



**Young Men's  
Initiative**

**Center for  
Economic  
Opportunity**

**Department of  
Probation**

# **Arches: A Transformative Mentoring Intervention Expansion**

## **REQUEST FOR APPLICATIONS (RFA)**

**PIN: 78112ARCHESRFAE**

**RFA RELEASE DATE: May 21, 2012**

**DEADLINE FOR APPLICATIONS: 2:00 PM Tuesday, June 19, 2012**

**RETURN TO:**  
New York City Department of Probation  
33 Beaver Street, 21<sup>st</sup> Floor  
New York, New York 10004

**ATTENTION:** Vincent Perneti, Agency Chief Contracting Officer

**PRE-APPLICATION CONFERENCE:** Thursday, May 31, 2012  
9:30 AM to 11:00 AM  
33 Beaver Street, 18th Floor Auditorium  
New York, New York 10004

This Request for Application (RFA) must be obtained directly from the New York City Department of Probation (DOP) or the Center for Economic Opportunity (CEO) in person or by downloading it from DOP's website, [www.nyc.gov/probation](http://www.nyc.gov/probation), or CEO's website, [www.nyc.gov/ceo](http://www.nyc.gov/ceo). If you obtained a copy of this RFA from any other source, you are not registered as a potential applicant and will not receive addenda DOP/CEO may issue after release of this RFA, which may affect the requirements or terms of the RFA.



Printed on paper containing 30% post-consumer material

**ARCHES: A TRANSFORMATIVE MENTORING INTERVENTION  
EXPANSION  
REQUEST FOR APPLICATIONS (RFA)  
PIN: 78112ARCHESRFAE**

<b>Table of Contents</b>		<b>Page</b>
Authorized Agency Contact Persons		3
Section I	Timetable	4
Section II	Summary of the Request for Applications	5
Section III	Scope of Services	10
Section IV	Format and Content of the Application	17
Section V	Application Evaluation and Contract Award Procedures	22
Attachment 1	Application Summary Form	24
Attachment 2	Site Visit Form	25
Attachment 3	Relevant Experience Form	26
Attachment 4	Corporate Governance Certification	27
Attachment 5	Linkage Agreement Form	28
Attachment 6	Application Budget Summary Form	29
Attachment 7	Doing Business Data Form	32
Attachment 8	Acknowledgement of Addenda	36

## **AUTHORIZED AGENCY CONTACT PERSONS**

The authorized agency contact persons for all matters concerning this Request for Applications (RFA) are:

### **Procurement**

Vincent Perneti  
Agency Chief Contracting Officer  
New York City Department of Probation  
33 Beaver Street, 21<sup>st</sup> Floor  
New York, New York 10004  
Tel: (212) 232-0656  
E-mail: [acco@probation.nyc.gov](mailto:acco@probation.nyc.gov)

### **RFA Procedures**

Kathryn Cedilnik  
Director, Special Projects Adult Operations  
New York City Department of Probation  
33 Beaver Street, 21<sup>st</sup> Floor  
New York, New York 10004  
Tel: (212) 232-0427  
E-mail: [acco@probation.nyc.gov](mailto:acco@probation.nyc.gov)

**NOTE ON E-MAIL INQUIRIES:** Applicants should enter “Arches Expansion RFA” in the subject line of the e-mail. DOP/CEO/Mayor’s Fund cannot guarantee a timely response to written questions regarding this RFA received less than one week prior to the RFA due date.

Applicants should note that any written response that may constitute a change to the RFA will not be binding unless DOP/CEO/Mayor’s Fund subsequently issues such a change as a written addendum to the RFA.

## **SECTION I - TIMETABLE**

**A. Release Date of the Request for Applications: May 21, 2012**

**B. Pre-Application Conference:**

**Date: May 31, 2012**

**Time: 9:30 AM to 11:00 AM**

**Applicants who are attending will have time to talk together about possible collaborations and partnerships to deliver Arches.**

**Location: 33 Beaver Street, 18th Floor Auditorium  
New York, NY 10004**

Attendance is optional, but strongly encouraged. If you plan to attend the Pre-Application Conference, DOP requests that you RSVP in advance. Please send an e-mail to Vincent Perneti (acco@probation.nyc.gov) with the name of your organization and the number of people attending. Due to limited seating, DOP requests that each organization send no more than two representatives to the Pre-Application Conference.

**C. Application Due Date and Time and Location:**

**Date: June 19, 2012**

**Time: 2:00 PM**

**Location: Hand deliver applications to:**

**Attention: Vincent Perneti  
Agency Chief Contracting Officer  
New York City Department of Probation  
33 Beaver Street, 21<sup>st</sup> Floor  
New York, New York 10004**

DOP will not accept e-mailed or faxed applications.

Applications received at this location after the application due date and time are late and shall not be accepted.

DOP will consider requests made to the Agency Chief Contracting Officer to extend the Application Due Date and Time prescribed above. However, unless DOP issues a written addendum to this RFA to extend the application due date and time for all applicants, the application due date and time prescribed above shall remain in effect.

**D. Anticipated Contract Start Date: September 1, 2012**

## **SECTION II - SUMMARY OF THE REQUEST FOR APPLICATION**

### **A. Purpose of the RFA**

This Request for Applications (RFA) is an expansion of the Arches: A Transformative Mentoring Intervention RFA (PIN 78112ARCHESRFA) released on January 19, 2012. The unallocated funds in the original competitions from that solicitation are available for contract awards in additional targeted neighborhoods. Through this RFA, the New York City Department of Probation (DOP), in collaboration with the Center for Economic Opportunity (CEO) and the Mayor's Fund to Advance New York City (Mayor's Fund), seeks qualified vendors to provide Arches<sup>1</sup>, to young adults between the ages of 16 and 24 who are on probation in four targeted areas in the Bronx and Staten Island. DOP has identified neighborhoods within these boroughs with high concentrations of clients on probation who would benefit from the Arches intervention. Arches is a curriculum-based group mentoring intervention that helps justice-involved young adults transform the attitudes and behaviors that have led to criminal activity.

### **B. Background**

On August 4, 2011, Mayor Bloomberg announced the Young Men's Initiative (YMI), a bold and comprehensive effort to help black and Latino young men achieve their professional, educational, and personal goals. YMI brings together an array of programs and services designed to increase access to mentoring, education, employment, and various opportunities for civic and community engagement. DOP is partnering with a variety of other City agencies, community-based organizations and foundations on a number of innovative program and policy initiatives that focus on neighborhoods with high concentrations of people on probation. Arches is one of several YMI programs designed to serve young adults on probation in New York City.

#### **NYC Probation Population**

As of March 31, 2012, with approximately 21,300 people currently on probation in New York City, DOP is one of the largest local probation departments in the country and the City's largest alternative to incarceration. In addition to 1,760 juveniles (ages 11 to 15), there are 19,540 adults who have been convicted of felonies (65 percent) or misdemeanors (35 percent) and sentenced to probation in lieu of incarceration. Of the 19,450 on adult probation, there are approximately 7,000 young adults between the ages of 16 and 24. Almost all of them (6,500) are over 18 years of age. Eighty-four percent of people on probation are men, 50 percent are black and 30 percent are Latino.

#### **DOP Agency-Wide Reform**

DOP is helping to build stronger and safer communities by supervising people on probation, fostering positive change in their decision-making and behavior, and expanding opportunities for them to move out of the criminal and juvenile justice systems through meaningful education, employment, health services, family engagement and civic participation.

To accomplish its mission, DOP has embarked upon an ambitious agency-wide reform agenda. The New York City Model of Probation advances public safety and improves communities by adopting a Justice Reinvestment framework. Justice Reinvestment is a two-part approach that focuses resources on individuals on probation who pose the highest risk to public safety and reinvests in the communities where people on probation live. Research shows that focusing attention on people with the highest risk of re-offending produces the greatest public safety outcomes. Therefore, DOP is increasingly focusing resources on higher-risk individuals during the time period they are most likely to reoffend. To accomplish this, DOP is implementing a variety of proven measures, including:

- Administering validated risk and need assessments

---

<sup>1</sup> Arches symbolize opportunity and represent a point of decision, a place to weigh the balance of one's choices and identify a plan of action. From a structural perspective, arches serve as a foundation while encouraging forward motion.

- Expanding the continuum of care
- Utilizing incentives such as early discharge to reward positive behavior
- Significantly reducing technical violations of probation

Early indicators show these reforms are taking hold. From 2009 to 2011, the rate of adult technical violations filed by DOP dropped by 56 percent. (A technical violation is when a requirement of probation is not followed, but the client has not been charged with a new offense. An example is failure to complete court-ordered community service. There are better ways to enforce this order than by locking someone up, and DOP is using them.) On the other end of the spectrum, the number of adults discharged early from probation increased six-fold. To be clear, DOP does not unilaterally discharge people from probation. Rather, DOP examines each case individually and makes a determination based on a number of factors. When appropriate, DOP submits an Early Discharge Recommendation to the court, and a judge makes the decision. Judges are approving Early Discharge Recommendations at the same high rate as they have in past years when DOP submitted many fewer recommendations. This is a testament to the good work of DOP staff in selecting appropriate cases to recommend.

