

Community Dispute Resolution Centers Program

Request for Proposals

Issued May 17, 2016

Due July 14, 2016 at 2PM

APPLICATION FORMS AND INSTRUCTIONS

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I. Background Information

In 1981, the State of New York enacted Article 21-A of the New York State Judiciary Law and created the Community Dispute Resolution Centers Program (CDRCP). This initiative provides community-based forums for the resolution of civil and minor criminal disputes through dispute resolution processes other than litigation. Pursuant to this legislation, the New York State Unified Court System, Office of Alternative Dispute Resolution Programs, contracts with and provides funding to not-for-profit centers that provide dispute resolution services.

The Community Dispute Resolution Centers (CDRCs) serve several vital functions. First, the centers empower clients to play a greater role in deciding the procedural and substantive outcomes of their disputes. Second, the centers help courts streamline their dockets by providing dispute resolution services to those people who are able and willing to resolve their conflict without the assistance of a Judge. Third, the centers collaborate with other human services organizations in their communities and connect clients with available services and resources. Finally, centers serve as promoters of peaceful communities and help individuals become more effective communicators and negotiators, not only through direct delivery of services, but also through ongoing training and community outreach efforts.

The Office of Alternative Dispute Resolution Programs strongly encourages centers to utilize volunteers for two primary reasons: first, an active volunteer pool often infuses the center with a level of enthusiasm and diversity of life experience that is seldom attainable solely with paid staff; second, use of volunteers allows paid staff to focus on outreach and case development, volunteer recruitment and management, and ongoing program monitoring.

A. Applicant Eligibility

Pursuant to Judiciary Law § 849-a (3), the UCS may only consider applications submitted by nonprofit corporations that are organized for the resolution of disputes or for religious, charitable or educational purposes.

B. Funding

Available funding for this program is defined in Exhibit 5, 12 Month Estimated Grant Awards. UCS is particularly interested in applications that creatively use funding provided under this RFP to leverage community resources to the maximum extent feasible so that services provided to disputants in the CDRCs are enhanced.

Pursuant to Judiciary Law § 849-d (2), the UCS may award up to \$40,000.00 per county served in unmatched grant funding. Any additional CDRCP funding beyond the \$40,000 per county served that the UCS awards must be matched on an equal basis by local revenue. Applicants must submit a program narrative and budget in accordance with the requirements set forth in this RFP.

C. Award Selection Criteria and Method of Award

UCS intends to award one contract to provide dispute resolution services in each county listed in

Exhibit 5. Applicants may submit applications to serve a single county or multiple counties. Applications will be scored using the Evaluation Tool included herein as Exhibit 3. Award shall be made to the responsible applicant who receives the highest point value by county until funding is exhausted as indicated in Award Criteria below.

Organizational Capacity:	55 points maximum
Appropriateness and Quality of the Proposed Program Plan	100 points maximum
Appropriateness of Staffing Plan:	35 points maximum
Reasonableness of Cost:	50 points maximum
TOTAL POSSIBLE POINTS	240

A minimum total score of 168 is required for a contract to be awarded. A separate score will be calculated for each county for which services are proposed.

Funding will be awarded to the highest scoring responsible applicant that proposes to provide services in a given county and that receives a score of 168 or more. Responsibility is determined in accordance with the criteria articulated in paragraph I(E) below.

D. Grant Contract

The selected applicants will enter into contracts with UCS. Agreements for amounts in excess of \$50,000 are subject to the review and approval of the Offices of the New York State Attorney General and the State Comptroller. UCS intends to enter into contracts for a five-year multi-year term. The term of the contracts is expected to be from January 1, 2017 – December 31, 2021 with an initial budget period of January 1 – March 31, 2017.

E. 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. Organizations applying for funding which, if awarded, would result in a new or amended contract with a total amount of \$100,000 or more are required to submit a Vendor Responsibility Questionnaire. See Exhibit 2 for detailed instructions on completion of the Vendor Responsibility Questionnaire.

F. Pre-Bid Conference

A Pre-Bid Conference will be held on via Skype on MONDAY, JUNE 20TH at 10AM. While participation in the pre-bid conference is not mandatory, it is strongly recommended. In order to attend the Skype meeting, attendees must request the Skype link by Friday, June 17th at 2PM. To request the link, applicants must email Amelia Hershberger at ahershbe@nycourts.gov using the subject line "CDRC RFP Skype Pre-Bid" by Friday, June 17th at 2PM.

Applicants who are unable to attend by Skype may write to the email address above to request in-person attendance in Castleton-on-Hudson.

G. 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.

H. Questions

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

Amelia Hershberger: ahershbe@nycourts.gov

Please indicate in "Subject" field: CDRCP RFP Question

The deadline to submit questions is FRIDAY, JUNE 17TH, before 1:00 pm. 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.

Application Submission Procedures/Deadline

Step One: Complete the Application

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

Step Two: Assemble the Following Attachments:

- A. Audited Financial Statements from the Most Recently Ended Fiscal Year.
- B. Organizational Chart
- C. Board of Directors Roster
- D. Mission Statement
- E. Strategic Plan
- F. Resource Development Plan
- G. References for the Organization (Three (3) required)
- H. Resumes and job descriptions of senior management and project staff.
- I. Photocopy of correspondence issued by the Internal Revenue Service that indicates the applicant's status as a tax-exempt organization and documents Taxpayer Identification Number (TIN)
- J. Documentation of Current NY Charities Registration
- K. Insurance Certificates (see Exhibit 1)
- L. Vendor Responsibility: Acknowledgment Form and VR Questionnaire if applicable and submitting on paper (see Exhibit 2)

Step Three: Deliver the Application with all Required Attachments as instructed below:

Applications must arrive at the address below no later than THURSDAY, JULY 14TH, before 2:00 pm.

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

Amelia Hershberger
New York State Office of Court Administration
Division of Professional and Court Services
Grants and Contracts
2500 Pond View, Suite 104
Castleton-on-Hudson, New York 12033

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

“Deliver immediately to Amelia Hershberger”
“Sealed Application - Do not open”
“PROFESSIONAL AND COURT SERVICES RFP #017 – Due THURSDAY, JULY 14
before 2pm”

II. Application Cover Sheet

Legal Name of Applicant Organization	
Executive Director/CEO	
Application Contact Person, Title, Phone Number and Email Address	
Total Funding Requested	
List All Counties in which Funding is Requested	
Address	
Phone	
Fax	
Email	
Website Address	
Federal Tax Identification No. (TIN)	
New York State Charities Registration Number (If exempt, please explain.)	
Executive Director or Chief Executive Officer Signature	

III. Proposal Narrative

A. Organizational Questions

1. Explain how the proposed center is in alignment with the organization’s mission, as provided in **Attachment D**, and if relevant, the organization’s history. [6375 characters]

2. Briefly explain: (a) How the organization’s strategic plan provided in **Attachment E** was created, including details about who was involved, the process, the duration of the process, and use of any outside experts; and (b) The implementation process of the strategic plan, including progress made on the timetables for meeting goals and objectives, and on-going efforts. If your organization does not have a strategic plan (as defined in **Exhibit 11**) or a strategic plan specific to the CDRC, explain. [4500 characters]

