



**Criminal Court Abusive Partner Intervention Program
("APIP")
Demonstration Project**

EPIN: 00220D0002

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I. Important Information

Release Date	4/8/2020		
Proposal Due Date	4/29/2020, 3:00pm		
Pre-Proposal Conference – Q&A session* *RSVP required	Date: 4/17/2020	Time: 3PM	Place: Webex Conference Meeting Please RSVP by 3PM on 4/16/20 to MOCJProcurements@cityhall.nyc.gov IMPORTANT: During this conference, MOCJ will NOT go over confidential information (Appendices 1-7). Please note, questions related to the confidential information sections will be accepted until April 20, 2020 and responses will be provided to only those who have submitted NDA.
Anticipated Contract Term	<ul style="list-style-type: none"> • 06/15/2020 – 06/30/2023 • MOCJ reserves the right, prior to contract award, to determine the length of the initial contract term and each option to renew, if any. 		
Anticipated Funding and Payment Structure	<ul style="list-style-type: none"> • Anticipated Total Annual Funding: up to \$959,511 Citywide • Anticipated number of contracts: 1-5 • It is anticipated that the payment structure of the contract(s) awarded from this solicitation will be a line-item budget reimbursement that supports program start-up and operations during the first term of the awarded contract. • Performance metrics will be developed by MOCJ and provided to the selected APIP provider(s) during the first contract term to monitor program performance. These metrics may inform the payment structure during the second contract term, which may be performance-based. • MOCJ will consider proposals to structure payments in a different manner and reserves the right to select any payment structure that is in the City's best interest. 		
Agency Contact Person	MOCJProcurements@cityhall.nyc.gov		
Questions Regarding this Solicitation	<ul style="list-style-type: none"> • Questions regarding this solicitation must be transmitted via email to MOCJProcurements@cityhall.nyc.gov with the subject line: APIP Negotiated Acquisition Question • MOCJ cannot guarantee a timely response to written questions regarding this Solicitation received less than ten (10) days prior to the proposal due date. • The deadline for submitting questions regarding the confidential sections of this solicitation is April 20, 2020 at 3:00pm. • The deadline for submitting all other questions is April 22, 2020 at 3:00pm. 		

¹ Appendices 1-7 require an NDA; to obtain the NDA please email MOCJProcurements@cityhall.nyc.gov

Anticipated Number of Program Enrollments	MOCJ anticipates procuring services for approximately 850 annual intakes in APIP services <i>citywide</i> across all contracts through this procurement.
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II. Proposal Submission Package

Required Documents	
Document Type	Description
Proposal	Program Proposal – A narrative (not to exceed 10 pages) shall be typed in a 12-point font, single-spaced if 8 ½ X 11” paper which shall include your budget
Doing Business Data Form	Completed Doing Business Data Form (Attachment B)
Organizational Chart	Completed Organizational Chart
Letters of Reference	Provide at least three (3) relevant letters of reference
Annual Financial Report	Financial Audit Report, or Certified Financial Statement explaining why no Financial Audit Report is currently available or required
Letters of Intent to Subcontract; Copies of Relevant Current Linkage Agreements	Letters of Intent are required from each organization with which the proposer prospectively would seek to subcontract if awarded a contract under this solicitation. ² This is in addition to copies of any relevant linkage or partnership agreements the proposer intends to hold to demonstrate its ability to leverage these service alliances
Key Staff Resumes	Resumes and/or Descriptions of Qualifications for Key Staff Positions
Acknowledgment of Addenda Form	Completed Acknowledgment of Addenda Form for each Addenda released (Attachment D)
Optional Documents	
Licenses and Certifications	Copies of relevant licenses and certifications (e.g. to operate specialized treatment and/or programs; administer specific services including but not limited to validated screening and assessment instruments, evidence-based curricula, etc.).
Program Activities Schedule	Sample program group schedule (including time(s) of day groups will be offered and different languages in which groups will be offered).

III. Program Background

Agency Overview

The Mayor’s Office of Criminal Justice (MOCJ) advises the Mayor on criminal justice policy and is the Mayor’s representative to the courts, district attorneys, defenders, and state criminal justice agencies, among others. MOCJ designs, deploys, and evaluates citywide strategies to decrease crime, reduce unnecessary arrests and incarceration, and improve fairness in the criminal justice system. The office works with law enforcement, city agencies, not-for-profits, foundations, and others to implement data-driven strategies that address current crime conditions, prevent offending, and build the strong neighborhoods that ensure enduring safety.

Program Purpose and Goals

The Mayor’s Office of Criminal Justice (MOCJ) is seeking an appropriately qualified vendor to provide abusive partner intervention programming (APIP) for intimate partner violence defendants in the City’s criminal courts in each of the five (5) boroughs. The goal of the program is to educate participants about the dynamics and effects of intimate partner violence and move participants toward more pro-social and less abusive behaviors, ultimately reducing recidivism among participants.

Since Mayor Bill de Blasio’s administration began on January 1, 2014, New York City (NYC) has seen index crime fall 15%³, making it the safest large city with the lowest rate of incarceration in the United States.⁴ However, over the past ten years, complaints of felony and misdemeanor domestic violence offenses have increased and now represent a growing percentage of crime citywide. Domestic violence now accounts for one in every five homicides—and two in every five reported felony assaults—across all five boroughs.⁵

The persistence of domestic violence, even as the City has become safer overall, led Mayor Bill de Blasio to create the NYC Domestic Violence Task Force (DVTF) in November 2016. The DVTF is co-led by MOCJ and the Mayor’s Office to End Domestic and Gender Based Violence (ENDGBV). In May 2017, the DVTF released a report outlining its recommendations for targeted investments that create durable and effective solutions to domestic violence citywide. One recommendation called for the City to require that APIPs employ evidence and trauma-informed interventions. The Mayor’s Office of Criminal Justice (MOCJ) contracted the Center for Court Innovation (CCI) to develop models and curricula to achieve this goal.

The current MOCJ-funded APIP is a 26-week, fee-based program for individuals who are mandated to participate by the courts. While this program model is similar to APIPs in other jurisdictions across the country, it has not proven to be effective in promoting positive behavior change of participants.⁶ Participants in the DVTF expressed the need for a trauma-informed APIP that focused on accountability and behavior changes, and that reflect the needs of diverse communities across the City.

Therefore, MOCJ has taken steps to develop curricula and models that will enhance citywide programming for intimate partner violence defendants. The development of this new model was informed by a blueprint report on enhancing NYC’s APIP services titled [Seeding Generations](#), released in October 2017 by the Interagency Working Group on NYC’s Blueprint for Abusive Partner Intervention (IWG).⁷ This report collected insights from representatives of numerous state and city agencies, including MOCJ, the Mayor’s Office to End Domestic and Gender-Based Violence (ENDGBV), the New York City Police Department (NYPD), the New York State Office of Court Administration (OCA), Department of Probation (DOP), defense attorneys, district attorneys’ offices, as well as, survivors, APIP service providers, domestic violence service providers and advocates, and people who have caused harm.

³ https://www1.nyc.gov/assets/nypd/downloads/pdf/analysis_and_planning/historical-crime-data/seven-major-felony-offenses-2000-2019.pdf

⁴ “5 Ways NYC is Safer Today” https://criminaljustice.cityofnewyork.us/data_stories/5-ways-nyc-is-safer-today/

⁵ Index crime refers to the 7 major felonies that comprise Part I of the FBI’s Uniform Crime Reporting System (UCR); these crimes include: murder, rape, robbery, assault, burglary, grand larceny, and Grand larceny-auto (see: <https://www.ucrdatatool.gov/offenses.cfm>). NYC had the lowest crime rate of the 30 largest cities in 2017 (see:

https://www.brennancenter.org/sites/default/files/publications/2018_09_CrimeAnalysisV6.pdf). In 2018, New York City had an incarceration rate of 136 per 100,000 people. This is lower than other big cities: Chicago: 172 per 100,000; Los Angeles: 245 per 100,000; Houston: 289 per 100,000; and Philadelphia: 480 per 100,000. (see: https://criminaljustice.cityofnewyork.us/wp-content/uploads/2019/01/Population-reduction-sheet_2019_Final.pdf).

⁶ <https://www.ncjrs.gov/pdffiles1/nij/195079.pdf> NIJ research suggesting little to no effect.

⁷ <https://www.courtinnovation.org/publications/seedinggenerations>

In addition to reviewing the [Seeding Generations](#) report, members of DVTF’s Criminal Justice Subcommittee (which was made up of representatives from MOCJ, ENDGBV, each district attorney’s office, NYPD, defense attorneys, DOP, crime victim service providers, advocates and survivors) were surveyed in Fall 2018 to identify the most crucial elements that need be included in an enhanced APIP. The feedback demonstrated that city partners and experts want APIPs that, among other things: hold abusive partners accountable; tailor interventions to the needs of clients and communities; eliminate or reduce program fees; use trauma-informed practices; and utilize process and outcome evaluations to inform and enhance the program as well as identify and document program impact.

Following these and other steps to solicit feedback from stakeholders, MOCJ contracted with the Center for Court Innovation (CCI) to develop the curricula *Dignity and Respect* for male-identified clients and CCI and Melissa Scaia to adapt *Turning Points* for female-identified clients in New York City. The curricula development included extensive research on national best practices and NYC’s criminal justice landscape to develop an innovative approach that will allow the city-funded model to encompass the best available strategies. CCI received technical assistance from national APIP experts⁸ as well as input from prosecutors, defense attorneys, judges, survivors, domestic violence victim advocates and the University of Pennsylvania’s Prof. Aaron T. Beck,⁹ who is renowned as “the father of cognitive therapy.”¹⁰ Please contact MOCJProcurements@cityhall.nyc.gov to acquire the full *Dignity and Respect* and *Turning Points* curricula.

The *Dignity and Respect* and *Turning Points* programs encompass flexible 26-week or 16-week curricula forged from promising practices and evidence-based approaches from around the country. *Dignity and Respect* uses cognitive behavioral strategies to help participants identify harmful thoughts, beliefs, actions, and values with the goal of creating life skills and strategies that promote healthy relationships. The curricula focuses on four areas of accountability and change: self, intimate partner relationships, family, and community. *Dignity and Respect* and *Turning Points* also look at the impact of trauma, including adverse experiences in childhood and on past and current intimate partner violence, and use culturally relevant approaches to engage participants in developing healthy relationships. All the programs’ activities are designed to explore and address one or several of the elements of a cognitive change approach that incorporates the programs’ core values of dignity and respect.

Proposers will utilize the *Dignity and Respect* and *Turning Points* curricula and materials to facilitate the programs. The programs should be comprised of regular sessions (preferably, though not necessarily, on a weekly basis) and should be provided in a minimum 16- or 26-week open curriculum format. Sessions should be offered at times that are most convenient for participants, including nights and weekends. Program participants will be mandated by court to complete the program as a condition of their sentence or release; therefore, the vendor(s) will be required to communicate with the court to provide information about participants’ program compliance and engagement, and in appropriate situations, have personnel appear in court to provide such information. Proposers will also need to inform the court if participants lack the capacity or capability to meaningfully engage in the program, due to factors such as mental health crises or substance/alcohol use or abuse, and thus require alternative, more intensive programing.

⁸ Jim Henderson, Technical Assistance Provider at Battered Women’s Justice Project and Program Director and Lead Facilitator at Accountable Choices (Detroit, MI); Cheryl Davies, retired Manager of the Domestic Violence Unit at the Colorado Division of Criminal Justice and Program Director for the Colorado Domestic Violence Offender Management Board (Denver, CO); Juan Carlos Areán, Program Director at Futures Without Violence (NY, NY); Isabel Perez-Morina: CEO, Advocate Program Inc. (Miami, FL); Lee Giordano, Director of Training, Men Stopping Violence (Atlanta, GA); Steve Halley, Director, Family Peace Initiative and Clinical Director of Halley Counselling Services (Topeka, KS); Tracey Little; Jessica Singer, APIP Curriculum Development Consultant

⁹ Dr. Beck was assisted by Molly Finkel

¹⁰ <https://almanac.upenn.edu/articles/aaron-beck-fourth-in-most-influential-physicians-list>

Using these new, enhanced, innovative curricula, the *Dignity and Respect* and *Turning Points* APIs will aim to serve approximately 850 clients citywide annually (though this number may fluctuate depending on demand and information received in responses to this solicitation) and suggests that programs are at a no fee to said clients. Further, MOCJ hopes to initiate services for clients with new providers on or before July 1, 2020 as the current contract supporting city programming expires on June 30, 2020. A start-up and transition period of three to four weeks, beginning in June of 2020, may be included.

MOCJ will assess and consider responses based on the degree to which the applicant demonstrates their ability to implement the *Dignity and Respect* and *Turning Points* curricula and materials. During this review process, MOCJ will pay particular attention to a proposer's demonstrated ability to implement the components detailed in this solicitation. Overall, MOCJ hopes to select providers that will contribute to the mission of supporting survivors, abusive partners, families, and communities, all with the aim to increase safety.

IV. Program Expectations

Contractor shall produce a *Program Proposal*, that is, a clear, concise narrative that addresses the Contractor's overall program and service concepts and incorporates all relevant requirements. The Program Proposal must be submitted electronically to mocjprocurements@cityhall.nyc.gov. The narrative shall be typed in a 12-point font, single-spaced if 8 ½ X 11" paper and not to exceed seven (7) pages. The Program Proposal must demonstrate that the Contractor has the capacity to meet the requirements the following:

A. Organizational Structure and Experience: 25 Points

Organizational Structure

- i. Contractor will have the organizational, programmatic, managerial and financial capability to perform the services described in this solicitation and in the *Dignity and Respect* and *Turning Points* curricula.
- ii. Contractor will have the ability to facilitate treatment readiness sessions for clients with substance abuse issues or to provide client with warm handoffs to providers with this capability.
- iii. Contractor will have the ability to intake clients, assess them using the tools required by *Dignity and Respect* and *Turning Points* (see section B: Court Referral, Assessment, Intake of Court Mandated Clients, and Reporting for additional detail).
- iv. Contractor will have the ability to manage clients for both 16 week and 26 week mandates.
- v. Contractor will have the ability to coordinate client intake, assignment into an orientation module, and then placement into the remaining modules of the program.
- vi. Contractor will have security measures in place to ensure the safety of clients and staff. If contractor provides services for survivors of gender-based violence, contractor will have extensive measures to ensure partners will not interact while entering, at, or exiting the premises.

Experience

- i. Contractor will have experience with Supreme and/or Criminal court.
- ii. Contractor will designate a process for identifying, referring, and intaking clients for their borough-based APIP. Such processes may entail the designation of at least one staff member as a full- or part-time court liaison to establish an in-person relationship with the relevant court actors.

- iii. Contractor will have experience operating programs that supervise and address the needs of individuals with cases in Criminal and/or Supreme Court for IPV offenses
 - In the alternative, contractor will demonstrate the ability to do so.
- iv. Contractor will have or plan to establish a presence in the courts, as well as relationships and/or capability to establish and maintain working relationships with critical stakeholders and partners, including judges, prosecutors, defense attorneys, the Department of Probation and other non-profit service providers.
- v. Contractor will have the ability to communicate with courts and relevant stakeholders remotely, view web-based conference calls, video chat, and other mechanisms when necessary.

B. Court Referral, Assessment and Intake of Court-Mandated Clients, and Reporting: 15 Points

Court Referral

- i. Contractor will have experience meeting the service needs of clients who have been mandated to attend an APIP for IPV offenses from Supreme of Criminal Courts in New York City. In particular, contractor will have experience using retention strategies that motivate clients to remain involved in and successfully complete their mandate.
 - In the alternative, contractor will demonstrate engagement and retention strategies in working with and motivating individuals mandated to programming through the criminal justice system and include a specific plan to gain knowledge to address IPV offenses.
- ii. The contractor may address the employment skills and training needs, educational needs, housing needs, alcohol/substance dependency, mental health needs, and physical health needs of clients.
 - If such services will be offered via co-located programs, contractor will provide information on the program and the needs those services are designed to address.
- iii. The contractor may rely on an external network to provide services referrals listed above, contractor will have a plan to execute appropriate service referrals through subcontracts, linkage agreements, and/or partnership agreements to address clients' identified needs if those services cannot be provided in-house. The referral plan would include:
 - The services to be provided by each external referral organization;
 - The referral process between the proposer and the external referral organization;
 - How and if data would be collected from external referral organizations and reported to the proposer's organization and MOCJ;
 - How the proposer would maintain regular communication with external referral organizations about clients' progress in that program (for purposes of addressing challenges and reporting APIP program issues or concerns to the court).

