

Drug Court – Administrative and Technical Support
Services
Cayuga County, New York
Request for Proposals
OCA / Professional and Court Services #028

APPLICATION FORMS AND INSTRUCTIONS

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I. Background Information and Instructions

The New York State Unified Court System (UCS) Office of Court Administration's Division of Professional and Court Services is soliciting proposals for the purpose of establishing a contract to provide administrative and technical support services for the drug court project "Filling the Gap: Treatment, Support and an Ounce of Prevention" in the Auburn City and Cayuga County (ACCC) treatment courts.

UCS operates problem-solving courts, among them drug courts, which help judges and court staff respond to the needs of litigants and the community. Problem-solving courts look to the underlying issues that bring people into the court system, employ innovative approaches to address those issues, and seek to simplify the court process for litigants. A drug court involves an intervention by the court in cooperation with a team of specialists in social services, treatment, and criminal justice professionals in the local community. In return for a promise of a reduced sentence, appropriate non-violent addicted offenders are given the option of entering voluntarily into court-supervised treatment. The rules and conditions of participation are clearly stated in a contract entered into by the defendant, the defense attorney, the district attorney, and the court.

UCS has applied for funding from the Department of Health and Human Services/Substance Abuse and Mental Health Services Administration for the purpose of funding the ACCC treatment courts to implement a project to provide additional treatment and support services to participants, particularly those with co-occurring disorders (COD) and trauma histories, during times of crisis and increased need. The purpose of the project is to enhance treatment court services by providing trauma-informed and trauma-specific support during these times. The project aims to improve service delivery and outcomes and reduce relapses and recidivism rates for justice involved individuals with substance use disorders and COD and/or trauma histories. The project will utilize the Seeking Safety counseling model and provide care coordination and peer support to participants.

UCS seeks proposals from a not-for-profit agency doing business within or with the capacity to do business within Cayuga County to provide administrative and technical support services to treatment courts within Cayuga County.

The selected applicant will:

- provide direct services using the Seeking Safety counseling model to treatment court participants during times of crisis and increased need through the provision of at least one full time care coordinator whose scope of work shall include crisis-specific interventions, addressing coping skills, coordination of behavioral health services, assistance with housing, social, vocational, educational, and other wrap-around services, and help with daily living skills and proper use of services. The care coordinator will be available by cell phone and have flexible hours to allow him or her to attend to participants in the evenings and weekends where practicable. Space will be allocated to the selected applicant in the Cayuga County courthouse, but the applicant should

expect the coordinator to be mobile and meet with participants throughout the county, wherever they are housed, including community residences, homeless shelters, jail, hospital, and wherever they require services.

- continue ACCC's peer support/mentor program, providing peer support to participants and graduates of drug court, and work with the aftercare program, Life Works, which provides drug court graduates the opportunity to stay connected to the recovery community and receive the support needed to maintain a drug-free lifestyle. The applicant should provide a part-time peer support supervisor responsible for recruiting volunteers, coordinating peer support meetings and planning at least two peer support events each year; the peer support supervisor will be available by cell phone and have flexible hours to allow him or her to attend to participants in the evenings and weekends where practicable;
- provide a part-time case technician who will provide technical and administrative support to the treatment courts, including preparing files, performing drug screens, gathering and inputting data and completing necessary paperwork;
- provide a part-time technical aide who will provide drug testing services for ten hours per week and other related duties as necessary;
- work to build the recovery community by offering participants a safe and sober environment;
- organize individual or smaller support groups where participants can gain the benefits that come with self-help and group settings without the anxiety that sometimes prevents their participation;
- provide for staff to attend trainings in Seeking Safety, peer support and other related topics as required by the project;
- assist with data collection and performance measurements;
- arrange meetings with representatives of treatment programs, community organizations and public agencies to improve the services provided to participants and increase community support for the drug court programs; and
- work with local agencies to promote partnerships and collaboration and ensure appropriate referrals.

Applicants must provide appropriate supervision and oversight for any staff included on this project. The successful applicant's staffing plan should include:

- a bachelor's level individual care coordinator with excellent communication skills. A CASAC or advanced degree is preferred;
- a well-organized, outgoing peer support supervisor who is well-rooted in recovery, have experience working with the substance use and mental health community, and have excellent oral and written communication skills;
- a case technician with experience in the substance use and mental health fields who shows strong organizational skills, and knowledge of computers;
- a technical aide with experience in drug testing and who is trained in the proper usage of drug testing and urinalysis equipment; and
- staff who are familiar with the culture(s) and language(s) of the treatment court's target population and who will complete an online training on cultural competency.