3. Provide the following information: (a) The number of full Board meetings held in the calendar years in the chart below; (b) The number of full Board meetings held with a quorum in the calendar years in the chart below; (c) A list of active Board subcommittees, including frequency of meetings for each; (d) The total amount of financial support given by the Board in state fiscal year 2015-2016; (e) The percentage of Board members contributing financial support to the agency; (f) Other forms of support or volunteer service provided by Board members; (g) The mechanism and process the Board uses to evaluate the performance of the Executive Director/Chief Executive Officer; (h) The mechanism and process the Board utilizes to ensure the organization’s continued effective performance through succession planning; (i) Data regarding the diversity of Board members (profession/field, age, gender, race) and in which county each member resides; and (j) A description of how the organization has recruited or plans to recruit a Board that reflects the diversity of the community the organization serves or will serve. If the organization has faced or faces particular challenges recruiting a diverse panel of Board members, explain the challenges, strategies that have been attempted, and possible new approaches being considered. [4000 characters]

	Calendar Year 2012	Calendar Year 2013	Calendar Year 2014	Calendar Year 2015
Number of Full Board Meetings Held				
Number of Full Board Meetings Held with a Quorum				

4. Complete the following grid to indicate past funding that the agency has secured in sum for its current programs, answering on a state fiscal year basis. Preference will be given to proposals that demonstrate the ability to secure funds in the following order of

preference: (1) Public and private revenue, including grants and donations; (2) Fee-for-service revenue; and (3) In-kind revenue. . If currently providing CDRC services, respond specifically with respect to financial support to that program, including total financial support, even if it exceeds the minimum match requirements and/or has not been listed in past reconciliations or budgets

		FY2012-2013	FY2013-2014	FY2014-2015	FY2015-2016
Category 1	NYS Unified Court System CDRC grant funding, if currently funded				
	Other Public revenue that directly supports dispute resolution programs.				
	Public and private revenue				
	Foundations and other grant makers				
	Individual donations				
Category 2	Fee-for-service dispute resolution revenue				
	Revenue from mediation and dispute resolution training				
	Fee-for-service revenue				
	Revenue from training				
Category 3	In kind revenue supporting the CDRC program				
	Other in kind revenue				
Category 4	Public and private revenue that supports complementary non-dispute resolution programs				

- Briefly explain how the organization’s resource development plan provided in **Attachment F** was created. Include details about who was involved, the process, the duration of the process, and use of any outside experts. If your organization does not

- have a resource development plan (as defined in **Exhibit 11**) or a resource development plan specific to the CDRC, explain. [2125 characters]
6. Describe the organization's capacity to timely prepare and submit fiscal reports required by existing donors or funders. What types of fiscal reports are you presently required to provide, when were they due and when were they submitted for state fiscal year 2012-13, FY 2013-14, FY 2014-15 and FY 2015-16? If currently under contract with UCS, include UCS fiscal reporting deadlines and submission dates. [2125 characters]
 7. Describe how the organization will resolve computer-related issues. Describe the organization's back-up protocols. [no limit]
 8. Describe how the organization will utilize the components of its technological infrastructure to: (a) Communicate with staff, volunteers, referral sources, and clients to schedule meetings, and mediations, develop caseloads, coordinate case management efforts, and share program outcomes; (b) Collect, monitor and analyze case data for program development and resource management; and (c) Train and educate staff, volunteers, referral sources, partners and others. [3125 characters]
 9. Define each dispute resolution process that the center will provide as described in **Exhibit 10**, and describe the fee policy that the program will utilize in determining client fees for dispute resolution services. [4250 characters]
 10. Explain the mechanisms that the center will use to ensure client confidentiality, as well as to monitor the quality of intake and screening services. Include information about staff training, management and development; policies and procedures; written manuals; and any other pertinent processes or mechanisms. Reference rather than attach any written materials. [4250 characters]
 11. Describe the mechanisms that the center will use to monitor the quality of dispute resolution services. Include information about training, apprenticeships, continuing education, mediator evaluation, staff oversight, program design, and any other pertinent processes or mechanisms. Reference rather than attach any written materials. [4250-8500 characters]
 12. Describe your agency's: (a) Internal controls procedures (as defined in **Exhibit 11**), and (b) The role of program staff in developing and monitoring programmatic budgets. For multi-purpose agencies (as defined in **Exhibit 11**), describe the role of program staff specific to the development and monitoring of the dispute resolution program budget. [4250 characters]
 13. Describe the specific practices and methods by which your agency will attract and maintain a diverse and culturally competent workforce and environment (beyond meeting the requirements of the laws governing discrimination of individuals in protected classes). [6375 characters]

14. If the proposer is a multi-purpose agency (as defined in **Exhibit 11**), describe the method or basis for allocating indirect costs. Indirect costs are those that benefit more than one program and, therefore, are shared. They include general maintenance and operation expenses, general office and administrative expenses, general overhead, etc. Some common methods of allocating indirect costs are based upon time, space, units of service, or percentage of funding. [2125 characters]

15. (a) Attach the job descriptions (and resumes, if staff are identified) of all staff and a proposed organizational chart in **Attachments B and H**. Resumes should be limited to one page per person; (b) Provide a staffing plan for the program which includes the functions of each staff category included in the projected budget; (c) Describe the capacity of the organization to administer the proposed program with the existing staffing structure; and (d) Include descriptions of the proposed supervisory structure and supervisory practices of the program. [no limit]

16. Define all fringe benefits available to staff, including those that are required by law (such as Social Security, FICA, and Medicaid), as well as all eligibility requirements and restrictions. [4250 characters]

B. County-Specific Questions. Complete one (1) copy of this section for each county for which you are applying, including counties that will be handled on a part-time basis or through regional or satellite offices. For instance, if you are proposing a program in three (3) counties, complete one (1) for each county for a total of three (3) submissions.

ENTER COUNTY NAME HERE:

17. Propose up to three specific locations and specify why each location is being considered for use as a CDRC or is currently a CDRC office location. For each proposed office, identify the following: (a) The number of program staff who will work at the office; (b) The number of rooms available for simultaneously holding dispute resolution sessions; (c) Whether there is a waiting area; (d) The degree to which the organization has or will need to furnish staff areas, session rooms or the waiting area; (e) Accessibility and convenience, including accessibility for people with disabilities, and proximity to the courts, other referring organizations, and to public transportation where possible; and (f) Other community locations that are available to you for use in your proposed program. [no limit]

18. Using the grid below, describe the organization’s technological infrastructure, including the organization’s current inventory of computers, photocopiers, fax machines, and telephones (including voicemail).

Hardware	Number	Average Age	Oldest	Newest
Desktop				
Laptop				
Fax				
Phone				
Copier				

19. Complete the following grid with information about the mediation panel you expect to use to provide the services described in Question 9, including both staff and volunteers. For each box, include both total numbers and percentages. If your program will supervise a peer mediation program, include a separate summary of the demographic characteristics of those mediators

Sex		Race/ Ethnicity		Age		Languages Spoken	Number
Male	/ %	American Indian and Alaska	/ %	Under 20	/ %	Spanish	

		Native					
Female	/ %	Asian	/ %	20-29	/ %	Chinese	
Total	/100%	Black or African American, Non-Hispanic	/ %	30-39	/ %	Russian	
		Hispanic or Latino	/ %	40-49	/ %	French	
		Native Hawaiian and Other Pacific Islander					
		White, Non-Hispanic	/ %	50-59	/ %	French Creole	
		Other	/ %	60-69	/ %	Italian	
		Total	/100%	70+	/ %	Other	
				Total	/100%		

20. Compare the information you provided in the above grid (in Question 19) to the demographic data about your county as provided in **Exhibit 7**. If currently providing CDRC services, discuss how the panel in your response to Question 19 differs from your organization’s current panel. Describe how the organization will recruit a panel of neutrals: (a) Who reflect the diversity of the community the organization serves or will serve; and (b) Who exhibit the capacity to serve linguistically diverse clients of the community the organization serves or will serve. If the organization has faced or faces particular challenges recruiting a diverse panel of neutrals, explain the challenges, strategies that have been attempted, and possible new approaches being considered. [4250 characters]

21. In the column entitled Next Contractual Period, provide an estimate of the percentage of cases in which non-staff volunteers will provide dispute resolution services during the contractual period to be covered by this RFP. If currently providing CDRC services, provide the total number of cases and percentage of cases in which non-staff volunteers provided dispute resolution services for each of the last five calendar years. If any percentage of the total caseload requires the use of staff rather than volunteers, (a) explain why volunteers are not utilized in these cases, (b) provide the total number of these cases, and (c) recalculate that volunteer utilization percentage in consideration of these cases. [2125 characters]

	Calendar Year 2011	Calendar Year 2012	Calendar Year 2013	Calendar Year 2014	Calendar Year 2015	Next Contractual Period
Volunteers	/ %	/ %	/ %	/ %	/ %	%

Staff Neutrals						
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22. **For Existing Providers listed in Exhibit 8 only (leave blank if not a current provider in Exhibit 8):**

Complete the grid below to indicate the years of experience of your organization’s panel of Active Mediators (as defined in **Exhibit 11**).