These steps have resulted in a client-base at DOP that requires more intensive supervision and services, since the agency is discharging “good performers” early, and retaining the more challenging clients by continuing to work on problem areas rather than sending them to jail so long as there is no threat to public safety. All things being equal, one would expect worse outcomes from this more at-risk population, yet DOP’s felony re-arrest rate for adults dropped by 13.5 percent between 2009 and 2011. At the same time, the failure-to-report rate dropped by 29 percent, meaning clients are meeting with their Probation Officers more consistently and missing fewer appointments.

Another aspect of DOP’s new probation approach is to decentralize service delivery to the neighborhood level. The vehicle for DOP’s neighborhood-based strategy is the Neighborhood Opportunity Network (NeON). At the heart of the NeON is a network of partners – individuals and organizations, public and private – working together to improve public safety by linking people on probation to quality opportunities, resources and services and by strengthening community capacity to find solutions to complex challenges.

Under the NeON umbrella, DOP is using a variety of strategies to build on clients’ strengths and reduce their involvement with criminal and juvenile justice systems. In neighborhoods where a significant number of people on probation live, beginning in Brownsville, Harlem, Jamaica, East New York, and the South Bronx, NeON model offices will be established with Probation Officers co-located with community-based organizations. In other cases, probation staff based at borough offices will meet with clients in community settings. Key components of the NeON model are: (1) DOP joins and expands local networks of educators, businesses, social service providers, community groups and residents; (2) probation staff and clients work together in a community-setting; and (3) DOP staff and clients engage in efforts to benefit the neighborhood. Key to DOP’s strategy is to help build capacity in the neighborhoods where people on probation live. DOP will work closely with community leaders to ensure that NeONs win local support, build on existing assets, and reflect client and neighborhood needs. In addition to the NeON model, DOP is also creating a virtual citywide Opportunity Network on its intranet to assist probation officers in expanding quality opportunities for all DOP clients.

The Mayor’s Young Men’s Initiative (YMI) will enhance DOP’s reform efforts with support for additional new programming designed to help young adults on probation end further involvement with the criminal justice system. In conjunction with the NeON and the YMI, DOP is partnering with City agencies, nonprofit organizations and foundations on a number of new programs, including Arches. Probation clients in NeON communities will be offered mentoring, afterschool activities, education, literacy and job skills enhancement, and opportunities to join local neighborhood improvement initiatives. While each program takes a different approach, the overarching public safety goal is to help probation clients end any further involvement with the criminal justice system by strengthening their attachment to education, work and community. All of the YMI/DOP programs share certain fundamental principles that align with DOP’s NYC Model of Probation:

- All are designed to enhance public safety. Research has proven that connecting young people in the criminal justice system to programs that help them continue their education, get a job and engage with their communities are more effective and less expensive than incarceration.
- Education is a key to helping people overcome the issues that led to their involvement in the criminal justice system.
- When young people are engaged in the workforce they are far less likely to participate in criminal activity.
- When young people in the criminal justice system contribute to community well-being and feel connected to their neighborhood, they are less likely to harm themselves, their families and their neighbors.
- Programs must build on people's strengths, not merely try to minimize their weaknesses.
- New York City is home to a network of nonprofit organizations of unmatched quality and breadth. DOP will partner with these organizations to help young adults realize their potential.

### **C. Competitions**

Each of the four targeted areas will constitute a separate competition pool. Applicants may propose for more than one competition, but a separate and complete application must be submitted for each. The four competitions are as follows:

- Soundview (Bronx CD 9)
- Edenwald (Bronx CD 12)
- Highbridge/Grand Concourse/University Heights (Bronx CD 4 & 5)
- St. George/Port Richmond (Staten Island CD 1)

### **D. Anticipated Available Annual Funding**

The Mayor's Fund to Advance New York City has allocated \$1,448,333 annually over three years for providers to implement the Arches expansion initiative<sup>2</sup>. The funding allocations, between and within competitions, indicated in this RFA are based on availability of funding and are subject to change. DOP/CEO/Mayor's Fund reserves the right to revise funding amounts as necessary based on factors including the number of applications received and targeted neighborhoods.

### **E. Anticipated Contract Term and Number of Contracts**

It is anticipated that the term of the contracts awarded from the Arches Expansion RFA will be for three years, from September 1, 2012 through August 31, 2015, with an option to renew for two additional one-year periods subject to availability of funding.

It is anticipated that up to seven contracts will be awarded under the Arches Expansion RFA.

### **F. Anticipated Payment Structure**

It is anticipated that the payment structure of contracts awarded under this RFA will be based on line-item budget reimbursement. The estimated price per participant for Arches is \$4,270. The minimum contract amount awarded will be \$170,800.<sup>3</sup>

---

<sup>2</sup> The Mayor's Fund to Advance New York City received \$4.7 million annually over three years for providers to implement the Arches program. Of the \$4.7 million, \$2,391,200 was awarded under the original Arches RFA. In addition, \$235,000 was designated for technical assistance and training of mentors and staff at provider organizations. The Mayor's Fund retained \$448,000 for participant cash stipends (\$800 per participant x 560); \$28,000 to purchase the curriculum (\$50 X 560), \$12,219 for additional participant incentives, such as graduation ceremonies and other events that bring participants together city wide; and \$137,248 for administrative costs. The remaining \$1,448,333 has been allocated for the Arches Expansion RFA.

<sup>3</sup> Of the \$1,448,333 allocated annually, \$1,195,600 will be awarded to providers (\$4,270 per participant x 280 participants). The Mayor's Fund will retain \$224,000 for participant cash stipends (\$800 per participant x 280); \$14,000 to purchase the curriculum (\$50 per participant x 280); \$6110 (\$21.82 per participant x 280) for additional participant incentives, such as graduation ceremonies and other events that bring participants together city-wide; and \$8,624 for administrative costs.

Funding to each participating nonprofit organization will be expected to cover (1) the costs of paying mentors a minimum of \$15.00/hour to facilitate and participate in group and one-on-one sessions, attend training sessions, and for being available for support, advice and guidance to young adults, (2) hot food and metro cards for participants at each group session, (3) an appropriate site for the group and one-on-one sessions, (4) a full-time project coordinator (each project coordinator can manage up to 15 mentors, the equivalent of between one and three groups at any one time), (5) collection, tracking and reporting output and outcomes measures; and (8) administrative and fiscal capacity to manage the grant award, including payroll for mentors, billing and financial reporting to DOP, etc.<sup>4</sup>

## G. Geographic Service Areas/Targeted Areas

Applicants are required to serve young adults on probation in one or more of the following geographic areas within New York City. The applicant must specify the geographic area they plan to serve. For this contract: (1) applicants must be currently located within at least one of the community districts in a targeted geographic area or plan to locate within at least one of the community districts in the targeted neighborhood before the onset of this award; (2) applicants must be able to demonstrate experience in or a unique understanding of the targeted neighborhood; and (3) delivery of the services must occur within at least one of the community districts in the targeted neighborhoods.

Target Geographic Areas	# Served
Soundview (Bronx CD 9)	80
Edenwald (Bronx CD 12)	80
Highbridge/Grand Concourse/University Heights (Bronx CD 4 & 5)	80
St. George/Port Richmond (Staten Island CD 1)	40

## H. Subcontracting/Consultants

Subcontracting is permissible under the following conditions:

- Any proposed subcontractor must be identified in the application.
- Agency assumptions regarding provider approach as set out in the Scope of Services and other sections of this RFA apply equally to any proposed subcontractor.
- All contractors and subcontracts shall be subject to DOP/CEO approval before expenses are incurred and payments made.
- No more than 49 percent of the total value of the contract may be subcontracted.
- If two or more organizations seek to collaborate/subcontract to deliver Arches in more than one targeted neighborhood/competition pool, separate applications must be submitted for each targeted neighborhood/competition pool applicable (see Section C. above).

## I. Regulatory Requirements

**Nondiscrimination.** The contractor shall provide services to all persons regardless of actual or perceived race, color, creed, national origin, alien or citizenship status, gender (including gender identity), sexual orientation, disability, marital status, arrest or conviction record, status as a victim of domestic violence, lawful occupation, and family status.

**Americans with Disabilities Act:** Program facilities should be easily accessible to people with disabilities and should meet all requirements of the Americans with Disabilities Act (ADA).

<sup>4</sup> The per-participant cost of \$4,270 assumes that (1) DOP, through the Mayor's Fund, will purchase the curriculum at a per participant cost of approximately \$50.00 for use by each mentoring group; (2) DOP Probation Officers will provide case management for participants, (3) DOP, through the Mayor's Fund, will distribute \$800.00 in cash stipends to participants based on attendance in Arches groups, which information will be submitted to DOP by the providers; and (4) training and technical assistance costs will be centralized and funded through a separate contract with the Mayor's Fund.



***Ban the Box:*** On August 4, 2011, as part of the Young Men's Initiative, Mayor Bloomberg issued Executive Order 151 (EO 151) stating that with respect to any employment governed by Article 23-A of the NYS Corrections Law, with few exceptions, City agencies are prohibited from asking questions regarding an applicant's prior criminal convictions on any preliminary employment applications, or asking any questions about an applicant's prior criminal convictions before or during the first interview. In keeping with the objectives of EO 151, contractors selected as a result of this RFA will likewise be generally prohibited from asking questions regarding an applicant's prior criminal convictions on any preliminary employment applications, and from asking any questions about an applicant's prior criminal convictions before or during the first interview. In addition, contractors will be required to comply with Article 23-A, including the requirement that determinations of hiring based on prior criminal convictions must be limited to a conviction that bears a direct relationship to the duties and responsibilities of the position sought, or where their hiring would pose an unreasonable risk to property or the safety of individuals or the general public.

