



# Office of Information Technology Services

## REQUEST FOR INFORMATION (RFI)

for

## CRIMINOGENIC RISK AND NEEDS ASSESSMENT SYSTEM

RFI # C000762

### DESIGNATED CONTACT FOR INQUIRIES AND SUBMISSIONS

The designated contact for this RFI is Vendor Sourcing and Management Organization, Best Value Team. All inquiries and responses related to this RFI must be submitted by electronic mail (e-mail) to the following address:

[its.sm.bestvalue@its.ny.gov](mailto:its.sm.bestvalue@its.ny.gov)

**No other method of inquiries will be accepted. Administrative issues pertaining to sending/receiving e-mail through the designated mailbox may be reported at (518) 473-9341.**

This RFI is posted on the New York State Office of Information Technology Services' Procurement website at <https://its.ny.gov/competitive-procurement-opportunities> .

**TABLE OF CONTENTS**

**1.0 INTRODUCTION / PURPOSE OF REQUEST FOR INFORMATON (RFI) ..... 3**

**1.1 CALENDAR OF EVENTS ..... 4**

**2.0 BACKGROUND ..... 4**

**3.0 CURRENT STATE ..... 5**

**3.1 CURRENT AGENCIES / END USERS..... 5**

**3.2 CURRENT CONTENT VOLUMES CALENDAR YEAR 2023 (CY 23')..... 6**

**4.0 VENDOR SUBMISSION OF RESPONSE TO RFI ..... 6**

**4.1 GENERAL REQUIREMENTS FOR SUBMISSION ..... 6**

**4.2 ELECTRONIC SUBMISSIONS ..... 7**

**4.3 MULTIPLE SUBMISSIONS..... 7**

**5.0 DESIGNATED CONTACT / WRITTEN INQUIRIESAND COMMUNICATIONS.... 7**

**5.1 DESIGNATED CONTACT ..... 7**

**5.2 INQUIRIES FROM VENDORS ..... 7**

**5.3 NO AWARD ..... ERROR! BOOKMARK NOT DEFINED.**

**5.4 COMMUNICATIONS FROM NYS TO VENDORS..... 7**

**5.5 FREEDOM OF INFORMATION LAW ..... 8**

**ATTACHMENTS**

**Attachment 1 – RFI Questions and Vendor Responses**

**Attachment 2 – Functional Requirements Matrix**

**Attachment 3 – Vendor Questions**

## **REQUEST FOR INFORMATION (RFI) # C000762 CRIMINOGENIC RISK AND NEEDS ASSESSMENT SYSTEM**

### **1.0 INTRODUCTION / PURPOSE OF REQUEST FOR INFORMATION (RFI)**

The New York State Office of Information Technology Services (ITS) is seeking responses to this Request for Information (RFI) **C000762 – Criminogenic Risk and Needs Assessment System** from the vendor community, to help determine a future approach regarding the development, implementation, and maintenance of a criminogenic risk and needs assessment system, to support mission critical mandates of various New York State (NYS) public safety agencies. Responses to this RFI should be limited to qualified vendors with proven expertise in developing, implementing, and maintaining a comprehensive statewide criminogenic risk and needs management system. This RFI is for planning purposes only and is not a request for competitive bids nor a request for proposals. Responses to this RFI will not be used as part of a vendor selection process nor will they result in the award of a contract for such services for any future bids. Any response to this RFI will be treated as information only. No entitlement to payment of direct or indirect costs or charges by ITS will arise as a result of submission of responses to this RFI or to ITS for use of such information. ITS will not be responsible for expenses incurred in preparing and submitting responses to this RFI. Not responding to this RFI does not preclude participation in any future solicitation, if issued. **Do not submit bids or proposals in response to this RFI. NO AWARD WILL BE MADE.**

New York State currently uses a customized version of Northpointe's *Correctional Offender Management Profiling for Alternative Sanctions*, herein referred to as NYSCOMPAS. See Section 3.0 Current State for more information on NYSCOMPAS. Through this RFI, ITS seeks information on vendor capabilities related to the development, implementation, and maintenance of a criminogenic risk and needs assessment system.