Years of Experience	Number of Active Staff Mediators	Number of Active Volunteer Mediators
0-2		
3-4		
5-9		
10-14		
15-19		
20+		

23. Provide a detailed plan to recruit, utilize and retain volunteer neutrals. Refer to your responses to Questions 19-21. If you are proposing a plan that includes new approaches to recruiting, utilizing, and retaining volunteer mediators, explain how it differs from past practices. [4250 characters]

24. Describe the dispute resolution needs of the communit(ies) that the center will serve. Include in your narrative: (a) How the center assessed those needs; (b) How the center will attempt to meet those needs; and (c) How the center determined its approach to meet those needs. [8500 characters]

25. In Chart A on the next page, project the number of cases for which the center expects to provide services in the first three years of the proposed contract period. If currently providing services only, report the number of cases for which the center provided services in fiscal year 2015-16.

For each year, specify the number of cases in which dispute resolution services are provided in the “DR” column. Those cases where dispute resolution services are not provided, but intake and other related services are provided, should be reported in the “No DR” column. Include only those cases funded by Category 1 and 2 funding as indicated in Question 4. Do not include complementary services. Use Chart B, below, to project which dispute resolution processes will be utilized in the first year of the proposed contract period.

Chart A								
	FY 2015-16		FY 2016-17		FY 2017-18		FY 2018-19	
	DR	No DR						
Agricultural - Credit								
Agricultural - Non Credit								
Child Permanency								
Civil – Housing Dispute								
Civil – Large Claim								
Civil – Small Claim								
Criminal – Felony								
Criminal – Misdemeanor/ Violation								
DSS Conciliation								
Juvenile Delinquency								
Lemon Law								
Manufactured Housing								
Matrimonial								
Other ¹								
Parenting Issues								
Peer Mediation								
Permanency								
PINS/Pre-PINS								
Special Education								
Youth Issues								
TOTAL								

Chart B	
Dispute Resolution Process	FY 2016-17
Arbitration	
Conciliation	
Conflict Coaching	

¹ If more than 50 cases per year are listed in the “Other” category, describe the nature of the cases included in this category.

Facilitation	
Mediation	
Restorative Justice	

26. (a) Identify the six most frequent sources of case referrals in the column labeled Referral Source (as defined in **Exhibit 11**), and (b) Complete the column labeled “Next Contractual Period” with the percentage of referrals the program expects to receive from each source. If currently providing services, complete the FY 2015-16 column to indicate the number and percentage of referrals the center has received from its six most frequent referral sources, and (b) Complete the column entitled “Next Contractual Period” with the percentage of referrals the center expects to receive from these referral sources.

Referral Source	FY 2015-16	Next Contractual Period
	/ %	%
	/ %	%
	/ %	%
	/ %	%
	/ %	%
	/ %	%

27. Provide a detailed outreach plan, which describes: (a) How your organization will develop and maintain referrals with courts and other public and private agencies; (b) How this plan will achieve the projections provided in Questions 25 and 26; and (c) Any factors known to the organization’s staff or directors that could inhibit the development of a productive referral relationship with any Judge, court employee, or other current or potential referral source in the community to be served. [8500 characters]
28. Provide a detailed description of: (a) How the center will promote its services to the public, and (b) How this effort will specifically help to achieve the projections detailed in Questions 25 and 26. [4250 characters]

IV. Budget

Line-Item Budget

Include a line-item budget showing anticipated expenses and revenues during the first 12-month period of the proposed contract: fiscal year April 1, 2017 - March 31, 2018, using the Excel budget form available at: <http://nycourts.gov/admin/bids/currentsolicitations.shtml>. The budget requests

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Issued 5/17/16
Due 7/14/16 2PM

must include a brief narrative providing an explanation of each non-personnel item.

V. Required Attachments Checklist: Please place an X in each box for the document that is submitted.

	A. Audited Financial Statements from the Most Recently Ended Fiscal Year: The most recent, completed full-year organizational financial statement (expenses, revenue and balance sheet), audited, if available.
	B. Organizational Chart
	C. Board of Directors Roster. A list of the board of directors; or each board member include name, address, length of current term, total years of service on the board, and number of meetings attended in state fiscal year 2015-2016.
	D. Mission Statement. For Attachments D-F, If the applicant does not have one of these documents in place, the applicant must attach a statement to that effect in place of the document.
	E. Strategic Plan. For Attachments D-F, If the applicant does not have one of these documents in place, the applicant must attach a statement to that effect in place of the document.
	F. Resource Development Plan. For Attachments D-F, If the applicant does not have one of these documents in place, the applicant must attach a statement to that effect in place of the document.
	G. List three (3) references for the organization. Each reference should be familiar with the organization's services, particularly its dispute-resolution services, if possible. The list should state each reference's name, address, telephone number, email address, and a description of the work performed for the reference organization, and the name of a contact person. References may receive a call during the RFP review process.
	H. Resumes and/or job descriptions of senior management and project staff.
	I. Photocopy of correspondence issued by the Internal Revenue Service that indicates the applicant's status as a tax-exempt organization and documents Taxpayer Identification Number (TIN).
	J. Documentation of Current NY Charities Registration.
	K. Insurance Certificates (see Exhibit 1).
	L. Vendor Responsibility: Acknowledgment Form and VR Questionnaire if applicable and submitting on paper (see Exhibit 2).

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) 462-8882
(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

2500 Pond View, Suite 104
Castleton-on-Hudson, New York 12033

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.

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
SUMMARY RATING SHEET**

APPLICANT:

COUNTY TO BE SERVED:

A. ORGANIZATIONAL CAPACITY (55 POINTS)

A. _____

**B. APPROPRIATENESS AND QUALITY OF THE PROPOSED
PROGRAM PLAN (100 POINTS)**

B. _____

C. APPROPRIATENESS OF STAFFING PLAN (35 POINTS)

C. _____

D. REASONABLENESS OF COST (50 POINTS)

D. _____

A minimum score of 168 is required for a contract to be awarded.

