

SEPTEMBER 2009 JJDPA FORMULA GRANT PROGRAM  
NEW YORK STATE DIVISION OF CRIMINAL JUSTICE SERVICES  
OFFICE OF PROGRAM DEVELOPMENT AND FUNDING  
REQUEST FOR PROPOSALS

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**REQUEST FOR PROPOSALS**

## **I. INTRODUCTION**

The purpose of this Request for Proposal (RFP) is to solicit grant applications for programs that will further New York State's goal to reduce juvenile crime and promote public safety. The funding for this RFP is provided through the Juvenile Justice and Delinquency Prevention Act (JJDP). This RFP is part of a broader and coordinated strategy, developed by New York State's Juvenile Justice Advisory Group (JJAG), that is premised on several core ideas, including: 1.) the legitimacy of the juvenile justice system depends both on the ability of those who administer justice to do so equitably and on the confidence of those engaged in the system that they will receive a fair shake; 2.) the ability to administer justice fairly and to reduce recidivism depends, among other things, on reducing the use of juvenile detention among youth who are not a threat to community safety; and 3.) reducing juvenile offending depends, among other things, upon the provision of effective services delivered in a timely, coordinated, and comprehensive manner. A further explanation of this strategy is available at <http://www.criminaljustice.state.ny.us/ofpa/pdfdocs/fundingstrategy09.pdf>.

This RFP seeks thoughtful, innovative and research-based proposals that will further the state's strategy in four areas: 1.) assessing and reducing disproportionate minority contact; 2.) reducing the use of detention solely because they do not have a viable home; 3.) building comprehensive, locally targeted, service structures that prevent youth crime for high risk youth both before a youth has had contact with the juvenile justice system and after youth return from juvenile justice placement; and 4.) promoting new research-based initiatives that have both the greatest likelihood of reducing juvenile crime and the highest likelihood of successful replication. In addition, this RFP will provide an opportunity for successful programs in their second year of formula funding to compete for a final third year of funding.

## **II. AVAILABLE FUNDS**

The following four categories of funds are available: 1.) assessing and reducing disproportionate minority contact; 2.) wise detention decision-making; 3.) service collaborative planning; and 4.) break-through research-based strategies. In addition, funding will be available for effective projects in their second year of formula funding to continue projects for a third and final year at half the cost of the second year contract.

### **1. Assessing and Reducing Disproportionate Minority Contact (DMC)**

Youth of color are represented in New York's juvenile justice system in numbers that are disproportionate to their representation in the general population. While we do not have a clear picture of rates of offending, we do know that disproportionality often begins at arrest and is amplified as youth travel through the system. For example, while African-American youth represented 18.5% of New York State's juvenile population in 2006, they accounted for 38.5% of juvenile arrests, 64.0% of juvenile secure detentions, and 55.6% of secure juvenile corrections. In addition, 2006 data reveal that minority youth were detained over 6 times more often than white youth and placed over four and a half times more frequently. Data also reveal

that the disproportionality varies by jurisdiction.

Nationally, best practices on DMC have been rooted in locally devised data driven strategies to reduce racial disparity. Funding is available under this RFP to support the development of a statewide knowledge base regarding the prevalence, nature, and contributing factors related to DMC and to support local DMC reduction strategy development through the following three funding opportunities:

**1a. Statewide DMC Assessment**

Approximately \$200,000 over 18 months

Knowledge regarding the extent of and contributing factors related to DMC is crucial to the development of an effective statewide DMC strategy. Funding under this RFP will support a comprehensive assessment of DMC in New York State. The successful applicant must show expertise in the area of DMC research and an understanding of New York State's complex juvenile justice system processes as well as a knowledge of the existence and shortcomings of relevant data sets relating to crime and juvenile justice processing. In addition, the statewide DMC assessment must include an analysis of statewide DMC data. That analysis must include a comprehensive review of how differential rates of offending may contribute to DMC. Based on that data analysis, the assessment must then closely examine three jurisdictions with significant DMC issues to identify factors that contribute to the DMC problem in those jurisdictions. The statewide DMC assessment must develop recommendations for potential DMC reduction strategies that are likely to be effective given the identified contributing factors. Finally, the successful applicant must develop a strategy to tie the statewide DMC assessment to the local DMC reduction strategy development work funded under Section 1b of this RFP.

**1b. Local DMC Reduction Strategy Development**

Approximately \$200,000 to support at least two local DMC Reduction Strategy Development projects for one year.

Funding is available to support local initiatives, working in collaboration with the provider of technical assistance funded under part 1c. of this RFP and the State DMC Coordinator, to develop local DMC reduction strategies. Local initiatives must include commitment from top level local juvenile justice policy makers to direct a year long process to develop a local DMC reduction strategy. Funding may be utilized to support a full time or part time local DMC Coordinator who would support DMC reduction strategy development efforts. Local DMC Coordinators would be responsible for working with a senior manager in an agency responsible for local juvenile justice planning or administration to identify local juvenile justice data across juvenile justice contact points, mobilize key local juvenile justice stakeholders, and coordinate the development of a local DMC reduction strategy. DMC reduction strategy development projects must include a plan to compile local juvenile justice data, bring local stakeholders together to analyze that data, and to then work with those local stakeholders to develop a local DMC reduction strategy.

DMC reduction strategy development projects will be supported in localities that can demonstrate high levels of disproportionality in their juvenile justice systems. At least one

project will be supported in New York City, with funding available to support additional projects in areas with high levels of disproportionality outside of New York City. For purposes of this funding, communities or neighborhoods within cities, towns, and counties that can show high levels of racial disparity are eligible localities. County level DMC data for many New York State counties can be accessed through the OJJDP DMC RRI Web-based Data Entry System, at the following link: <http://www.ojjdp.dmcddata.org>. As a first time user to the DMC web-based system, you will need to register onto the system as a Guest User. Guest Account registration includes information specific to the individual user as well as his/her associated agency. You will receive an e-mail with specific access information once your guest registration has been approved. Please note that Guest Registrations may take up to 24 hours for approval from OJJDP.