Assessment and Intake of Court-Mandated Clients

- Contractor will have a process designed to intake clients and separate them into low risk, medium risk, and high-risk groups using the DVRNA. See Appendix 8 for the DVRNA. (email MOCJProcurements@cityhall.nyc.gov appendices 1-7)
- Contractor may have the ability to administer the Adverse Childhood Experiences Scales tool (ACEs Expanded), and Adult Hope Scale tools to better understand clients' clinical needs, trauma history, and how to increase clients' positive motivational state. See Appendices 10-11 for ACEs and Hope Scale.
 - a. Contractor will make a recommendation about whether the client is ready to begin *Dignity and Respect* or *Turning Points* classes following intake, requires treatment

readiness prior to starting classes, or is not recommended for *Dignity and Respect* or *Turning Points* at this time due to mental health and/or alcohol/substance misuse issues which would interfere with their capacity to participate in, and benefit from, programming.

- b. See Appendix 9 for a sample intake form proposers can use to inform their procedures.
- Contractor will have the ability to determine additional client needs by using their own or MOCJ-recommended instruments to measure psycho-social, mental health, and alcohol/substance misuse treatment needs. In addition, the contractor may also address the employment skills and training, educational needs, housing needs, and physical health needs.
 - a. If using a pre-existing tool, contractor will demonstrate their right to use such tool.

Reporting

- i. Contractor will have experience working with judges and other court personnel, including monitoring and providing timely reporting to the court on participant compliance and progress in the program, as well as quickly implementing responses to non-compliance with court mandates and program rules.
 - In the alternative, contractor will demonstrate the ability to do so.

C. Services: 15 Points

It is expected that *Dignity and Respect* and *Turning Points* providers will facilitate all lessons contained in the *Dignity and Respect* and *Turning Points* curricula. In addition, it is expected that providers will screen clients to identify and potentially address other needs directly in-house (i.e., by program staff and/or staff from other programs within the same provider organization) and/or through a referral to an established network of community-based providers. These needs may include, but may not be limited to, psycho-social needs, employment skills and training, educational needs, housing needs, substance use, mental health needs, and physical health needs.

Expected Service Projections

MOCJ estimates the breakdown of mandated clients across the five boroughs may be *approximately*:

BOROUGH	PROJECTION # MANDATED CLIENTS	DISTRIBUTION
BX	225	26.4%
BK	114	13.4%
MHT	226	26.6%
QNS	202	23.8%
SI	84	9.8%
TOTAL	850	100.0%

- i. Contractor will identify the annual proposed target number of:
 - (1) Client intakes (by borough)
 - (2) Client completions of court-mandated program

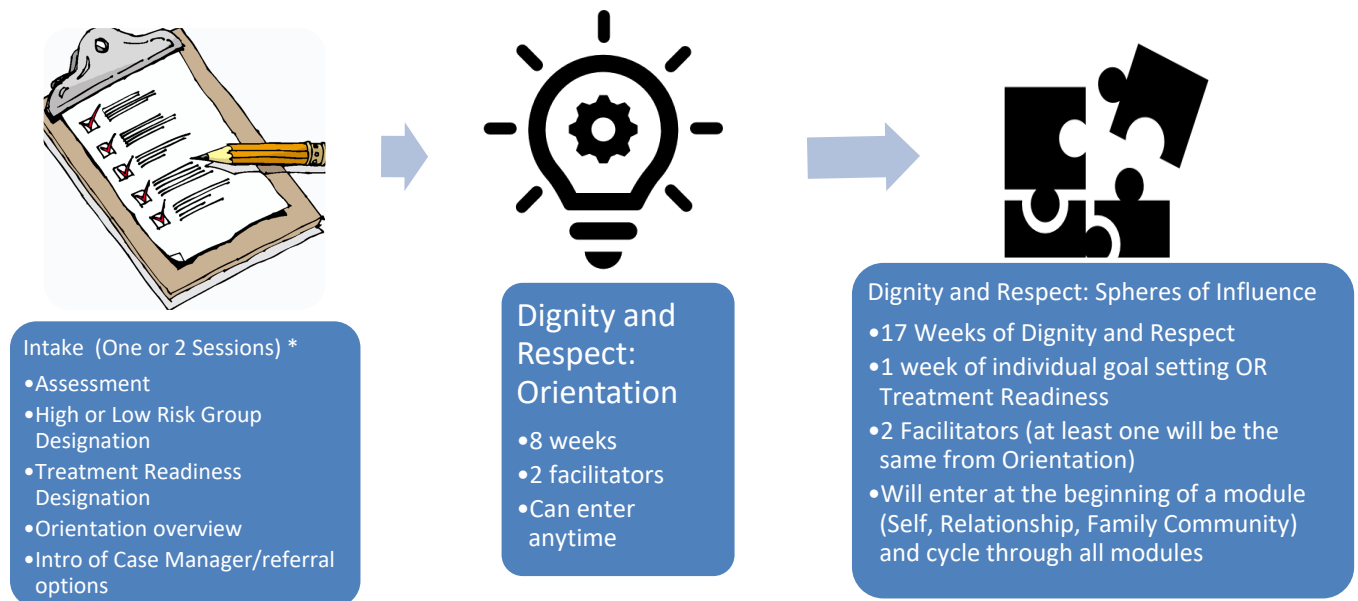
- (3) Projected rate of recidivism among clients that complete the program (based on research and/or provider experience). *If applicants do not include projected rate of recidivism, contractor will provide other metrics of success that will be tracked, along with an explanation of their utility in comparison to recidivism.*
- ii. Contractor will have the facilities necessary to deliver services and programming to clients in the borough(s) the proposed program would serve.
 - a. Contractor will describe current or identified space(s) and how they would be appropriate for facilitating programming.
 - iii. Contractor will have the equipment, broadband access, and technical skills to deliver services in a remote, distance-learning, on-line manner should circumstances require (e.g. state of emergency requiring social distancing)
 - iv. Contractor will be capable of conducting client intakes that separate clients into low, medium, and high risk pools using the DVRNA, or an otherwise identified or developed and validated risk assessment instrument.
 - v. Contractor will have the ability to use, or capacity to learn how to use, all tools required by the *Dignity and Respect* and *Turning Points* curricula, including the DVRNA, ACEs EXPANDED, and Adult Hope Scale.
 - vi. Contractor will have the ability to provide participants with written or electronic materials in order to employ the curricula.

Program Model

- i. Contractor will have the capacity to facilitate all lessons included in the *Dignity and Respect* and *Turning Points* curricula with fidelity to the model. This will include:
 - Having classes facilitated by teams of two (2) facilitators:
 - Facilitators will have a strong background in facilitation and IPV dynamics
 - Groups are encouraged to have one male- and one female-identified facilitator for the male-identified groups (*Dignity and Respect*)
 - Facilitators are encouraged to have two female-identified facilitators for the female-identified groups (*Turning Points*)
 - Being able to facilitate *Dignity and Respect* and *Turning Points* in both its 26-week and 16-week formats
 - For the 26-week format, contractor will be able to intake clients beginning with an intake and orientation overview session, then transfer clients into the 8-week orientation module, then transfer clients into treatment readiness (if applicable) or individual goal setting (if applicable), before transferring clients into the next 17 weeks of *Dignity and Respect* or *Turning Points*
 - For the 16-week format, contractor will be able to intake clients beginning with an intake and curriculum overview session, then transfer clients into treatment readiness (if applicable) or individual goal setting (if applicable), before transferring clients into the next 15 weeks of *Dignity and Respect* or *Turning Points*
 - See below for sample client flow for *Dignity and Respect*
- ii. Contractor will have the ability to screen clients for eligibility. Specifically, contractor will make a recommendation about whether the client is ready to begin *Dignity and Respect* or *Turning Points* classes following intake, requires treatment readiness prior to starting classes, or is not recommended for *Dignity and Respect* or *Turning Points* at this time due to mental health and/or substance use issues which would interfere with their capacity to participate in, and benefit from, programming.

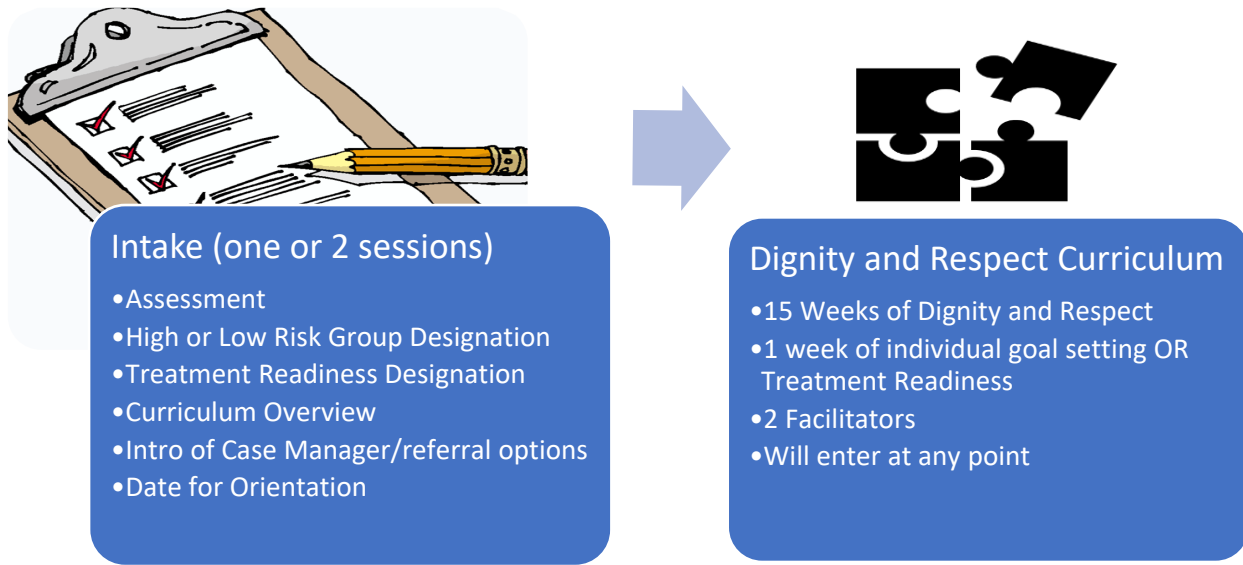
- iii. Contractor will have the ability for facilitation or case management staff to conduct trauma-informed one-on-one check-in sessions with clients to discuss their progress in the program, identify any issues, and make appropriate referrals using a warm handoff.
- iv. Contractor will have appropriate facilities to deliver all necessary services.
- v. Contractor will facilitate sessions for clients in low, medium, and high risk pools.
- vi. Contractor will have the capacity to facilitate group classes at multiple times, including evenings and weekends.
 - Contractor may provide a proposed program schedule that outlines a proposed class schedule calendar, which includes the dates and times on which classes for the various risk pools (high/low) would be offered.
- vii. Contractor will offer group sessions in multiple languages, including at least English and Spanish.
 - It is anticipated that contractor will identify additional language needs according to the demand in specific boroughs and from courts.
- viii. Contractor will have experience and/or a plan to use practices that support and engage clients over the course of their mandate and which help retain clients through the full length of their mandate.
- ix. Contractor, in consultation with MOCJ and ENDGBV, will develop and implement a process for victim notification regarding their partner's participation in the program and warm handoff to any necessary services.
- x. Contractor, in consultation with MOCJ and ENDGBV, will develop and implement a process to obtain ongoing input and feedback regarding the program from domestic violence victim service providers and advocates.

26 WEEK DIGNITY AND RESPECT INTAKE *AND CURRICULUM FLOW



***Intake:** This could be one session with both comprehensive assessment AND Orientation overview or could be broken into two sessions.

16 WEEK DIGNITY AND RESPECT INTAKE* AND CURRICULUM FLOW



***Intake:** This could be one session with both comprehensive assessment AND Orientation overview or could be broken into two sessions

Case Management

- i. Contractor will offer services to address additional needs, such as employment skills and training, education, housing, substance use treatment, and mental and physical health.
 - If Contractor will rely on an external network, contractor will identify their partner organizations and/or plan to develop partnerships with social service organizations as well as describe their referral mechanism (existing or planned) with these organizations.
 - If Contractor can refer internally for services (i.e., to another program within the proposer's organization), contractor will have an internal referral process.
- ii. Contractor will have a plan in place to build service connections for clients with non-criminal justice organizations in the community for clients to access longer-term care post-mandate where appropriate.
- iii. Contractor will have a plan in place to offer the following case management services that could include, but may not be limited to, conducting intake assessments, referrals, providing direct individual or group counseling, advocacy, arranging for additional supports as appropriate, and holding regular one on one check-ins with clients.
 - If contractor currently employs, or would be hiring full- or part-time staff to conduct individual case management, contractor will provide this information in their proposal narrative and/or in their organizational chart. The proposed standard is that case management will occur on a 1:1 basis.
- iv. Contractor will arrange for case management services to be offered in a minimum of English and Spanish or would propose a contingency plan to provide language interpretation services for clients who are not proficient in English.

D. Program Implementation: 25 Points

- i. Contractor will have the capability to facilitate all lessons and activities in the *Dignity and Respect* and *Turning Points* curricula.
- ii. Contractor will have appropriate space(s) in which to provide all necessary services.
- iii. Contractor will have detailed strategies for striving for program attendance and completion above 80%.
 - Providers should describe the strategies they plan to employ to increase clients' positive motivation over the course of programming, and their experience with the efficacy of such strategies.
- iv. Contractor will engage in a ramp-up process of approximately 4 weeks prior to services becoming available. The ramp-up process will require attending meetings, developing protocols, meeting stakeholders, attending trainings, and other relevant activities. The budget for such work shall be negotiated after contractor selection.
- v. Contractor will participate in on-going training and technical assistance activities as deemed appropriate by MOCJ and to be negotiated after contractor selection.

Program Expectations

Research shows that the quality of implementation is just as significant—if not more so—as the content of a program to the success of a client's experience. Systematic attention to how services are being delivered on the ground, including providing ongoing data-informed feedback and support to staff, has been found to help clients effectively meet their goals and reduce repeat involvement in the criminal justice system. Therefore, MOCJ is deeply interested in ensuring that the citywide APIP provider(s) implement programming with fidelity to the *Dignity and Respect* and *Turning Points* curricula. Since the curricula are drawn from the best practices of existing models used around the country, program staff will need to be trained in the various theories and practices underpinning the new curricula. Moreover, it is crucial that providers be trained in operating the tools and procedures that will enable programming to be truly trauma-informed. To address any issues that arise in the opening months of programming and in order to improve programming over time, it is expected that providers will receive substantial technical assistance over the course of the first year of programming and additional annual technical assistance on a subsequent basis thereafter.

1. Program Fidelity

- i. Contractor will provide all services with fidelity to the *Dignity and Respect* and *Turning Points* curricula.
 - MOCJ anticipates, but cannot guarantee, being able to fund the initial required trainings and ongoing technical assistance. If funding is unavailable for trainings and technical assistance, MOCJ will work with providers to obtain necessary trainings and technical assistance.
- ii. Contractor will provide MOCJ with ongoing feedback on implementation, model, and curricula and work with MOCJ and partners to identify and make program improvements.
- iii. Contractor will employ and/or hire appropriate staff to deliver all services required by the *Dignity and Respect* and *Turning Points* curricula.
- iv. Contractor will provide MOCJ with a detailed plan on how they intend to implement services with fidelity to the *Dignity and Respect* and *Turning Points* curricula. Special consideration will be given to proposers who are able to explain how they will provide services to groups stratified by risk (low/medium/high or low/high) low, medium, and special consideration

will be given to providers with the ability to provide services in languages in addition to English and Spanish.

2. Implementation of Evidence-Based Tools

- i. Contractor will use the tools required by the *Dignity and Respect* and *Turning Points* curricula. These include, but may not be limited to, the Domestic Violence Risk Needs Assessment (DVRNA), the Adverse Childhood Experiences Scales tool (ACEs Expanded), and the Adult Hope Scale.
- ii. Contractor will become trained in proper use of all required tools, and will accept technical assistance from external providers approved by MOCJ.
- iii. Contractor will use the DVRNA to separate clients into groups based on risk-level. These groups will be low, medium, and high. This practice will happen in accordance with guidelines developed with MOCJ.
 - Should operational, budget, or program needs justify it, Contractor may separate clients into low and high risk groups.
- iv. Contractor will use the Adverse Childhood Experiences Scales tool (ACEs Expanded) to foster discussion regarding clients' additional needs. Contractor will use this information to make referrals to appropriate services offered in-house, through subcontracts, linkage agreements, and/or partnerships with local service providers. Additionally, without referencing specific individuals or their scores, contractor will discuss adverse childhood experience factors throughout the curriculum to address both the impact of trauma on participants and how that trauma can manifest in the use of abuse in current relationships and with other family members and the impact the violence may be having on children in the home. If not appropriate to conduct in a group setting, the discussion should occur on a 1:1 basis with facilitators or case management staff. This trauma-informed response is designed to support the participants in understanding the impact of the harm and abuse done to them in the past; not to excuse current abuse or harm but to understand how past harms influence harm and abuse in current relationships
- v. Contractor will screen clients with the Adult Hope Scale during intake and upon completion of the APIP to gauge the degree to which clients' positive motivational state has grown over the course of programming.
 - Contractor will note the importance of this measure as "No hope for the future" has been found to be the greatest contributor to future intimate partner violence perpetration.¹¹
- vi. Services will be provided for on a fee-free basis to all clients as budget permits.