TOTAL (maximum available points: 240):

EVALUATOR: (Print) _____

(Signature) _____

DATE: _____

DETAIL RATING SHEETS

APPLICANT:

AREA TO BE SERVED:

EVALUATOR NAME:

ORGANIZATIONAL CAPACITY (55 POINTS TOTAL)

A1. Evaluate the extent to which the proposer demonstrates that the organization:

- a) Has a strategic plan that is likely to support dispute resolution and other CDRC services, and**
- b) Has involved internal (board members, staff and volunteers) and external (referral sources, community partners, contract providers) stakeholders in the development of the strategic plan. (10 points)**

[Reviewer: Consider the following sources of information: Question 2 and Attachment E]

- 7-10 points: (1) Proposer has a plan very likely to support dispute resolution and other CDRC program services in the future, and (2) Proposer has described a process that demonstrates significant involvement of important stakeholders in the development of the plan.
- 3-6 points: (1) Proposer has a plan somewhat likely to support dispute resolution and other CDRC program services in the future, and (2) Proposer has described a process that demonstrates some involvement of important stakeholders in the development of the plan.
- 0-2 points: (1) Proposer has a plan that is not likely to support dispute resolution and other CDRC program services in the future, and (2) Proposer has described a process that demonstrates minimal involvement of important stakeholders in the development of the plan.

A1 Rating: _____

Basis for rating:

A2. Evaluate the extent to which the proposer demonstrates that the organization:

- a) **Has demonstrated success in securing funding and other resources to support dispute resolution or other programming; and**
- b) **Has a plan likely to secure funding and other resources in the future. (10 points)**

[Reviewer: Consider the following source(s) of information: Questions 4 and 5; and Attachment F]

7-10 points: Proposer has met both of the following criteria:
(1) Proposer has 4 or more years of experience securing funding and resources in the following order of preference: (a) public and private revenue, (b) fee for service revenue, and (c) in-kind revenue; and (2) Proposer has a plan that is very likely to secure funding and other resources in the future.

3-6 points: Proposer has met one of the two following criteria:
(1) Proposer has 4 or more years of experience securing funding and resources in the following order of preference: (a) public and private revenue, (b) fee for service revenue, and (c) in-kind revenue; and (2) Proposer has a plan that is somewhat likely to secure funding and other resources in the future.

0-2 points: Proposer has met none of the following criteria:
(1) Proposer has 4 or more years of experience securing funding and resources in the following order of preference: (a) public and private revenue, (b) fee for service revenue, and (c) in-kind revenue; and (2) Proposer has a plan that is not likely to secure funding and other resources in the future.

A2 Rating: _____

Basis for rating:

A3. Evaluate the extent to which the proposer demonstrates that the organization has the ability or previous experience necessary to submit required reports in a timely fashion. (5 points)

[Reviewer: Consider the following source(s) of information: Question 6]

4-5 points: Proposer demonstrates that it routinely meets reporting deadlines of funding sources or other institutions.

2-3 points: Proposer demonstrates that it often meets reporting deadlines of funding sources or other institutions.

0-1 points: Proposer fails to demonstrate that it meets reporting deadlines of funding sources or other institutions.

A3 Rating: _____

Basis for rating:

A4. Evaluate the extent to which the proposer demonstrates effective utilization of its technological infrastructure to administer the program. (10 points)

[Reviewer: Consider the following source(s) of information: Questions 7, 8 and 18]

7-10 points: Proposer demonstrates very effective utilization of its technological infrastructure to: 1) Ensure technology support; (2) Communicate with staff, volunteers, referral sources and clients; and (3) Collect, monitor and analyze case data for program development and resource management.

3-6 points: Proposer demonstrates somewhat effective utilization of its technological infrastructure to: 1) Ensure technology support; (2) Communicate with staff, volunteers, referral sources and clients; and (3) Collect, monitor and analyze case data for program development and resource management.

0-2 points: Proposer demonstrates minimally effective utilization of its technological infrastructure to: 1) Ensure technology support; (2) Communicate with staff, volunteers, referral sources and clients; and (3) Collect, monitor and analyze case data for program development and resource management.

A4 Rating: _____

Basis for Rating:

A5. Evaluate the extent to which the proposer's Board of Directors is actively engaged in the following three core Board responsibilities:

- a) Governance and Oversight (criteria: number of full Board meetings held annually with a quorum, active Board subcommittees and meetings held annually, Executive Director performance evaluation process, and succession planning mechanisms);**
- b) Ensure Support and Adequate Financial Resources (criteria: resource development plan, percentage of Board members contributing to the organization financially, other forms of support or volunteer service by Board**

members, and total amount of fiscal year financial support derived from the Board); and

- c) Determine Mission and Purpose(s) (criteria: strategic plan and organization mission alignment). (10 points)**

[Reviewer: Consider the following source(s) of information: Questions 1, 2, 3 and 5; and Attachments D and E]

8-10 points: Proposer's Board of Directors is engaged in all three core Board responsibilities:

1. Governance and Oversight
2. Ensure Support and Adequate Financial Resources
3. Determine Mission and Purpose(s)

4-7 points: Proposer's Board of Directors is engaged in two of the three core Board responsibilities:

1. Governance and Oversight
2. Ensure Support and Adequate Financial Resources
3. Determine Mission and Purpose(s)

1-3 points: Proposer's Board of Directors is engaged in one of the three core Board responsibilities:

1. Governance and Oversight
2. Ensure Support and Adequate Financial Resources
3. Determine Mission and Purpose(s)

0 points: Proposer's Board of Directors is not engaged in any of the three core Board responsibilities:

1. Governance and Oversight
2. Ensure Support and Adequate Financial Resources
3. Determine Mission and Purpose(s)

A5 Rating: _____

Basis for rating:

A6. Evaluate the extent to which the proposal demonstrates that the Board of Directors reflects the diversity of the community that the center will serve. (10 points)

[Reviewer: Consider the following source(s) of information: Question 3(i) and (j); and Exhibit 7]

7-10 points: The proposal demonstrates that the Board of Directors will reflect the diversity of the community that the center will serve.

3-6 points: The proposal demonstrates that the Board of Directors only somewhat reflects the diversity of the community that the center will serve, and the proposed strategies to address this issue are likely to be successful.

0-2 points: The proposal minimally demonstrates that the Board of Directors will reflect the diversity of the community that the center will serve, and the proposed strategies to address this issue are unlikely to be successful.

A6 Rating: _____

Basis for Rating:

SUBTOTAL FOR PART "A" (A1 + A2 + A3 + A4 + A5 + A6):

B. APPROPRIATENESS AND QUALITY OF THE PROPOSED PROGRAM (100 POINTS TOTAL)

B1. Evaluate the extent to which the proposal demonstrates that the center will ensure client confidentiality and provide high quality intake and screening. (10 points)

[Reviewer: Consider the following source(s) of information: Question 10]

7-10 points: The proposed quality assurance mechanisms for intake and screening and to protect client confidentiality are very likely to be effective.

3-6 points: The proposed quality assurance mechanisms for intake and screening and to protect client confidentiality are somewhat likely to be effective.

0-2 points: The proposed quality assurance mechanisms for intake and screening and to protect client confidentiality are not likely to be effective.

B1 Rating: _____

Basis for Rating:

B2. Evaluate the extent to which the proposal demonstrates that the center will provide high quality dispute resolution services. (10 points)

[Reviewer: Consider the following source(s) of information: Question 11]

7-10 points: The mechanisms that the center will use to monitor the quality of the dispute resolution services are of a very high quality.

3-6 points: The mechanisms that the center will use to monitor the quality of the dispute resolution services are somewhat of a high quality.

0-2 points: The mechanisms that the center will use to monitor the quality of the dispute resolution services are not of a high quality.