Research has shown that racial disproportionality is also often present in the child welfare system. In addition, many youth of color who enter the juvenile justice system have had experience in the child welfare system. While there is not a requirement that local DMC reduction strategies address the connection between the child welfare and juvenile justice systems, projects that build in mechanisms to address these cross systems issues will receive priority.

### **1c. Technical Assistance for Local DMC Reduction Strategy Development**

Up to \$100,000 for one year

Funding is available to support one grantee to provide technical assistance to local DMC reduction strategy development projects funded under section 1b. of this RFP. The technical assistance grantee must work closely with funded local DMC reduction strategy development projects to develop and implement the local process for DMC reduction strategy development. The grantee must be able to show proven success in developing effective DMC reduction strategies in other jurisdictions. The grantee will be responsible for working closely with local juvenile justice policy makers, their staff, and the State DMC Coordinator to develop and implement local processes that will result in the production of local DMC reduction strategies that are sustainable, supported by key local stakeholders, and likely to drive a measurable reduction in DMC in the locality.

#### **Program Goals:**

-- To identify the dimensions of the DMC problem, including analysis of rates of offending, and develop DMC reduction strategies that reflect data driven and locally owned solutions to significant DMC issues.

#### **Desired Program Impacts:**

--To create local DMC reduction strategies that, when implemented, will reduce DMC at one or

more major decision/contact points in the juvenile justice system, such as arrest, referral to Family Court, diversion, detention, petition, delinquency finding, probation and confinement.

## **2. Wise Detention Decision-Making**

Approximately \$1,500,000 over 3 years

Research has shown that as little as one night in detention can magnify negative outcomes for youth in the juvenile justice system. While detention of youth is sometimes necessary in order to ensure community safety and youth return to court, juvenile justice practitioners often relay that youth frequently spend time in detention due solely to the absence of a viable home environment. Law enforcement officials, detention providers, and family court judges are all in need of safe alternatives for children who pose no threat to public safety but also cannot return safely home.

Funding is available under this RFP to support innovative programming to prevent youth in high need localities from entering detention, both before and after a youth has appeared in court, due solely to the absence of a viable home. Projects must be designed to divert youth who would otherwise be sent to detention, who do not meet the risk requirements established by §320.5 of the Family Court Act, and who will either not be allowed by their families to return home or whose homes are not safe. Proposals that provide for enhanced efforts to find safe family or other reliable adult resources, proposals that work to build alternative respite capacity, and proposals that present other promising strategies to achieve the desired program goal will be considered. Projects that strive to prevent any time in detention by initiating efforts to prevent detention at the point of arrest will be given priority, although projects that target youth who have already entered detention will also be considered. Projects must demonstrate the ability to engage the local Family Court in the proposed strategy.

For the purposes of this RFP, high need neighborhoods are neighborhoods with high juvenile arrest, detention, probation adjustment and supervision, and out of home placement rates. While any applicant may explain why their locality is a high need locality, the following zip codes will be presumed to be high need localities:

- (a) Bronx: 10456, 10457, 10453, 10451, 10458, 10452, 10460, 10468, 10473, 10459, 10454, 10455, 10472, 10466, 10469, 10467, 10463, and 10474;
- (b) Brooklyn/Staten Island: 11212, 11207, 11208, 11221, 11226, 11206, 11233, 11216, 11213, 11236, 11203, 11225, 11224, 11234, 10304, 10301 and 10303;
- (c) Manhattan: 10029, 10027, 10026, 10035, 10032, 10039, 10002, 10031 and 10030;
- (d) Queens: 11691, 11433, 11434, 11368, 11413, 11412, 11435, 11377, 11692, 11102, 11432, 11422 and 11423;
- (f) Monroe: 14621, 14609, 14611, 14608, 14613, 14619, 14606, and 14605;
- (g) Nassau: 11550, 11520, 11575, and 11003; and
- (h) Suffolk: 11717, 11951, 11706, 11722, 11798, 11713, 11901, and 11746.

Because DCJS and the JJAG hope to develop cost effective program models for replication, projects must closely track detention costs avoided by their intervention. In addition, projects

that build on existing governmental structures are more likely to sustain themselves at the end of the three years of funding under this RFP and will therefore be given priority. Additional priority will also be provided to projects that provide proof of support, either in kind or cash, for ongoing support from other sources.

Many New York State jurisdictions have already taken significant steps toward the implementation of formal structures to guide wise detention decision-making. For example, several localities are now implementing risk assessment instruments (RAIs) either at the front door of detention or in the Family Court to guide the appropriate use of detention. Priority will be given to applicants from jurisdictions that can build their projects on existing structures for wise detention decision-making, such as RAIs.

Finally, while these wise detention decision-making funds are not necessarily tied to DMC efforts, DMC data reveals that racial disproportionality is sometimes extreme at the detention decision making point. Therefore, projects that are able to tie their wise detention decision-making projects with DMC reduction efforts will be given priority.

**Program Goals:**

-- To develop model programs that eliminate the use of detention solely because a youth does not have a viable home.

**Desired Program Impacts:**

--To reduce the number of youth in detention who are not a threat to public safety.

**3. Service Collaborative Planning**

Approximately \$300,000 for one year

Analysis of New York State juvenile justice data reveals that a significant proportion of youth coming into contact with probation, detention, Family Court, and the out of home placement system come from a small number of neighborhoods across the state. At the same time, recent efforts to map state funding for service for at-risk youth show that state resources are not always aligned with service provision in these high need neighborhoods. Most of these neighborhoods are in large cities with a complex web of educational, social service, and juvenile justice systems. DCJS and the JJAG are interested in developing service collaboratives that meet the needs of youth in high need neighborhoods both before juvenile justice involvement and after periods of juvenile detention or placement.