3. Initial Training and Ongoing Technical Assistance

- i. Contractor will agree to have staff trained by local or national experts (to be determined by MOCJ) on how to deliver programming required by the *Dignity and Respect* and *Turning Points* curricula.
- ii. Contractor will designate staff who could be trained via a 'Train the Trainer' programs. These designated staff will be expected to train new staff as necessary and to ensure that implementation is occurring with fidelity to the *Dignity and Respect* and *Turning Points* models.

¹¹ Charvonne N. Holliday & Sophie M. Morse & Nathan A. Irvin & Angelique Green-Manning & Lisa M. Nitsch & Jessica G. Burke & Jacquelyn C. Campbell & Michele R. Decker. *Concept Mapping: Engaging Urban Men to Understand Community Influences on Partner Violence Perpetration*, Journal of Urban Health, The New York Academy of Medicine, 2018.

- iii. Contractor will commit sufficient staff to be trained and develop a plan to institutionalize the “Train the Trainer” teachings such that gaps created by employee turn-over will not impede on-going and future training of new staff.
- iv. Contractor will agree to receive ongoing technical assistance on how to implement programming with fidelity to the *Dignity and Respect* and *Turning Points* models.
- v. Contractor will work collaboratively with a MOCJ-selected evaluator to implement an evaluation of *Dignity and Respect* and/or *Turning Points*, monitor program implementation fidelity, identify and execute areas for improvement, and measure program outputs and outcomes.
- vi. Contractor will confirm their commitment to making changes to the program model based on feedback and recommendations from MOCJ, technical assistance, and training providers.
- vii. Contractor will work with evaluators and provide participant details to be used for macro data evaluation. No identifying information will be used outside of macro evaluative purposes.

E. Budget Management: 10 Points

Program Expectations

- i. Contractor will have an annual line item operating budget to provide services that are in keeping with the goals of the *Dignity and Respect* and *Turning Points* curricula and specifications set forth in this document.
- ii. If contractor will be subcontracting for any services, proposers should list the associated cost included in the budget, along with a justification for the cost of the assigned work.
- iii. It is anticipated (but may be subject to change) that the payment structure of the contract(s) awarded from this solicitation will be line item budget reimbursement supporting program start-up and operations during the term of the awarded contract.
- iv. Contractor will be in sound fiscal health and maintain robust system of invoicing and reporting.
- v. The minimum total available funding for the three year initial contract period is \$2,878,533.

F. Data Reporting and Evaluation: 10 Points

Data Tracking and Reporting

- i. Contractor will engage in weekly calls with MOCJ during ramp-up of program.
- ii. Contractor will engage in regularly scheduled meetings with MOCJ during ramp-up of the program.
- iii. Contractor will engage in regularly scheduled calls with MOCJ with frequency determined by MOCJ in coordination with the contractor for the duration of the program.
- iv. Contractor will utilize pre-/post-surveys to measure client progress, or identify and implement alternate measures.
 - Contractor may utilize pre-/post-surveys, if feasible and safe, with survivors.
- v. Contractor will maintain a database for the purpose of:
 - Monitoring participant progress and program staff performance internally
 - Reporting on individual compliance and progress to the court
 - Generating and submitting reports to MOCJ
- vi. Contractor will ensure that programs have sufficient data and program staff to perform the aforementioned activities.

- vii. Contractor will have a plan in place to track and use performance metrics—in particular regarding engagement, retention, and fidelity to the *Dignity and Respect* and *Turning Points* curricula—for internal use to provide constructive feedback to staff and offer support where appropriate.
- viii. Contractor will work with MOCJ to create and use a standard data reporting template to be used to submit quarterly reports.¹² Contractor will be required to submit an annual data report at the end of the fiscal year.
- ix. Contractor will produce quarterly reports, which will be due on the last business day of the month following the end of the subject quarter, and will include all information agreed upon in the previous bullet point. The information submitted for such reporting should be de-identified.
- x. Contractor will have appropriate computer systems (such as management information and quality assurance and control systems) in place.
- xi. Contractor will have systems in place to collect data from external referral organizations that clients are referred to in order to report the information to MOCJ and courts.
- xii. Contractor will allow for and coordinate site visits and observations of *Dignity and Respect* and *Turning Points* by MOCJ and stakeholders.
- xiii. Program success will be determined by Contractor meeting and reporting to MOCJ:
 - Program engagement rates of 70% or higher (e.g., program attendance such as individual and group sessions)
 - Program completion rates of 70% or higher within 14 months of intake

G. Optional Voluntary Services – 5 points

Program Expectations

As part of a separate project regarding alternatives to incarceration (ATI) programming, MOCJ received expert advice from Dr. Faye Taxman, a renowned expert in the field of criminology, from the Center for Advancing Correctional Excellence (ACE!) at George Mason University. Part of Dr. Taxman’s research revealed that the success of ATI programs in reducing re-offending and re- incarceration rests, in part, is their ability to engage participants who need longer-term assistance in appropriate voluntary services upon completing a court-mandated program to make progress on their goals.

Therefore, MOCJ believes it would be beneficial to provide these services to clients engaged in the *Dignity and Respect* and *Turning Points* programming. While MOCJ will not make this a necessary component of programming, MOCJ will provide special consideration to proposers who will be able to provide additional voluntary services after a client’s mandate has ended. Proposers should detail any voluntary post-mandate services that will be available for clients, mechanisms for incentivizing ongoing participation in such services, and how many clients they hope to engage in these services on an annual basis.

V. Basis for Contract Award, Procedures, and Evaluation

¹² Data should include, but not be limited to: client demographic data (race, age and gender), offense and disposition of case, referring agency, previous domestic violence history and criminal record information, Intake assessment data outcome (including whether graded low, medium or high risk by the DVRNA/DVSI-R, ACEs Expanded score and Adult Hope Scale score at intake and completion of the program, service referrals made, date enrolled in APIP, date removed from APIP(if did not complete mandate), date completed APIP, percentage of clients that completed their mandate, percentage of clients who completed their mandate who are rearrested for a domestic violence related offense within 2+ year period of time following their completion.

A successful proposal will respond to each of the topics in the proposal requirements section below and will be evaluated accordingly. Each section is worth a designated number of points. Please read carefully.

A. Evaluation Criteria

A. Organizational Structure and Experience	25 Points
B. Court Referral, Assessment, Intake Procedures, and Reporting	15 Points
C. Services	15 Points
D. Program Implementation	25 Points
E. Budget Management	10 Points
F. Data Reporting	10 Points
G. Optional Voluntary Services	5 Points

B. Proposal Evaluation

All proposals accepted by MOCJ will be reviewed to determine whether they are responsive or non-responsive to the requisites of this solicitation. Proposals that are determined by MOCJ to be non-responsive will be disqualified. MOCJ's Evaluation Committee will evaluate and rate all remaining proposals based on the *Evaluation Criteria* prescribed throughout this Solicitation. Although discussions may be conducted with proposers submitting acceptable proposals, MOCJ reserves the right to award contracts on the basis of initial proposals received, without discussions. Therefore, the proposer's initial proposal should contain its best programmatic and price terms.

MOCJ's evaluation committee will review and rate each proposal. The proposals will be ranked in order of highest to lowest technical score, and will be evaluated and awarded pursuant to the New York City Procurement Policy Board Rules. MOCJ reserves the right to conduct site visits and/or interviews and/or to request that proposers make presentations and/or demonstrations, as MOCJ deems applicable and appropriate.

C. Contract Award

Contract will be awarded pursuant to Section 3-04 of the New York City Procurement Policy Board Rules and to responsible proposers whose proposals are determined to be the most advantageous to the City, taking into consideration the factors which are set forth in this solicitation. Further, MOCJ:

- Reserves the right to skip over one or more proposals to ensure appropriate distribution of awards for each borough or competition pool.
- Reserves the right to consider economies of scale for proposers who propose higher service targets and/or more intensive service levels when making a fair and reasonable determination of cost.
- Reserves the right to pay the selected vendor(s) on a line item reimbursement, cost-per-case basis, or any alternative payment structure as deemed appropriate by MOCJ.
- Reserves the right to determine, based on the proposer's demonstrated organizational capability and the best interests of MOCJ and the City, how many contract(s) will be awarded as well as the dollar value of each such contract.

- Reserves the right to award less than the full amount of funding requested and to modify the allocation of funds among contract(s) in the best interests of MOCJ and the City;
- Reserves the right, prior to contract award, to determine the length of the initial contract term and each option to renew, if any.
- Reserves the right, prior to contract registration and during the term of the contract, to change the program service size, program type, model and/or gender of its population depending on the needs of the criminal justice system.
- In the case that a proposer is eligible for award of more than one contract, MOCJ reserves the right to determine, based on the proposer's demonstrated capability, geographic areas program diversity and best interest of MOCJ, respectively, how many contracts the proposer will be awarded.
- Contract award shall be subject to timely completion of contract negotiations between MOCJ and the selected proposer(s).

VI. Attachments

- Attachment A – General Information and Regulatory Requirements
- Attachment B – Doing Business Data Form
- Attachment C – Proposal Budget Summary (Line Item Budget)
- Attachment D – Acknowledgment of Addenda Form
- Appendix 1 – *Dignity and Respect* 16 & 26 week Curricula (email MOCJProcurements@cityhall.nyc.gov appendices 1-7)
- Appendix 2 – *Dignity and Respect* 16 & 26 week Compiled Worksheets (email MOCJProcurements@cityhall.nyc.gov appendices 1-7)
- Appendix 3 – *Dignity and Respect* 16 & 26 week Facilitator Guide (email MOCJProcurements@cityhall.nyc.gov appendices 1-7)
- Appendix 4 – *Dignity and Respect* 16 & 26 week Participant Workbooks (email MOCJProcurements@cityhall.nyc.gov appendices 1-7)
- Appendix 5 – *Turning Points* 16 & 26 week Curricula (email MOCJProcurements@cityhall.nyc.gov appendices 1-7)
- Appendix 6 – *Turning Points* Participant Workbook(email MOCJProcurements@cityhall.nyc.gov appendices 1-7)
- Appendix 7 – *Turning Points* Facilitator Guide(email MOCJProcurements@cityhall.nyc.gov appendices 1-7)
- Appendix 8 – DVRNA
- Appendix 9 – Sample Intake Form
- Appendix 10 – Adverse Childhood Experiences
- Appendix 11 – Adult Hope Scale

General Information and Regulatory Requirements

Complaints. The New York City Comptroller is charged with the audit of contracts in New York City. Any proposer who believes that there has been unfairness, favoritism or impropriety in the proposal process should inform the Comptroller, Office of Contract Administration, 1 Centre Street, Room 835, New York, NY 10007; the telephone number is (212) 669-3000. In addition, the New York City Department of Investigation should be informed of such complaints at its Investigations Division, 80 Maiden Lane, New York, NY 10038; the telephone number is (212) 825-5959.

Applicable Laws. This Request for Proposals and the resulting contract award(s), if any, unless otherwise stated, are subject to all applicable provisions of New York State Law, the New York City Administrative Code, New York City Charter and New York City Procurement Policy Board (PPB) Rules. A copy of the PPB Rules may be obtained by contacting the PPB at (212) 788-0010.

General Contract Provisions. Contracts shall be subject to New York City's general contract provisions, in substantially the form that they appear in "Appendix A—General Provisions Governing Contracts for Consultants, Professional and Technical Services" or, if the Agency utilizes other than the formal Appendix A, in substantially the form that they appear in the Agency's general contract provisions. A copy of the applicable document is available through the Authorized Agency Contact Person.

Contract Award. Contract award is subject to each of the following applicable conditions and any others that may apply: New York City Fair Share Criteria; New York City MacBride Principles Law; submission by the proposer of the requisite New York City Department of Business Services/Division of Labor Services Employment Report and certification by that office; submission by the proposer of the requisite Procurement and Sourcing Solutions Portal (PASSPort) online disclosure process and review of the information contained therein by the New York City Department of Investigation; all other required oversight approvals; applicable provisions of federal, state and local laws and executive orders requiring affirmative action and equal employment opportunity; and Section 6-108.1 of the New York City Administrative Code relating to the Local Based Enterprises program and its implementation rules.

Procurement and Sourcing Solutions Portal (PASSPort) Disclosure Filing (formerly known as Vendor Information Exchange System (VENDEX) Forms or Certificate of No Change)

All organizations intending to do business with the City of New York should complete an online disclosure process to be considered for a contract. This disclosure process was formerly completed using Vendor Information Exchange System (VENDEX) paper-based forms. In anticipation of awards, proposers must create online accounts in the new Procurement and Sourcing Solutions Portal (PASSPort) and file all disclosure information. Paper submissions, including certifications of no changes to existing VENDEX packages will not be accepted in lieu of complete online filings. For more information about PASSPort, please visit nyc.gov/passport

Proposer Appeal Rights. Pursuant to New York City's Procurement Policy Board Rules, proposers have the right to appeal Agency non-responsiveness determinations and Agency non-responsibility determinations and to protest an Agency's determination regarding the solicitation or award of a contract.

Multi-Year Contracts. Multi-year contracts are subject to modification or cancellation if adequate funds are not appropriated to the Agency to support continuation of performance in any City fiscal year succeeding the first fiscal year and/or if the contractor's performance is not satisfactory. The Agency will notify the contractor as soon as is practicable that the funds are, or are not, available for the continuation of the multi-year contract for each succeeding City fiscal year. In the event of cancellation, the contractor will be reimbursed for those costs, if any, which are so provided for in the contract.

Prompt Payment Policy. Pursuant to the New York City's Procurement Policy Board Rules, it is the policy of the City to process contract payments efficiently and expeditiously.

Prices Irrevocable. Prices proposed by the proposer shall be irrevocable until contract award, unless the proposal is withdrawn. Proposals may only be withdrawn by submitting a written request to the Agency prior to contract award but after the expiration of 90 days after the opening of proposals. This shall not limit the discretion of the Agency to request proposers to revise proposed prices through the submission of best and final offers and/or the conduct of negotiations.

Confidential, Proprietary Information or Trade Secrets. Proposers should give specific attention to the identification of those portions of their proposals that they deem to be confidential, proprietary information or trade secrets and provide any justification of why such materials, upon request, should not be disclosed by the City. Such information must be easily separable from the non-confidential sections of the proposal. All information not so identified may be disclosed by the City.

RFP Postponement/Cancellation. The Agency reserves the right to postpone or cancel this RFP, in whole or in part, and to reject all proposals.

Proposer Costs. Proposers will not be reimbursed for any costs incurred to prepare proposals.

VENDEX/PASSPort Fees. Pursuant to PPB Rule 2-08(f)(2), the contractor will be charged a fee for the administration of the VENDEX/PASSPort system, including the Vendor Name Check Process, if a Vendor Name Check review is required to be conducted by the Department of Investigation. The contractor shall also be required to pay the applicable fees for any of its subcontractors for which Vendor Name Check reviews are required. The fee(s) will be deducted from payments made to the contractor under the contract. For contracts with an estimated value of less than or equal to \$1,000,000, the fee will be \$175. For contracts with an estimated value of greater than \$1,000,000, the fee will be \$350. The estimated value for each contract resulting from this RFP is estimated to be (less than or equal to \$1 million) (above \$1 million).

Compliance with Local Law 34 of 2007. Pursuant to Local Law 34 of 2007, amending the City's Campaign Finance Law, the City established a computerized database containing the names of any "person" that has "business dealings with the city" as such terms are defined in the Local Law. For the purposes of the database, proposers are required to complete the attached Doing Business Data Form and return it with this proposal submission, and should do so in a separate envelope. (If the proposer is a proposed joint venture, the entities that comprise the proposed joint venture must each complete a Data Form.) If the City determines that a proposer has failed to submit a Data Form or has submitted a Data Form that is not complete, the proposer

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 proposal submission is non-responsive. Receipt of notification is defined as the day notice is e-mailed or faxed (if the proposer 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.