### **SECTION III:**

## **SCOPE OF SERVICES FOR ARCHES: A TRANSFORMATIVE MENTORING INTERVENTION**

### **A. Arches: A Transformative Mentoring Intervention: Overview**

Arches is a curriculum-based group mentoring intervention that helps justice-involved young adults transform the attitudes and behaviors that have led to criminal activity. It serves young people whose needs go far beyond the traditional mentoring approach of companionship, confidence-building and typical academic, social or career guidance. The overarching goal that DOP seeks to accomplish is to help young adults on probation end any further involvement with the criminal justice system. Arches is designed to meet young people where they are in this process of pro-social engagement, focusing on changes in cognition and thinking that often precede the ability to secure concrete attainments in education and employment. Through Arches, DOP seeks to lower the rates of recidivism for young adults by five to ten percent.<sup>5</sup>

Arches is informed by mentoring programs developed by the Mentoring Center in Oakland, California. It is grounded in positive youth development and uses an evidence-based curriculum, Interactive Journaling, which employs cognitive behavioral principles. Arches draws on principles of effective mentoring programs, including a 1:4 mentor/young adult ratio for group mentoring interventions; groups that meet at least once a week; group meetings that are combined with case management; and group processes focused on the emotional development of young adults and the professional development of mentors.<sup>6</sup>

The Arches expansion will target 280 young adults annually who are: (1) under probation supervision; (2) between the ages of 16 and 24 (the vast majority of whom are between the ages of 18 and 24); and (3) reside in or adjacent to one of the targeted neighborhoods: Soundview (80), Edenwald (80), Highbridge/Grand Concourse/University Heights (80), and St. George/Port Richmond (40).

### **B. Qualifications for Participating Organizations**

Arches is a part of DOP's larger Justice Reinvestment strategy, which aims to reinvest resources and help to build capacity in neighborhoods where large numbers of people on probation live. Thus, for this contract: (1) applicants must be currently located in the targeted neighborhood or plan to locate in the targeted neighborhood before the onset of this award; (2) applicants must be able to demonstrate experience in or a unique understanding of the targeted neighborhood; and (3) delivery of the services must occur in the targeted neighborhoods. Applicants with annual budgets of \$2 million or less are encouraged to apply.

Qualified vendors should have experience working with justice-involved young adult populations, an understanding of the New York City criminal justice system, and experience applying the values, principles and practices of positive youth development. In addition, applicant vendors should be able to demonstrate that they have:

- Relevant experience within the past five years providing one or more of the following types of programs/services:

---

<sup>5</sup> The monthly average re-arrest rate for adults on probation is 3.1 percent. The best evidence-driven interventions rarely exceed ten percent reductions in recidivism when subjected to rigorous evaluation (Lipsey & Cullen 2007). Arches is based on the same principles as these successful programs; therefore DOP anticipates that Arches will produce outcomes that average those of similar programs.

<sup>6</sup> Lipsey, M. W. (1995). What do we learn from 400 research studies on the effectiveness of treatment with juvenile delinquents? In J. McGuire (Ed.), *What Works: Reducing Reoffending* (pp 63-78), Chichester: John Wiley & Sons; Ayers, C. D., Williams, J. H., Hawkins, J. D., Peterson, P. L., Catalano, R. F., & Abbott, R. D. (1999). Assessing correlates of onset, escalation, de-escalation, and desistance of delinquent behaviors. *Journal of Quantitative Criminology*, 15, 277-306; Abigail A. Fagan, Koren Hanson, J. David Hawkins, and Michael W. Arthur. Implementing Effective Community-Based Prevention Programs in the Community Youth Development Study Youth Violence and Juvenile Justice July 2008 6: 256-278; David L. DuBois, Nelson Portillo, Jean E. Rhodes, Naida Silverthorn, and Jeffrey C. Valentine. How Effective Are Mentoring Programs for Youth? A Systematic Assessment of the Evidence Psychological Science in the Public Interest August 2011 12: 57-91

- Operation of a court-involved young adult program and/or provision of services to people involved in the criminal justice system
- Provision of services to disconnected and/or high need young adults
- Provision of services to young adults ages 16 to 24
- Operation of a program that involved a group process for young adults
- Application of the values, principles and practices of positive youth development
- Provision of cognitive-behavioral therapeutic interventions/programs
- Provision of services outside of 9:00am to 5:00pm business hours
- Capacity to integrate the proposed program into overall operations
- Designation as a 501(c)(3) or use of a fiscal sponsor, as appropriate
- Capacity to manage the program, ideally with an average annual operating budget of at least two times the amount of the grant award in the past three years
- Human resource and fiscal capacity, including the ability to perform payroll services for part-time and contracted mentors
- Data management capacity, including the capacity to measure, analyze and report on process, output and outcome measures for programs
- Technology to support effective information management systems and inter-agency communications
- Willingness and ability to assess the quality of services, policies and procedures and take corrective actions
- Ability to recruit and hire mentors who are culturally sensitive as well as competent and sensitive to providing services to persons of diverse cultural backgrounds as well as responsive to the needs of minority individuals, as well as mentors that have first-hand knowledge and experience working with justice-involved young adults

### **C. Program Approach**

The core components of Arches include (1) a group process that encourages participants to become an important support system for each other; (2) a curriculum based on cognitive behavioral principles delivered by culturally appropriate mentors; (3) mentors who are available for support, advice, and guidance; (4) full time project coordinators with relevant graduate degrees or the equivalent of a minimum of five years relevant on-the-job experience to supervise and case conference with mentors and liaison with DOP; (5) incorporation of positive youth development values, principles and practices; (6) case management provided by DOP probation officers; and (7) participant stipends. The focus is on the achievement of developmental outcomes that prepare young people to succeed at education, work, and civic participation.

#### **1. Key Elements**

##### **a. Group Process**

In each Arches mentoring group, a team of five paid mentors delivers a cognitive behavioral curriculum to a group of 20 young adults twice a week for six months; each participant can attend up to 48 group sessions.<sup>7</sup> Each session lasts one and a half hours, including time for refreshments and for the session. The group process is resourced to provide support to the participating young adults; vendors are required to provide hot food and metro cards to participants at each group session. Proposers would incorporate intrinsic and extrinsic incentives into the program model, including non-financial incentives.

The groups are open and on-going: new participants are able to join existing groups at specified entry points (e.g., the first week of each month). If a participant completes the six month program and continues with the group for additional sessions, that participant will no longer count towards contracted enrollment numbers and cannot be included in budgeted reimbursement requests, including stipend payment requests.

---

<sup>7</sup> Given that each group of 20 young adults meets for six months, applicants may propose to serve participants in multiples of 40 over the course of one year. (One Arches team delivering the program for a year would serve 40 young adults. If an applicant proposed to run two separate groups over the course of a year, these two groups would serve a total of 80.)

A key feature of the Arches groups is the creation of a safe space and establishment of behavioral norms that keep all participants feeling safe and respected when they are in the program. To that end, the site/facility for the group and one-on-one mentoring sessions must be of an appropriate size and design, accessible by public transportation, and provide a safe environment conducive to positive youth development.

DOP recognizes that some participants may continue to display negative attitudes and behaviors during the program period. The program is designed to retain participants nevertheless, not to expel or reject them during the intervention period. Patience and understanding are required as are clear expectations. DOP will develop a protocol that addresses issues of confidentiality.

b. Interactive Journaling Curriculum

The evidence-based curriculum that will be employed by each Arches group is “Interactive Journaling,” which was developed by The Change Companies.<sup>8</sup> Interactive Journaling (IJ) uses journaling to assess client’s readiness to change and provides strategies that lead an individual successfully through the process of change, action, and maintenance of prosocial behavior. The curriculum is age-appropriate, suitable for use by young adult populations, and requires a third grade reading level. The curriculum will be purchased in bulk by DOP for use by all vendors selected to deliver Arches.

c. Meetings with Mentors

For the Arches groups, while all mentors will be trained to deliver the Interactive Journaling curriculum and in group facilitation, the model contemplates that at least one mentor in each group will be designated as the team leader and will have pre-existing experience in group facilitation.