Funding is available under this RFP to support service collaborative planning processes in several high need neighborhoods throughout New York State. At least one of the funded projects must address service collaborative planning in a New York City neighborhood. For the purposes of this RFP, high need neighborhoods are neighborhoods with high juvenile arrest, detention, probation adjustment and supervision, and out of home placement rates. While any applicant may explain why their neighborhood is a high need neighborhood the following zip codes will be presumed to be high need neighborhoods:

- (a) Bronx: 10456, 10457, 10453, 10451, 10458, 10452, 10460, 10468, 10473, 10459, 10454, 10455, 10472, 10466, 10469, 10467, 10463, and 10474;
- (b) Brooklyn/Staten Island: 11212, 11207, 11208, 11221, 11226, 11206, 11233, 11216, 11213, 11236, 11203, 11225, 11224, 11234, 10304, 10301 and 10303;
- (c) Manhattan: 10029, 10027, 10026, 10035, 10032, 10039, 10002, 10031 and 10030;
- (d) Queens: 11691, 11433, 11434, 11368, 11413, 11412, 11435, 11377, 11692, 11102, 11432, 11422 and 11423;
- (f) Monroe: 14621, 14609, 14611, 14608, 14613, 14619, 14606, and 14605;
- (g) Nassau: 11550, 11520, 11575, and 11003; and
- (h) Suffolk: 11717, 11951, 11706, 11722, 11798, 11713, 11901, and 11746.

Service collaborative planning projects must coordinate the development of a plan to provide preventive and reentry services to youth who are 1.) under age 18, 2.) from a high need neighborhood, and 3.) at moderate or high risk of justice involvement. Plans must be structured around one lead agency that will establish and manage a continuum of preventive and reentry services for youth from a particular high need neighborhood. Lead entities must perform administrative, service coordination, community development and capacity-building services in addition to serving as the fiscal agent for the service collaborative. The range of services provided in the plan must include, but are not limited to: educational support and advocacy, mentoring opportunities, workforce development supports, alcohol and substance abuse treatment and prevention, mental health services, cultural and recreational opportunities, life-skills supports, civic engagement opportunities, and leadership and volunteer service opportunities. Plans must address where services should be provided, given the structure of the local education system, the existence of neighborhood based services, and the reality of where youth and their families are likely to engage in service provision.

In addition, service collaborative planning projects must identify deliverables to be produced and a timeline for the production of those deliverables. Deliverables must include a preliminary plan for service collaborative provision that will be provided to DCJS and the JJAG by June 1, 2010. Final plans for service collaborative provision should be provided to DCJS and the JJAG by December 1, 2010.

Research has shown that there is often a close link between child welfare involvement and eventual entry into the juvenile justice system. While there is not a requirement that service collaborative planning projects address the connection between the child welfare and juvenile justice systems, projects that build in mechanisms to address these cross systems issues will receive priority.

**Program Goals:**

- To create model plans for developing service collaboratives in high need neighborhoods.

**Desired Program Impacts:**

--To lay the necessary groundwork for effective service collaboratives in high need neighborhoods.

**4. Break-through research-based strategies**

Approximately \$1,200,000 over three years

Sometimes a single idea can move crime numbers dramatically and durably. The idea can be simple, such as Compstat in New York City where mapping and analyzing crime data in a timely manner created a system of accountability that drove the police department's ability to devise effective crime strategies. It can be simple but have many moving parts, such as Ceasefire in Boston where direct communication with offenders combined with rallying the social controls of a whole neighborhood to drop murder rates to historic lows within a short time. It can change an entire culture, such as Missouri's dramatic shift from a punitive to rehabilitative model in its placement system.

New York State is seeking realizable ideas that will have significant effects on the state's juvenile crime rate. This award will fund the planning and operation of such an initiative. The idea can address any aspect of the juvenile justice system including but not exclusively, prevention, the operations of police, prosecution and defense, the probation, court or school system, detention, placement, re-entry, or any combination. The key components of the successful award/s will be: 1.) a well-thought out idea based in research that will have measurable impacts on crime; 2.) the ability of the idea to be replicated; 3.) partnership with a research entity to plan the program and measure its impact; and 4.) a realistic plan to sustain the program beyond the funding period by integrating it into the regular operations of government.

Funding will be provided for up to two projects. The first eight months of the project will be a planning phase in which the successful applicant will work with a research partner and DCJS to plan the project. The following 28 months will be the implementation phase.

**Program Goals:**

--To develop viable ideas with the potential to achieve dramatic drops in crime rates

**Desired program impacts:**

--To reduce juvenile crime measurably in the funded locality

**Third Year Funding**

Approximately \$800,000 for one year

The JJAG and DCJS have been supporting several programs under formula funding for the previous two years. Historically, funding has been available for a third year of funding for formula projects at half the award level of the second year of funding. While the JJAG and DCJS are moving to a new funding structure that involves multiple year contracts for most ongoing projects that will provide services, a final year of fifty percent funding for existing second year formula funded programs is available under this RFP.

All second year formula projects applying for third year funding will compete against one another for available third year funding. Applicants for third year funding must discuss how their project is connected to the new JJAG funding strategy, available at <http://www.criminaljustice.state.ny.us/ofpa/pdfdocs/fundingstrategy09.pdf>. In addition, third year funding applicants must document that their projects have achieved targeted goals, produced positive juvenile crime reduction outcomes, and been compliant with all contract requirements.