Recruitment and Hiring of Staff/Arrest Notification. On August 4, 2011, as part of the Young Men's Initiative, Mayor Bloomberg issued Executive Order 151 (EO 151) stating with respect to any employment governed by Article 23-A of the NYS Correction 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 RFP will likewise generally be 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 to the safety of individuals or the general public. The contractor shall report any conviction or subsequent arrest of any staff member (paid or volunteer) of which it becomes aware to the Agency.

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 (ADA). Program Facilities should be easily accessible to people with disabilities and should meet all requirements of the ADA. If not, DOP/CEO-approved alternative measures, such as access to other suitable space, should be used to make activities accessible to persons with disabilities.

Whistleblower Protection Expansion Act Rider. Local Law Nos. 30 and 33 of 2012, codified at sections 6-132 and 12-113 of the New York City Administrative Code, the Whistleblower Protection Expansion Act, protect employees of certain City contractors from adverse personnel action based on whistleblower activity relating to a City contract and require contractors to post a notice informing employees of their rights. Please read the below supplementary information on labeled Whistleblower Protection Expansion Act Rider, carefully.

Food Guidelines [Food policy guidelines apply to prime contractors and subcontractors]

(a) Pursuant to Local Law 50 of 2011, codified at section 6-130 of the New York City Administrative Code, the New York State Food Purchasing Guidelines, available at http://www.nyc.gov/html/mocs/html/vendors/food_purchasing_guidelines.shtml, shall apply to contracts valued at more than \$100,000 for food or food-related services (e.g., catering), and to any contract for social services though which more than \$100,000 of food would be purchased annually in fulfillment of the contract. The New York State Department of Agriculture & Markets list of food items available from New York State sources is available at <http://www.nyc.gov/html/mocs/downloads/pdf/NYSFoodList.pdf>.

(b) If the contract includes a requirement that the contractor supply food to program participants as a material part of the client services funded by the Agency/Department then the contractor shall provide a healthy food environment in connection with the client services provided under the contract by complying with the attached New York City Agency Food Standards with regard to the provision of food to program participants under the contract, including compliance with the New York City Food Standards for beverage vending and food vending machines (<http://www.nyc.gov/html/doh/html/cardio/cardio-vend-nutrition-standard.shtml>) for any vending machines to which program participants are granted access.

Compliance with the Iran Divestment Act. Pursuant to State Finance Law Section 165-a and General Municipal Law Section 103-g, the City is prohibited from entering into contracts with persons engaged in investment activities in the energy sector of Iran. Each proposer is required to certify that it is not on a list of entities engaged in investments activities in Iran created by the Commissioner of the NYS Office of General Services. If a proposer appears on that list, the Agency/Department will be able to award a contract to such proposer only in situations where the proposer is taking steps to cease its investments in Iran or where the proposer is a necessary sole source. Please refer to the below supplementary for information on the Iran Divestment Act required for this solicitation and to <http://www.ogs.ny.gov/About/regs/ida.asp> for additional information concerning the list of entities.

Subcontractor Compliance Notice. The selected vendor will be required to utilize the City's web based system to identify all subcontractors in order to obtain subcontractor approval pursuant to PPB Rule section 4-13, and will also be required to enter all subcontractor payment information and other related information in such system during the contract term. Please read the below supplementary information regarding subcontractor compliance notice as it relates to competitive solicitations.

Supplementary Information

WHISTLEBLOWER PROTECTION EXPANSION ACT RIDER

1. In accordance with Local Law Nos. 30-2012 and 33-2012, codified at sections 6-132 and 12-113 of the New York City Administrative Code, respectively,
 - (a) Contractor shall not take an adverse personnel action with respect to an officer or employee in retaliation for such officer or employee making a report of information concerning conduct which such officer or employee knows or reasonably believes to involve corruption, criminal activity, conflict of interest, gross mismanagement or abuse of authority by any officer or employee relating to this Contract to (i) the Commissioner of the Department of Investigation, (ii) a member of the New York City Council, the Public Advocate, or the Comptroller, or (iii) the City Chief Procurement Officer, ACCO, Agency head, or Commissioner.
 - (b) If any of Contractor's officers or employees believes that he or she has been the subject of an adverse personnel action in violation of subparagraph (a) of paragraph 1 of this rider, he or she shall be entitled to bring a cause of action against Contractor to recover all relief necessary to make him or her whole. Such relief may include but is not limited to: (i) an injunction to restrain continued retaliation, (ii) reinstatement to the position such employee would have had but for the retaliation or to an equivalent position, (iii) reinstatement of full fringe benefits and seniority rights, (iv) payment of two times back pay, plus interest, and (v) compensation for any special damages sustained as a result of the retaliation, including litigation costs and reasonable attorney's fees.
 - (c) Contractor shall post a notice provided by the City in a prominent and accessible place on any site where work pursuant to the Contract is performed that contains information about:
 - (i) how its employees can report to the New York City Department of Investigation allegations of fraud, false claims, criminality or corruption arising out of or in connection with the Contract; and
 - (ii) the rights and remedies afforded to its employees under New York City Administrative Code sections 7-805 (the New York City False Claims Act) and 12-113 (the Whistleblower Protection Expansion Act) for lawful acts taken in connection with the reporting of allegations of fraud, false claims, criminality or corruption in connection with the Contract.
 - (d) For the purposes of this rider, "adverse personnel action" includes dismissal, demotion, suspension, disciplinary action, negative performance evaluation, any action resulting in loss of staff, office space, equipment or other benefit, failure to appoint, failure to promote, or any transfer or assignment or failure to transfer or assign against the wishes of the affected officer or employee.
 - (e) This rider is applicable to all of Contractor's subcontractors having subcontracts with a value in excess of \$100,000; accordingly, Contractor shall include this rider in all subcontracts with a value a value in excess of \$100,000.
2. Paragraph 1 is not applicable to this Contract if it is valued at \$100,000 or less. Subparagraphs (a), (b), (d), and (e) of paragraph 1 are not applicable to this Contract if it was solicited pursuant to a finding of an emergency. Subparagraph (c) of paragraph 1 is neither applicable to this Contract if it was solicited prior to October 18, 2012 nor if it is a renewal of a contract executed prior to October 18, 2012.

**IRAN DIVESTMENT ACT COMPLIANCE RIDER FOR
NEW YORK CITY CONTRACTORS**

The Iran Divestment Act of 2012, effective as of April 12, 2012, is codified at State Finance Law (“SFL”) §165-a and General Municipal Law (“GML”) §103-g. The Iran Divestment Act, with certain exceptions, prohibits municipalities, including the City, from entering into contracts with persons engaged in investment activities in the energy sector of Iran. Pursuant to the terms set forth in SFL §165-a and GML §103-g, a person engages in investment activities in the energy sector of Iran if:

(a) the person provides goods or services of twenty million dollars or more in the energy sector of Iran, including a person that provides oil or liquefied natural gas tankers, or products used to construct or maintain pipelines used to transport oil or liquefied natural gas, for the energy sector of Iran; or

(b) The person is a financial institution that extends twenty million dollars or more in credit to another person, for forty-five days or more, if that person will use the credit to provide goods or services in the energy sector in Iran and is identified on a list created pursuant to paragraph (b) of subdivision three of Section 165-a of the State Finance Law and maintained by the Commissioner of the Office of General Services.

A bid or proposal shall not be considered for award nor shall any award be made where the bidder or proposer fails to submit a signed and verified bidder’s certification.

Each bidder or proposer must certify that it is not on the list of entities engaged in investment activities in Iran created pursuant to paragraph (b) of subdivision 3 of Section 165-a of the State Finance Law. In any case where the bidder or proposer cannot certify that they are not on such list, the bidder or proposer shall so state and shall furnish with the bid or proposal a signed statement which sets forth in detail the reasons why such statement cannot be made. The City of New York may award a bid to a bidder who cannot make the certification on a case by case basis if:

(1) The investment activities in Iran were made before the effective date of this section (i.e., April 12, 2012), the investment activities in Iran have not been expanded or renewed after the effective date of this section and the person has adopted, publicized and is implementing a formal plan to cease the investment activities in Iran and to refrain from engaging in any new investments in Iran: or

(2) The City makes a determination that the goods or services are necessary for the City to perform its functions and that, absent such an exemption, the City would be unable to obtain the goods or services for which the contract is offered. Such determination shall be made in writing and shall be a public document.

NOTICE TO PROPOSERS – SUBCONTRACTOR COMPLIANCE:

As of March 2013 the City has implemented a new web based subcontractor reporting system through the City's Payee Information Portal (PIP), available at www.nyc.gov/pip. In order to use the new system, a PIP account will be required. Detailed instructions on creating a PIP account and using the new system are also available at that site. Additional assistance with PIP may be received by emailing the Financial Information Services Agency Help Desk at pip@fisa.nyc.gov.

In order to obtain subcontractor approval under section 3.02 of Appendix A or Article 17 of the Standard Construction Contract and PPB Rule § 4-13 Contractor is required to list the subcontractor in the system. For each subcontractor listed, Contractor is required to provide the following information: maximum contract value, description of subcontractor work, start and end date of the subcontract and identification of the subcontractor's industry. Thereafter, Contractor will be required to report in the system the payments made to each subcontractor within 30 days of making the payment. If any of the required information changes throughout the term of the contract, Contractor will be required to revise the information in the system.

Failure of the Contractor to list a subcontractor and/or to report subcontractor payments in a timely fashion may result in the Agency declaring the Contractor in default of the Contract and will subject Contractor to liquidated damages in the amount of \$100 per day for each day that the Contractor fails to identify a subcontractor along with the required information about the subcontractor and/or fails to report payments to a subcontractor, beyond the time frames set forth herein or in the notice from the City. For construction contracts, the provisions of Article 15 of the Standard Construction Contract shall govern the issue of liquidated damages.

Contractor hereby agrees to these provisions.

NOTICE TO PROPOSERS

Please be advised that the City of New York has issued a new Human Services Standard Contract. The new Contract, which is incorporated in this Request for Proposals, includes changes that reflect amendments to the New York Executive Law and Not-for-Profit Corporation Law by the Non-Profit Revitalization Act of 2013 ("NPRA"). Significant changes include the following:

SECTION 1.01 DEFINITIONS

New definitions for "key employee," "improper related party transaction," "related party," and "related party transaction" have been added to reflect new definitions in section 102(a) of the Not-for-Profit Corporation Law.

SECTION 4.07 RECOUPMENT OF DISALLOWANCE, IMPROPERLY INCURRED COSTS, AND OVERPAYMENTS

A change allows the City to recoup amounts incurred on any improper Related Party Transaction, as defined in section 1.01.

SECTION 5.01 RECORDS TO BE MAINTAINED

New records have been added to the list of records not-for-profit corporations are required to maintain and/or provide for inspection, including: the contractor's conflicts of interest policy, the contractor's whistleblower policy (if required by law), the documentation required for approval of related-party transactions, and a related party's disclosure statement.

SECTION 5.06 ADDITIONAL AUDIT AND FINANCIAL REPORTING REQUIREMENTS

The audit requirements have been changed to reflect changes in Executive Law section 172-b.

SECTION 6.05 BOARD OF DIRECTORS

The provisions relating to Boards of Directors previously in section 2.02(D)-(H) of Appendix B have been moved into this contract. Consistent with the NPRA, subdivision (B) now specifies that board members cannot be present during deliberation of certain personnel matters.

SECTION 6.06 CONFLICTS OF INTEREST POLICY

A new section has been added requiring contractors to maintain a conflict of interest policy if required by Not-for-Profit Corporation Law section 715-a(a).

Please refer to the contract itself for a full understanding and the actual text of the changes that were made. The text of the Contract is the controlling document should there be any discrepancies between this notice and the Contract.

Public Assistance Hiring Commitment Rider for HRA, DHS, ACS, DYCD, DFTA, DOHMH and SBS

- A. The Public Assistance Hiring Commitment is an initiative administered by the Human Resources Administration (“HRA”) through its Business Link program, and seeks to match employers with qualified job-seekers. For the duration of this Contract, and subject to any qualified exceptions listed in **Subsection H** below, Contractor shall hire at least one (1) Public Assistance Recipient (“PA Recipient”) for each two hundred fifty thousand dollars (\$250,000.00) in annual value of this Contract. If Contractor believes it should be exempted from the requirements of this Rider, Contractor may submit a request for an exemption based on the reasons outlined below in **Subsection H**.
- B. Contractor shall hire PA Recipients for employment of at least twenty (20) hours per week for the duration of at least one (1) year.
1. Contractor shall pay hired PA Recipients at least the legally mandated minimum wage.
 2. Contractor may meet the requirements of this Rider through the hiring of PA Recipients by its subcontractors.
 3. Positions of employment may be at any site or within any program operated by the Contractor.
 4. In the event a PA Recipient hired by a Contractor is not retained for one (1) full year, the Contractor must hire and retain another PA Recipient for the remainder of the year in order to be credited for making one (1) required hire. When the Contractor replaces a hired PA Recipient before one (1) year has passed, this replacement will not count as an additional employee toward fulfilling Contractor’s hiring requirement.
 5. Contractor shall seek to retain hired PA Recipients beyond the one (1) year requirement of this Rider. In accordance with **Subsection H(3)** below, if Contractor retains a PA Recipient hired pursuant to this Rider beyond one (1) year, Contractor may qualify for a full or partial exemption of its hiring requirements in the subsequent year.
- C. Business Link will consult with Contractor to assess Contractor’s employment needs and minimum job qualifications, as determined by Contractor. Business Link will make referrals appropriate to those needs. Within ten (10) calendar days of the commencement date and any subsequent anniversary date of the start date of this Contract, the Contractor shall submit (i) all Contract information where the counterparty is HRA, DHS, or ACS; and (ii) contact information for the Contractor’s primary human resources contact and his/her supervisor; an organization chart, job titles, duties and qualifications for the last three years of hires in Contractor’s organization; and the estimated volume of annual hires.
- D. Within thirty (30) calendar days of: (i) the commencement date of the Contract; or (ii) the date of program start (e.g., shelter opening), whichever date is later, and any subsequent anniversary date of the commencement date of this Contract, Contractor shall submit an implementation plan detailing how Contractor will meet the hiring requirements of this Rider. If necessary, Contractor may request the assistance of Business Link in developing its implementation plan; however, Contractor must still submit its implementation plan within thirty (30) calendar days of the Contract commencement date and subsequent anniversary dates. If Contractor is determined by HRA, in consultation with [AGENCY], to be in compliance with this Rider during the previous Contract year, HRA will notify Contractor that it is not required to submit a new implementation plan.