B2 Rating: _____

Basis for Rating:

B3. Evaluate the extent to which the proposal demonstrates that the organization will provide appropriate, accessible facilities for each county it proposes to serve. Appropriate and accessible facilities contain rooms suitable to hold dispute resolution sessions, are close to courts, other referring organizations, and public transportation; and are easily accessed by all members of the public, including those with disabilities. In addition to the main office location, appropriate off-site facilities for dispute resolution services have been identified and are available to clients. (10 points)

[Reviewer: Consider the following source(s) of information: Question 17]

- 9-10 points: The proposal contains a description of the main office facilities for each proposed center, and all of the facilities are appropriate to provide the proposed services. The proposal also includes community locations.
- 6-8 points: The proposal contains a description of the main office facilities for each proposed center, and the majority of the facilities are appropriate to provide the proposed services. The proposal also includes community locations.
- 4-5 points: The proposal contains a description of the main office facilities for each proposed center, and only some of the facilities are appropriate to provide the proposed services. The proposal also includes community locations.
- 0-3 points: The proposal lacks a description of the main office facilities, or describes facilities unsuitable for dispute resolution sessions, or describes facilities difficult for the public, including individuals with disabilities, to access. The proposal does not include community locations.

B3 Rating: _____

Basis for Rating:

B4. Evaluate the extent to which the proposal demonstrates that the center will manage a roster of mediators who reflect the diversity of the community that the center will serve. (10 points)

[Reviewer: Consider the following source(s) of information: Questions 19 and 20; and Exhibit 7]

- 7-10 points: The proposal demonstrates that the roster of available neutrals will reflect the diversity of the community that the center will serve.
- 3-6 points: The proposal demonstrates that the roster of available neutrals only somewhat reflects the diversity of the community that the center will serve, and the proposed strategies to address this issue are likely to be successful.

0-2 points: The proposal fails to demonstrate that the roster of available neutrals will reflect the diversity of the community that the center will serve, and the proposed strategies to address this issue are unlikely to be successful.

B4 Rating: _____

Basis for Rating:

B5. Evaluate the extent to which the proposal demonstrates that the center will recruit, train, utilize and retain volunteer neutrals. (15 points)

[Reviewer: Consider the following source(s) of information: Questions 21, 22 and 23]

11-15 points: The proposal contains a plan that: (1) Is highly likely to be effective in recruiting, training and retaining volunteer neutrals, and (2) Commits the Proposer to utilize volunteer neutrals in more than 80% of all appropriate dispute resolution cases.

6-10 points: The proposal contains a plan that: (1) Is somewhat likely to be effective in recruiting, training and retaining volunteer neutrals, (2) Commits the Proposer to utilize volunteer neutrals in more than 50% of all appropriate dispute resolution cases.

0-5 points: The proposal contains a plan that: (1) Is not likely to be effective in recruiting, training and retaining volunteer neutrals, or lacks a plan, and (2) Commits the Proposer to utilize volunteer neutrals in less than 50% of all appropriate dispute resolution cases.

B5 Rating: _____

Basis for Rating:

B6. Evaluate the extent to which the proposal demonstrates an adequate assessment of the dispute resolution needs of the community that it will serve. (10 Points)

[Reviewer: Consider the following source(s) of information: Question 24]

7-10 points: The proposal demonstrates a comprehensive assessment of the dispute resolution needs of the community it will serve.

3-6 points: The proposal demonstrates a moderate assessment of the dispute resolution needs of the community it will serve.

0-2 points: The proposal demonstrates an inadequate assessment of the dispute resolution needs of the community it will serve.

B6 Rating: _____

Basis for Rating:

**B7. Evaluate the extent to which the proposal demonstrates that: (a) The organization will provide dispute resolution programming that will respond to local community needs, and (b) The fee policy waives fees or uses an affordable sliding scale for indigent members of the community.
(10 points)**

[Reviewer: Consider the following source(s) of information: Questions 9, 24 and 25]

8-10 points: The proposal adequately demonstrates that: (1) The organization will provide dispute resolution programming that will respond to the assessed local community needs, and (2) The fee policy waives fees or uses an affordable sliding scale for indigent members of the community.

4-7 points: The proposal somewhat demonstrates that: (1) The organization will provide dispute resolution programming that will respond to the assessed local community needs, and (2) The fee policy waives fees or uses an affordable sliding scale for indigent members of the community.

0-3 points: The proposal fails to adequately demonstrate that: (1) The organization will provide dispute resolution programming that will respond to the assessed local community needs, and (2) The fee policy waives fees or uses an affordable sliding scale for indigent members of the community.

B7 Rating: _____

Basis for Rating:

B8. Evaluate the extent to which the proposal demonstrates that the center will work with local courts and other public and private agencies to generate dispute resolution referrals to the center. (15 points)

[Reviewer: Consider the following source(s) of information: Questions 25, 26 and 27; and Attachment G]

11-15 points: Proposer: (1) Demonstrates a comprehensive plan to develop referrals with courts and other public and private agencies that is highly likely to yield a referral relationship that will generate a consistent caseload of appropriate cases, and (2) Proposer's references include commitments by Judges and/or representatives of other community institutions to utilize the Proposer's dispute resolution services.

7-10 points: Proposer: (1) Demonstrates an adequate plan to develop referrals with courts and other public and private agencies that is likely to yield a referral relationship that will generate a consistent caseload of appropriate cases, and (2) Proposer's references indicate that Proposer is likely to secure future commitments by Judges and/or representatives of other community institutions to utilize the Proposer's dispute resolution services.

3-6 points: Proposer: (1) Articulates aspirational goals to solicit referrals from courts and other public and private agencies, but offers no more detailed plans than to accept appropriate cases on an ad hoc basis from such institutions, and (2) Proposer's references speak positively of the Proposer, but do not address the likelihood that the center will be an effective provider of dispute resolution services.

0-2 points: Proposer: (1) Lacks any plan to develop a referral relationship with courts and other public and private agencies, and (2) Proposer's references offer lackluster endorsements of the Proposer.

B8 Rating: _____

Basis for Rating:

B9. Evaluate the extent to which the proposal demonstrates that the center will conduct effective outreach efforts to promote the center's dispute resolution services to members of the public. (10 points)

[Reviewer: Consider the following source(s) of information: Question 28]

7-10 points: The proposal: (1) Contains a description of the mechanisms that the center will use to promote its services to members of the public, and (2) These mechanisms are highly likely to yield cases.

3-6 points: The proposal: (1) Contains a description of the mechanisms that the center will use to promote its services to members of the public, and (2) These mechanisms are somewhat likely to yield cases.

0-2 points: The proposal: (1) Does not describe the mechanisms that the center will use to promote its services to members of the public, and (2) There are no mechanisms in place to yield cases.

B9 Rating: _____

Basis for Rating:

SUBTOTAL FOR PART "B" (B1 + B2 + B3 + B4 + B5 + B6 + B7 + B8 + B9):

C. APPROPRIATENESS OF STAFFING PLAN AND PROCEDURES (35 POINTS TOTAL)

C1. Evaluate the extent to which the proposal demonstrates an appropriate fiscal and regulatory supervisory structure for the center. (10 points)

[Reviewer: Consider the following source(s) of information: Question 12]

7-10 points: The proposal: (1) Indicates that the program director will have significant input and responsibilities towards the development and monitoring of the program budget, and (2) The internal control procedures will provide thorough staff oversight of fiscal and policy matters.

3-6 points: The proposal: (1) Indicates that the program director will have a moderate degree of input and responsibilities towards the development and monitoring of the program budget, and (2) The internal control procedures will provide adequate staff oversight of fiscal and policy matters.

0-2 points: The proposal: (1) Indicates that the program director will not have input or responsibilities towards the development and monitoring of the program budget, and (2) The internal control procedures will provide less than adequate staff oversight of fiscal and policy matters.

