

Drug Court – Outreach and Case Management Services
Cayuga County, New York
Request for Proposals
OCA / Professional and Court Services #015

APPLICATION FORMS AND INSTRUCTIONS

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- Exhibit 3: Proposal Rating Tool

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 outreach and case management services for the drug court project "From Opiates to Heroin to Recovery: A Treatment Court Project."

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 US Department of Justice Bureau of Justice Assistance for the purpose of funding the Auburn City and Cayuga County treatment courts to implement a project to address the growing problem of heroin and opiate use. The Courts aim to enhance court and supervision services and enhance recovery support services in their drug court programs by connecting heroin/opioid dependent participants to the appropriate services and treatment, including medication-assisted treatment, and educating health care professionals and the community on opioid/heroin addiction. The purpose of the project is to simultaneously treat heroin/opioid dependent participants while preventing relapses and further use through community outreach and education. The project aims to improve service delivery and outcomes for justice-involved individuals with a history of heroin/opioid abuse and decrease such abuse by participants and others in the community. As part of its outreach program, the project will connect health-care professionals to existing print and on-line resources to appropriately screen patients for drug and alcohol abuse, use motivational interviewing and promote safe opioid prescribing.

UCS seeks proposals from a not-for-profit agency doing business within or with the capacity to do business within Cayuga County to provide outreach and case management services.

The selected applicant will:

- provide at least one full-time staff outreach coordinator to be housed at the Cayuga County courthouse whose primary role is to provide case management services to heroin/opioid dependent drug court participants and provide outreach to health care professionals and others in the community;
- provide individual case management services to drug court participants who have a history of heroin or opioid abuse and will help to connect them to treatment and other services;

- coordinate a program to reach out to health care professionals and others to educate them on appropriate screening tools, motivational interviewing and opioid prescribing, as well as arrange for expert speakers to address community members on the growing problem of opioid/heroin abuse;
- create awareness about the growing problem of heroin/opioid abuse and help develop relationships with the medical community and others to better serve the drug court population;
- 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;
- work with local agencies to promote partnerships and collaboration and ensure appropriate referrals; and
- build a network of outpatient and inpatient treatment facilities, halfway houses, and medication-assisted treatment clinics to ensure that participants are matched with the appropriate treatment services.

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 outreach coordinator with excellent communication skills. A CASAC or advanced degree is preferred. Due to the necessity of intra-county travel on this project, applicants must provide transportation for their staff.

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 outreach services is \$119,240 over the term November 1, 2015-September 30, 2017.

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 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 November 1, 2015-September 30, 2017. 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 Outreach RFP Question(s)

The deadline to submit questions is October 20, 2015 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 **October 29, 2015 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 OUTREACH RFP – Due 10/29/15 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 projects.
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 outreach services and the development of community training and programming.
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 outreach services described in this solicitation.
13. Describe the organization's plan to provide case management services to the target population.
14. Describe the organization's plan to arrange training for health-care professionals and the community.
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 \$119,240 over the contract period. 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: Training costs, including any associated travel, for the outreach coordinator will be provided through the Court's budget.

Proposals with a total cost in excess of \$119,240 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. *(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. PROGRAM AND STAFFING PLAN(60 POINTS POSSIBLE)

B. _____

B1. Evaluate the organization's plan to implement the outreach services described in this solicitation. (9 points)

B1. _____

B2. Evaluate the organization's plan to provide case management services to the target population. (9 points)

B2. _____

B3. Evaluate the organization's plan to arrange training for health-care professionals and the community. (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 (20 POINTS TOTAL)

C. _____

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) _____