- E. Contractor shall send all documentation to: HRA’s Business Link – Contractor Hiring Unit, located at 348 West 34th Street, New York, New York 10001. Documents may also be emailed to the Contractor Hiring Unit of Business Link at businesslink@hra.nyc.gov. Contractor shall submit any additional relevant information within ten (10) calendar days of a request from HRA. In consultation with [Agency], HRA will review Contractor’s documentation to determine the required number of PA Recipients Contractor shall hire and the allocated timeframe in which to hire these PA Recipients.
- F. Contractor shall begin instituting the implementation plan within ninety (90) calendar days of the Contract commencement date and shall notify HRA of potential job openings and their minimum job qualifications as determined by Contractor. As other job openings arise, Contractor shall send appropriate listings to HRA for the life of this Contract. Contractor may request the assistance of HRA in identifying potential employees. In such case, HRA will refer PA Recipients who meet Contractor’s minimum qualifications as determined by Contractor for employment interviews.
- G. If Contractor fails to hire the specified number of PA Recipients by the later of either (i) the timeframe mutually agreed upon between HRA and Contractor or (ii) six (6) months from the commencement date; or fails to pay and retain PA Recipients in accordance with the requirements specified above, HRA in consultation with [AGENCY] will notify Contractor in writing, indicating what deficiencies are to be remedied. Within ten (10) calendar days of its receipt of this notice, Contractor shall respond to [AGENCY] and HRA in writing, and must include a corrective action plan identifying with specificity the steps Contractor intends to take to remedy any deficiencies identified. HRA will investigate Contractor’s compliance with its corrective action plan and shall inform [AGENCY] as to the Contractor’s performance with its CAP. If the identified deficiencies are not addressed to the satisfaction of HRA and [AGENCY], [AGENCY] shall assess the agreed upon liquidated damages based on the calculation in Paragraph G(1) for each day and for each PA Recipient not hired or compensated in accordance with the provisions of this Rider.
1. Daily liquidated damages per PA Recipient will be calculated as the quotient of:

$$\frac{\text{[(current minimum wage as of the commencement date and any subsequent anniversary date) * 20 hours per week * 52 weeks per year]}}{365 \text{ days}}$$
 2. [AGENCY] retains the option to require Contractor to directly pay to [AGENCY], or to deduct from any payment due or to become due to Contractor, such amount as may be assessed for liquidated damages.
- H. No later than ten (10) calendar days after the Contract commencement date and, for subsequent years, no later than the subsequent anniversary date of the commencement date of this Contract, Contractor may apply to HRA, for a complete or partial exemption from the requirements of this Rider. Any exemption granted will be effective for one (1) year only. Any application for an exemption must be in the form specified by HRA, accompanied by supporting documentation.
1. Contractor may qualify for a complete exemption if one (1) of the conditions below is demonstrated:
 - a. The annual Contract amount is less than two hundred fifty thousand dollars (\$250,000.00) in annual value of personnel costs, excluding fringe benefits and other-than-personal-services (OTPS);

- b. Contractor's workforce within New York City is less than twenty (20) employees;
 - c. Contractor possesses no vacancies and can demonstrate that no positions are reasonably foreseen to be available within one (1) year of the commencement or anniversary date of this Contract;
 - d. Contractor is a party to a valid collective bargaining agreement covering all of Contractor's entry-level positions and such agreement limits Contractor to a hiring pool which does not include PA Recipients; or
 - e. Complying with the hiring requirements of this Rider in any manner will cause extreme hardship.
 2. Contractor may qualify for a partial exemption if one of the conditions below is demonstrated:
 - a. The specified number of PA Recipients to be hired exceeds 10% of Contractor's workforce located within New York City; or
 - b. A valid collective bargaining agreement covers some but not all entry-level positions and limits Contractor to a hiring pool which does not include PA Recipients.
 3. Beginning with Year 2 of the Contract, Contractor may qualify for either a full or partial exemption from its yearly hiring requirements to the extent that Contractor can demonstrate that it hired the required number of PA Recipients during the previous year and that these hires remain employed by Contractor as of the anniversary date. Contractor shall submit all appropriate documentation when seeking an exemption based on a retained PA Recipient, including, but not limited to: payroll reports, pay stubs, and any other documentation HRA may require.
 4. HRA will review Contractor's exemption request and will, in consultation and agreement with [AGENCY], notify Contractor whether its exemption request is approved or denied. If Contractor's request is denied, Contractor shall: (i) within ten (10) calendar days of its receipt of notice from HRA, submit all documentation in accordance with **Section C**; and (ii) within thirty (30) calendar days of its receipt of notice from HRA, submit an implementation plan in accordance with **Section D**.
- I. At the end of each fiscal year, the Contractor Hiring Unit of Business Link will in consultation with [AGENCY], notify Contractor as to whether the hiring requirements were met. Where the Contractor has failed to meet the requirements, Contractor may seek a modification to waive its unmet requirements if Contractor can demonstrate that it has made best efforts to meet the hiring requirements of this Rider. Evidence that Contractor utilized best efforts to meet the hiring requirements of this Rider include, but are not limited to:
 1. Contractor contacted Business Link for assistance in identifying potential employees and cooperated with Business Link to identify possible openings within Contractor's organization;
 2. Contractor made efforts to interview PA Recipients for open positions; documentation of these efforts must include at a minimum:
 - a. The names, addresses, and telephone numbers for each PA Recipient interviewed,

and whether they were referred to Contractor by HRA;

- b. Job description and specifications of the position a PA Recipient was interviewed for; and
- c. An explanation detailing why any PA Recipients interviewed were rejected for that position.

PAID SICK LEAVE LAW CONTRACT RIDER

Introduction and General Provisions

The Earned Sick Time Act, also known as the Paid Sick Leave Law (“PSLL”), requires covered employees who annually perform more than 80 hours of work in New York City to be provided with paid sick time.¹ Contractors of the City of New York or of other governmental entities may be required to provide sick time pursuant to the PSLL.

The PSLL became effective on April 1, 2014, and is codified at Title 20, Chapter 8, of the New York City Administrative Code. It is administered by the City’s Department of Consumer Affairs (“DCA”); DCA’s rules promulgated under the PSLL are codified at Chapter 7 of Title 6 of the Rules of the City of New York (“Rules”).

Contractor agrees to comply in all respects with the PSLL and the Rules, and as amended, if applicable, in the performance of this agreement. Contractor further acknowledges that such compliance is a material term of this agreement and that failure to comply with the PSLL in performance of this agreement may result in its termination.

Contractor must notify the Agency Chief Contracting Officer of the City agency or other entity with whom it is contracting in writing within ten (10) days of receipt of a complaint (whether oral or written) regarding the PSLL involving the performance of this agreement. Additionally, Contractor must cooperate with DCA’s education efforts and must comply with DCA’s subpoenas and other document demands as set forth in the PSLL and Rules.

The PSLL is summarized below for the convenience of Contractor. Contractor is advised to review the PSLL and Rules in their entirety. On the website www.nyc.gov/PaidSickLeave there are links to the PSLL and the associated Rules as well as additional resources for employers, such as Frequently Asked Questions, timekeeping tools and model forms, and an event calendar of upcoming presentations and webinars at which Contractor can get more information about how to comply with the PSLL. Contractor acknowledges that it is responsible for compliance with the PSLL notwithstanding any inconsistent language contained herein.

Pursuant to the PSLL and the Rules:

Applicability, Accrual, and Use

An employee who works within the City of New York for more than eighty hours in any consecutive 12-month period designated by the employer as its “calendar year” pursuant to the PSLL (“Year”) must be provided sick time. Employers must provide a minimum of one hour of sick time for every 30 hours worked by an employee and compensation for such sick time must

¹ Pursuant to the PSLL, if fewer than five employees work for the same employer, as determined pursuant to New York City Administrative Code §20-912(g), such employer has the option of providing such employees uncompensated sick time.

be provided at the greater of the employee's regular hourly rate or the minimum wage. Employers are not required to provide more than forty hours of sick time to an employee in any Year.

An employee has the right to determine how much sick time he or she will use, provided that employers may set a reasonable minimum increment for the use of sick time not to exceed four hours per day. In addition, an employee may carry over up to forty hours of unused sick time to the following Year, provided that no employer is required to allow the use of more than forty hours of sick time in a Year or carry over unused paid sick time if the employee is paid for such unused sick time and the employer provides the employee with at least the legally required amount of paid sick time for such employee for the immediately subsequent Year on the first day of such Year.

An employee entitled to sick time pursuant to the PSSL may use sick time for any of the following:

- such employee's mental illness, physical illness, injury, or health condition or the care of such illness, injury, or condition or such employee's need for medical diagnosis or preventive medical care;
- such employee's care of a family member (an employee's child, spouse, domestic partner, parent, sibling, grandchild or grandparent, or the child or parent of an employee's spouse or domestic partner) who has a mental illness, physical illness, injury or health condition or who has a need for medical diagnosis or preventive medical care;
- closure of such employee's place of business by order of a public official due to a public health emergency; or
- such employee's need to care for a child whose school or childcare provider has been closed due to a public health emergency.

An employer must not require an employee, as a condition of taking sick time, to search for a replacement. However, an employer may require an employee to provide: reasonable notice of the need to use sick time; reasonable documentation that the use of sick time was needed for a reason above if for an absence of more than three consecutive work days; and/or written confirmation that an employee used sick time pursuant to the PSSL. However, an employer may not require documentation specifying the nature of a medical condition or otherwise require disclosure of the details of a medical condition as a condition of providing sick time and health information obtained solely due to an employee's use of sick time pursuant to the PSSL must be treated by the employer as confidential.

If an employer chooses to impose any permissible discretionary requirement as a condition of using sick time, it must provide to all employees a written policy containing those requirements, using a delivery method that reasonably ensures that employees receive the policy. If such employer has not provided its written policy, it may not deny sick time to an employee because of non-compliance with such a policy.

Sick time to which an employee is entitled must be paid no later than the payday for the next regular payroll period beginning after the sick time was used.

Exemptions and Exceptions

Notwithstanding the above, the PSLL does not apply to any of the following:

- an independent contractor who does not meet the definition of employee under section 190(2) of the New York State Labor Law;
- an employee covered by a valid collective bargaining agreement in effect on April 1, 2014 until the termination of such agreement;
- an employee in the construction or grocery industry covered by a valid collective bargaining agreement if the provisions of the PSLL are expressly waived in such collective bargaining agreement;
- an employee covered by another valid collective bargaining agreement if such provisions are expressly waived in such agreement and such agreement provides a benefit comparable to that provided by the PSLL for such employee;
- an audiologist, occupational therapist, physical therapist, or speech language pathologist who is licensed by the New York State Department of Education and who calls in for work assignments at will, determines his or her own schedule, has the ability to reject or accept any assignment referred to him or her, and is paid an average hourly wage that is at least four times the federal minimum wage;
- an employee in a work study program under Section 2753 of Chapter 42 of the United States Code;
- an employee whose work is compensated by a qualified scholarship program as that term is defined in the Internal Revenue Code, Section 117 of Chapter 20 of the United States Code; or
- a participant in a Work Experience Program (WEP) under section 336-c of the New York State Social Services Law.

Retaliation Prohibited

An employer may not threaten or engage in retaliation against an employee for exercising or attempting in good faith to exercise any right provided by the PSLL. In addition, an employer may not interfere with any investigation, proceeding, or hearing pursuant to the PSLL.

Notice of Rights

An employer must provide its employees with written notice of their rights pursuant to the PSLL. Such notice must be in English and the primary language spoken by an employee, provided that DCA has made available a translation into such language. Downloadable notices are available on DCA's website at <http://www.nyc.gov/html/dca/html/law/PaidSickLeave.shtml>.

Any person or entity that willfully violates these notice requirements is subject to a civil penalty in an amount not to exceed fifty dollars for each employee who was not given appropriate notice.

Records

An employer must retain records documenting its compliance with the PSSL for a period of at least three years, and must allow DCA to access such records in furtherance of an investigation related to an alleged violation of the PSSL.

Enforcement and Penalties

Upon receiving a complaint alleging a violation of the PSSL, DCA has the right to investigate such complaint and attempt to resolve it through mediation. Within 30 days of written notification of a complaint by DCA, or sooner in certain circumstances, the employer must provide DCA with a written response and such other information as DCA may request. If DCA believes that a violation of the PSSL has occurred, it has the right to issue a notice of violation to the employer.

DCA has the power to grant an employee or former employee all appropriate relief as set forth in New York City Administrative Code 20-924(d). Such relief may include, among other remedies, treble damages for the wages that should have been paid, damages for unlawful retaliation, and damages and reinstatement for unlawful discharge. In addition, DCA may impose on an employer found to have violated the PSSL civil penalties not to exceed \$500 for a first violation, \$750 for a second violation within two years of the first violation, and \$1,000 for each succeeding violation within two years of the previous violation.

More Generous Policies and Other Legal Requirements

Nothing in the PSSL is intended to discourage, prohibit, diminish, or impair the adoption or retention of a more generous sick time policy, or the obligation of an employer to comply with any contract, collective bargaining agreement, employment benefit plan or other agreement providing more generous sick time. The PSSL provides minimum requirements pertaining to sick time and does not preempt, limit or otherwise affect the applicability of any other law, regulation, rule, requirement, policy or standard that provides for greater accrual or use by employees of sick leave or time, whether paid or unpaid, or that extends other protections to employees. The PSSL may not be construed as creating or imposing any requirement in conflict with any federal or state law, rule or regulation.

To be completed by the City agency prior to distribution Agency _____ Transaction ID _____

Check One

Transaction Type (check one)

- Proposal Award Concession Economic Development Agreement Franchise Grant Pension Investment Contract 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, as will the organizations that own 10% or more of the entity. No other information reported on this form will be disclosed to the public. **This Data Form is not related to the City's PASSPort registration or VENDEX requirements.**

Please return the completed Data Form to the City office that supplied it. Please contact the Doing Business Accountability Project at DoingBusiness@mocs.nyc.gov or 212-788-8104 with any questions regarding this Data Form. Thank you for your cooperation.

Entity Information

If you are completing this form by hand, please print clearly.

Entity EIN/TIN _____ Entity Name _____

Filing Status

(Select One)

NEW: Data Forms submitted now must include the listing of **organizations**, as well as individuals, with 10% or more ownership of the entity. Until such certification of ownership is submitted through a change, new or update form, a no change form will not be accepted.

- 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 _____ E-mail _____

Provide your e-mail address in order to receive notices regarding this form by e-mail.

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 _____ Birth Date (mm/dd/yy) _____

Office Title _____ Employer (if not employed by entity) _____

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 _____ Birth Date (mm/dd/yy) _____

Office Title _____ Employer (if not employed by entity) _____

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 _____ Birth Date (mm/dd/yy) _____

Office Title _____ Employer (if not employed by entity) _____

Home Address _____

This person replaced former COO _____ on date _____

Principal Owners

Please fill in the required identification information for all individuals or organizations that, through stock shares, partnership agreements or other means, **own or control 10% or more of the entity**. If no individual or organization owners exist, please check the appropriate box to indicate why and skip to the **Senior Managers** section. If the entity is owned by other companies that control 10% or more of the entity, those companies must 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 or organizations that are no longer owners at the bottom of this section. 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
- The entity is an individual
- No individual or organization owns 10% or more of the entity

Other (explain) _____

Individual Owners (who own or control 10% or more of the entity)

First Name _____ MI ____ Last _____ Birth Date (mm/dd/yy) _____

Office Title _____ Employer (if not employed by entity) _____

Home Address _____

First Name _____ MI ____ Last _____ Birth Date (mm/dd/yy) _____

Office Title _____ Employer (if not employed by entity) _____

Home Address _____

Organization Owners (that own or control 10% or more of the entity)

Organization Name _____

Organization Name _____

Organization Name _____

Remove the following previously-reported Principal Owners

Name _____ Removal Date _____

Name _____ Removal Date _____

Name _____ Removal Date _____

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 _____ Birth Date (mm/dd/yy) _____

Office Title _____ Employer (if not employed by entity) _____

Home Address _____

First Name _____ MI ____ Last _____ Birth Date (mm/dd/yy) _____

Office Title _____ Employer (if not employed by entity) _____

Home Address _____

First Name _____ MI ____ Last _____ Birth Date (mm/dd/yy) _____

Office Title _____ Employer (if not employed by entity) _____

Home Address _____

Remove the following previously-reported Senior Managers

Name _____ removal date _____

Name _____ removal date _____

Certification

I certify that the information submitted on these two 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 _____ Title _____

Entity Name _____ Work Phone # _____

Signature _____ Date _____

Proposal Budget Summary

Line Item	Annual Budget
Total Annual Funding Request	\$ -
- Total Direct Costs	\$ -
- Total Salary and Fringe	\$ -
Total Salary	\$ -
Total Fringe	\$ -
- Total OTPS	\$ -
Operations, Support and Equipment	\$ -
Utilities	\$ -
Professional Services	\$ -
Rent & Occupancy	\$ -
Contracted Services	\$ -
Other (if applicable)	\$ -
Other (if applicable)	\$ -
Other (if applicable)	\$ -
Other (if applicable)	\$ -
Other (if applicable)	\$ -
Other (if applicable)	\$ -
Other (if applicable)	\$ -
Other (if applicable)	\$ -
Other (if applicable)	\$ -
- Indirect Costs	
- Total Indirect Costs	\$ -
- Program Income	
- Total Program Income	

Budget Item Descriptions

Total Salary: Indicate the total cost of all employees (full-time, 35 hours or more per week; part-time and seasonal less than 35 hours per week)

Total Fringe: Indicate total cost of fringe associated with your employees. Fringe benefits must include FICA. This may also include unemployment insurance, worker's compensation, disability, pension, life insurance and medical coverage as per your policies.

Operations, Support and Equipment : Includes Supplies that are not lasting or permanent in nature, such as office, program and/or maintenance supplies. Purchase of equipment that is durable or permanent, such as furniture, printers, calculators, computers etc. The rental, lease, repair and maintenance of office/programmatic equipment utilized in the program's operation.
This also includes audit costs, postage, printing and publications, subscriptions, etc. Also include any other operating costs that cannot be classified in any other category.

Utilities: Cost related to utilities such as electricity, water, gas and telecommunications.

Professional Services: Cost associated with independent entities with professional or technical skills, such as accounting or legal services, that support vendor operations.

Rent and Occupancy: All 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.

Contracted Services: Cost associated with independent entities with professional or technical skills retained to perform specific tasks or complete projects related to the program that cannot be accomplished by regular staff. Also, independent, usually nonprofit, entities retained to perform program services.

Indirect Costs: Costs related to overhead incurred by a contractor operating several programs.

Program Income: Anticipated income the program generates. This could be client fees or contributions, earned revenue, In-kind contribution, private match, or grant funds to support the program.