### **III. APPROPRIATION AND CONTRACT PERIODS**

Approximately \$4,300,000 is available for award. DCJS and the JJAG have designated the formula funds that will support local DMC reduction strategy planning, technical assistance for local DMC reduction strategy development, service collaborative planning, and third year funding for a 12 month contract period. DCJS and the JJAG have designated the formula funds that will support the statewide DMC assessment for an 18 month contract period. Finally, DCJS and the JJAG have designated the formula funds that will support wise detention decision-making and break-through research-based strategies for 3 year contract periods contingent on program performance and the availability of federal funds. However, DCJS reserves the right to adjust the award amount of any application, or number of projects that are funded, based on reasons that include but are not limited to: grantee performance, funding cycles, inconsistent appropriation levels, demonstrated project need, grantee compliance or exigent circumstances, and cost effectiveness and reasonableness of proposed project budget. Program funds will be awarded competitively. There is no match required for this grant program.

### **IV. ELIGIBILITY**

Funds may be awarded to not-for-profit agencies, state agencies and units of local government, including school districts, and Native American tribes that perform law enforcement functions. Since funds are to be competitively awarded, these entities may or may not be represented in the final selection. A unit of local government is defined as any city, county, town, borough, parish, village, or other general purposes political subdivision of a State, and any Native American Nation which performs law enforcement functions as determined by the Secretary of the Interior.

Funds may only be utilized for programs that serve youth between the ages of 10 and 17. In addition, funds may only be used for the creation of new programs or the expansion of existing programs to serve a new population. Applicants should specify the actual ages or school level of the targeted population to be served.

### **V. EVALUATION CRITERIA**

Listed below are the multi-tiered criteria that staff and the JJAG will use to rate applications and determine awards. The JJAG will make all final decisions concerning the funding of projects and individual award amounts.

### **TIER 1 Criteria:**

Tier #1 criteria will be rated with yes/no responses. If any response to the following categories is a no, the application will be immediately disqualified without further review.

1. Application is submitted on time. Deadline is noon on October 15, 2009.
2. Applicant is an eligible not-for-profit, state agency, unit of local government, or Native American tribe.
3. The application is complete with the answer to all applicable questions. Complete means there is a budget, answers to all applicable questions, and signed MOUs or letters of support, including roles and responsibilities, from all project partner agencies. The only attachments that will be accepted are: any letters of support or MOU's with collaborating project partners, a Word document containing the completed application, and any local plans or inventories for preventing juvenile crime that the applicant has been engaged in over the last five years.

### **TIER 2 Evaluation Criteria:**

Each application that is passed to Tier 2 is read and reviewed independently by a minimum of two reviewers. Reviewers may consist of DCJS staff, JJAG members, or peer reviewers in the field. The reviewers evaluate the submissions and score each application according to the scoring criteria in the application questions. DCJS and the JJAG reserve the right to request additional information from an applicant as deemed necessary to more fully evaluate its proposal.

Scores will be averaged to establish a list of eligible applicants from highest to lowest average score within each area of available funding.

### **TIER 3 Evaluation:**

Subsequent to the review process, the JJAG members will review each application. The JJAG may require the applicant to answer additional questions regarding the proposed program during the JJAG review process. The JJAG will select programs for funding and determine the amount of funding to be awarded to each program within the available appropriation, based on the JJAG review process and reviewer scoring. Final funding decisions will be made by the JJAG in accordance with the best interests of the State. Nothing herein requires DCJS or the JJAG to approve funding for any applicant.

## **VI. TIMETABLE**

Applications must be received by 12 Noon on October 15, 2009. Complete applications received by that date will be considered for review. Applications received after that date and time will not be considered. The JJAG will meet in December of 2009 to make final awards.

## **VII. APPROVAL & NOTIFICATION OF AWARD**

Once a project is approved by the JJAG, a contract between the applicant and DCJS will be developed. An applicant whose proposal is not selected for funding will be notified by e-mail.

## **VIII. ADMINISTRATION OF CONTRACTS**

DCJS will negotiate and develop a grant contract with successful applicants. The grant contract is subject to approval by the NYS Office of the Attorney General and the Office of the State Comptroller before grant funding may actually be disbursed to reimburse project expenses. In the event that the successful applicant cannot implement a contract within 90 days of contract execution, DCJS reserves the right to rescind the selection and redistribute the grant funds.

### **A. Contract Approval**

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

### **B. Contract Period**

DCJS will enter into contracts for a period of 12 months for local DMC reduction strategy planning and technical assistance, service collaborative planning, and third year funding. DCJS will enter into contracts for a period of 18 months for the statewide DMC assessment. DCJS will enter into a contract for a period of 36 months for wise detention decision-making and break-through research-based strategies. DCJS reserves the right to modify the contract period for lack of program performance or in the best interests of the State.

### **C. Contract Activities**

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

### **D. Contract Changes**

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

### **E. Records**

Grantees will keep books, ledgers, receipts, personnel time and effort records, consultant agreements and inventory records pertinent to the project and consistent with DCJS contractual provisions and mandated guidelines.

### **F. Liability**

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

**G. 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. Project expenses will be reimbursed for expenditures incurred during the contract period, and made in compliance with the contract budget and compliance with the program workplan.

**H. Reports**

Successful applicants will be required to work with DCJS or its designee to develop a project workplan that will become part of their contract and will form the basis of quarterly progress reports. The workplan will formalize and detail the applicant's commitment to provide the service components outlined in this application's required content, Section XI., 3 or 11 (Project Description). It will state the program's goals and will include, as tasks or performance measures, output indicators that outline program components, services and activities and estimate achievement of goals and objectives. In addition, DCJS mandates a set of output (process) and outcome (impact) measures that are included in all contracts. These are category-specific, will be developed with DCJS or its designee, and are likely to include measures such as:

For projects that propose *development of local DMC reduction strategies and DMC technical assistance*, indicators of:

- Improvement in DMC-related information sources: numbers of assessment studies conducted, data improvement projects implemented, local agencies reporting improved data collection systems;
- Enhancement of DMC-related knowledge through training: hours of training provided for staff and community representatives, numbers of staff and community members trained;
- Implementation of DMC reduction strategies: numbers of planning activities conducted, recommendations from assessment studies implemented, objective decision-making tools developed and/or implemented, program/ agency policies or procedures created, amended or rescinded; and
- Reduction in disproportionality at local-level contact points.