In addition to two weekly group sessions, all mentors must be available to meet one-on-one with the young adults during the week, most likely before and after the group sessions. Mentors must also be available by phone for support, advice and guidance. Each applicant should include a plan for structuring mentor availability in the application.

d. Project Coordinators

In addition to mentors, the model requires that each provider employ a full-time project coordinator responsible for administration of the program, supervision of mentors, and communication with DOP. Each project coordinator can be responsible for supervising up to 15 mentors (the equivalent of up to three Arches transformative mentoring groups) at any one time. The project coordinator must have a relevant graduate degree or have the equivalent of a minimum of five years of relevant on-the-job experience. The project coordinator is responsible for: (1) ensuring that the Arches contract deliverables are met; (2) organizing group and one-on-one mentoring sessions; (3) supervising mentors, including mentor coaching and case conferencing; (4) serving as the primary point person for Probation Officers who are managing the cases of DOP clients in an Arches transformative mentoring group; and (5) reporting monthly to DOP on contract milestones, outputs and outcomes.

e. Positive Youth Development

Positive youth development is a comprehensive developmentally-appropriate framework that emphasizes the importance of building on young people’s positive attributes to promote success. It assists young adults

---

<sup>8</sup> Proctor, S., Hoffmann, N., & Allison, S. (Feb 2011). The effectiveness of interactive journaling in reducing recidivism among substance-dependent jail inmates. *International Journal of Offender Therapy and Comparative Criminology*, 1-16; Davidson, J., Crawford, R., & Kerwood, E. (2008). Constructing an EBP Post-Conviction Model of Supervision in United States Probation, District of Hawaii: A Case Study. *Federal Probation*, 72(2); Parks, G. A., & Woodford, M. S. (2005). CHOICES about alcohol: A brief alcohol abuse prevention and harm reduction program for college students. In G. R. Walz & R. K. Yep (Eds.), *VISTAS: Compelling perspectives on counseling*, 2005 (pp.171-174). Alexandria, VA: American Counseling Association.

in obtaining a sense of safety and structure; a sense of belonging and membership; a sense of self-worth and social contribution; a sense of independence and control over one's life; and a sense of closeness in interpersonal relationships. Young adults and adults establish positive, pro-social relationships and then cooperate to provide opportunities and supports for other people, including other justice-involved young adults. By actively participating in these efforts, young people learn that while they may have made mistakes in the past, they are also capable of learning new skills that they can use to better themselves, their families, and their communities.<sup>9</sup>

f. Case Management by Probation Officers

In conjunction with the mentoring, participating young adults will work one-on-one with their DOP probation officers, who will receive training in the Arches approach and provide case management. Young adults, together with their probation officers, will have developed Individual Achievement Plans (IAPs)<sup>10</sup> that identify the developmental milestones that will help prepare them to engage productively in education, work and civic life. The seven IAP domains include housing, education, workforce development, healthy relationships with a positive adult, antisocial/criminal thinking, behavioral health, and additional services and support. Young adults with identified needs in the domains of antisocial/criminal thinking, healthy relationships with a positive adult, education and/or workforce development will be targeted for the Arches intervention. Mentors, in both group and one-on-one sessions, will work with the young adults to reinforce the goals set forth in the IAPs.

Probation Officers will be responsible for ensuring that appropriate young adult clients are referred to the Arches program, and will maintain regular communications with the Project Coordinators at participating nonprofit organizations delivering the mentoring intervention. The key point of contact for the Probation Officer will be the Project Coordinator. Probation Officers will also be responsible for coordinating necessary referrals for young adults on probation, including referrals to services for health and mental health, substance abuse, and anger management, as well as connections to educational and employment opportunities. Service providers are expected to help DOP with assessment of clients for referral to Arches, including visits to DOP offices and NeONs.

g. Participant Stipends

Cash stipends totaling \$800.00 are available for each participating young adult. The costs are assumed by DOP and should not be included in the application. DOP will disburse cash stipends to participants at pre-determined intervals based on their attendance at Arches group mentoring sessions (\$100 after one month, \$200 after three months and \$500 after six months) based on reports of attendance submitted to DOP by the vendor.

## 2. Target Population

The target population for Arches is young adults between the ages of 16 and 24 who are serving a sentence of adult probation and residing in or near one of the four targeted neighborhoods. Young adults under active supervision with identified needs in the domains of antisocial/criminal thinking, healthy relationships with a positive adult, education and/or workforce development will be targeted for Arches. For young adults referred to Arches, DOP will include participation in Arches as part of the client's supervision plan. Clients are eligible for Arches regardless of their conviction or criminal history.

---

<sup>9</sup> Butts, Jeffrey A., Gordon Bazemore, & Aundra Saa Meroe (2010). Positive Youth Justice--Framing Justice Interventions Using the Concepts of Positive Youth Development. Washington, DC: Coalition for Juvenile Justice. 2010

<sup>10</sup> Individual Achievement Plans (IAPs), negotiated by probation officers and their clients, are an essential part of the new NYC Model of Probation for all clients. IAP's are individualized and transparent probation agreements with specific goals and conditions that match the interests, needs, and challenges of each probation client.

Most young adults on probation are between the ages of 18 and 24 (87 percent), and most are male (80 to 90 percent). Accordingly, most groups are expected to serve men between the ages of 18 and 24. If participant referrals allow, DOP encourages organizations to run groups for 16 to 19 year olds as well as groups for 20 to 24 year olds. DOP also anticipates that some organizations may run a group that includes women on probation.

### **3. Program Hours/Schedule**

Arches requires that vendors run a group-based mentoring program and ensure that mentors are also available to meet with participants one-on-one, most likely before and after the group sessions are held. Vendors must have the ability to deliver Arches outside of normal 9:00 am to 5:00 pm business hours in order to accommodate participants who are working or in school and require groups that are conducted in the evenings and/or on weekends. Mentors must also be available by phone to provide support, advice and guidance as needed.

### **4. Staffing**

The model requires that each participating organization employ a full-time project coordinator responsible for administration of the program, supervision of mentors, and communication with DOP. The project coordinator must have a relevant graduate degree or have the equivalent of a minimum of five years of relevant on-the-job experience. He/she must be based full-time in the neighborhood where services are being delivered.

Project Coordinators are responsible for recruiting, hiring and supervising paid mentors. Each group of 20 young adults must have five mentors. Mentors can be full or part-time employees or independent contractors of the participating nonprofit organization.<sup>11</sup> Mentors should include a mix of people who have themselves been justice-involved, those who work in the private and nonprofit sectors, and respected community residents. Mentors should be paid a minimum of \$15.00 per hour for their time, including:

- Facilitating and participating in mentoring groups for young adults on probation
- Meeting one-on-one with young adult participants
- Being available for support, advice, and guidance
- Participating in regularly scheduled on-going trainings and supervision

Project coordinators and mentors must be “credible messengers,” that is, culturally appropriate and responsive to the needs of minority individuals. They should possess an understanding of the targeted neighborhood and be familiar with the unique challenges faced by young adults who live there.

Mentors must be able to demonstrate that they are able to commit to a minimum number of hours per week of service to the program. One mentor in each group would be designated as the team leader and would have at least one year of experience with group facilitation. Ideal mentors would have experience using cognitive behavioral therapies, motivational interviewing and/or positive youth development, although training for mentors will be provided.

Outreach to qualified neighborhood residents must be part of a recruitment plan for hiring mentors. In addition, organizations would include outreach to recently laid-off Probation Officer Trainees for hiring full-time Project Coordinators as part of the recruitment plan if awarded. For example: Provide job vacancy notices to DOPs Human Resources Office for dissemination to laid-off agency employees who may be interested in applying for open positions.

### **5. Partnerships, Collaborations and Linkages**

---

<sup>11</sup> While some mentors might be employed on the staff of the participating organization and serve as mentors as part of their employment responsibilities, DOP expects that a significant percentage of the mentors will be hired from outside the participating organization on a contractual part-time basis.

The provider would leverage additional resources, for example, by developing partnerships, collaborations and/or linkages with appropriate community organizations and other services providers to help participants achieve program outcomes.

## **6. Performance Measures**

### **a. Outcomes**

Arches is based on cognitive restructuring of the thoughts and attitudes that put one at risk of engaging in criminal behavior and on improving social problem solving and social skills. Short-term outcomes from Arches include behavioral changes such as increased well-being, decreased substance abuse and violent behaviors, and decreased self-harm as well as attitudinal changes including better personal and family relationships, increased self-esteem, self-efficacy and social competence, and improved skills for avoiding risky behaviors and engaging in positive behaviors. Longer-term outcomes include advances in education, employment and self-sufficient living as well as the cessation of criminal activity.

Participating organizations will be responsible for monitoring and reporting on enrollment and attendance in the Arches program to DOP on a monthly basis. Organizations will also work with DOP to administer participant self-report measures, applied skills tests, and to collect reports from mentors in order to assess outcomes at predetermined intervals. In addition, DOP will track recidivism as measured by new arrests, arrests for felonies, arrests for violent felonies, criminal convictions and technical violations of probation.

Contract milestones will be calculated by enrollment, attendance and retention of participants. DOP expects enrollment at 100 percent, 30 day retention at 80 percent, 90 day retention at 75 percent, and program completion at 65 percent. In addition, DOP expects an average attendance rate of 70 percent. As noted above, the ultimate goal of the program is to reduce the rates of recidivism for young adults by five to ten percent. As such, DOP will measure recidivism throughout the contract period.

### **b. City-wide Evaluation of the Arches Transformative Mentoring Intervention**

Arches will be evaluated by New York City's Center for Economic Opportunity (CEO). DOP/CEO or its external evaluator will periodically visit providers to observe program activities and obtain detailed data on young adults' activities within the program. Other monitoring and evaluation activities may include surveys, focus groups and administrative record reviews. This is in addition to regular contact to document the program's status and to follow up with participants after program completion. DOP/CEO or its external evaluators may also conduct staff and enrollee interviews as well as obtain and analyze baseline and program data for the research. In the event of an evaluation using an experimental design, providers may be required to alter enrollment practices to ensure random assignment of potential participants to a group that is enrolled in the program intervention or a control group that is not.

At a minimum, providers will be required to maintain and submit participant-level data (reflecting participant and household characteristics, services provided, and outcomes achieved). Such data will be submitted on a monthly basis or other frequency determined by DOP/CEO. DOP plans to introduce a unified electronic enrollment and attendance tracking system for this purpose.

### **c. Reporting**

Participating organizations will be required to work closely with DOP and CEO to measure and report regularly on program outcomes. DOP will require monthly reports from participating organizations, including but not limited to specific information about participant enrollment and attendance, general notes about each group session (including, e.g., topics covered, exercises completed and issues arising, a template for which will be provided by DOP), and information about mentor recruitment and retention.