Due to the necessity of intra-county travel on this project, applicants must provide transportation, as well as a cell phone, for staff as further set forth above. The applicant should also budget for incentives in an amount not to exceed \$2,000 per year. Such incentives will be distributed to treatment court participants to reinforce progress through the treatment program per the discretion of the treatment team.

A. Applicant Eligibility and Minimum Qualifications

Awards will be made to qualified organizations which are non-profit entities, tax-exempt under the Internal Revenue Code. Applicants must have facilities in the county of Cayuga or the ability to provide services within the county.

B. Funding

The total available funding for the services is \$330,169 over the term September 30, 2017-September 29, 2020.

C. Award Selection Criteria and Method of Award

Proposals will be reviewed and rated by a team comprised of staff from the local Court team and/or the Office of Court Administration’s Division of Professional and Court Services.

Funding will be awarded to the responsible applicant that receives the highest score in excess to the minimum score.

Proposals will be evaluated on the following criteria:

Category	Point Value
Organization Capacity	20
Program and Staffing Plan	60
Reasonableness of Cost	20
TOTAL POSSIBLE POINTS	100

(See Exhibit 3, Evaluation Tool, for a detailed breakdown of the factors comprising each criterion). A minimum score (average of all proposal raters) of 80 is required for a contract to be awarded.

D. Grant Contract

The selected applicant will enter into a contract with UCS. Such agreements are subject to the review and approval of the Offices of the New York State Attorney General and the State Comptroller. The term of the contract is expected to be September 30, 2017-September 29, 2020. UCS reserves the right to extend this agreement for an additional twelve (12) months at the end of the term.

E. Reporting Requirements

The due dates, format and specific information to be contained in reports required will be determined by UCS.

F. Insurance Requirements

Grant recipients will be required to maintain during the term of the contract: (i) workers' compensation and disability benefits insurance; (ii) commercial general liability insurance; and (iii) professional liability insurance. See Exhibit 1 for specific coverage requirements and documentation that must be submitted with application.

G. Vendor Responsibility

UCS is required to conduct a review of every organization with which it enters into a contract in order to provide reasonable assurances that the organization is responsible. Vendor responsibility is determined by a review of each prospective contractor's legal authority to do business in New York State, business integrity, financial and organizational resources, and performance history. See Exhibit 2 for detailed instructions on completion of the Vendor Responsibility Questionnaire.

H. Questions

Applicants may submit questions concerning this RFP by email only to:

Amelia Hershberger, ahershbe@nycourts.gov

Please indicate in "Subject" field: ACCC Support Services RFP Question(s)

The deadline to submit questions is Thursday, July 20, 2017 at 5pm. A Questions & Answers (Q&A) sheet will be posted on the UCS website a few days after the deadline for submission of questions.

IMPORTANT: All questions regarding this RFP must be in writing and directed solely to the attention of the above-designated person.

I. Proposal Submission Procedures/Deadline

Step One: Complete the Proposal

Please follow the formatting instructions and page limits. Applications must be single-spaced with one inch page margins (not including attachments or financial forms) using a 12 point font. To facilitate photocopying, please do not permanently bind applications. An application includes the Application Cover Sheet, Proposal Narrative, Budget and Attachments.

Step Two: Assemble the Following Attachments:

- A. Audited Financial Statement from the Most Recently Ended Fiscal Year
- B. Mission Statement
- C. Organizational chart
- D. Resumes and job descriptions of senior management and project staff.

- E. Photocopy of correspondence issued by the Internal Revenue Service that indicates the applicant's status as a tax-exempt organization
- F. Insurance Certificates (see Exhibit 1)
- G. Affirmative Action/EEO Policy
- H. Documentation of Current NY Charities Registration
- I. Documentation of Taxpayer Identification Number (TIN)
- J. Vendor Responsibility: Acknowledgment Form and VR Questionnaire if applicable and submitting on paper.