DOMESTIC VIOLENCE RISK AND NEEDS ASSESSMENT (DVRNA)

Scoring Manual

*Fifth Edition
2016*

Domestic Violence Offender Management Board
Division of Criminal Justice
Colorado Department of Public Safety

March 1, 2016



COLORADO
Division of Criminal Justice
Department of Public Safety



COLORADO
Department of Public Safety

Special Acknowledgements

Special thanks to A. Mervyn Davies and the Domestic Violence Treatment Review Committee for their guidance, direction and efforts in the design and refinement of the Domestic Violence Risk and Needs Assessment (DVRNA) instrument. The Committee spent many hours reviewing the research in order to make this instrument empirically based.

Do Not Distribute

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Overview and Administration

Introduction

The Domestic Violence Risk and Needs Assessment (DVRNA) was developed by the Treatment Review Committee (Committee) of the Colorado Domestic Violence Offender Management Board (DVOMB). The Domestic Violence Risk and Needs Assessment (DVRNA) is a risk assessment for adult domestic violence offenders 18 years and older. It is intended to be completed once all the evaluation data has been gathered. It is empirically based and has content and face validity. The DVOMB has obtained funding for a validation study which will begin in October 2010.

This instrument was designed to identify risk factors that should be considered when working with domestic violence offenders in treatment. It is only intended to be used for offenders who have been arrested and are in the criminal justice system for a domestic violence offense. The risk factors that are empirically based on this instrument are predictive for offenders in the criminal justice system. It aids in determining appropriate level of treatment intensity. The DVRNA presents a framework within which to assess the risk of future intimate partner violence for domestic violence offenders in treatment. The DVRNA takes numerous risk factors that have been identified through empirical research as increasing the risk of violence or escalating its seriousness and consolidates these factors into a single measure, thus providing a method of determining the likelihood (probability) of ongoing or repeat violence.

Description

The DVRNA is composed of 14 domains of risk most highly predictive of future violence, which were selected based on an extensive literature review, the clinical experience of the Committee, and the knowledge from the criminal justice system participants. Many items concern an offender's criminal history. A few domains are dynamic in nature, such as current lifestyle stability factors. Risk factors are used as one measure to assist with initial treatment planning including the design of offender competencies, and ongoing treatment plan reviews.

The DVRNA is a risk assessment tool that assigns offenders a total score based on risk for repeated domestic violence. Thus, an offender may be placed into one of three categories of intensity of treatment; low, moderate, or high. For example, any indication of a Significant Risk Factor would require initial treatment placement in the moderate level at a minimum, while an indication of a Critical Risk Factor would require initial treatment placement in the high intensity level.

User Qualifications and Training

The DVRNA was designed to be scored easily by treatment providers in conjunction with the Multi-disciplinary Treatment Team, made up of an Approved Provider, responsible criminal justice agency, and a treatment victim advocate at a minimum. Other professionals relevant to a particular case may also be a part of the MTT such as human services, child welfare, and child protection services. Before using this assessment, it is important to read this manual and the Annotated DVRNA. In addition, users should complete DVOMB training because it is critical to insure rater accuracy and fidelity to the instrument. DVRNA users should have a basic understanding of risk factors related to domestic violence recidivism.

Documentation of Information Sources

When completing the DVRNA for each domain, it is essential to identify the sources utilized to obtain the information. It is preferable to use official records (e.g., mental health, criminal justice reports), credible offender reports and written collateral reports for this documentation. The scoring of the instrument is intended to be transparent and sources of information must be available.

Scoring Instructions

Domain Risk Items

Domain A: Prior Domestic Violence Related Incidents

(Any of the following are Significant Risk Factors that indicate initial treatment in Level B **except number 1, which is a Critical Risk Factor and indicates treatment in Level C.**)

- This domain applies only to adult criminal history
 - Do not include offenses committed as a juvenile
1. Prior domestic violence conviction
 - **Critical Risk Factor that indicates initial treatment placement in Level C.**
 - Include self reports of convictions
 - Includes deferred judgments, guilty pleas
 - Include convictions identified in criminal history as reported by probation or criminal justice report
 2. **Violation** of an order of protection (documented)
 - Include civil or criminal protection orders
 - Include past or current orders
 - Include temporary protection orders
 - Include alcohol violations
 3. Past or present civil domestic violence related protection orders against offender
 - Does not include criminal protection orders related to the arrest and conviction.
 - Do not include automatic orders related to marriage dissolution
 - Include temporary and permanent orders
 4. Prior arrests for domestic violence
 - Include any arrest as an adult that was identified in the arrest as domestic violence
 5. Prior domestic violence incidents not reported to criminal justice system
 - Include incidents reported by the victim **only** if the victim gives written permission to include this in the scoring of the DVRNA.
 - Include offender self report of incidents
 - Include any incident commencing after age 18
 - Include incidents involving any intimate partner after age 18
 - Include incidents reported in writing by collateral contacts or documented interview(s).

Domain B: Drug or Alcohol Abuse

(Any of the following are Significant Risk Factors that indicate initial treatment in Level B).

Providers shall follow requirements of Office of Behavioral Health (OBH) for substance abuse assessment: A comprehensive evidence-based or best practices assessment shall be completed as soon as is reasonable, covering the areas required by OBH. All methods and procedures used to assess and evaluate an individual shall be developmentally and age appropriate, culturally responsive, and conducted in the individual's preferred language and/or mode of communication.

Self-report or recent illegal activity involving substance abuse with emphasis on the most recent 12 months can also be used to determine substance abuse.

No problem indicates that there is no alcohol or drug abuse or that alcohol or drugs do not interfere with the offender's functioning.

1. Substance abuse/dependence within the previous 12 months

- Refer to the DSM-IV-TR (or current version) for substance dependence or abuse criteria.

2. History of substance abuse treatment within the previous 12 months, or two or more prior drug or alcohol treatment episodes during adult lifetime.

- Include any court-ordered or voluntary substance abuse treatment or counseling.
- Include offender self-report

3. Offender uses illegal drugs or illegal use of drugs

- Colorado Revised Statutes Section 18-18-404(1) refers to "unlawful use of a controlled substance - using any controlled substance, except when it is dispensed by or under the direction of a person licensed or authorized by law to prescribe, administer, or dispense such controlled substance for bona fide medical needs."
- Illegal use of drugs includes the abuse of prescription medication; abuse of over-the-counter drugs; and or using illegal drugs such as cocaine, heroin, LSD, methamphetamine, etc.
- Tobacco is not included
- You may use offender self-report, police report, criminal justice record, and other witnesses.

Discussion point:

Colorado State law, as of June 1, 2015 allows probationers to use medical marijuana unless the court has prohibited it. Therefore, IF an offender has a medical marijuana card as required by the state and IF the court has not prohibited the use of medical marijuana for that particular offender, this medical marijuana use would not be scored in Domain B.

However, if at any time, the offender abused or is abusing marijuana this would be scored under B.1.

Domain C: Mental Health Issue

(Any of the following are Significant Risk Factors that indicate initial treatment placement in Level B at a minimum).

Mental health concerns may be documented from offender self-report, from the diagnosis by a qualified Approved Provider, from medical records, or from a practitioner qualified to identify a disorder. If an Approved Provider is not qualified to assess the mental health of an offender, the offender may need to be referred to a qualified clinician.

1. Existing Axis I or II diagnosis excluding V codes
 - The V code section of the DSM-IV-TR deals with other conditions that may be a focus of clinical attention. V codes are not a diagnosis and therefore not scored.
 - Do not score a substance abuse/dependence if this has already been scored on Domain B: Drug or Alcohol Abuse.
2. Personality disorder with anger, impulsivity, or behavior instability (SARA, 2008)
 - This item should be ascertained based on past or current mental health evaluations. If an Approved Provider is not qualified to assess personality disorders, he/she needs to refer to an Approved Provider who is qualified or another qualified clinician.
 - Refer to the DSM-IV-TR (or current version)
3. Severe psychopathy
 - Psychopathy is a risk for violent behavior. It is a criminal justice construct. It is not defined in the DSM-IV-TR, subsequently you cannot diagnose someone as a psychopath. However, the degree of someone's psychopathy can be used as a risk factor (HARE Psychopathy Checklist Revised-providers must be trained in the use of this tool).
4. Recent psychotic and/or manic symptoms (SARA, 2008)
 - "Recent" is defined as the previous 12 months
 - Psychotic symptoms may include (a) grossly disorganized or illogical speech, (b) delusions, (c) hallucinations, and (d) grossly bizarre behavior. Manic symptoms include (a) extreme euphoria or irritability, (b) grandiosity, (c) racing thought and pressured speech, and (d) motoric hyperactivity
5. Psychological/psychiatric condition currently unmanaged
 - This condition needs to be diagnosed by a medical or health care clinician, by medical records, or by offender self-report.
6. Non-compliance with prescribed medications and mental health treatment
 - This information should be obtained from offender self-report or medical records.
7. An offender exhibits symptoms that indicate the need for a mental health evaluation
 - These symptoms may include such indicators as possible depression, psychosis, mania, and/or anxiety.

Domain D: Suicidal/homicidal

1. Serious homicidal or suicidal ideation/intent within the past year
 - “Serious” as defined in the SARA means that the ideation is experienced as persistent and intrusive or involves high lethality methods; or that the level of intent is moderate to high.
 - ***This is a Critical Risk Factor that indicates initial treatment in Level C.***
2. Ideation within the past 12 months
 - The term suicidal/homicidal ideation generally refers to thoughts of committing homicide/suicide, including planning how it will be accomplished.
 - May be obtained from offender self-report or documented by other clinicians
3. Credible threats of death within the past 12 months
 - “Credible” means that the threats were perceived as credible by the victim (SARA, 2008)
4. Victim reports offender has made threats of harming/killing her
 - If the information is revealed by a discussion with the victim, protection of the victim is priority. It is imperative that the if the victim signs a release that allows this information to be utilized for scoring the DVRNA, she/he understands the ramifications of signing such a form, possible retaliation from an offender and has received safety planning assistance from the treatment victim advocate.
 - When a victim states that his/her information cannot be revealed beyond the Approved Provider, the Approved Provider and the victim advocate, without compromising victim confidentiality, may consult with probation and shall ascertain other potential ways to document or address victim concerns. For example: If the victim reports substance abuse by the offender, the Approved Provider may require random urinalysis, thus obtaining information without revealing victim information.

Domain E: Use and/or threatened use of weapons in current or past offense or access to firearms

This information can be documented utilizing offender self-report, reports from probation, collateral reports, or police reports.

“The use of weapons and threats of death that cause fear in victims are associated with increase risk for future violence.” Manual for the Spousal Assault Risk Assessment Guide (SARA). Therefore the offender’s use of a weapon toward anyone in the offense is scored.

Use and/or threatened use of weapons include the threat or actual use of any weapon that poses potential realistic physical harm to the victim’s life. Potentially deadly weapons may include firearms, knives, and objects used as clubs; or such objects as tools, phones, etc. The object should not be a body part (e.g., hands, feet, mouth).

1. Gun in the home in violation of a civil or criminal court order
 - ***This is a Critical Risk Factor that indicates initial treatment in Level C***
2. Use and/or threatened use of weapons in current or past offense
 - ***This is a Critical Risk Factor that indicates initial treatment in Level C***
 - This information may be obtained from the police report and/or victim statements. If the information is revealed by a discussion with the victim, protection of the victim is priority. It is imperative that the if the victim signs a release that allows this information to be utilized for scoring the DVRNA, she/he understands the ramifications of signing such a form, possible retaliation from an offender, and has received safety planning assistance from the treatment victim advocate.
3. Access to firearms
 - Includes personal ownership of a firearm or living in a household with a firearm
 - Do not score if the offender does not have access to firearms - for example if they are stored or locked elsewhere outside the home.
 - If a court order is allowing the offender to have a weapon, this is still scored because the offender has access to a weapon.

Domain F: Criminal history - nondomestic violence (both reported and unreported to criminal justice system).

This information may be documented from probation reports, arrest records, or offender self-report.

This domain applies only to adult criminal history

1. Offender was on community supervision at the time of the offense
 - **This is a Critical Risk Factor that indicates initial treatment in Level C**
 - Community supervision includes supervised probation, unsupervised (court monitored) probation, parole, private probation, community corrections, pre-trial release, bond, etc.
2. Offender has a prior arrest for assault, harassment, or menacing
 - **If there have been two or more arrests, this is a Significant Risk Factor that indicates initial treatment in Level B at a minimum.**
 - Do not include a domestic violence enhanced crime
3. Prior nondomestic violence convictions at any time during offender's adult life
 - Include any municipal, misdemeanor, and felony convictions.
 - Includes all convictions except traffic violations
 - Includes deferred sentence (clarification added March 2016)
 - **NOTE: IF the offender was scored on Domain B 2 only for two or more prior drug or alcohol treatment episodes during his/her lifetime DO NOT also score any related previous DUIs here.**
4. Past violation(s) of conditional release or community supervision
 - "Conditional release" includes probation, parole, bail, conditional discharge, suspended sentence, or any other occasion in which the offender is at liberty in the community under supervision or other requirements ordered by the court.
 - Violation of a no contact order counts as violation of conditional release
5. Past assault of strangers, or acquaintances
 - Assault includes physical assault, sexual assault and any use of a weapon.
 - There does not have to be an arrest to code this item.
 - Document how the information was obtained
6. Animal cruelty/abuse
 - Includes threatening, abusing, or killing a family pet.
 - There does not have to be an arrest to code this item.
 - Document how the information was obtained

Domain G: Obsession with the victim

(Current victim or current partner only)

1. Stalking or monitoring

Stalking, as defined by the National Center for Victims of Crime, Stalking Resource Center, is a pattern of repeated, unwanted attention, harassment, and contact. It is a course of conduct that can include:

- Following or laying in wait for the victim
- Repeated unwanted, intrusive, and frightening communications from the perpetrator by phone, mail, and/or e-mail
- Damaging the victim's property
- Making direct or indirect threats to harm the victim, the victim's children, relatives, friends, or pets
- Repeatedly sending the victim unwanted gifts
- Harassment through the Internet, known as cyberstalking, online stalking, or Internet stalking
- Securing personal information about the victim by: accessing public records (land records, phone listings, driver or voter registration), using Internet search services, hiring private investigators, contacting friends, family, work, or neighbors, going through the victim's garbage, following the victim, etc.

2. Obsessive jealousy with the potential for violence, violently and constantly jealous, or morbid jealousy.

- Morbid jealousy describes a range of irrational thoughts and emotions, together with associated unacceptable or extreme behavior, in which the dominant theme is a preoccupation with a partner's sexual unfaithfulness based on unfounded evidence.
- Individuals may suffer from morbid jealousy even when their partner is being unfaithful, provided that the evidence that they cite for unfaithfulness is incorrect and the response to such evidence on the part of the accuser is excessive or irrational.
- Morbidly jealous individuals interpret conclusive evidence of infidelity from irrelevant occurrences, refuse to change their beliefs even in the face of conflicting information, and tend to accuse the partner of infidelity with many others.

This domain could be scored with evidence of a protection order that is based on stalking or a violation of that type of protection order. A charge for stalking with the current victim would also result in a score on this item.

If the offender was scored for a civil protection order under Domain A.3 and the protection order is due to stalking, also score this Domain.

Domain H: Safety concerns

Information should not be used if it compromises victim safety and confidentiality and if the victim has not signed a written release of information specifically related to what information the victim is sharing. It is imperative that if the victim signs a release that allows this information to be utilized for scoring the DVRNA, she/he understands the ramifications of signing such a form, possible retaliation from an offender, and has received safety planning assistance from the treatment victim advocate. If the information is in the police report, the victim need not sign a release or give permission for this information to be used.

1. Victim perception of lack of safety/victim concerned for safety
2. Victim (female victim in heterosexual relationship) believes offender is capable of killing her
NOTE: Even though threats of death are only scored for male offender against female victim, the MTT shall consider threats of death by the offender toward the victim regardless of gender and override the findings of the DVRNA if necessary.
3. Offender controls most of victim's daily activities
4. Offender tried to "choke" victim
 - Although the medical terminology is "strangle", victims more readily identify with the word choke when reporting abuse.
5. Physical violence is increasing in severity
6. Victim forced to have sex when not wanted
7. Victim was pregnant at the time of the offense and offender knew this.
8. Victim is pregnant and offender has previously abused her during pregnancy.

Domain I: Violence and/or threatened violence toward family members including child abuse

This does not include criminal history. If there is criminal history related to this/these incident(s), score only on Domain F, number 3.