For *statewide DMC assessment project*, indicators of:

- Improvement in DMC-related information sources: numbers of assessment studies conducted, contributing factors determined from assessment studies, data improvement projects implemented, local and state agencies reporting improved data collection systems; and
- Implementation of DMC reduction strategies: numbers of planning activities conducted, recommendations from assessment studies developed, objective decision-making tools developed and/or implemented, program/ agency policies or procedures created, amended or rescinded.

For *wise detention decision-making projects*, indicators of:

- Improvement in detention decision-making capacity: numbers of planning activities conducted, hours of training provided, numbers of risk assessment instruments (RAIs) developed or used;
- Enhancement and utilization of detention alternatives for youth: numbers of detention alternative program options and program slots available, percent change in utilization of detention alternatives, percent change in the number of pre-adjudicated and post-adjudicated juveniles in secure detention; percent change in the average length of stay in days that juveniles reside in a secure detention facility, detention costs avoided as a result of alternative placement, and
- Direct service provision outputs and outcomes such as:
  - Numbers of youth who are admitted, served, and who complete program requirements;
  - Average number of service hours provided weekly and length of stay in days; and
  - Improvement in targeted behaviors such as substance abuse, school attendance, family relationships, antisocial behavior and offending/ reoffending.

For *service collaborative planning projects*, indicators of:

- Implementation of a strategic community action planning (SCAP) process: number of community-wide planning initiatives undertaken; number of programs, services or practices implemented as a result of SCAP process, and
- Improvement in collaborative service-provision capacity: numbers of planning activities conducted, MOUs developed and program/ agency policies or procedures created, amended or rescinded.

For *break-through research-based strategies*, indicators of:

- Planning and implementation of juvenile crime reduction strategies: numbers of planning activities conducted, recommendations from evaluation/research studies implemented, program/agency policies or procedures created, amended or rescinded;
- Direct service provision outputs and outcomes such as:
  - Numbers of youth who are admitted, served, and who complete program requirements;
  - Average number of service hours provided weekly and length of stay in days; and
  - Improvement in targeted behaviors such as substance abuse, school attendance, family relationships, antisocial behavior and offending/ reoffending.

In addition, every funded project will be expected to include some measure of how that project does or does not impact on DMC. Projects awarded *continuation funding for a third year* will be required to report on the DCJS-mandated output (process) and outcome (impact) measures that are included in their current contracts.

Grantees will be required to work with DCJS or a research partner identified by DCJS to

collect and report the requisite performance output and outcome data. The grantee shall submit reports to DCJS in a format and pursuant to a time schedule specified in the grant contract, which shall include a description of the program efforts undertaken during the reporting period and the current status of the project. The progress report of the grantee's activities under this contract must be submitted electronically through the DCJS Grants Management System for each quarter. These reports must contain, at a minimum, the following:

- a. Statistics for the reporting period, prior quarter, and year-to-date regarding the number and kinds of services, the cost per youth, and the number of youth served;
- b. Response to each performance measure written in the contract that reports the progress made in accomplishing each stated objective;
- c. The types and costs of services provided and the justification for each and the nature and costs of program services provided by each provider agency;
- d. Any unanticipated outcomes, positive or negative, resulting from grant activities;
- e. Any additional output/outcome data requested by the state or federal government; and
- f. A final narrative report within 45 days of the end of the project. This report must contain the following:
  - 1) aggregate statistics regarding the number and kinds of services, the number of youth served over the life of the project and the cost per youth
  - 2) cumulative progress made in accomplishing each stated objective;
  - 3) output/outcome performance measures of the impact that the program had on the targeted community; and
  - 4) plan for sustaining the project in the community once federal grant funding ends.
- g. Any jurisdiction receiving funds under this RFP must submit juvenile arrest data to DCJS monthly, within 30 days following the end of the each month, in the manner required by DCJS. Failure to report this required data in a timely fashion and in the format requested by DCJS may result in a monetary reduction of the award.
- h. Grantees agree to submit any other reports considered relevant by DCJS, including mandatory annual reporting of program outputs and outcomes to OJJDP.

#### **I. Review and Evaluation**

The grantee's performance in all areas mentioned above, in addition to the services contracted for, will be monitored periodically by DCJS. Monitoring 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.

Funded programs will be required to participate in program evaluation throughout the funding period. Evaluation study participation is required if you are awarded grant funding.

Your agency must agree to participate in a program evaluation and improvement process conducted by the New York State DCJS or its agent. Continuation of funding is contingent upon complying with all program evaluation requirements and implementing suggested program improvements.

**J. 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 proposal, an organizational history of unsuccessful projects of a similar nature, or a history of contract non-compliance.

**K. Revocation of Funds**

Funds awarded to an applicant that does not implement an approved project within 90 days of the contract start date may be revoked and reallocated to another applicant at the discretion of the Commissioner of DCJS.

**L. Standard Contract Provisions** Any contracts negotiated as a result of this RFP will be subject to the provisions of Appendix A, Appendix A-1 and Appendix C, which contain the standard clauses for all New York State grant contracts with DCJS. Appendices are available on the DCJS website at: <http://criminaljustice.state.ny.us/ofpa/forms.htm>.

**M. Funding Prohibitions**

Funds awarded may not be used for the purchase of firearms or other deadly weapons; private security guard services; overtime, including police or probation overtime; rent, utilities or maintenance for existing space; payment for school resource officers; payment to volunteer mentors in approved mentoring programs, payment of cash incentives to project participants, or the preparation of project proposals.