#### **D. Technical Assistance and Training for the Arches Mentoring Intervention**

The Mayor's Fund to Advance New York City will contract with a technical assistance and training provider to provide ongoing training and technical assistance to mentors and project coordinators to ensure that the model is implemented properly and consistently across vendors and across the targeted neighborhoods, and to help build organizational and community capacity in the targeted neighborhoods to serve justice-involved young adults. The technical assistance and training services will include:

- Pre- and in-service training of mentors and project coordinators focused on delivery of the Interactive Journaling curriculum, mentoring, and group facilitation. It is anticipated that there will be approximately 25-35 hours of training over the course of the first year. The training will begin before the onset of service delivery to ensure mentors are well-versed in delivering the curriculum.
- Technical assistance (on and off-site) to vendors on quality control and program implementation, including organizational development and operations to ensure that implementation challenges are effectively addressed (approximately two days of TA per organization per year).
- Creation, together with DOP, of a network of organizations delivering the Arches intervention in order to facilitate learning, share promising practices, identify challenges faced in the implementation of the model, and develop effective strategies to address these challenges. A network (or "learning community") will be created in each borough, where project coordinators and mentors from all vendors in that borough will meet quarterly for a facilitated conversation about the implementation of the Arches model. In addition, the networks in each borough will come together regularly citywide to share best practices.

Facilitation of several sessions a year where DOP staff and service providers learn together about best practices in youth development and collaborating for public safety and youth achievement.

- E. **Compliance with Local Law 34 of 2007:** Pursuant to Local Law 34 of 2007, amending the City's Campaign Finance Law, the City is required to establish a computerized database containing the names of any "person" who has "business dealings with the City" as such terms are defined in the Local Law. In order for the City to obtain necessary information to establish the required database providers responding to this solicitation are required to complete the attached Doing Business Data Form and return it with this application and should do so in a separate sealed envelope. (If the responding vendor is a proposed joint venture, the entities that comprise the joint venture must each complete a Data Form). If the City determines that a vendor has failed to submit a Data Form or has submitted a Data Form that is not complete, the vendor will be notified by the agency and will be given four (4) calendar days from receipt of notification to cure the specified deficiencies and return a complete Data Form to the agency. Failure to do so will result in a determination that the application is non-responsive. Receipt of notification is defined as the day notice is e-mailed or faxed (if the vendor has provided an e-mail address or fax number), or no later than five (5) days from the date of mailing or upon delivery, if delivered.



## **SECTION IV: FORMAT AND CONTENT OF THE APPLICATION**

**Instructions:** Applicants should provide all information required in the format below.

- The application should be typed on 8 1/2" x 11" paper.
- Lines should be double-spaced with 1" margins, using 12-point font size.
- Pages should be numbered and include a header or footer identifying the applicant.
- Applications should not exceed 30 pages (excluding requested attachments).
- The application should include a **Table of Contents**, immediately following the Application Summary Form.
- The City of New York requests that all applications be submitted on paper with no less than 30 percent post-consumer material content, *i.e.*, the minimum recovered fiber content level for reprographic papers recommended by the United States Environmental Protection Agency. (For any change to that standard please consult: <http://www.epa.gov/cpg/products/printing.html>.)
- Applicants should use the structure and order provided below and include the questions as the section headers in their responses.
- Applicants should include all requested attachments in the order presented in the Application Checklist. Please clearly separate each attachment.

### **A. Application Format**

#### **1. Application Summary Form**

The Application Summary Form (Attachment 1) transmits the application package. It should be completed in full, signed, and dated by the Board Chair or Executive Director of the applicant. Completing this form fully and accurately assists in the evaluation of the application.

#### **2. Site Visit Form**

The Site Visit Form (Attachment 2) will be used to schedule site visits for all applicants meeting the minimum qualifications of this RFA. It should be completed in full, indicating the name of the person within your organization who should be contacted to schedule the visit. The site visit will be conducted at the location proposed in this application for the Arches groups and the address of that site should also be indicated on the form. The Executive Director should be present for the site visit. Attendance by a member of the Board of Directors and a proposed project coordinator (if one has been identified) is also encouraged.

#### **3. Program Application**

The Program Application is a clear, concise narrative which addresses the following:

##### **a. Organizational Experience**

- Briefly describe your organization's history and mission
- Who does your organization serve?
- Describe the experience of the senior leadership of your organization.
- Describe your organization's experience over the past five years with the specific neighborhood(s) where services will be delivered
- Describe any relevant experience that your organization and/or the senior leadership of your organization has had, within the past five years, in providing programs that demonstrate experience relating to the list below. For each program cited, provide a brief description of the services offered, dates of operation, program goals, and impact:
  - Operation of a court-involved young adult program and/or provision of services to people involved in the justice system

- Provision of services to disconnected and/or high need young adults
  - Provision of services to young adults ages 16 to 24
  - Operation of a program that involved a group process for young adults
  - Application of the values, principles and practices of positive youth development
  - Provision of cognitive-behavioral therapeutic interventions/programs
  - Provision of mentoring or coaching interventions
  - Provision of services outside of 9:00 am to 5:00 pm business hours
- Attach up to three work samples of previously completed projects similar in nature and relevant to the program proposed
- Complete Attachment 3, Relevant Experience Form, reproduce extra copies as needed, using the most recent quantitative measure to demonstrate that each program cited above was effective in each of the following areas:
  - Achievement of enrollment numbers that met or exceeded the funder/program expectation (target levels vs. actual enrollments)
  - Achievement of outcomes that met or exceeded funder/program expectations (projections vs. actual outcomes)

## **b. Organizational Capability**

Demonstrate your organization's programmatic, managerial, and financial capability to perform the services described in the Scope of Services. Specifically describe:

- Your organization's capacity to incorporate the proposed program into overall operations. Attach an organizational chart showing your organization and how the proposed program and program staff will relate to the overall organization
- Does your organization have 501(c) (3) tax designation? If not, who serves as your fiscal sponsor?
- For the past three years, your organization's annual operating budget and number of staff
- Your organization's human resource management capacity, including the ability to perform payroll services for part-time and contracted mentors
- Complete Corporate Governance Certification (Attachment 4).
- Your organization's fiscal management capacity. Attach a copy of the most recent financial audit of the organization conducted by a certified public accountant, indicating the period covered, or, if no audit has been performed, the most recent financial statement, indicating the period covered and an explanation of why no audited financial statement is available
- List at least three relevant funding references, or, if there are no funding sources, other relevant references may be listed. For each person, include: his or her name and organizational affiliation, contact information (mailing address, email address and telephone), and the basis for the person's knowledge of your organization's work
- Attach your organization's annual report and certificate of incorporation

## **c. Program Approach**

Describe in detail how your organization will provide the services described in the Scope of Services and demonstrate how the proposed approach will fulfill the goals and objectives of the program. Specifically address the following:

### **1. Leadership and Staffing**

- Describe how senior leadership will support the project coordinator in carrying out the duties associated with recruiting mentors and delivering Arches

- Describe your organization's plan to recruit and hire mentors who are culturally competent, have had first-hand knowledge of the justice system, and/or have had experience working with justice-involved young adults. Specifically address any potential partnerships with other organizations to identify eligible mentors
- Demonstrate that mentors and project coordinators will be available for ongoing training and technical assistance as described in the Scope of Services
- Describe how mentors will be evaluated and provided with feedback
- Demonstrate that the project coordinator(s), the mentor team leader(s), and any other staff relevant to this program will be appropriately qualified. Attach resumes for staff already identified and job descriptions for positions not yet filled indicating qualifications required.

## 2. Partnerships, Collaborations, and Linkages

Describe the applicant's partnerships, collaborations, and linkages whose contributions to the proposed program benefit participants. Complete Attachment 5, Linkage Agreement for each proposed linkage. Also, address each of the following items:

- Partnerships or collaborations with other similar providers in and/or outside of the community
- Descriptions of each proposed linkage with other organizations and how each will help participants achieve program outcomes
- If collaborating with another organization that is also submitting an application to work in a different targeted neighborhood/competition pool, describe the role of each organization and how it will benefit the program
- Attach signed letters of commitment from planned partnerships, collaborations and/or linkages, if any

## 3. Population to be Served

Identify and describe:

- The neighborhood in which services will be provided
- The target population(s) to be served and indicate the number of participants to be served
- Demonstrate the strengths and needs of the target population(s)

## 4. Participant Incentives

Describe:

- Your organization's plan to integrate extrinsic and intrinsic incentives into the program model
- Any non-financial incentives given to participants
- Your organization's plan for providing hot food at each group session
- Your organization's plan for providing metro cards for each group session

## 5. The Group Process

Describe:

- How your organization plans to integrate the Interactive Journaling curriculum into the program<sup>12</sup>
- The type of orientation given to participants before the groups commence
- How a safe space will be created and behavioral norms established for group sessions, including opening, closing, and/or other group rituals
- Procedures for intake, orientation, and placement of participants into mentoring groups
- The facility, and demonstrate that it will be appropriate in size and design to accommodate group and one-on-one sessions with mentors
- Demonstrate that the facility is in the targeted neighborhood
- Demonstrate that the building and all equipment therein meet the local fire, health and safety standards. State whether the facility will meet American with Disabilities Requirements (ADA). If facilities do not