1. Current or past social services case as an adult where the offender was party to the action.
 - Voluntary social services involvement is not scored. This item is intended to be open or past cases in social services.
2. Past assault of family members
 - “Assault” includes physical assault, sexual assault, and any use of a weapon.
 - “Family members” include biological and legal relatives (parents, step-parents, siblings, etc.), as well as children by previous or present intimate partners.
 - Excludes previous or present intimate partners.
 - Score even if there was no arrest conviction.
 - May be obtained from credible offender self-report and written collateral reports.
3. Children were present during the offense (in the vicinity)
 - A yes response would include any children in the home or location of offense even if they were sleeping, or it was perceived that they could not hear or see the offense.
 - Include all children under of age of 18 regardless of their relationship to the victim and offender.

Domain J: Attitudes that support or condone spousal assault

Support or condone either implicitly or explicitly, by encouraging (a) patriarchy (male prerogative), (b) misogyny, and/or (c) the use of violence to resolve conflicts.

Multiple arrests for domestic violence **do not** implicitly or explicitly imply attitudes that support or condone spousal assault.

1. Explicitly endorses attitudes that support or condone intimate partner assault

- Explicit endorsed attitudes can be identified because they are precisely and clearly expressed or readily observable, leaving nothing to implication. It is expressed in a clear and obvious way, leaving no doubt as to the intended meaning.
- Examples include: offender calling the victim by derogatory names, stating that the victim/partner should obey the offender, lack of obedience is justification for abuse, stating that the victim is too stupid to handle money.

2. Appears to implicitly endorse attitudes that support or condone intimate partner assault.

- Implicit endorsed attitudes are suggested or understood without being directly stated. To imply is to suggest rather than to state. An action or incident can imply an idea that would otherwise have to be stated.
- Examples include: offender justifies behaviors that indicate the victim provoked him; such as she wouldn't stop talking or she was drunk. Offender provides covert messages around his/her true beliefs. Offender may verbally say he/she would not abuse his/her partner, but he/she is controlling and abusive by the actions of his/her behaviors.

Domain K: Prior completed or non-completed domestic violence treatment

Treatment occurred at any time in the past and was not completed, regardless of reason.

This information may be obtained from an Approved Provider or credible offender self-reports and written collateral reports from the criminal justice system.

Prior treatment that occurred at **any** time in the past regardless of the type of discharge received, whether successful, unsuccessful, or administrative.

Include any court-ordered or voluntary domestic violence treatment or counseling.

IF the offender is in treatment again for the same offense, this is not considered a new treatment episode for the purposes of this instrument and therefore it would not be scored.

Do Not Distribute

Domain L: Victim separated from offender within the previous six (6) months

This refers to the risk of separation and is scored based on the victim initiating the separation from the offender within six months prior to the evaluation. Score this only when the victim has chosen to separate. This does not include the offender separating or a court order that requires they separate. Also score this item if the victim left and returned to the abuser.

It is a risk factor that can be reviewed at time of evaluation and calculated as the six (6) months previous to the evaluation.

Additionally, **any** time the victim initiates a separation from the offender this is a risk and needs to be scored and taken into consideration by the MTT. The MTT will determine on a case by case basis if the victim leaves during the offender's treatment whether this will impact level of treatment or treatment planning.

Separation refers to physical separation.

Separation may include entering a shelter, moving out of the residence, moving in with friends, or eviction of the offender.

Domain M: Unemployed

Do not count employment that is criminal in nature (e.g. drug dealing).

Unemployed is defined as not working at time of offense or at any time during intake or treatment and does not include offenders on public assistance, homemakers, students, or retirees.

An offender that is unemployed and collecting unemployment is scored as unemployed.

Do Not Distribute

Domain N: Involvement with people who have pro-criminal influence

In order to score one point in this domain, *both* of the following factors shall be present.

1. Some criminal acquaintances

The presence of some criminal acquaintances is associated with an opportunity for pro-criminal modeling, a concept that is considered a major risk factor (Andrews & Bonta, 1994; Gendreau, 1995; Elliot et al., 1987; Hawkins & Lam, 1987).

Explore the scope of criminal involvement of the individual's network and to what degree it is an accepted norm.

- Score if the individual associates with (or did associate with prior to incarceration) some individuals who are not close friends, but are known to have criminal records or are known to be involved in criminal activity.
- Potential questions that can be asked: "Of the friends you just mentioned (reiterate by name if possible) which ones have been in trouble with the law, as far as you are aware?"

For acquaintances or friends that have criminal records but are now clearly pro-social and stable, e.g., NA or AA sponsor with several years clean and sober, do not count these individuals as a pro-criminal influence.

AND

2. Some criminal friends

Attachments to pro-criminal others is a well-documented predictor of criminal behavior, with roots in both of the major explanatory theories in criminology: social control (Hirschi, 1969) and social learning (Akers & Burgess, 1968).

Inquire whether the offender's friends are known to be involved in unlawful behavior. Potential questions that can be utilized are: "You've indicated ____ and ____ and ____ are friends of yours. What kind of experience have they had with criminal behavior?"

Explore the criminal orientation (to what degree they participate or support unlawful activities) of the individual's friends.

- Score if the individual has friends (or did prior to incarceration) who are known to have criminal records or are known to be involved in criminal activity.
- Friends are associates with whom one spends leisure time, whose opinions are valued, who provide help when in difficulty, etc.

Domestic Violence Risk & Needs Assessment (DVRNA)

Scoring Sheet

Name: _____ Client Number: _____ Date: _____

Client date of birth: _____ Client SSN: _____ Client State ID: _____

Supervising Agency/Officer: _____ Case: _____

***THIS IS A REQUIRED FORM.
ONLY SCORE INFORMATION RELATED TO THE OFFENDER AS AN ADULT.***

<p>A. Prior domestic violence related incidents</p> <p>1. Prior domestic violence conviction: Critical Risk Factor—Level C..... <input type="checkbox"/></p> <p>Any of the following are Significant Risk Factor—Level B (minimum) Yes</p> <p>2. Violation of an order of protection (documented violation)..... <input type="checkbox"/></p> <p>3. Past or present civil domestic violence related protection orders against offender... <input type="checkbox"/></p> <p>4. Prior arrests for domestic violence..... <input type="checkbox"/></p> <p>5. Prior domestic violence incidents not reported to criminal justice system..... <input type="checkbox"/></p> <p>Information Sources: _____ Domain A—Criteria Met..... <input type="checkbox"/></p> <p style="text-align: right;">Identify Level B or Level C _____</p>	<p><u>Yes</u></p> <p><input type="checkbox"/></p>
<p>B. Drug or alcohol abuse</p> <p>Any of the following are Significant Risk Factor—Level B (minimum) Yes</p> <p>1. Substance abuse/dependence within the past 12 months..... <input type="checkbox"/></p> <p>2. History of substance abuse treatment within the past 12 months or 2 or more prior drug or alcohol treatment episodes during lifetime..... <input type="checkbox"/></p> <p>3. Offender uses illegal drugs or illegal use of drugs..... <input type="checkbox"/></p> <p>Information Sources: _____ Domain B—Criteria Met..... <input type="checkbox"/></p> <p style="text-align: right;">Level B _____</p>	<p><u>Yes</u></p> <p><input type="checkbox"/></p>

C. Mental health issue		<u>Yes</u>
Any of the following are Significant Risk Factor—Level B (minimum)		<u>Yes</u>
1. Existing Axis I or II diagnosis (excluding V codes).....	<input type="checkbox"/>	
2. Personality disorder with anger, impulsivity, or behavioral instability.....	<input type="checkbox"/>	
3. Severe psychopathology.....	<input type="checkbox"/>	
4. Recent psychotic and/or manic symptoms.....	<input type="checkbox"/>	
5. Psychological/psychiatric condition currently unmanaged.....	<input type="checkbox"/>	
6. Noncompliance with prescribed medications and mental health treatment.....	<input type="checkbox"/>	
7. Exhibiting symptoms that indicate the need for a mental health evaluation.....	<input type="checkbox"/>	
Information Sources: _____	Domain C—Criteria Met.....	<input type="checkbox"/>
Level B _____		

D. Suicidal/homicidal		<u>Yes</u>
1. Serious homicidal or suicidal ideation/intent within the past year: Critical Risk Factor—Level C.....		<input type="checkbox"/>
		<u>Yes</u>
2. Ideation within the past 12 months.....	<input type="checkbox"/>	
3. Credible threats of death within the past 12 months.....	<input type="checkbox"/>	
4. Victim reports offender has made threats of harming/killing her (female victims in heterosexual relationships).....	<input type="checkbox"/>	
Information Sources: _____	Domain D—Criteria Met.....	<input type="checkbox"/>
Level C _____		

E. Use and/or threatened use of weapons in current or past offense or access to firearms.		<u>Yes</u>
1. Gun in the home in violation of a civil or criminal court order Critical Risk Factor--Level C.....		<input type="checkbox"/>
2. Use and/or threatened use of weapons in current or past offense Critical Risk Factor--Level C.....		<input type="checkbox"/>
		<u>Yes</u>
3. Access to firearms.....	<input type="checkbox"/>	
Information Sources: _____	Domain E—Criteria Met.....	<input type="checkbox"/>
Level C _____		

F. Criminal history-nondomestic violence (both reported and unreported to criminal justice system). This domain applies only to adult criminal history.		<u>Yes</u>
1. Offender was on community supervision at the time of the offense: Critical Risk Factor—Level C	<input type="checkbox"/>	<input type="checkbox"/>
2. Offender has a prior arrest for assault, harassment, or menacing. If there have been two or more: Significant Risk Factor--Level B (minimum)	<input type="checkbox"/>	
	<u>Yes</u>	
3. Prior nondomestic violence convictions.....	<input type="checkbox"/>	
4. Past violations of conditional release or community supervision.....	<input type="checkbox"/>	
5. Past assault of strangers, or acquaintances.....	<input type="checkbox"/>	
6. Animal cruelty/abuse.....	<input type="checkbox"/>	
Information Sources: _____ Domain F—Criteria Met.....		<input type="checkbox"/>
Identify Level B or Level C _____		

G. Obsession with the victim		<u>Yes</u>	<u>Yes</u>
1. Stalking or monitoring.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Obsessive jealousy with the potential for violence, violently and constantly jealous, morbid jealousy.....	<input type="checkbox"/>		
Information Sources: _____ Domain G—Criteria Met.....			<input type="checkbox"/>

H. Safety concerns		<u>Yes</u>	<u>Yes</u>
The ultimate goal in reviewing and utilizing information is to protect the victim. Information shall not be used if it compromises victim safety and confidentiality. (Refer to Standard 5.04 II)			
1. Victim perception of safety/victim concerned for safety.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Victim (female victim in heterosexual relationship) believes offender is capable of killing her.....	<input type="checkbox"/>		
3. Offender controls most of victim’s daily activities.....	<input type="checkbox"/>		
4. Offender tried to “choke” victim.....	<input type="checkbox"/>		
5. Physical violence is increasing in severity.....	<input type="checkbox"/>		
6. Victim forced to have sex when not wanted.....	<input type="checkbox"/>		
7. Victim was pregnant at the time of the offense and offender knew this.....	<input type="checkbox"/>		
8. Victim is pregnant and offender has previously abused her during pregnancy.....	<input type="checkbox"/>		
Information Sources: _____ Domain H—Criteria Met.....			<input type="checkbox"/>

<p>I. Violence and/or threatened violence toward family members, including child abuse (does not include intimate partners)</p> <p>1. Current or past social services case(s) <input type="checkbox"/></p> <p>2. Past assault of family members..... <input type="checkbox"/></p> <p>3. Children were present during the offense..... <input type="checkbox"/></p> <p>Information Sources: _____ Domain I—Criteria Met.....</p>	<p style="text-align: center;"><u>Yes</u></p> <p style="text-align: center;"><input type="checkbox"/></p>
<p>J. Attitudes that support or condone spousal assault</p> <p>1. Explicitly endorses attitudes that support or condone intimate partner assault..... <input type="checkbox"/></p> <p>2. Appears to implicitly endorse attitudes that support or condone intimate partner assault..... <input type="checkbox"/></p> <p>Information Sources: _____ Domain J—Criteria Met.....</p>	<p style="text-align: center;"><u>Yes</u></p> <p style="text-align: center;"><input type="checkbox"/></p>
<p>K. Prior completed or noncompleted domestic violence treatment</p> <p>Information Sources: _____ Domain K—Criteria Met.....</p>	<p style="text-align: center;"><u>Yes</u></p> <p style="text-align: center;"><input type="checkbox"/></p>
<p>L. Victim separated from offender within the previous six months.</p> <p>Information Sources: _____ Domain L—Criteria Met.....</p>	<p style="text-align: center;"><u>Yes</u></p> <p style="text-align: center;"><input type="checkbox"/></p>
<p>M. Unemployed</p> <p>Unemployed is defined as not working at time of offense or at any time during intake or treatment and does not include offenders on public assistance, homemakers, students, or retirees.</p> <p>Information Sources: _____ Domain M—Criteria Met.....</p>	<p style="text-align: center;"><u>Yes</u></p> <p style="text-align: center;"><input type="checkbox"/></p>
<p>N. Involvement with people who have pro-criminal influence</p> <p>1. Some criminal acquaintances..... <input type="checkbox"/></p> <p>AND</p> <p>2. Some criminal friends..... <input type="checkbox"/></p> <p>Information Sources: _____ Domain M—Both Criteria Met.....</p>	<p style="text-align: center;"><u>Yes</u></p> <p style="text-align: center;"><input type="checkbox"/></p>

Risk Criteria	Met		<u>Significant/Critical Risk Criteria</u>	<u>Met</u>
A	<input type="checkbox"/>	➔	Level B or C? _____	<input type="checkbox"/>
B	<input type="checkbox"/>	➔	Level B.....	<input type="checkbox"/>
C	<input type="checkbox"/>	➔	Level B.....	<input type="checkbox"/>
D	<input type="checkbox"/>	➔	Level C? _____	<input type="checkbox"/>
E	<input type="checkbox"/>	➔	Level C? _____	<input type="checkbox"/>
F	<input type="checkbox"/>	➔	Level B or C? _____	<input type="checkbox"/>
G	<input type="checkbox"/>			
H	<input type="checkbox"/>			
I	<input type="checkbox"/>			
J	<input type="checkbox"/>			
K	<input type="checkbox"/>			
L	<input type="checkbox"/>			
M	<input type="checkbox"/>			
N	<input type="checkbox"/>			
Total Score				

Level A = 0 - 1 risk factors met
 Level B = 2 - 4 risk factors met
 Level C = 5 or more risk factors met

<u>Level Recommended</u>			<u>Level Placed</u>		
A	B	C	A	B	C
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Comments: _____

Override Reasons:

Information Source Codes

- | | |
|---|---|
| 1. Offender self-report | 6. Child Protection or Social Services records |
| 2. Law Enforcement Report (Police Reports) | 7. Public Victim Report/Victim Impact Statement |
| 3. Criminal History | 8. Prison Record |
| 4. Mental Health Evaluation/Assessment | 9. Pre-Sentence Report |
| 5. Substance Abuse Evaluation/Assessment/Screen | 10. Probation Information Report |
| 11. Other: _____ | |

Document or Verify Consensus of MTT (this does not require a signature)

Evaluator _____ Date _____

Probation _____ Date _____

Victim's Advocate _____ Date _____

Client Information

Name:

Age:

Sex

Race:

Address:

Who else resides there?

Referral Information

Referring Court:

Contact Person:

Probation: Y/N

Name of Probation Officer

Contact Info

Probation Conditions:

Current Partner Information

Do you currently live with a romantic partner?

If Yes: Name, age, and contact information

If Yes: Length of current relationship

Victim Information (if not the current partner)

Name, age and contact information:

Length of current relationship:

Current level of contact with the victim:

BRIEF PSYCHOSOCIAL HISTORY

Childhood History

Where were you born? _____ Raised? _____

Who raised you? With whom did you live growing up? _____

Were two parents together in the home? If not, when did they separate and why?

Do you have siblings? Yes No How many? _____

Can you describe your relationship with your parent(s)? Yes No

Do you get along with your other family members? Feel as though you have support? Yes No

Did you ever witness violence in the home? Yes No

Did you ever see one parent hit another? Yes No

Do you feel you were abused as a child? Yes No

Physical

Sexual

Emotional/Verbal

Was law enforcement or other social services agencies involved in any way with your family? Yes No

School/Juvenile Behavioral History

What was the last grade you completed? _____

Were you a good student? Yes No

Were you ever suspended or expelled from school? Yes No

Any history of behavioral problems as a child? Yes No

Any history of learning problems as a child? Yes No

Did you ever see a child therapist? Yes No

Comments: _____

Conduct the ACES or ACES Expanded Here (see attached tool and information)

Current Living/Employment/Financial Situation

What are you current living arrangements? Who do you live with ? _____

Do you consider your neighborhood to be safe? Yes No

Were you employed at the time of the arrest/incident? Yes No

Are you employed now? Yes No Full-Time Part-Time

If, employed, what type of work do you do?