## **IX. APPLICATION FORMS AND REQUIREMENTS**

### **Application Submission**

Applications must be submitted on-line via the DCJS GMS. No other format of application will be accepted. Applicants who do not currently have access to GMS must first submit a GMS Registration Form. (See Addendum A attached.) It is strongly suggested that the GMS User Manual be downloaded from the following web address: <http://criminaljustice.state.ny.us/ofpa/gms.htm>.

In addition, please provide a Word document as an attachment or CD with your completed application.

Additionally, the authorized signer of contracts for any agency, hereafter referred to as the signatory, must submit a separate GMS eSignature registration form. This allows general access to GMS and for eSignature of grants. All applications, once approved, will be processed as eSignature contracts. Failure by an applicant to have an authorized signatory with eSignature

rights will prevent submission of the application. Both GMS registration forms can be e-mailed to [funding@dcjs.state.ny.us](mailto:funding@dcjs.state.ny.us) or faxed to (518) 485-2728. Please submit your e-Signature registration at least 5 days prior to application submission to allow sufficient time for processing.

A simplified set of instructions for submitting the application within GMS can be found in Addendum A. When accessing GMS to complete an application, click “Project>New”, then select *OJJDP Juvenile Justice Title II Formula* as the funding program to begin entering your application.

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

### **DUNS Registration Requirements**

All DCJS funding applicants are requested 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 of their application; existing DCJS grantees whose DUNS number is not already on file should email the number to [funding@dcjs.state.ny.us](mailto:funding@dcjs.state.ny.us) 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 that the process of requesting and receiving a DUNS number, and/or having it entered into GMS by DCJS staff, will require additional time. It is strongly recommended that applicants begin this process early.*

## **X. RFP TECHNICAL ASSISTANCE**

Requests for technical assistance with accessing and using GMS may be directed to the DCJS Office of Program Development and Funding at (518) 457-9787. Non-GMS questions regarding this RFP may be emailed to [funding@dcjs.state.ny.us](mailto:funding@dcjs.state.ny.us) through September 25, 2009. Please reference “Formula RFP” in the subject line of your email. On October 2, 2009, DCJS will post answers to the received questions on our website at <http://criminaljustice.state.ny.us/ofpa/newrfp.htm>, without identifying questioners.

## **XI. REQUIRED APPLICATION CONTENT**

Successful applicants will have responded to all of the requirements outlined in this RFP.

All applications must include a response to each of the following sections: Problem Description, Applicant Overview, Project Description, Budget Detail and Budget Narrative, Outcome/Anticipated Results, and Collaboration. In addition, wise detention decision-making and break-through research-based strategy applicants must include a response to the Relationship to Sustainability section and third year funding applicants must provide a response to the Past Performance section. Each of the following sections appears and must be completed in GMS. Applications must not exceed a total of 4000 words.

**Required Application Content for proposals for: local DMC reduction strategy**

**development, DMC technical assistance, wise detention decision-making, service collaborative planning, break-through research-based strategies, and third year funding**  
(Questions 1 – 8 in GMS only)

**Problem Description** (25 points)

This section establishes the problem the applicant will address, and is worth 25 points in the overall application score. The existence of the problem must be supported by baseline data (data may be taken from the Kids Well-being Indicators Clearinghouse (<http://www.nyskwic.org>), the Office of Children and Family Services youth in care report (<http://www.ocfs.state.ny.us/main/reports/Youth%20In%20Care%20Report.pdf>), local arrest data, county juvenile court data, or other available data sources). Please address the following items in this section:

**1. Problem Description**

- a. Identify and describe the problem that exists and how it was identified.
- b. Identify the program being applied for (local DMC reduction strategy development, DMC technical assistance, wise detention decision-making, service collaborative planning, break-through research-based strategies or third year funding), why this program is appropriate for the stated problem, which risk factor(s) and protective factor(s) the proposed program will address, and whether applying to implement or expand a program.
- c. Discuss the goals as outlined in the RFP and how the identified program will address the goals (Refer to pages 3-8 of this RFP).
- d. Provide data to document the existence of the aforementioned problem and how the proposed program will address the problem.
- e. Explain any existing gaps in data that impedes a full description of the problem and any ideas regarding how those gaps could be closed.
- f. If applicant is requesting the expansion of a program then this section must include a detailed description of how the expansion will provide services to a different population.
- g. Provide a description of the funding gaps that necessitate the application for these funds.

**Applicant Overview** (5 points)

This section establishes the applicant's ability to undertake delivery of the services through the program for which funding is being sought, and is worth 5 points in the overall application score. Where it is applicable, applicants should explain relationships between their agency/organization with existing local initiatives, such as the Juvenile Crime Enforcement Coalition, a local reentry task force, or other local collaborative boards. Please address the following items in this section:

**2. Applicant Overview**

- a. Briefly explain the function of the recipient agency, include history and mission.

- b. If applicant is requesting expansion of an existing program, the application must include information on the status of the current program and how the expansion will serve additional needs in the community.
- c. Briefly explain the function of the implementing agency, including its history and mission, if different from the recipient agency.
- d. Describe the role of any local collaborative board in the implementation or expansion of the proposed program.
- e. Discuss successes and challenges (both past and present) that have been experienced while implementing other similar juvenile justice efforts; how will those lessons be incorporated into this program.
- f. Identify past and/or current funding sources for juvenile justice programming, including any other funds received from the Office of Juvenile Justice and Delinquency Prevention, the Office of Children and Family Services, DCJS, and any other public or private funds.
- g. Address whether the applicant and/or implementing agency is currently under investigation by any federal, state, or local authority for criminal, civil or regulatory violations.