---

<sup>12</sup> For the purposes of this RFA, proposers should include the use of the Forward Thinking series of the Interactive Journaling curriculum as part of their proposed program approach. DOP's final selection of a specific curriculum series will be explained to awardees at the time of contract award.

meet ADA requirements, explain alternate measures that would be taken to make activities accessible to persons with disabilities

- Demonstrate that the facility will be easily accessible by public transportation
- Demonstrate how a safe environment conducive to positive youth development will be created

#### 8. Meetings with Mentors

Describe:

- How one-on-one meetings with mentors will be organized and provided
- How mentor availability for phone support, advice and guidance will be provided

#### 9. Project Coordinators

Describe:

- The number of project coordinators anticipated and the role for the project coordinator
- How the project coordinator will ensure that contract deliverables are met
- How the project coordinator will schedule group and one-on-one mentoring sessions
- How the project coordinator will supervise mentors, including case conferencing process and review of participant progress
- How the project coordinators will communicate with DOP Probation Officers

#### 10. Outcomes, Data Collection and Reporting

- Describe record keeping, data collection, and procedures for documenting and reporting participant and group outputs and outcomes
- Summarize previous experience collecting data and meeting reporting requirements
- Indicate what quality control measures will be in place to assure timely, accurate, and reliable data
- Summarize how collected data will be used and by whom to strengthen program performance and enhance participant experience
- Describe how outcome achievement data will be used to improve program effectiveness
- Describe the procedures for monitoring attendance, participation and intervening to support retention
- Describe the anticipated barriers to program retention and how the program will address these issues

### **d. Price Application and Budget**

The Price Application is the funding request for providing the services described in the Scope of Services. The budget will be reviewed and scored as it relates to the program approach. It includes the following:

- Application Budget Summary Form (Attachment 6)
- Budget Justification (preferable page limit: 3 pages) Justify how requested funds would be used to deliver program services. Applicants should ensure that the budget and budget justification are consistent with the proposed program.

### **e. Doing Business Data Form**

The applicant should complete the Doing Business Data Form (Attachment 7) and return it with the application. The submission of a Doing Business Data Form that is not accurate and complete may result in appropriate sanctions.

### **f. Acknowledgment of Addenda**

The Acknowledgment of Addenda form (Attachment 8) serves as the applicant's acknowledgment of the receipt of addenda to this RFA which may have been issued prior to the Application Due Date and Time. The applicant should complete this form as instructed on the form.

## **B. Application Package Checklist**

The Application Package should contain the following materials. Applicants should utilize this section as a "checklist" to assure completeness prior to submitting their applications.

1. The Application package should include **one original set and five duplicate sets** of the documents listed below in the following order:

- Application Summary Form (Attachment 1)
- Site Visit Form (Attachment 2)
- Program Application
  - Table of Contents
  - Narrative
  - Relevant Experience Form (Attachment 3)
  - Resumes or Descriptions of Qualifications for Key Staff Positions
  - Organizational Chart
  - Corporate Governance Certification (Attachment 4)
  - References for the Applicant
  - Samples of previously completed projects
  - Audit Report or Certified Financial Statement or a statement as to why no report or statement is available
  - Certificate of Incorporation
  - Annual Report
  - Linkage Agreement Form(s) (Attachment 5)
- Price Application
  - Budget Justification
  - Application Budget Summary Form (Attachment 6)
- Acknowledgment of Addenda Form (Attachment 8)

2. In a sealed inner envelope, **one** original of the Doing Business Data Form (Attachment 7) should be included in the application package.

For each application submitted, enclose the documents listed above in a sealed envelope and hand deliver to Department of Probation, attention: **Vincent Perneti, Agency Chief Contracting Officer**.

Label the envelope with the following:

- The title and PIN of this RFA
- The targeted neighborhood
- The applicant's name and address
- The name, title, address, and phone number of the authorized agency contact person

## **SECTION V: APPLICATION EVALUATION AND CONTRACT AWARD PROCEDURES**

### **A. Evaluation Procedures**

All applications accepted by DOP/CEO/Mayor's Fund will be reviewed to determine whether they are responsive or nonresponsive to the requirements of this RFA. Applications which DOP/CEO/Mayor's Fund determines to be nonresponsive will be rejected. DOP/CEO/Mayor's Fund Evaluation Committees will evaluate and rate all remaining applications based on the Evaluation Criteria prescribed below. In addition, DOP/CEO will conduct site visits to the proposed program site as part of the evaluation. The evaluation of the written application and the results of the site visit combined will constitute the overall technical score for each applicant. DOP/CEO/Mayor's Fund also reserves the right to conduct interviews, or to request that applicants make presentations, as deemed applicable and appropriate. Although DOP/CEO/Mayor's Fund may conduct discussions with applicants submitting acceptable applications, it reserves the right to award contracts on the basis of initial applications received, without discussions; therefore, the applicant's initial application should contain its best programmatic terms.

### **B. Evaluation Criteria**

- |   |                   |
|---|-------------------|
| • <b>Demonstrated Quantity and Quality of Successful Relevant Experience:</b> | <b>30 percent</b> |
| • <b>Demonstrated Level of Organizational Capability:</b>                     | <b>20 percent</b> |
| • <b>Quality of Program Approach:</b>   | <b>50 percent</b> |

### **C. Basis for Contract Award**

All applications will be reviewed and evaluated based on the criteria set forth in this RFA. Awards will be based on the quality of the proposed project as set forth in the application and site visit. Within each competition, applications will be ranked in descending order of their overall average technical scores. Awards will be made to the highest rated vendors whose applications are technically viable and whose prices do not exceed the conditions set forth in the RFA. However:

- DOP/CEO/Mayor's Fund reserves the right to make awards to ensure the appropriate distribution of necessary services and programs across targeted geographic areas within the City. DOP reserves the right to negotiate with any successful applicant to include additional targeted Community Districts. If an insufficient number of acceptable applications are received for any targeted neighborhood, DOP also reserves the right to negotiate with existing applicants/awardees for the inclusion of additional neighborhoods and/or reopen the competition and solicit additional applications for services in that neighborhood.
- DOP/CEO/Mayor's Fund reserve the right to conduct site visits and/or interviews and/or to request that applicants make presentations and/or demonstrations, as is deemed applicable and appropriate.
- DOP/CEO/Mayor's Fund reserve the right to award less than the full amount of funding requested and to modify the allocation of funds among competitions in the best interests of the City.
- In the case that an applicant is eligible for more than one contract award from this RFA, DOP/CEO/Mayor's Fund reserve the right to determine, based on the applicant's demonstrated organizational capability and the best interests of the City, respectively, how many and for which program(s) the applicant will be awarded contracts and at what level of services and dollar value.
- DOP reserves the right, once applications have been submitted, to suggest possible collaborations between vendors and/or engage in negotiations with potential vendors before making final contract awards.

**D. Notice of awards:**

DOP will notify applicants whose applications have been accepted for awards.

**Payment:** The Mayor's Fund will reimburse expenses, pending approval from DOP and based on invoices in the name of the contractor in accordance with budget items shown on the contractor's application.

**Insurance:** The contractor will be required to maintain insurance to cover program operations and administration. The contractor would demonstrate the possession of necessary insurance coverage by providing an original certificate of insurance. Funds will not be released to any applicant awarded a contract until it has obtained the necessary insurance coverage.

# **ATTACHMENT 1: Application Summary Form**

**Arches: A Transformative Mentoring Intervention    Expansion**

**PIN: 78112ARCHESRFAE**

Applicant

Organization: \_\_\_\_\_ EIN: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Zip Code

Contact: \_\_\_\_\_ Title: \_\_\_\_\_

ContactEmail: \_\_\_\_\_

Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_

<b><u>TOTAL Funding Request:</u></b>	<b><u>Number of Participants</u></b>	<b><u>Cost Per Participant</u></b>	<b><u>Total Annual Funding Request</u></b>
<b>Targeted Community District</b> (Check one only)	<input type="checkbox"/> Soundview (BX CD 9) <input type="checkbox"/> Edenwald (BX CD 12)	<input type="checkbox"/> St. George/Port Richmond (SI CD 1) <input type="checkbox"/> Highbridge/Grand Concourse/ University Heights (BX CD 4&5)	

<b>Program Site Information</b>		
Please complete the following information for each site location (Attach additional pages if necessary)		
<b><u>Number of Sites for Proposed Program:</u></b>		
Site #: _____	Planned annual enrollment at Site: _____	Site Name: _____
Address: _____		
Site #: _____	Planned annual enrollment at Site: _____	Site Name: _____
Address: _____		

Is the application printed on both sides, on recycled paper containing the minimum percentage of recovered fiber content as requested by the City in the instructions to this solicitation? ☐ Yes ☐ No

Applicant is willing to additionally provide services to a targeted CD for which it did not apply. ☐ Yes ☐ No

Has the applicant submitted more than one application in response to this RFP. ☐ Yes ☐ No  
If yes, how many? \_\_\_\_\_

Is this application in collaboration with another organization submitting a separate application? ☐ Yes ☐ No  
If so, which organizations and competition pool? \_\_\_\_\_

Authorized

Representative: \_\_\_\_\_  
Print Name Signature

Title: \_\_\_\_\_ E-mail: \_\_\_\_\_



## **ATTACHMENT 2: Site Visit Form**

**Arches: A Transformative Mentoring Intervention Expansion**

**PIN: 78112ARCHESRFAE**

**Instructions:** Complete all information below as it relates to the proposed program site where Arches groups would be held. DOP will contact all applicants to schedule a site visit.