A vendor interested in responding to this RFI must:

- have an assessment tool(s) that contains a clearly defined risk score calculation method and includes a summative scoring ability, so that the average person without special training would be able to determine how questions are weighted and scored to produce a risk score;
- be able to customize their system to the specifications mandated by New York State Law, applicable regulatory requirements, and best practices;
- be able to provide resources to update or modify the system;
- be able to conduct comprehensive research and data analysis as needed by NYS, and
- be able to administer on-demand end user and online training resources.

The vendor will need to conduct regular quantitative validation studies of the risk assessment instrument used with the New York state probation, ATI, and parolee population, to demonstrate that the assessment instrument effectively predicts risk for that population. At least one validation must be completed during the validation period.

## 1.1 CALENDAR OF EVENTS

Event	Date and Time
RFI Release Date	<b>February 13, 2024</b>
Due Date for Vendor Questions	<b>February 27, 2024</b>
Issuance/Posting of Responses to Vendor Questions (Estimated)	<b>March 12, 2024</b>
RFI Response Due Date to ITS	<b>March 26, 2024</b>

## 2.0 BACKGROUND

The New York State Department of Criminal Justice Services (DCJS) and Department of Corrections and Community Supervision (DOCCS), among other public safety entities, require computerized software assessment instruments that identify the risks and needs of individuals sentenced to or placed on probation supervision, involved in Alternative to Incarceration/ Community Corrections programs, as well as individuals who are in custody and will be released into the community on parole supervision. Community supervision and re-entry assessments and criminogenic risk and needs instruments are important tools which inform case planning, classification and decision making, community placement, and the provision of targeted services to individuals on community supervision. This suite of assessments will be used throughout NYS, by Probation Departments, Alternatives to Incarceration (ATI) programs, and DOCCS, including institutional care at reception, release and field supervision.

Per **New York State Exec. Law § 259-c(4)**, the State Board of Parole shall:

*“establish written procedures for its use in making parole decisions as required by law. Such written procedures shall incorporate risk and needs principles to measure the rehabilitation of persons appearing before the board, the likelihood of success of such persons upon release, and assist members of the State Board of Parole in determining which incarcerated individuals may be released to parole supervision”;*

The software must comprise of a comprehensive risk and needs assessment report, and as such must include various modules, including but not limited to probation assessments, a parole/re-entry assessment, integrated case planning, case supervision, and DOCCS post-reception risk and needs assessment, among other tools. Additional third-party assessment products must be able to be incorporated, including but not limited to gender responsive, domestic violence, and sex offender assessments, criminal thinking scale, drug screening, and other criminogenic instruments. These modules and third-party assessment tools must be integrated within the software. The use of these tools must be fully validated, and produce measurable results, including demonstrated probabilities of the risk of recidivism. The results should allow for systematic projections based on behavioral trends of value to NYS, and the software should be validated and amenable to the adjustment of “cutpoints” according to changing population demographics. The vendor must explain its process of testing the predictive validity of the risk and needs assessment on the justice involved populations.

Furthermore, as part of the application for **Probation State Aid, Part 345 of Title 9 New York Codes, Rules and Regulations** eligibility for State Aid requires probation departments use a “Division approved fully validated Risk/Need Assessment Instrument”.

### 3.0 CURRENT STATE

ITS Contract C000360 with Northpointe, Inc (Northpointe) currently serves both DCJS and DOCCS, amongst other public safety entities. Northpointe has contracted with NYS since 1998, assisting the State with the development and implementation of a criminal justice risk and needs software toolset, referred to as the *Correctional Offender Management Profiling for Alternative Sanctions* (COMPAS).

Northpointe has worked to modify their software, providing New York State with a custom version of their risk and needs assessment and term case planning software suite, known as the NYCOMPAS. This toolset is used throughout New York State at 57 county-operated probation departments (outside of NYC) and approximately 165 ATI programs. NYCOMPAS re-entry is used by 44 state-operated correctional facilities, and 29 state-operated parole area offices. Local agencies, DCJS, and DOCCS use the data for operational purposes (e.g., determining supervision levels of parolees in the community), identifying the criminogenic needs to inform case planning, as well as for research and policy making. The NYCOMPAS version of the assessment was developed by Northpointe with the input of probation and parole professionals and DCJS, specifically for use by NYS probation and community corrections staff. It provides customized risk and needs assessment in a standardized reporting format, which allows the end-user agencies to produce systematic projections, using validated calculations with tested predictive capabilities, which inform on supervision classification, service needs, and case planning.