Step Three: Deliver the Application with all Required Attachments

Applications will not be accepted electronically or by fax. Applications must arrive at the address below by no later than **August 1, 2017 at 2PM.**

Deliver ONE signed, hard copy original and TWO additional copies (three complete sets) of the Application to:

Division of Professional and Court Services
2500 Pond View, Suite 104
Castleton-on-Hudson, New York 12033
ATTN: Amelia Hershberger

All envelopes/cartons must also be labeled with the following information on two sides:

“Deliver immediately to Amelia Hershberger”
“Sealed Application - Do not open”
“CAYUGA SUPPORT SERVICES RFP – Due 8/1/17 at 2PM”

Proposals will not be accepted electronically or by fax. The proposal is an irrevocable offer for ninety (90) days following the proposal due date. In the event a final contract has not been awarded within this period, UCS reserves the right to negotiate extensions to this period.

II. Proposal Cover Sheet

Legal Name of Proposer	
Executive Director/CEO	
Proposal Contact Person, Title, Phone Number and Email Address	
Total Budget of Organization	
Total FTE Staff Employed in Organization	
Number of FTE Staff Funded Under This Proposal	
Summary of Proposal (2 or 3 sentences)	
Address	
Phone	
Fax	
Email	
Website Address (not required)	
Federal Tax Identification No. (TIN)	
New York State Charities Registration Number (If exempt, please explain.)	
Signature of officer authorized to enter into contracts on the organization's behalf	

III. Proposal Narrative

Organizational Capacity (Page limit: 4 pages, single spaced)

1. Briefly describe the organization's current principal activities.
2. Describe the organization's experience and expertise providing services to the substance abuse population.
3. Describe the organization's experience and expertise providing services to individuals involved in the criminal justice system.
4. Describe the organization's experience, if any, with government-funded programs including SAMHSA-funded programs.
5. Describe how the funding requested in this RFP will enhance the overall mission and services that the organization currently provides.
6. Describe the organization's policies and procedures to ensure client confidentiality.
7. Describe the organization's capacity to effectively manage government funded programming including, but not limited to the ability to meet fiscal and programmatic reporting requirements, make effective use of technical assistance provided by funding entities, and work in partnership with the Court.
8. Briefly describe the organization's financial management system and internal controls procedure.
9. Describe the organization's experience, if any, with care coordination, peer support, and technical support services.
10. Provide an organizational chart showing all supervisory staff (will not be included in the page limit).
11. Attach a list of the names of the organization's Board of Directors (will not be included in the page limit).

Project Description (Page limit: 5 pages, single spaced)

12. Describe the organization's plan to implement the administrative and technical support services described in this solicitation.
13. Describe the organization's plan to provide care coordination to the target population.
14. Describe the organization's plan to provide peer support and recruit volunteers for the peer support program.
15. Describe the organization's plan to ensure the project goals are met.
16. How will the organization's experience and existing collaborations enhance the project goals?
17. How will the organization ensure that all grant-related reporting requirements are timely met?
18. Describe the proposed supervisory structure for the project.

IV. Budget

Line Item Budget

The limit for total cost is \$330,169 over the contract period. Break out is estimated as follows: Year 1: \$112,595; Year 2: \$108,787; and Year 3: \$108,787. The proposal must include a line-item budget for each year, which shall include personal service expenses, broken down by salary and fringe benefits; equipment, such as computers and cell phones; services, such as the cost of cell phone plans; and travel costs such as mileage reimbursement.

Note: With the exception of any training required or proposed by the applicant, training costs, including any associated travel for training, for the listed project staff will be provided through the Court's budget.

Proposals with a total cost in excess of \$330,169 will not be considered.

Budget Narrative

Include a brief budget narrative explaining the costs included in the line-item budget.

VII. Attachments Checklist

Please place an X in each box for the document that is submitted.

- | | |
|--------------------------|--|
| <input type="checkbox"/> | A. UCS Attachment I pages 3 and 4: Standard Request for Bid Clauses and Forms Non-Collusive Bidding Certificate and Corporate Acknowledgment |
| <input type="checkbox"/> | B. UCS Attachment IV: Procurement Lobbying Form |
| <input type="checkbox"/> | C. Resumes and job descriptions of all project staff. |
| <input type="checkbox"/> | D. Documentation of Taxpayer Identification Number (TIN) |
| <input type="checkbox"/> | E. Vendor Responsibility: Acknowledgment Form and VR Questionnaire if applicable and submitting on paper |

Exhibit 1

INSURANCE REQUIREMENTS

Grant recipients will be required to maintain, during the term of the contract, the following insurance coverage:

1. Workers' compensation and disability benefits insurance coverage as required under NYS law. Proof of workers' compensation insurance and disability benefits insurance must be provided with the grant application. If applicant is legally exempt from such coverage, proof of exemption must be provided. The only forms acceptable as evidence of these insurance requirements are:

Proof of Workers' Compensation Coverage

- Form C-105.2 - Certificate of Workers' Compensation Insurance issued by private insurance carriers; or
- Form U-26.3 issued by the State Insurance Fund; or
- Form SI-12 - Certificate of Workers' Compensation Self-Insurance; or
- Form GSI-105.2 - Certificate of Participation in Workers' Compensation Group Self-Insurance; or
- Form CE-200 - Certificate of Attestation of Exemption from NYS Workers' Compensation and/or Disability Benefits Coverage.

Proof of Disability Benefits Coverage

- Form DB-120.1 - Certificate of Disability Benefits Insurance, or
- Form DB-155 - Certificate of Disability Benefits Self-Insurance; or
- Form CE-200 - Certificate of Attestation of Exemption from NYS Workers' Compensation and/or Disability Benefits Coverage.

Please note that an ACORD Certificate of Insurance is NOT acceptable proof of New York State workers' compensation or disability benefits insurance coverage. Applicants should obtain the appropriate Workers' Compensation Board forms from their insurance carrier or licensed agent, or follow the procedures set forth by the Workers' Compensation Board for obtaining an exemption from coverage. Required forms and procedures may be obtained on the Workers' Compensation Board website at www.wcb.ny.gov/ and click on 'Employers/Businesses' and/or 'Forms'. Any questions regarding workers' compensation coverage requirements should be directed to:

Workers' Compensation Board
Bureau of Compliance
(518) 462-882
(866) 298-7830

Applicants awarded funding (whether through a new or amended contract) will be required to provide updated certificates of workers' compensation and disability benefits coverage that name the Unified Court System as the certificate holder if the applicable form has a space for a certificate holder to be listed.

The carrier must enter:

NYS Unified Court System
Office of Court Administration
Division of Professional and Court Services
2500 Pond View, Suite 104
Castleton-on-Hudson, New York 12047

The insurance carrier will notify the certificate holder if a policy is canceled.

2. Commercial General Liability Insurance (bodily injury and property damage on an occurrence basis), contractual and products/completed operations liability coverage, and auto liability with minimum limits as follows:

Bodily Injury and Property Damage	\$1 million, per occurrence, \$2 million, aggregate
Personal Injury and Advertising	\$1 million aggregate
Contractual and Products/ Completed Operations Liability	\$2 million aggregate
Auto Liability, Combined single limits	\$1 million

Commercial general liability insurance coverage must be obtained from commercial insurance carriers licensed to do business in the State of New York. Proof of applicant's commercial general liability insurance coverage must be submitted with the grant application. Applicants awarded funding will be required to submit an updated certificate naming UCS as an additional insured or loss payee as appropriate and providing for at least thirty (30) days advance written notice to UCS of cancellation or non-renewal. The updated certificate must be submitted prior to finalization of the contract.

Products completed operations insurance coverage is not required if applicant provides written documentation prior to finalization of an awarded contract that the organization's commercial general insurance policy does not include coverage for products-completed operations. Automobile liability insurance is not required if applicant does not use vehicles in its operations.

3. Professional liability insurance in the amount of \$1,000,000 for all of applicant's professional employees that will perform with grant funding. Proof of applicant's professional liability insurance coverage must be submitted with the grant application. Organizations awarded funding will be required to contractually agree to obtain tail coverage for a minimum of two years in the event that the organization's professional liability coverage policy is terminated and either: (i) there is no replacement policy; or (ii) the replacement policy does not cover claims made against the organization based on events that occurred prior to the effective date of the new policy.

Exhibit 2

VENDOR RESPONSIBILITY REQUIREMENTS

The New York State Unified Court System (UCS) is required to conduct a review of a prospective contractor to provide reasonable assurances that the vendor is responsible. The Vendor Responsibility Questionnaire, a required component of all UCS solicitations, is designed to provide information to assist the UCS in assessing a vendor's responsibility prior to entering into a contract with the vendor. Vendor responsibility is determined by a review of each prospective contractor's legal authority to do business in NYS, business integrity, financial and organizational resources, and performance history (including references).

UCS recommends that vendors file the required Vendor Responsibility Questionnaire online via the New York State VendRep system maintained by the Office of the State Comptroller.

