688</b>	<b>15,059</b>

Source: DCJS OJRP Computerized Criminal History system (as of 04/23/18)

Produced on 04/24/2017

## 2017 Disposed Arrests: Straight Jail Sentences Lengths by County

County	Jail Sentence Length						Total
	Unknown	0 to 30 Days	31 to 60 Days	61 to 90 Days	91 to 120 Days	121+ Days	
Albany	0	150	60	49	14	225	498
Allegany	0	11	4	10	1	24	50
Bronx	0	1499	232	151	16	915	2813
Broome	1	48	71	20	7	245	392
Cattaraugus	0	9	20	22	8	97	156
Cayuga	0	33	19	14	10	123	199
Chautauqua	0	73	29	39	8	153	302
Chemung	0	78	89	53	26	98	344
Chenango	0	41	26	19	4	43	133
Clinton	0	23	13	18	8	95	157
Columbia	0	18	6	1	0	22	47
Cortland	0	44	10	17	2	61	134
Delaware	0	9	4	12	1	13	39
Dutchess	0	92	51	67	16	267	493
Erie	1	550	253	353	63	751	1971
Essex	0	23	8	11	2	7	51
Franklin	0	7	9	12	8	22	58
Fulton	0	24	11	11	4	49	99
Genesee	0	30	17	15	16	89	167
Greene	0	19	4	2	0	9	34
Hamilton	0	0	0	0	0	0	0
Herkimer	0	17	6	10	6	26	65
Jefferson	0	17	13	18	4	66	118
Kings	0	2494	362	225	41	1112	4234
Lewis	0	3	0	1	2	8	14
Livingston	0	40	18	18	7	65	148
Madison	0	30	17	16	4	62	129
Monroe	0	786	215	284	53	942	2280
Montgomery	0	24	8	20	7	63	122
Nassau	0	686	234	165	19	884	1988
New York	0	4151	499	356	70	1571	6647
Niagara	1	120	70	167	5	229	592
Oneida	0	182	93	117	28	428	848
Onondaga	0	47	20	47	12	611	737
Ontario	0	58	28	13	6	104	209
Orange	0	221	84	109	25	304	743
Orleans	0	29	14	36	1	55	135
Oswego	0	61	26	32	11	64	194
Otsego	0	42	21	6	10	14	93
Putnam	0	23	0	10	2	53	88
Queens	0	1791	309	215	20	901	3236
Rensselaer	0	91	22	30	3	122	268
Richmond	0	526	151	75	4	315	1071
Rockland	0	37	9	12	4	88	150
St. Lawrence	0	17	11	16	9	91	144
Saratoga	0	114	44	44	7	153	362
Schenectady	0	124	85	67	6	192	474
Schoharie	0	2	3	1	0	9	15
Schuyler	0	2	1	0	0	7	10
Seneca	0	15	10	8	5	48	86
Steuben	0	25	18	25	13	99	180
Suffolk	0	437	380	378	68	1373	2636

County	Jail Sentence Length						Total
	Unknown	0 to 30 Days	31 to 60 Days	61 to 90 Days	91 to 120 Days	121+ Days	
Sullivan	0	68	14	20	9	97	208
Tioga	0	10	14	10	4	37	75
Tompkins	0	57	11	10	0	24	102
Ulster	0	64	51	51	18	207	391
Warren	0	38	20	22	4	83	167
Washington	0	20	8	7	1	26	62
Wayne	0	84	22	21	3	74	204
Westchester	0	232	115	226	32	884	1489
Wyoming	0	9	9	6	1	25	50
Yates	0	7	8	10	1	16	42
<b>NYC Total</b>	0	10,461	1,553	1,022	151	4,814	18,001
<b>ROS Total</b>	3	5,121	2,426	2,778	588	10,026	20,942
<b>Statewide Total</b>	3	15,582	3,979	3,800	739	14,840	38,943

Source: DCJS OJRP Computerized Criminal History system (as of 04/23/18) Produced on 04/24/2018

End of RFP