<b>Site Visit Contact</b>	
Name:	
Telephone:	

<b>Site Visit Location</b>	
Complete the following for the main site where Arches groups will be held	
Site Name:	
Address:	
	City
	State
	Zip Code

## Attachment 3: Relevant Experience Form

Arches: A Transformative Mentoring Intervention Expansion

PIN: 78112ARCHESRFAE

**Instructions:** Complete for one program only; duplicate form as needed to report on other programs.

Indicate funding source for this program \_\_\_\_\_

Program Name: \_\_\_\_\_

Program Time Period (Describe only one time period for this program.)	Target Enrollment	Actual Enrollment
Outcome 1:	Projected Achievement	Actual Achievement
Outcome 2:	Projected Achievement	Actual Achievement
Outcome 3:	Projected Achievement	Actual Achievement

## **ATTACHMENT 4: Corporate Governance Certification**

**Arches: A Transformative Mentoring Intervention    Expansion**

**PIN: 78112ARCHESRFAE**

To enter into a contract with DOP/CEO, each organization must certify that its organizational capability is sufficient to support the services it has contracted to provide. To certify, complete the form below, and include an attached list of the members of the Board of Directors, with the name, title, address, telephone number, and e-mail address of each member.

---

I, \_\_\_\_\_, am the Chairperson of the Board of \_\_\_\_\_ (“Applicant”), an organization that has applied to provide certain youth or community development services. I hereby certify that the Applicant:

1. Is governed by a Board of Directors, whose names and addresses are fully and accurately set forth on the attached list.
2. Maintains its corporate books and records, including minutes of each meeting, at the Applicant’s address stated on the Application Summary Form (Attachment 1 of this RFP).
3. Has held in the past 12 months \_\_\_\_\_ meetings of the Board of Directors at which a quorum was present.
4. Reviews, at least annually, at a meeting of the Board of Directors and has reviewed in the past 12 months each of the following topics:
  - a. Executive compensation
  - b. Internal controls, including financial controls
  - c. Audits
  - d. Program operations and outcomes.

**Name of Organization (Print)**

---

**Name of Board Chairperson (Print)**

---

**Signature of Board Chairperson**

---

Sworn to before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_.

---

NOTARY PUBLIC

## **ATTACHMENT 5: Linkage Agreement Form**

**Arches: A Transformative Mentoring Intervention    Expansion**

**PIN: 78112ARCHESRFAE**

Proposer:

**INSTRUCTIONS:** This agreement is demonstration of a commitment to integrate service delivery through working relationships with other organizations. It is not a consultant agreement. Provide one Linkage Agreement for each organization with which you will be working. Duplicate this form as needed.

Pursuant to the proposal submitted by \_\_\_\_\_  
(Proposing Organization)

In response to the Arches: A Transformative Mentoring Intervention Expansion Request for Applications from the Department of Probation and the Center for Economic Opportunity, the proposer, if funded, will establish programmatic linkage with \_\_\_\_\_  
(Linked Organization)  
in the form and manner described below.

Describe the proposed programmatic linkage, including how referrals and follow-up services for individuals will be maintained.

Proposing Organization:

Linked Organization:

\_\_\_\_\_  
Authorized Representative

\_\_\_\_\_  
Authorized Representative

\_\_\_\_\_  
Title

\_\_\_\_\_  
Title

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Work Address

\_\_\_\_\_  
Work Telephone Number

\_\_\_\_\_  
Date

## **ATTACHMENT 6: Application Budget Summary Form**

Arches: A Transformative Mentoring Intervention    Expansion

PIN: 78112ARCHESRFAE

<b>Organization:</b>		<b>EIN:</b>	
----------------------	--	-------------	--

Category	DOP/CEO Funding Request:
<b>Personnel Services</b>	
<b>Salaries and Wages</b>	\$
<b>Full Time:</b>	\$
<b>Part Time:</b>	\$
<b>Fringe Benefits</b>	\$
<b>Total Personnel Services:</b>	\$
<b>Non-Staff Services</b>	
<b>Consultants</b>	\$
<b>Subcontractors</b>	\$
<b>Stipends/Incentives</b>	\$
<b>Vendors</b>	\$
<b>Total Non-Staff Services:</b>	\$
<b>Other Than Personnel Services</b>	
<b>Consumable Supplies</b>	\$
<b>Equipment Purchases</b>	\$
<b>Equipment Other</b>	\$
<b>Space Costs</b>	\$
<b>Travel</b>	\$
<b>Utilities &amp; Telephone</b>	\$
<b>Other Operational Costs</b>	\$
<b>Other Costs:</b>	\$
<b>Indirect Costs:</b>	\$
<b>Total Other Than Personnel Services:</b>	\$
<b>Total DOP/CEO Funding Request:</b>	\$

## **Application Budget Summary Category Definitions**

### **Personnel Services**

#### **Salaries and Wages**

- The Salaries are divided into two categories:
  - Full Time employees: Persons who work 35 hours or more per week
  - Part Time employees: Persons who work fewer than 35 hours per week

#### **Fringe Benefits**

- Fringe Benefits must include FICA. Charges to Fringe Benefits may also include unemployment insurance, worker's compensation, disability, pension, life insurance and medical coverage as per your policies. Enter the Fringe Benefit rate as indicated on the budget summary page. Fringe rates must not be less than 7.65% or exceed 30% of total salaries.

#### **Insurance**

- All funded programs must have general liability insurance of \$1 million, with a certificate naming DOP/CEO and the City of New York as additional insureds.

### **Non-Staff Services**

#### **Consultants**

- Typically, independent individuals with professional or technical skills retained to perform specific tasks or complete projects related to the program that cannot be accomplished by regular staff. A consultant cannot be a salaried employee.

#### **Subcontractors**

- Typically, independent nonprofit entities retained to perform program services. A subcontract will be part of the DOP/CEO contract and will be registered with the NYC Comptroller. Each Subcontractor's EIN must be listed on the subcontract and on its budget.

#### **Stipends**

- An incentive allowance ONLY for the benefit of a participant or client.

#### **Vendors**

- An independent business entity retained to provide non-program services. Examples: Cleaning services, security, and accounting services.

### **Other than Personnel Services**

#### **Consumable Supplies**

- Supplies that are not lasting or permanent in nature, such as office, program, and/or maintenance supplies.

#### **Equipment Purchases**

- Purchases of equipment that is durable or permanent, such as furniture, printers, calculators, telephones, and computers. All equipment and furniture purchased with DOP/CEO funds at a cost of \$500 or more become the property of The City of New York/. If the program is terminated, all such items must be returned to DOP/CEO.

#### **Equipment Other**

- The rental, lease, repair, and maintenance of office/program equipment utilized in the program's operation. This category also includes Computer Software.

#### **Space Costs**

- Public School: Opening fees and room rentals paid to the Department of Education (DOE) or

- **Space Cost/Other:** All other rent paid by a program for all sites utilized by that program. It also includes all related charges associated with the use of the site such as minor repairs and maintenance costs. No renovation or construction projects can be budgeted or paid for with DOP/CEO program funds.
- After being selected, all contractors charging for space cost are required to submit a Space Cost/Cost Allocation Plan. In addition, you will be required to submit a copy of your lease, DOE permit, or month-to-month rental agreement at the time of the budget submission.

### **Travel**

- Local travel (i.e., bus and subway fares) by the employees of the program to and from sites that are being used for day-to-day program functions. Expenditures for employees who use their personal automobile for business are reimbursed a maximum of \$0.28 per mile plus tolls. Charge to this account all participant-related travel, such as bus trips and local travel.

### **Utilities & Telephone**

- Utilities & Telephone costs associated with the proposed program.

### **Other Operational Costs**

- This category is separated into two subcategories:
  - **Other Costs:** Items such as audit costs, postage, printing and publications, subscriptions, Internet fees, etc. Also includes any other operating costs that cannot be classified in any other category. In addition, includes costs associated with and for the benefit of the participants such as food, refreshments, entrance fees, awards, T-shirts, uniforms, and sporting equipment. This category also includes general liability insurance for contractors not in the Central Insurance Program.
  - **Indirect Costs:** The purpose of Indirect Costs is to capture overhead costs incurred by a contractor operating several programs. The maximum allowable rate is 10 percent of the total budget.



## Doing Business Data Form

To be completed by the City Agency prior to distribution			
Agency: _____		Transaction ID: _____	
Check One:	Transaction Type (check one):		
<input type="checkbox"/> Proposal	<input type="checkbox"/> Concession	<input type="checkbox"/> Contract	<input type="checkbox"/> Economic Development Agreement
<input type="checkbox"/> Award	<input type="checkbox"/> Franchise	<input type="checkbox"/> Grant	<input type="checkbox"/> Pension Investment Contract

Any entity receiving, applying for or proposing on an award or agreement must complete a Doing Business Data Form (see Q&A sheet for more information). Please either type responses directly into this fillable form or print answers by hand in black ink, and be sure to fill out the certification box on the last page. **Submission of a complete and accurate form is required for a proposal to be considered responsive or for any entity to receive an award or enter into an agreement.**

This Data Form requires information to be provided on principal officers, owners and senior managers. The name, employer and title of each person identified on the Data Form will be included in a public database of people who do business with the City of New York; no other information reported on this form will be disclosed to the public. **This Data Form is not related to the City's VENDEX requirements.**

**Please return the completed Data Form to the City Agency that supplied it.** Please contact the Doing Business Accountability Project at [DoingBusiness@cityhall.nyc.gov](mailto:DoingBusiness@cityhall.nyc.gov) or 212-788-8104 with any questions regarding this Data Form. Thank you for your cooperation.