The following criminogenic risk and needs attributes are accounted for within the NYCOMPAS:

- **Criminal Involvement**
- **Attitudes**
- **Associates**
- **Personality**
- **Family**
- **Substance Abuse**
- **Social Engagement**
- **Mental Health**

Through ITS Contract C000360, the NYCOMPAS is licensed, maintained on an annual basis, and provides unlimited use to all authorized end users. A Report Generator is available for an additional per-user cost. Additional services, such as further custom development, research, and training are available as billable services, and are defined as follows

- **Custom development** refers to the potentiality that some products (e.g. reports, Tool Tips) may need to be customizable for consistency with New York language and legislation.
- **Research** refers to additional analytic work that may be needed for validation or for subpopulations.
- **Training** refers to providing on-sight or virtual training regarding the products and any changes to the products.

In addition, the risk and needs data is able to be extracted in order to communicate it accurately to authorized agencies for use within various agency data systems.

### 3.1 CURRENT AGENCIES / END USERS

End users include DCJS, DOCCS (which includes state correctional facilities and parole area offices), county probation departments, and ATI agencies/programs. Per statute, risk and needs

assessments are a key factor that must be considered by the NYS Board of Parole in their review process of individuals for potential release from prison. Further, the use of fully validated risk and need assessment is required by regulation by probation departments and contractual agreements by Alternative to Incarceration programs. Approximately 5,000 end users interact with the tool on a daily basis.

### 3.2 CURRENT CONTENT VOLUMES CALENDAR YEAR 2023 (CY 23')

Projections regarding the number of individuals that would be subject to assessment through the software, as of the release of this solicitation, and at any given time:

1. County probation offices: approximately 70,000 individuals (daily)
2. ATI programs: approximately 52,000 participants (annually)
3. DOCCS facilities: approximately 32,000 individuals (daily)
4. State parole area offices: approximately 18,000 parolees (annually)

## 4.0 VENDOR SUBMISSION OF RESPONSE TO RFI

### 4.1 GENERAL REQUIREMENTS FOR SUBMISSION

A vendor responding to this RFI must submit a complete RFI response, which consists of providing the requested information within the following documents, and submitting them electronically to ITS via electronic mail (e-mail):

1. **Attachment 1: RFI Questions and Vendor Responses** (Microsoft Word document); and
2. **Attachment 2: RFI Functional Requirements Matrix** (Microsoft Excel document)

Note: The State is requesting a **commercial price list** with each response. As stated above, please consider that this RFI is for planning purposes only and is not a request for competitive bids nor a request for proposals. Responses to this RFI will not be used as part of a vendor selection process nor will they result in the award of a contract for such services for any future bids. Any response to this RFI will be treated as information only. No entitlement to payment of direct or indirect costs or charges by ITS will arise as a result of submission of responses to this RFI or to ITS for use of such information. ITS will not be responsible for expenses incurred in preparing and submitting responses to this RFI. Not responding to this RFI does not preclude participation in any future solicitation, if issued. **Do not submit bids or proposals in response to this RFI. NO AWARD WILL BE MADE.**

Responses are to be entered within the yellow cells found within each document, and the original formatting of the documents must be maintained. Respondents should answer all questions in Attachment 1. If a question cannot be answered, provide a brief explanation as to why the question cannot be answered (e.g., N/A outside the scope of available business offering). Please do not leave blanks. As it pertains to Attachment 2, respondents should select the appropriate answer within all drop down menu boxes embedded within Column C (Meets Standard) and Column D (Solution Type) to indicate how your solution applies to each Functional Requirement (or other offering).

Completed documents should be saved electronically using the naming convention, **RFI C000762 Response-[Vendor Name]\_[document name]**, and be submitted by electronic mail (e-mail), as instructed in Section 4.2 (below). ITS reserves the right to have follow-up communications with individual vendors who responded to the RFI, to get clarification on a vendor's response.