C1 Rating: _____

Basis for Rating:

C2. Evaluate the extent to which the proposal demonstrates an appropriate allocation of responsibilities among staff of the center, an appropriate supervisory structure, and that the center(s) will be appropriately staffed to meet the needs of the community. (15 points)

[Reviewer: Consider the following source(s) of information: Question 15; and Attachments B and H]

11-15 points: The proposal contains a comprehensive staffing plan and supervisory structure to promote the center's ability to develop referral sources, monitor cases, train and supervise neutrals, and ensure the quality of the services provided, in order to meet the needs of the community.

7-10 points: The proposal contains an adequate staffing plan and supervisory structure to promote the center's ability to develop referral sources, monitor cases, train and supervise neutrals, and ensure the quality of the services provided, in order to meet the needs of the community.

3-6 points: The proposal contains a somewhat adequate staffing plan and supervisory structure to promote the center's ability to develop referral sources, monitor cases, train and supervise neutrals, and ensure the quality of the services provided, in order to meet the needs of the community.

0-2 points: The proposal does not contain an adequate staffing plan and supervisory structure to promote the center's ability to develop referral sources, monitor cases, train and supervise neutrals, and ensure the quality of the services provided, in order to meet the needs of the community.

C2 Rating: _____

Basis for Rating:

C3. Evaluate the agency's commitment, efforts, and accomplishments toward maintaining diversity among its staff and promoting cultural competence. (10 points)

[Reviewer: Consider the following source(s) of information: Question 13]

7-10 points: Proposer demonstrates a consistent commitment, adequate efforts and accomplishments towards maintaining diversity among staff, and to promoting cultural competence of staff.

3-6 points: Proposer demonstrates some commitment, adequate efforts and accomplishments towards maintaining diversity among staff, and to promoting cultural competence of staff.

0-2 points: Proposer fails to adequately demonstrate commitment, adequate efforts and accomplishments towards maintaining diversity among staff, and to promoting cultural competence of staff.

C3 Rating: _____

Basis for Rating:

SUBTOTAL FOR PART "C" (C1 + C2 + C3):

D. REASONABLENESS OF COST (50 POINTS TOTAL)

D1. Evaluate the extent to which the salaries and fringe benefits for the proposed program are appropriate for the positions listed in the proposal. (15 points)

[Reviewer: Consider the following source(s) of information: Budget; Attachment B and H; Exhibit 4; and Question 16]

11-15 points: All salaries and fringe benefit costs are: (1) Appropriate for the positions listed in the proposal, and (2) Competitive with other proposals submitted for comparable positions in the same geographic area.

7-10 points: The majority of salaries and fringe benefit costs are: (1) Appropriate for the positions listed in the proposal, and (2) Competitive with other proposals submitted for comparable positions in the same geographic area.

3-6 points: Some salaries and fringe benefit costs are: (1) Appropriate for the positions listed in the proposal, and (2) Competitive with other proposals submitted for comparable positions in the same geographic area.

0-2 points: None of the salaries or fringe benefit costs are (1) Appropriate for the positions listed in the proposal, and therefore, (2) Not competitive with other proposals submitted for comparable positions in the same geographic area.

D1 Rating: _____

Basis for Rating:

D2. Evaluate the extent to which the percentage of UCS funds that support administrative costs (including salaries and fringe benefits of non-program staff, real estate expenses that are not utilized for the direct delivery of services and related costs) is comparable to the percentage found in the budgets of similarly sized agencies. (10 points)

[Reviewer: Consider the following source(s) of information: Budget and Question 14]

7-10 points: Administrative costs: (1) Comprise less than 20% of the proposed budget, and (2) Provide for sufficient agency administration of the program.

3-6 points: Administrative costs: (1) Comprise less than 20% of the proposed budget, but (2) Some costs are too high or too low to provide for reasonable administration of the program.

0-2 points: Administrative costs: (1) Comprise greater than 20% of the total proposed budget,

and/or (2) Do not provide for adequate administration of the program.

D2 Rating: _____

Basis for Rating:

D3. 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)

[Reviewer: Consider the following source(s) of information: Budget]

7-10 points: All costs for non-personnel expenses are reasonable and adequately provide for the needs of the proposed program.

4-6 points: Most costs for non-personnel expenses are reasonable and adequately provide for the needs of the proposed program.

2-3 points: Many of the costs for non-personnel expenses are unreasonable and/or do not adequately provide for the needs of the proposed program.

0-1 points: Costs for non-personnel expenses are unreasonably high or low, and do not adequately provide for the needs of the proposed program.

D3 Rating: _____

Basis for Rating:

D4. Evaluate the extent to which the proposal includes matching funds and other funding to support dispute resolution services that are sufficient and appropriate for the sustainability of the program. (15 points)

[Reviewer: Consider the following source(s) of information: Budget]

11-15 points: The proposal: (1) Includes sufficient matching revenues and other dispute resolution funding to meet program requirements, and (2) Relies heavily on cash funding from public and private sources, and from direct fees-for-service from dispute resolution services.

7-10 points: The proposal: (1) Includes sufficient matching revenues and other dispute

resolution funding to meet program requirements, and (2) Relies on cash funding from public and private sources, and from direct fees-for-service from dispute resolution services, as well as in-kind contributions to the program.

3-6 points: The proposal: (1) Includes sufficient matching revenues and other dispute resolution funding to meet program requirements, and (2) Relies on cash funding from public and private sources, and from direct fees-for-service from alternative dispute resolution services, as well as in-kind contributions to the program, and funding for non-dispute resolution programming.

0-2 points: The proposal: (1) Does not include sufficient matching revenues or other dispute resolution funding to meet program requirements, and/or (2) Relies exclusively on in-kind contributions to the program or funding for non-dispute resolution programming.

D4 Rating: _____

Basis for Rating:

SUBTOTAL FOR PART "D" (D1 + D2 + D3 + D4):

Exhibit 4 Summary of Budget Categories		
Category	Allowable Expense Example	Non-Reimbursable Expense Example
Personal Service		
Salaries	<ul style="list-style-type: none"> • Wages and salary expenses • Overtime 	<ul style="list-style-type: none"> • Payments to current members of the Board of Directors, Officers or Incorporators • Payments to immediate family of current officers, directors or incorporators • Retroactive salary increases without written approval by the Unified Court System • Bonus payments • Honorarium to staff
Fringe Benefits		
Note: Total fringe benefits rate cannot exceed the state fringe benefit rate without the prior written approval of UCS. This rate is periodically updated.		
Medical Benefits	<ul style="list-style-type: none"> • Health insurance • Health savings accounts 	<ul style="list-style-type: none"> • Taxes from which a non-profit organization is exempt • Direct payments for medical services
Dental and/or vision benefits	<ul style="list-style-type: none"> • Dental benefits including insurance • Vision benefits including insurance 	<ul style="list-style-type: none"> • Taxes from which a non-profit organization is exempt
Deferred compensation plan	<ul style="list-style-type: none"> • An employee benefit whereby the vendor contributes employee compensation to a defined contribution plan such as a 401(K) or 403(B) plan. 	<ul style="list-style-type: none"> • Taxes from which a non-profit organization is exempt
Defined benefit plan	<ul style="list-style-type: none"> • Retirement contributions where the amount available at withdrawal, rather than deposit, is defined, such as a pension. 	<ul style="list-style-type: none"> • Taxes from which a non-profit organization is exempt