Are you retired? Yes No Are you disabled? Yes No Nature of disability? _____

Do you have a daily routine? Structured time? Yes No

Do you have lots of free time? Yes No

Are your finances stable? Yes No

Comments: _____

Military History

Military Service: Yes No If Yes, what type and length: _____

Type of Discharge: _____

Combat experience: _____

Do you receive SSA/SSI/VA benefits? Yes No

Are receiving VA services now? Yes No

If yes, are you receiving VA clinical or therapeutic services? Yes No

Comments: _____

Leisure/Peer Associations

What do you do to relax? Recreational activities? _____

Do you attend church, mosque, synagogue or other spiritual institution ? Yes No

Do you have close friends? People you can count on? Yes No

Are your friends involved in criminal activity? Yes No

Parenting/Children

Do you have children? Yes No If yes, how many? _____ Age/Gender: _____

Where/with who do your children live? _____

If not with you, how often do you visit? _____

Does your partner have children from a previous relationship? Yes No How many? _____

Ages/Gender: _____ Where do they live? _____

Were any children in the home/witness the incident/arrest? Yes No Who? _____

What are your disciplinary methods? _____

How do you think this incident has affected the children in the home?

Parenting/Visitation/Family Court

Do you have a court ordered visitation schedule? Yes No

Are you interested in seeking court ordered visitation? Yes No

Do you pay child support? Yes No Current with payments? Yes No

How is your relationship with your children? _____

Were ACS called to the home? Yes No Been reported to ACS in the past? Yes No

Comments: _____

Domestic Violence History

Relationship History

Describe the incident for which you were referred to this program:

What is your relationship to victim? _____ How long? _____

Are you still together? Yes No Living together? Yes No

Is there an active order of protections between you and your partner? Yes No

What is your age? _____ What is your partner's age? _____

Tell me about the relationship. Have there been instances like this in the past? Violence, pushing, verbal offenses?
Describe the worst arguments/fights you can remember.

How often do you and your partner (ex-partner/victim) argue?

What do you argue about? _____

Are the fights/disagreements happening more often? Yes No Are they more serious? Yes No

Has anyone ever needed medical care as a result of an injury from this or past incidents? Yes No

Have friends, neighbors, relatives, or co-workers expressed concern about your relationship? About you or your partner's safety? What did they say? _____

Have you ever been married? Yes No If yes, how many times? _____

How would you describe your marriage(s)

Previous Relationships:

Name and age: Length of Relationship:

How would you describe the relationship? _____

Why did the relationship end? _____

Name and age:

Length of Relationship:

How would you describe the relationship? _____

Why did the relationship end? _____

Name and age:

Length of Relationship:

How would you describe the relationship? _____

Why did the relationship end? _____

Have there been incidents of violence in any other relationships.

Yes No

Comments: _____

Protective Order/Criminal History/Behavior

Do you have an active Order of Protection with the victim in this case?

Yes No

Has anyone ever taken a Protective Order against you?

Yes No

Have you ever been accused of violating a Protective Order?

Yes No

Have you ever taken an Order of Protection against someone else?

Yes No

Comments: _____

Have you ever fought/became violent (physically/verbally) with another family member:

Yes No

Have you ever fought/became violent (physically/verbally) with a stranger or an acquaintance?

Yes No

Comments: _____

Aside from this incident how many times have you been arrested for anything before? _____

For what? What was the outcome? _____

Conduct DVRNA, DVSI-R HERE If using a validated risk tool to score level of risk and inform High or Low risk program group (see attached tools and information)

OR

ASK THE FOLLOWING TO GATHER INFORMATION ABOUT VALIDATED DOMESTIC VIOLENCE RISK FACTORS

ISOLATION/STALKING BEHAVIOR

- | | | |
|---|-----|----|
| Does your partner have access to a car? | Yes | No |
| Can they come and go as they please? | Yes | No |
| Do they have access to their own phone? | Yes | No |
| Have you listened in on their calls? Read texts/emails? Entered their social media without them knowing ? | Yes | No |
| Do you feel you have to monitor your partner? | Yes | No |
| Have there been accusations of cheating/infidelity? | Yes | No |
| Have you ever followed your partner? Checked up on them? | Yes | No |
| Do you feel you should always know your partner's whereabouts? | Yes | No |
| Do you feel you should approve of your partner's friends? Outside activities? | Yes | No |
| Does your partner have a job/go to school/have activities outside the home? | Yes | No |
| Does your partner have access to money? Can spend money independently? | Yes | No |
| Would someone describe you as a jealous person? | Yes | No |
| When you do get jealous, how do you express jealousy? How do you find a resolution? | | |

Who is responsible for the finances in the home? Who handles money/pays bills? Separate or joint bank accounts?

How does your partner get access to money? _____

- | | | |
|-------------------------------|-----|----|
| Do you ever argue over money? | Yes | No |
|-------------------------------|-----|----|

Comments: _____

VIOLENCE

Have there been allegations of sexual violence? Forced sex?	Yes	No
Have there been allegations of strangulation/"choking"?	Yes	No
Has anyone ever needed medical care as a result of an injury from this or past incidents?	Yes	No

ACCESS TO WEAPONS

Do you have access to a weapon?	Yes	No
Do you have a permit to carry? Have you ever?	Yes	No
Have you ever cleaned/toyed with a weapon while engaged in an argument?	Yes	No
Have you ever threatened your partner with a weapon?	Yes	No
Do you have martial arts, military, or law enforcement training?	Yes	No

SEPARATION

Has this relationship ended?	Yes	No
Do you want to get back together?	Yes	No
Can you see/envision this relationship ending?	Yes	No
Would you be able to accept it if the relationship would end?	Yes	No
How do you generally cope with the end of a relationship?		

Medical History

Do you have any health problems? Now or in past? Yes No If yes: _____

Are you currently under the care of a doctor? Yes No For what: _____

Have you ever had a head injury? Knocked out? Concussion? Coma? Yes No

Do you have health insurance? Yes No

Do you get annual check ups? Yes No

How is your appetite? _____ Changes in weight? _____

Sleeping patterns? _____

How is this situation impacting your daily routine? _____

How is this situation impacting your mood? _____

Psychiatric History

Have you ever been in counseling before? Yes No How many times? _____

When and what for? _____

Have you ever been diagnosed with a mental health disorder? Yes No

Explain: _____

Are you currently under the care of a psychiatrist? Yes No

Currently taking medications? Yes No If yes, what medications? _____

Have you ever been in a crisis stabilization unit? Yes No How many times? _____

When was the last time? _____

Have any of the above interventions been helpful? Yes No

Why or why not? Explain: _____

Have you generally been compliant with treatment/medication? Yes No

Are you open to taking medication if it is deemed that you may benefit from psychiatric care? Yes No

Name and contact information of psychiatrist: _____

When was your last visit? _____

Do any of your immediate family members have a history of mental illness? Yes No

Mental Status

Do you have thoughts of hurting yourself? Yes No

Do you have thoughts of hurting others? Yes No

If yes, explore/action plan: _____

Do you hear things others do not hear? Yes No

Do you see things others do not see? Yes No

Oriented: (Day, Date, Floor, Current President) Yes No

Substance Use History

When was the last time you drank alcohol? _____ How many/what did you drink? _____

Substance	Age at First Use	Type/Amount/Frequency/Duration	Last Date of Use
Alcohol			
Tobacco			
Cannabis/Marijuana			
Prescription Drugs Type:			
Hallucinogens			
Narcotics/Opioids			
Cocaine/Stimulants/Uppers			
X, Molly, Other pills/controlled substances			

For any of the above drugs or alcohol:

Have you ever used when you did not intend to? Yes No

Have you used more or for longer periods than intended? Yes No

Ever tried to limit your use/drinking? Yes No

If taking prescriptions/medical marijuana – have you taken more than prescribed? Yes No

Any issues/symptoms when attempted to stop using/drinking? Yes No

Have you attempted to quit? How many times? Yes No

Has alcohol/drug use caused problems in your life? Yes No

What type of problems? Work School Relationship Legal Medical

Have you experienced any of the following related to substance use?

___ Hangovers ___ Blackouts ___ Shakes ___ Passing Out ___ Nausea

PRIOR ALCOHOL OR SUBSTANCE ABUSE TREATMENT

Date	Residential (R) or outpatient (O) – Agency/Program Name:	Completed (Yes or No)

Any family members have a history of alcohol or drug use/abuse? Yes No

Describe: _____

Have you ever gotten into arguments or fights while drinking/using? Yes No

Has anyone expressed concern about your alcohol or other drug use? Yes No

Have you missed work or neglected responsibilities because of your alcohol and/or drug use? Yes No

Comments: _____

Do you have prior DUI or Drug arrests in any state? Yes No How many? _____

Details, When was the last time? _____

Behavioral Observations: _____

Motivation to Change and Engage in Programming

What one thing would be most helpful for you to work on/learn? _____

What would your (partner/ex-partner/child) want you to work on? _____

Do you want to work on this? _____

How? _____

RECOMMENDATIONS

_____ Client is recommended to attend Dignity and Respect as court ordered.

_____ Client is not recommended to attend Dignity and Respect at this time

Comments: _____

_____ Client is recommended for Treatment Readiness

Comments: _____

Other Comments: _____

Assessors Name:

Assessors Signature: _____ **Date** _____

Client's Name:

Signature: _____ Date _____

Do Not Distribute

Adverse Childhood Experience (ACE) Questionnaire

Finding your ACE Score ra hbr 10 24 06

While you were growing up, during your first 18 years of life:

1. Did a parent or other adult in the household **often** ...
Swear at you, insult you, put you down, or humiliate you?
or
Act in a way that made you afraid that you might be physically hurt?
Yes No If yes enter 1 _____
2. Did a parent or other adult in the household **often** ...
Push, grab, slap, or throw something at you?
or
Ever hit you so hard that you had marks or were injured?
Yes No If yes enter 1 _____
3. Did an adult or person at least 5 years older than you **ever**...
Touch or fondle you or have you touch their body in a sexual way?
or
Try to or actually have oral, anal, or vaginal sex with you?
Yes No If yes enter 1 _____
4. Did you **often** feel that ...
No one in your family loved you or thought you were important or special?
or
Your family didn't look out for each other, feel close to each other, or support each other?
Yes No If yes enter 1 _____
5. Did you **often** feel that ...
You didn't have enough to eat, had to wear dirty clothes, and had no one to protect you?
or
Your parents were too drunk or high to take care of you or take you to the doctor if you needed it?
Yes No If yes enter 1 _____
6. Were your parents **ever** separated or divorced?
Yes No If yes enter 1 _____
7. Was your mother or stepmother:
Often pushed, grabbed, slapped, or had something thrown at her?
or
Sometimes or often kicked, bitten, hit with a fist, or hit with something hard?
or
Ever repeatedly hit over at least a few minutes or threatened with a gun or knife?
Yes No If yes enter 1 _____
8. Did you live with anyone who was a problem drinker or alcoholic or who used street drugs?
Yes No If yes enter 1 _____
9. Was a household member depressed or mentally ill or did a household member attempt suicide?
Yes No If yes enter 1 _____
10. Did a household member go to prison?
Yes No If yes enter 1 _____

Now add up your "Yes" answers: _____ This is your ACE Score

ADULT HOPE SCALE (AHS)

Reference:

Snyder, C. R., Harris, C., Anderson, J. R., Holleran, S. A., Irving, L. M., Sigmon, S. T., et al. (1991). The will and the ways: Development and validation of an individual-differences measure of hope. *Journal of Personality and Social Psychology*, 60, 570-585.

Description of Measure:

A 12-item measure of a respondent's level of hope. In particular the scale is divided into two subscales that comprise Snyder's cognitive model of hope: (1) Agency (i.e., goal-directed energy) and (2) Pathways (i.e., planning to accomplish goals). Of the 12 items, 4 make up the Agency subscale and 4 make up the Pathways subscale. The remaining 4 items are fillers. Each item is answered using an 8-point Likert-type scale ranging from Definitely False to Definitely True.

It should be noted that the authors recommend that when administering the scale, it is called "The Future Scale".

Abstracts of Selected Related Articles:

Snyder, C. R. (2002). Hope theory: Rainbows in the mind. *Psychological Inquiry*, 13, 249-275.

Hope is defined as the perceived capability to derive pathways to desired goals, and motivate oneself via agency thinking to use those pathways. The adult and child hope scales that are derived from hope theory are described. Hope theory is compared to theories of learned optimism, optimism, self-efficacy, and self-esteem. Higher hope consistently is related to better outcomes in academics, athletics, physical health, psychological adjustment, and psychotherapy. Processes that lessen hope in children and adults are reviewed. Using the hope theory definition, no evidence is found for "false" hope. Future research is encouraged in regard to accurately enhancing hope in medical feedback and helping people to pursue those goals for which they are best suited.

Everson, S.A., Goldberg, D.E., Kaplan, G.A., Cohen R.D., Pukkala, E., Tuomilehto J., & Salonen J.T. (1996). Hopelessness and risk of mortality and incidence of myocardial infarction and cancer. *Psychosomatic Medicine*, 58, 113-121.

We examined the relationship among low, moderate, and high levels of hopelessness, all-cause and cause-specific mortality, and incidence of myocardial infarction (MI) and cancer in a population-based sample of middle-aged men. Participants were 2428 men, ages 42 to 60, from the Kuopio Ischemic Heart Disease study, an ongoing longitudinal study of unestablished psychosocial risk factors for ischemic heart disease and other outcomes. In 6 years of follow-up, 174 deaths (87 cardiovascular and 87 noncardiovascular, including 40 cancer deaths and 29 deaths due to violence or injury), 73 incident cancer cases, and 95 incident MI had occurred. Men were rated low, moderate, or high in hopelessness if they scored in the lower, middle, or upper one-third of scores on a 2-item hopelessness scale. Age-adjusted Cox proportional hazards models identified a dose-response relationship such that moderately and highly hopeless men were at significantly increased risk of all-cause and cause-specific mortality relative to men with low hopelessness scores. Indeed, highly hopeless men were at more than three-fold increased risk of death from violence or injury compared with the reference group. These relationships were maintained after adjusting for biological, socioeconomic, or behavioral risk factors, perceived health, depression, prevalent disease, or social support. High

hopelessness also predicted incident MI, and moderate hopelessness was associated with incident cancer. Our findings indicate that hopelessness is a strong predictor of adverse health outcomes, independent of depression and traditional risk factors. Additional research is needed to examine phenomena that lead to hopelessness.

Babyak, M. A., Snyder, C. R., & Yoshinobu, L. (1993). Psychometric properties of the Hope Scale: A confirmatory factor analysis. *Journal of Research in Personality, 27*, 154-169.

Confirmatory factor analysis was employed to test several psychometric hypotheses regarding the Hope Scale. Across four large samples of college students, a two-factor (agency and pathways) model of hope reproduced the observed data consistently better than did a one-factor model. Support also was found for the tenability of a higher-order latent construct overarching these two factors. Neither the assumption of parallel nor tau-equivalent measures were met, however, suggesting that the items within a given factor are not interchangeable. Reliability estimates of (1) the items as indicators of the first-order construct, and (2) the first-order constructs as indicators of the higher-order latent variable also are presented

Do Not Distribute

Scale (taken from <http://www.ppc.sas.upenn.edu/hopescale.pdf>)

Directions: Read each item carefully. Using the scale shown below, please select the number that best describes YOU and put that number in the blank provided.

- 1. = Definitely False
- 2. = Mostly False
- 3. = Somewhat False
- 4. = Slightly False
- 5. = Slightly True
- 6. = Somewhat True
- 7. = Mostly True
- 8. = Definitely True

- ___ 1. I can think of many ways to get out of a jam.
- ___ 2. I energetically pursue my goals.
- ___ 3. I feel tired most of the time.
- ___ 4. There are lots of ways around any problem.
- ___ 5. I am easily downed in an argument.
- ___ 6. I can think of many ways to get the things in life that are important to me.
- ___ 7. I worry about my health.
- ___ 8. Even when others get discouraged, I know I can find a way to solve the problem.
- ___ 9. My past experiences have prepared me well for my future.
- ___ 10. I've been pretty successful in life.
- ___ 11. I usually find myself worrying about something.
- ___ 12. I meet the goals that I set for myself.

Scoring:

Items 2, 9, 10, and 12 make up the agency subscale.
Items 1, 4, 6, and 8 make up the pathway subscale.

Researchers can either examine results at the subscale level or combine the two subscales to create a total hope score.