**Project Description** (25 points)

This section is worth 25 points in the overall application score. It establishes that the applicant has made the connection between the scope of the identified problem, the risk and protective factors to be addressed, and the overall purpose and anticipated outcomes of the program selected for implementation or expansion. Please address the following items in this section:

**3. Project Description**

- a. Clearly explain all project activities and the frequency and duration of any direct youth services.
- b. Explain how research supports your project design.
- c. For wise detention decision-making, break-through research-based strategies, and third year funding projects, clearly identify the following:
  - o Target population, please note risk level and actual age of youth the project will serve;
  - o Number of youth/families that will be served;
  - o Locality, address, and site (i.e. a specific school) where the project will operate and services will be provided; and
  - o Describe why this target population was selected and how that selection relates to risk factors for ongoing delinquency.
  - o Include a detailed explanation of the referral process; provide a letter of support from the referral source.
  - o Describe the criteria used to determine a youth's appropriateness for the project and to guide the case plan for youth.
  - o Provide the current recidivism rate for your target population, if possible, and describe how you will measure recidivism for participant youth.
- d. For local DMC reduction strategy development, DMC technical assistance, and service collaborative planning projects, clearly identify the following:
  - o Target population, including actual age of youth to be reached by project; and

- Locality, address, and site (i.e. a specific agency) where the project will operate
- Include a detailed description of how the project will enhance local DMC reduction strategy development or service collaborative planning.
- Describe local stakeholders and how they will be convened to work on the DMC reduction strategy development or service collaborative planning.
- Describe all deliverables attendant to the project and provide a timeline for those deliverables.

**Budget Detail and Budget Narrative** (20 points)

This section establishes each item to be supported with grant funds and provides justification for each of those items. This section appears as two separate sections in GMS, a budget and questions to provide a narrative explaining that budget, and must be entered as such. However, it will be scored as one section, and is worth a combined 20 points in the overall application score. Please address the following items in this section:

**4. Budget Detail and Budget narrative**

**Detail:**

- a. For wise detention decision-making and break-through research-based strategy project applicants, include a 36 month comprehensive budget detail section—one complete budget for each year of funding being requested.
- b. For local DMC reduction strategy planning, DMC technical assistance, service collaborative planning, and third year funding applicants, include a one-year comprehensive budget detail section.
- c. Provide a clear break down of all costs including salary and benefits.

**Narrative:**

- d. For wise detention decision-making and break-through research-based strategy project applicants, include a 36 month comprehensive budget narrative—one complete budget narrative for each year that fully justifies all items to be supported with grant funds.
- e. For local DMC reduction strategy planning, DMC technical assistance, service collaborative planning, and third year funding applicants, include a one-year comprehensive budget narrative.
- f. Clearly describe how expenditures contribute to the implementation of the program.
- g. Include the cost per participant in the budget narrative for each year and provide a clear description of how that cost is calculated.
- h. Include the percent of time for each personnel line in the budget in terms of FTEs.

**Outcome/Anticipated Results** (10 points)

This section establishes that the applicant has a clear understanding of the anticipated impact of the proposed project. This section is worth 5 points in the overall application score. Please address the following items in this section:

**5. Outcome/Anticipated Results**

- a. Identify goals and objectives of the program and the impact they will have on the stated problem and how this will be measured.
- b. Describe the plans for data collection and data analysis.

**Relationship to Sustainability** – for wise detention decision-making and break-through research-based strategy applicants only (5 points)

This section establishes that the applicant understands formula funding is time limited and intended to support only the essential items and tasks associated with starting up or expanding an eligible program. All applicants enter into this process with the understanding that planning to sustain the program, or, at a minimum, the effective project components and services, beyond the three years of grant funding is an integral part of the implementation or expansion process. A cogent sustainability plan is worth 5 points in the overall application score for wise detention decision-making and break-through research-based strategy applicants. Local DMC reduction strategy planning, DMC technical assistance, and service collaborative planning proposals will be scored out of a total of 95 points, as this section is not applicable. Third year projects will be scored out of a total of 110 points, with the additional 15 points added below for past performance. Please address the following items in this section:

**6. Relationship to Sustainability**

- a. Describe the sustainability plan to include the following:
  - o How ongoing community support for this program will be generated;
  - o How commitments from key stakeholders necessary for successful sustainability of the program will be obtained; and
  - o Identify sources of financial support once grant funding expires.

**Collaboration** (10 points)

This section allows the applicant to demonstrate the level of collaboration achieved among local stakeholders and is worth 10 points in the overall application score. Please provide the following documents, where applicable:

**7. Collaboration**

- a. Letters from sources committing to making referrals to the program;
- b. Letters from county human service agencies and other supporting agencies making a financial commitment to continue to support the program after formula funding expires;
- c. A letter of support from any local juvenile justice planning entity; and
- d. Letters of support from or MOUs with local collaborative partners.

**Past Performance** – for third year applicants only (15 points)

This section allows applicants in their second year of formula funding to demonstrate that their project has met its stated goals, is working to reduce juvenile crime, and that the applicant has been compliant with all contractual obligations. Past performance is worth 15 points in the overall score for third year funding applicants only. Please address the following items in this section:

**8. Past Performance**

- a. Describe the performance measures in your current formula funded project and the output and outcome results reported under those measures.
- b. Describe any barriers you have encountered in meeting stated program goals and strategies that will be implemented to overcome those barriers.
- c. Document how the project has had an impact on juvenile crime.
- d. Note whether quarterly reports have been submitted on time, whether any reports have been returned after being marked deficient, and to what extent the project has expended all budgeted expenses since the project's inception.

**Required Application Content for Proposals for Statewide DMC Assessment** (Questions 9 - 14 in GMS only)

**Problem Description** (15 points)

This section establishes the problem the applicant will address, and is worth 15 points in the overall application score. Please address the following items in this section:

**9. Problem Description**

- a. Describe your understanding of DMC in the juvenile justice system.
- b. Describe any issues that may make New York State unique when assessing DMC.
- c. Discuss the goals as outlined in the RFP and how the identified program will address the goals (Refer to pages 4 and 5 of this RFP).