Exhibit 4 Summary of Budget Categories		
Category	Allowable Expense Example	Non-Reimbursable Expense Example
Federal Insurance Contributions Act (FICA) tax and other required benefits	<ul style="list-style-type: none"> • Payroll Taxes • Social Security Taxes • Medicare • Disability Insurance • State Unemployment Insurance • Workers Compensation Insurance 	<ul style="list-style-type: none"> • Taxes from which a non-profit organization is exempt • Federal Unemployment Insurance. Not-for-profit Corporations are exempt under Section 501(c)(3) of the Internal Revenue Code.
Other employee benefits	<p>Benefits provided to employees by the employer for the benefit of the employee that are not compensation and are not included in the fringe benefit categories above. Items in this category are subject to UCS approval.</p> <ul style="list-style-type: none"> • Life insurance • MTA tax and transit check processing fee • Non health related flexible spending accounts • Parking expenses at a person's regular workplace 	<ul style="list-style-type: none"> • Taxes from which a non-profit organization is exempt
Non Personal Service		
Supplies	<ul style="list-style-type: none"> • Any consumable supply necessary for program operations 	<ul style="list-style-type: none"> • Taxes from which a non-profit organization is exempt
Travel		
Routine Travel	<ul style="list-style-type: none"> • Staff and volunteer travel for routine programmatic purposes 	<ul style="list-style-type: none"> • Taxes from which a non-profit organization is exempt • Alcoholic beverages • Meal and incidental expenses or lodging costs in excess of allowable state rates

Exhibit 4 Summary of Budget Categories		
Category	Allowable Expense Example	Non-Reimbursable Expense Example
Conference/ Meeting Travel:	<ul style="list-style-type: none"> Staff and volunteer travel for the purposes of attending a professional conference, training, or other than routine meetings. 	<ul style="list-style-type: none"> Taxes from which a non-profit organization is exempt Alcoholic beverages <p>Note: Conference registration fees are not travel expenses and must be charged in their own sub-category under Miscellaneous expenses.</p>
Equipment, Furniture, Software and Other Fixed Assets	<ul style="list-style-type: none"> Equipment and furniture necessary for program operations that is purchased Durable, non-consumable goods with a per unit cost of \$250 or more or as defined in your UCS contract (whichever is greater) Licenses for software 	<ul style="list-style-type: none"> Taxes from which a non-profit organization is exempt
Rental, Lease and Repair of Equipment	<ul style="list-style-type: none"> Equipment and furniture necessary for program operations that is leased Maintenance agreements or repair costs 	<ul style="list-style-type: none"> Taxes from which a non-profit organization is exempt Automobile lease without prior approval of UCS
Real Estate Rentals / Utilities	<ul style="list-style-type: none"> Rental of office space Electricity costs Heating costs 	<p>Note: When Janitorial Services, Telecommunications, and/or Equipment Rental are itemized in a lease agreement, please list each such expense separately in its own category.</p>
Postage and Shipping	<ul style="list-style-type: none"> The cost of mailing and shipping as necessary for program operations 	
Printing	<ul style="list-style-type: none"> The cost of printing materials as necessary for program operations 	<p>Note: The purchase of paper, printer cartridges or other supplies for in-house printing (correctly labeled as supplies).</p>

Exhibit 4 Summary of Budget Categories		
Category	Allowable Expense Example	Non-Reimbursable Expense Example
Telecommunications	<ul style="list-style-type: none"> • Telephone service charges, including mobile phone plans or fees incurred by the organization • Program-related phone calls • Internet access • Web-site hosting fees 	<ul style="list-style-type: none"> • Expenses related to unauthorized telephone calls • Personal mobile phone calls can only be reimbursed if the individual incurs a cash expense. Mobile phone calls that result in used program “minutes” cannot be reimbursed
Insurance Fees	<ul style="list-style-type: none"> • General Liability • Board and Officers Liability • Professional Liability 	
Legal Reference	<ul style="list-style-type: none"> • Subscriptions to professional publications and resources, print or online subscriptions • Books • Magazines 	<ul style="list-style-type: none"> • Non-professional periodicals (e.g., waiting room magazines).
Consultant Trainer Fees and Honoraria	Fees paid to trainers for the preparation and delivery of training services.	Note: Supplies and rental of space related to a training program must be charged in their own categories.
Payments to Neutrals (ADR Only)	Payments to paid mediators, arbitrators or other ADR professionals providing direct services to program service recipients	
Food and Beverage		
Snack (Children’s Centers Only)	<ul style="list-style-type: none"> • Food and beverages purchased for children attending the Children’s Centers in the Courts program. 	Note: Food or beverage purchased for meetings trainings, or other events must be listed in Other Food and Beverage. Meal expenses incurred by employees while on travel status must be listed as a travel expense.

Exhibit 4 Summary of Budget Categories		
Category	Allowable Expense Example	Non-Reimbursable Expense Example
Other food and beverage	<ul style="list-style-type: none"> • Food or beverage purchased for a training. • Food or beverage purchased for a working meeting during a mealtime. • Food or beverages purchased for staff or client consumption (i.e. snacks at meetings) other than meal expenses while on travel status. 	
Miscellaneous Expenses		
Professional Association Dues / License Fees	<ul style="list-style-type: none"> • Professional association dues 	
Conference Registration Fees	<ul style="list-style-type: none"> • Conference fees related to staff or volunteer attendance at professional conferences or trainings, not hosted by the agency. 	Note: travel expenses related to attendance at these functions must be recorded under the Travel category.
Meeting Space Rental / Miscellaneous Meeting Expenses	<ul style="list-style-type: none"> • Rental of space needs for events not held at office 	
Transcripts	<ul style="list-style-type: none"> • Costs associated with producing transcripts 	

Exhibit 4 Summary of Budget Categories		
Category	Allowable Expense Example	Non-Reimbursable Expense Example
Other Miscellaneous Expenses	Other miscellaneous expenses not listed above such as: <ul style="list-style-type: none"> • Bank fees • Medical and School Records 	<ul style="list-style-type: none"> • Contributions and donations • Fines and Penalties • Reserve and/or Escrow Funds. Amounts set aside for an anticipated bill are not reimbursable. Reimbursement will be made when the bill is actually paid. (e.g., amount transferred to a reserve fund for employer's share of F.I.C.A. funds). • Security deposits (these are not expenses since the monies will be refunded at some future date)
Services		
Legal	<ul style="list-style-type: none"> • Legal services 	
Accounting / Audit	<ul style="list-style-type: none"> • Financial Review and Audit Services • Accounting Services 	
Consultant Bookkeeping	<ul style="list-style-type: none"> • General bookkeeping services • Payroll services 	
Information Technology Support	<ul style="list-style-type: none"> • Computer consulting services • Telephone consulting services 	
Public Relations	<ul style="list-style-type: none"> • Advertising fees • marketing material development 	
Janitorial	<ul style="list-style-type: none"> • Office Cleaning services 	
Records Management	<ul style="list-style-type: none"> • Paper file storage • Paper file shredding • Digital file storage 	

Exhibit 4 Summary of Budget Categories		
Category	Allowable Expense Example	Non-Reimbursable Expense Example
Temporary Staffing	<ul style="list-style-type: none"> Expenses for temporary staffing services performed by individuals who are not employees (generally such services are provided under a contract with a temporary agency). 	
Experts	<ul style="list-style-type: none"> Fees for experts related to the provision of legal/program services. 	
Other Services	<ul style="list-style-type: none"> Snow plowing Interpreting services Process Service Services not listed in other categories 	
Indirect/Administrative Costs	<ul style="list-style-type: none"> This category is designated for costs that are shared among programs operated by the agency (i.e. Salaries for administrators overseeing multiple programs, space allocated to administrators, bookkeepers and/or other non-program-specific staff). Costs must be determined by an approved cost allocation methodology and stated on the final reconciliation based on actual expenses. 	<ul style="list-style-type: none"> Costs that are incurred by a single program, such as program staff salaries, office space designated to the specific program.