If you are already enrolled, go directly to the VendRep System online at: <https://portal.osc.state.ny.us>. To enroll, see the VendRep System Instructions available at: http://www.osc.state.ny.us/vendrep/vendor_index.htm. Vendors must provide their NYS Vendor Identification Number when enrolling.

Alternatively, vendors may choose to complete and submit a paper questionnaire. Vendors opting to complete and submit a paper questionnaire can obtain the appropriate form from the VendRep website: http://www.osc.state.ny.us/vendrep/forms_vendor.htm.

To request assignment of a Vendor Identification Number or for VendRep System assistance, contact the Office of the State Comptroller's Help Desk at 866-370-4672 or 518-408-4672 or by email at ciohelpdesk@osc.state.ny.us.

VENDOR RESPONSIBILITY ACKNOWLEDGMENT

Please complete either option 1 or option 2 below:

OPTION 1: ___ Vendor Responsibility Questionnaire filed online via the VendRep System

If you have selected Option 1, please complete the following. The required signature is an acknowledgment that the questionnaire has been filed and certified directly on the OSC VendRep system.

ORGANIZATION NAME: _____

NAME/TITLE: _____

SIGNATURE: _____

OPTION 2: ___ Paper Vendor Responsibility Questionnaire Form Attached

**EXHIBIT 3
EVALUATION TOOL
PROPOSAL SUMMARY RATING SHEET**

APPLICANT: _____

Organizational Capacity (20 points possible) A. _____

Program and Staffing Plan (60 points possible) B. _____

Reasonableness of Cost (20 points possible) D. _____

Total Points: 100 points **TOTAL** _____

A minimum average score of 80 is required for a contract to be awarded.

EVALUATOR (Print) _____

(Signature) _____

DATE ___/___/___

DETAIL RATING SHEETS

PROPOSAL: _____

REVIEWER: _____

Instructions to reviewers: For each sub-question, award a value of 0 up to the maximum points allowed for the question based on your assessment of the proposal.

A. ORGANIZATIONAL CAPACITY (20 POINTS POSSIBLE)

A. _____

A1. Evaluate the extent to which the applicant demonstrates that the organization is organized with a mission that aligns with the services to be provided under the project. *(5 points)*

A1. _____

A2. Evaluate the extent to which the applicant demonstrates the capacity to establish and maintain an effective working relationship with the Court. *(2 points)*

A2. _____

A3. Evaluate the extent to which the applicant demonstrates that the organization has instituted mechanisms likely to result in high quality services, taking into account significant developments which may impact on the ability to institute such mechanisms. *(5 points)*

A3. _____

A4. Evaluate the ability of the organization to effectively manage government funded programs, including SAMHSA-funded programs. *(3 points)*

A4. _____

A5. Evaluate the organization's experience with outreach and case management services. *(5 points)*

A5. _____

SUBTOTAL FOR PART "A" (A1 + A2 + A3 + A4 + A5) _____

B. PROPOSED PROGRAM (60 POINTS POSSIBLE)

B. _____

B1. Evaluate the organization's plan to implement the administrative and technical support services described in this solicitation. (9 points)

B1. _____

B2. Evaluate the organization's plan to provide care coordination to the target population. (9 points)

B2. _____

B3. Evaluate the organization's plan to provide peer support and recruit volunteers for the peer support program. (9 points)

B3. _____

B4. Evaluate the organization's plan to ensure the project goals are met. (10 points)

B4. _____

B5. Evaluate how well the organization's experience and existing collaborations will enhance the project goals. (7 points)

B5. _____

B6. Evaluate how the organization will ensure that all grant-related reporting requirements are timely met. (9 points)

B6. _____

B7. Evaluate the organization's proposed supervisory structure for the project. (7 points)

B7. _____

SUBTOTAL FOR PART "B" (B1 + B2 + B3 + B4 + B5 + B6 + B7) _____

C. REASONABLENESS OF COST: OVERALL BUDGET (20 POINTS TOTAL)

C1. Evaluate the extent to which the salaries and fringe benefits for the proposed program are appropriate for the positions listed in the proposal. *(10 points)*

C1. _____

C2. Evaluate the extent to which the non-personnel service costs included in the budget are reasonable for the operation of the proposed program. *(10 points)*

C2. _____

SUBTOTAL FOR PART "C" (C1 + C2) _____