**Applicant Overview** (15 points)

This section establishes the applicant's ability to effectively complete a statewide DMC assessment, and is worth 15 points in the overall application score. Please address the following items in this section:

**10. Applicant Overview**

- a. Briefly explain the function of the applicant agency, include history and mission.
- b. Describe any specialized expertise the applicant agency has in DMC and juvenile justice systems.
- c. Describe any previous experience in completing research on DMC and/or juvenile justice systems.
- d. Describe the credentials of the person(s) who will be doing the statewide DMC assessment
- e. Identify past and/or current funding sources for juvenile justice programming, including any other funds received from the Office of Juvenile Justice and Delinquency Prevention, the Office of Children and Family Services, DCJS, and any other public or private funds.
- f. Address whether the applicant is currently under investigation by any federal, state, or local

authority for criminal, civil or regulatory violations.

**Project Description** (30 points)

This section is worth 30 points in the overall application score. It establishes that the applicant has a viable plan for completing a thorough and accurate statewide DMC assessment. Please address the following items in this section:

**11. Project Description**

- a. Clearly explain the proposed structure for a statewide DMC assessment, including data that will be utilized, research methods, and a plan for assessing contributing factors in at least three jurisdictions.
- b. Explain how research supports your project design.
- c. Clearly identify the following:
  - o Target population, including actual age of youth to be included in the assessment; and
  - o Locality, address, and site (i.e. a specific agency) where the project will operate
- d. Describe all deliverables attendant to the project and provide a timeline for those deliverables.

**Budget Detail and Budget Narrative** (25 points)

This section establishes each item to be supported with grant funds and provides justification for each of those items. This section appears as two separate sections in GMS, a budget and questions to provide a narrative explaining that budget, and must be entered as such. However, it will be scored as one section, and is worth a combined 25 points in the overall application score. Please address the following items in this section:

**12. Budget Detail and Budget Narrative**

**Detail:**

- a. Include an 18 month comprehensive budget detail section.
- b. Provide a clear break down of all costs including salary and benefits.

**Narrative:**

- c. Include an 18 month comprehensive budget narrative.
- d. Clearly justify how expenditures contribute to the implementation of the program.
- e. Include the percent of time for each personnel line in the budget in terms of FTEs.

**Outcome/Anticipated Results** (5 points)

This section establishes that the applicant has a clear understanding of the anticipated impact of the proposed project. This section is worth 5 points in the overall application score. Please address the following items in this section:

**13. Outcome/Anticipated Results**

- a. Identify goals and objectives of the program and the impact they will have on the stated problem and how these will be measured.

**Collaboration** (10 points)

This section allows the applicant to demonstrate the level of collaboration achieved among stakeholders and is worth 10 points in the overall application score. Please provide the following documents, where applicable:

**14. Collaboration**

- a.** Letters of support from or MOUs with collaborative partners.

# Addendum A

GMS Registration Form

GMS Signatory Registration Form

Helpful Hints for GMS



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

Office of Program Development and Funding

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GMS USER REGISTRATION

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

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

Registrant Information (all fields are required):

Agency:

EIN (Tax ID#):

Registrant:

Title:

Address:

Address2: (if applicable)

City/State:

Zip:

Email:

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

DCJS #s of Current Grants (if applicable):

NOTE: You must complete an IRS form W-9, Request for Taxpayer Identification Number and Certification, in order for your registration to be processed. Faxed signatures are acceptable. Download the form at <http://criminaljustice.state.ny.us/ofpa/gms.htm> . Fax to (518) 485-2728. Indicate here that form W-9 has been completed and faxed:



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

## Office of Program Development and Funding

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### GMS SIGNATORY REGISTRATION

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

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

Registrant Information (all fields are required):

Agency:

EIN (Tax ID#):

Authorized Signing Official:

Title:

Address:

Address2: (if applicable)

City/State:

Zip:

Email:

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

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

DCJS #s of Current Grants (if applicable):

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

## Helpful Hints

First time GMS users should download the GMS User Manual located at <http://criminaljustice.state.ny.us/ofpa/gms.htm>

Persons familiar with NYS-DCJS GMS can use the following as a simplified guideline.

The following instructions apply to the Juvenile Justice Title II Formula Grant applications as previously described.

Sign on to GMS.

Go to project grid. Click the “New” button at the top of the project grid.

This will take you to a screen that says “Select a Program Office” in a drop-down box format, Find and highlight “*OJJDP Juvenile Justice Title II Formula*”

Then click “Create Project”

In the newly created project, complete following modules:

> General

Complete the text screens and press save.

> Participants/Contacts

Click on “*Add Participant*” and in the search prompt that appears type in your agency name. This should take you to a list, find your agency, and click in the blue section of your agency name. This will prompt a drop down list that defaults to “Grantee”. Click Add.

Click on “*Add Contact*” and in the search prompt that appears type in the last name of the person to be added. This should take you to a list, find the person to be added and click in the blue section of the name. This will prompt a drop down list that defaults to “Primary”. Ensure you do this until you have added a minimum of three contacts: Primary, Signatory and Fiscal.

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

> Budget

Click “*Create a budget version for your agency (grantee).*”

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

> Questions

For purposes of this RFP, when entering applications into GMS, make sure to answer all required questions.

> Acceptance

Click in the blue lettering anywhere under “*Assurances*”. This will bring you to a list of Certified Assurances. Read the assurances carefully and at the bottom of the list (if they are acceptable); click the “*Certify*” button. This will automatically fill in the “Certified by” and “Certified Date” fields, as GMS will recognize the user based upon user name and password when signing on to GMS.

> Attachments

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

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

When you have completed all of the above requirements, click the “*Submit*” button.