Respondents may also submit any existing material or material prepared specifically in response to the RFI, which they believe may be of interest or use to the State. Responses that make extensive use of color photographs or illustrations, or that include separate brochures or marketing materials and overly elaborate embellishments, are discouraged. When possible, if existing materials are being used, respondents are encouraged to specify page numbers or sections where relevant information may be found

If any of the information in the vendor response is considered confidential, proprietary or a trade secret, it must be clearly indicated on the appropriate page of the vendor response. Release of such materials is governed by the NYS Freedom of Information Law, which in pertinent part requires the requester to provide specific justification as to why disclosure of particular information in the response would cause substantial injury to the competitive position of the vendor.

**A complete RFI Response must be submitted in electronic format by e-mail and received by ITS Vendor Sourcing and Management Organization, Best Value Team no later than the RFI Response Due Date to ITS, specified in Section 1.1 Calendar of Events.**

## 4.2 ELECTRONIC SUBMISSIONS

All inquiries and responses regarding this RFI are to be submitted electronically by e-mail to [its.sm.bestvalue@its.ny.gov](mailto:its.sm.bestvalue@its.ny.gov), with the subject line as “**RFI C000762 – Criminogenic Risk and Needs Assessment System Response – (Vendor’s Name)**”. No hard copies of responses will be accepted.

## 4.3 MULTIPLE SUBMISSIONS

Vendors may submit more than one submission for the purpose of offering alternative possibilities, but each response must be complete.

## 5.0 DESIGNATED CONTACT / WRITTEN INQUIRIES AND COMMUNICATIONS

### 5.1 DESIGNATED CONTACT

The designated contact for this RFI is ITS Vendor Sourcing and Management Organization, Best Value Team, at [its.sm.bestvalue@its.ny.gov](mailto:its.sm.bestvalue@its.ny.gov).

### 5.2 INQUIRIES FROM VENDORS

Vendors should submit all inquiries or comments to [its.sm.bestvalue@its.ny.gov](mailto:its.sm.bestvalue@its.ny.gov), using the **Attachment 3 – Vendor Questions** form, by the due date as indicated in **Section 1.1 Calendar of Events**. **No other method of inquiries will be accepted.**

Administrative issues pertaining to sending/receiving email through the designated mailbox may be reported at (518) 473-9341.

### 5.3 COMMUNICATIONS FROM NYS TO VENDORS

ITS has established a procurement website for the purpose of disseminating information relating to this RFI, and vendors are encouraged to monitor the site. The website URL is <https://its.ny.gov/competitive-procurement-opportunities>.

## **5.4 FREEDOM OF INFORMATION LAW**

Disclosure of information related to this RFI shall be permitted consistent with the laws of the State of New York and specifically Article 6 of the New York State Public Offers Law, the Freedom of Information Law (“FOIL”). ITS shall take reasonable steps to protect from public disclosure any records or portions thereof relating to this RFI that are exempt from disclosure under FOIL. Information constituting trade secrets or critical infrastructure information for purposes of FOIL must be clearly marked and identified as such by the Contractor upon submission. Requests for exemption of the entire contents of Vendor’s response to this RFI, and any other documentation, from disclosure have generally not been found to be meritorious and are discouraged. If the Vendor intends to request an exemption from disclosure under FOIL for trade secret materials or critical infrastructure information, the Vendor shall at the time of submission, request the exemption in writing and provide an explanation of (i) why the disclosure of the identified information would cause substantial injury to the competitive position of the Vendor, or (ii) why the information constitutes critical infrastructure information which should be exempted from disclosure pursuant to § 87(2) of FOIL. Acceptance of the identified information by ITS does not constitute a determination that the information is exempt from disclosure under FOIL. Determinations as to whether the materials or information may be withheld from disclosure will be made in accordance with FOIL at the time a request for such information is received by ITS.

## **6.0 NO AWARD**

ITS will not make an award for the potential future services described in this RFI. ITS is conducting this RFI solely for the purpose of gathering information to determine the feasibility, reliability, and potential development, implementation, and maintenance of a criminogenic risk and needs assessment system.