### Section 1: Entity Information

Entity Name: \_\_\_\_\_

Entity EIN/TIN: \_\_\_\_\_

#### Entity Filing Status (select one):

- ☐ Entity has never completed a Doing Business Data Form. *Fill out the entire form.*
- ☐ Change from previous Data Form dated \_\_\_\_\_. *Fill out only those sections that have changed, and indicate the name of the persons who no longer hold positions with the entity.*
- ☐ No Change from previous Data Form dated \_\_\_\_\_. *Skip to the bottom of the last page.*

Entity is a Non-Profit: ☐ Yes ☐ No

Entity Type: ☐ Corporation (any type) ☐ Joint Venture ☐ LLC ☐ Partnership (any type)  
☐ Sole Proprietor ☐ Other (specify): \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_

E-mail: \_\_\_\_\_

Provide your e-mail address and/or fax number in order to receive notices regarding this form by e-mail or fax.



**Section 2: Principal Officers**

Please fill in the required identification information for each officer listed below. If the entity has no such officer or its equivalent, please check "This position does not exist." If the entity is filing a Change Form and the person listed is replacing someone who was previously disclosed, please check "This person replaced..." and fill in the name of the person being replaced so his/her name can be removed from the *Doing Business Database*, and indicate the date that the change became effective.

**Chief Executive Officer (CEO) or equivalent officer**☐ This position does not exist

The highest ranking officer or manager, such as the President, Executive Director, Sole Proprietor or Chairperson of the Board.

First Name: \_\_\_\_\_ MI: \_\_\_\_\_ Last: \_\_\_\_\_

Office Title: \_\_\_\_\_

Employer (if not employed by entity): \_\_\_\_\_

Birth Date (mm/dd/yy): \_\_\_\_\_ Home Phone #: \_\_\_\_\_

Home Address: \_\_\_\_\_

☐ This person replaced former CEO: \_\_\_\_\_ on date: \_\_\_\_\_

**Chief Financial Officer (CFO) or equivalent officer**☐ This position does not exist

The highest ranking financial officer, such as the Treasurer, Comptroller, Financial Director or VP for Finance.

First Name: \_\_\_\_\_ MI: \_\_\_\_\_ Last: \_\_\_\_\_

Office Title: \_\_\_\_\_

Employer (if not employed by entity): \_\_\_\_\_

Birth Date (mm/dd/yy): \_\_\_\_\_ Home Phone #: \_\_\_\_\_

Home Address: \_\_\_\_\_

☐ This person replaced former CFO: \_\_\_\_\_ on date: \_\_\_\_\_

**Chief Operating Officer (COO) or equivalent officer**☐ This position does not exist

The highest ranking operational officer, such as the Chief Planning Officer, Director of Operations or VP for Operations.

First Name: \_\_\_\_\_ MI: \_\_\_\_\_ Last: \_\_\_\_\_

Office Title: \_\_\_\_\_

Employer (if not employed by entity): \_\_\_\_\_

Birth Date (mm/dd/yy): \_\_\_\_\_ Home Phone #: \_\_\_\_\_

Home Address: \_\_\_\_\_

☐ This person replaced former COO: \_\_\_\_\_ on date: \_\_\_\_\_

**Section 3: Principal Owners**

Please fill in the required identification information for all individuals who, through stock shares, partnership agreements or other means, **own or control 10% or more of the entity**. If no individual owners exist, please check the appropriate box to indicate why and skip to the next page. If the entity is owned by other companies, those companies do **not** need to be listed. If an owner was identified on the previous page, fill in his/her name and write "See above." If the entity is filing a Change Form, list any individuals who are no longer owners at the bottom of this page. If more space is needed, attach additional pages labeled "Additional Owners."

**There are no owners listed because (select one):**

- ☐ The entity is not-for-profit      ☐ There are no individual owners      ☐ No individual owner holds 10% or more shares in the entity  
☐ Other (explain): \_\_\_\_\_

**Principal Owners (who own or control 10% or more of the entity):**

First Name: \_\_\_\_\_ MI: \_\_\_\_\_ Last: \_\_\_\_\_

Office Title: \_\_\_\_\_

Employer (if not employed by entity): \_\_\_\_\_

Birth Date (mm/dd/yy): \_\_\_\_\_ Home Phone #: \_\_\_\_\_

Home Address: \_\_\_\_\_

First Name: \_\_\_\_\_ MI: \_\_\_\_\_ Last: \_\_\_\_\_

Office Title: \_\_\_\_\_

Employer (if not employed by entity): \_\_\_\_\_

Birth Date (mm/dd/yy): \_\_\_\_\_ Home Phone #: \_\_\_\_\_

Home Address: \_\_\_\_\_

First Name: \_\_\_\_\_ MI: \_\_\_\_\_ Last: \_\_\_\_\_

Office Title: \_\_\_\_\_

Employer (if not employed by entity): \_\_\_\_\_

Birth Date (mm/dd/yy): \_\_\_\_\_ Home Phone #: \_\_\_\_\_

Home Address: \_\_\_\_\_

**Remove the following previously-reported Principal Owners:**

Name: \_\_\_\_\_ Removal Date: \_\_\_\_\_

Name: \_\_\_\_\_ Removal Date: \_\_\_\_\_

Name: \_\_\_\_\_ Removal Date: \_\_\_\_\_

**Section 4: Senior Managers**

Please fill in the required identification information for all senior managers who oversee any of the entity's relevant transactions with the City (e.g., contract managers if this form is for a contract award/proposal, grant managers if for a grant, etc.). Senior managers include anyone who, either by title or duties, has substantial discretion and high-level oversight regarding the solicitation, letting or administration of any transaction with the City. **At least one senior manager must be listed, or the Data Form will be considered incomplete.** If a senior manager has been identified on a previous page, fill in his/her name and write "See above." If the entity is filing a Change Form, list individuals who are no longer senior managers at the bottom of this section. If more space is needed, attach additional pages labeled "Additional Senior Managers."

**Senior Managers:**

First Name: \_\_\_\_\_ MI: \_\_\_\_\_ Last: \_\_\_\_\_

Office Title: \_\_\_\_\_

Employer (if not employed by entity): \_\_\_\_\_

Birth Date (mm/dd/yy): \_\_\_\_\_ Home Phone #: \_\_\_\_\_

Home Address: \_\_\_\_\_

First Name: \_\_\_\_\_ MI: \_\_\_\_\_ Last: \_\_\_\_\_

Office Title: \_\_\_\_\_

Employer (if not employed by entity): \_\_\_\_\_

Birth Date (mm/dd/yy): \_\_\_\_\_ Home Phone #: \_\_\_\_\_

Home Address: \_\_\_\_\_

First Name: \_\_\_\_\_ MI: \_\_\_\_\_ Last: \_\_\_\_\_

Office Title: \_\_\_\_\_

Employer (if not employed by entity): \_\_\_\_\_

Birth Date (mm/dd/yy): \_\_\_\_\_ Home Phone #: \_\_\_\_\_

Home Address: \_\_\_\_\_

**Remove the following previously-reported Senior Managers:**

Name: \_\_\_\_\_ Removal Date: \_\_\_\_\_

Name: \_\_\_\_\_ Removal Date: \_\_\_\_\_

**Certification**

I certify that the information submitted on these four pages and \_\_\_\_\_ additional pages is accurate and complete. I understand that willful or fraudulent submission of a materially false statement may result in the entity being found non-responsible and therefore denied future City awards.

Name: \_\_\_\_\_

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

Entity Name: \_\_\_\_\_

Title: \_\_\_\_\_ Work Phone #: \_\_\_\_\_

**Return the completed Data Form to the agency that supplied it.**

For information or assistance, call the Doing Business Accountability Project at 212-788-8104.



## **ATTACHMENT 8: Acknowledgement of Addenda**

Arches: A Transformative Mentoring Intervention Expansion

PIN: 78112ARCHESRFAE

Applicant: \_\_\_\_\_

---

### **COMPLETE PART I OR PART II, WHICHEVER IS APPLICABLE.**

PART I: List below the dates of issuance for **each addendum received** in connection with this RFA:

ADDENDUM #1 DATED: \_\_\_\_\_, 20\_\_

ADDENDUM #2 DATED: \_\_\_\_\_, 20\_\_

ADDENDUM #3 DATED: \_\_\_\_\_, 20\_\_

ADDENDUM #4 DATED: \_\_\_\_\_, 20\_\_

ADDENDUM #5 DATED: \_\_\_\_\_, 20\_\_

ADDENDUM #6 DATED: \_\_\_\_\_, 20\_\_

ADDENDUM #7 DATED: \_\_\_\_\_, 20\_\_

ADDENDUM #8 DATED: \_\_\_\_\_, 20\_\_

PART II: Check, if applicable.

\_\_\_\_\_ NO ADDENDUM WAS RECEIVED IN CONNECTION WITH THIS RFA.

DATE \_\_\_\_/\_\_\_\_/\_\_\_\_

Applicant (NAME): \_\_\_\_\_

Applicant (SIGNATURE): \_\_\_\_\_