Exhibit 5: 12 Month Estimated Grant Awards		
Judicial District	County	Estimated Available Funds
3	Albany	\$126,970
3	Columbia	\$48,107
3	Greene	\$45,229
3	Rensselaer	\$48,647
3	Schoharie	\$10,508
3	Sullivan	\$36,938
3	Ulster	\$63,895
4	Clinton	\$61,200
4	Essex	\$31,253
4	Franklin	\$61,200
4	Fulton	\$56,421
4	Hamilton	\$11,007
4	Montgomery	\$49,060
4	Saratoga	\$71,830
4	Schenectady	\$73,687
4	St. Lawrence	\$71,400
4	Warren	\$49,710
4	Washington	\$21,016
5	Herkimer	\$57,890
5	Jefferson	\$68,361
5	Lewis	\$21,016
5	Oneida	\$97,969
5	Onondaga	\$157,621
5	Oswego	\$51,242
6	Broome	\$84,424
6	Chemung	\$57,194
6	Chenango	\$66,086
6	Cortland	\$40,753
6	Delaware	\$53,300
6	Madison	\$21,016
6	Otsego	\$35,770
6	Schuyler	\$76,202
6	Tioga	\$37,544
6	Tompkins	\$84,247
7	Cayuga	\$21,016
7	Livingston	\$79,129
7	Monroe	\$199,653
7	Ontario	\$79,861
7	Seneca	\$21,016
7	Steuben	\$108,449

Exhibit 5: 12 Month Estimated Grant Awards		
7	Wayne	\$40,645
7	Yates	\$68,482
8	Allegany	\$21,016
8	Cattaraugus	\$21,016
8	Chautauqua	\$94,540
8	Erie	\$211,950
8	Genesee	\$55,242
8	Niagara	\$91,697
8	Orleans	\$21,016
8	Wyoming	\$21,016
9	Dutchess	\$152,509
9	Orange	\$157,964
9	Putnam	\$37,087
9	Rockland	\$80,798
9	Westchester	\$169,219
10N	Nassau	\$215,851
10S	Suffolk	\$182,418

Exhibit 9
General Guidelines for Proposal Writing

1. Read each question thoroughly, and ensure that you provide answers for all of the sections in each question.
2. When applying to serve more than one county, answer each County Specific Questions section with as much information as possible that is specifically relevant to the proposed county. Share as much information as you can from a variety of sources to provide the fullest picture of the county to be served.
3. When responding to the questions that request a detailed plan (i.e., volunteer plan, outreach plan, or public education plan), include details that will demonstrate the specific work activities and community partners that are central to your organization's plan for accomplishing the objective stated in the given question.
4. Several questions in this RFP are linked to each other, with numerical data requested in some questions and narrative responses requested in subsequent questions. Where relevant, directly refer to the data you provided when composing your narrative responses.
5. Use **Exhibit 3** (Evaluation Tool) for guidance on what your proposal must demonstrate in order to achieve the maximum score for each rating item. Additionally, each rating item specifies the RFP questions that will be used to evaluate your proposal for the given item.
6. In selecting your organization's references for this RFP, consider choosing references closely familiar with your organization's dispute resolution services. Also, consider choosing a balanced group of three individuals who collectively, support the likelihood that your organization can successfully provide a range of dispute resolution services across counties (if applicable) and across both court and community-based programs.
7. Your organization's strategic plan and resource development plan are requested as Attachments E and F. If your organization does not have these documents or they are out of date, explain why and, if you do have a plan to update or create these documents, include a description of the process you will use to do so.

Exhibit 10

Definitions of ADR Processes

ARBITRATION

Compulsory Arbitration is a non-binding, adversarial dispute resolution process in which one or more arbitrators hear arguments, weigh evidence and issue a non-binding judgment on the merits after an expedited hearing. The arbitrator's decision addresses only the disputed legal issues and applies legal standards. Either party may reject the ruling and request a trial de novo in court.

Voluntary Arbitration is a binding, adversarial dispute resolution process in which the disputing clients choose one or more arbitrators to hear their dispute and to render a final decision or award after an expedited hearing.

CONCILIATION

Conciliation is a process through which clients resolve a dispute, with the assistance of an intermediary, without meeting face-to-face during the negotiations.

CONFLICT COACHING

Conflict Coaching is a process designed to help clients engage in and manage a conflict or negotiation. In this process, a neutral third party conflict coach (or coaches) works one-on-one with a client in order to assist the client to accomplish one or more of the following: achieve more clarity about the situation, consider options for managing the situation, develop communication and negotiation skills, and/or create an action plan for addressing the situation.

FACILITATION

Facilitation is a process in which an impartial facilitator helps clients to communicate and to constructively organize their discussion. Facilitation may be a public or private process, and it is particularly helpful in meetings involving many participants. What distinguishes facilitation from other forms of assisted negotiation, such as mediation, is that the facilitator places little to no emphasis on generating movement or achieving a solution and instead focuses purely on moderating the discussion among the clients.

MEDIATION

Mediation is a confidential, informal procedure in which a neutral third party helps disputants negotiate. With the assistance of a mediator, clients identify issues, clarify perceptions and explore options for a mutually acceptable resolution. Although clients are not obligated to reach agreement during mediation, the process frequently concludes with a written or verbal agreement and often improves the clients' relationship.

RESTORATIVE JUSTICE

Restorative justice is a process to involve, to the extent possible, those who have a stake in a specific offense and to collectively identify and address harms, needs and obligations, in order to heal and put things as right as possible. Its goals include respectfully meeting the needs of those who were harmed, holding accountable those responsible for the harm, and promoting constructive responses for individuals, families and communities. Restorative justice practices include, but are not limited to: victim offender mediation (victim offender dialogue), restorative conferencing (family group conferencing, victim accountability conferencing) restorative circles (sentencing circles, discipline circles), victim impact panels, and community accountability boards.

Exhibit 11 General Definitions

ACTIVE MEDIATORS

Active Mediator status is defined by the CDRC Program Manual as annually (a) conducting—as lead or co-mediators—a minimum of three (3) mediation sessions and (b) completing at least six hours of continuing education. (This may include, at the discretion of the local Program Director, in-services scheduled by the local center, attendance at in-services conducted by other centers, or attendance at conferences or trainings that meet the needs of the local center.)

INTERNAL CONTROL PROCEDURES

Internal control procedures are systematic methods such as reviews, checks and balances instituted by an organization to conduct its business in an orderly and efficient manner; safeguard its assets and resources; deter and detect errors, fraud and theft; ensure accuracy and completeness of accounting data; produce reliable and timely financial and management information; and ensure adherence to agency policies and plans.

MULTI-PURPOSE AGENCY

Multi-purpose indicates that the agency operates two or more discrete programs whose administrative costs are shared by one organizational entity. For instance, an organization operates a CDRC program and a CASA program, and splits administrative costs between the two contracts.

REFERRAL SOURCE

A referral source may include any of the following: Adult Protective Services, Attorney General, Business/Corporation, City Court, County Court, Criminal Court, Department of Social Services, District Attorney, Division of Human Rights, Family Court Intake, Family Court Judge, Family Court Magistrate, Housing Court, Law Guardian, Legal Aid, Media, NYS Division of Housing, Police, Prior Client, Private Agency, Public Agency, Public Defender, Referred by Previous Client, Religious Referral, School, Sheriff, Small Claims Court, State Police, Supreme Court, Surrogate's Court, Town and Village Court, Walk-In, Word of Mouth, or Other (specify).

RESOURCE DEVELOPMENT PLAN (RDP)

A resource development plan (RDP), also known as a fund development plan, is a planning document that clearly articulates how an organization will manage its fundraising function as well as how it will secure the funds needed to operate existing and future programming. All RDPs should state specific funding goals, provide a budget detailing the expenses needed to implement the plan, and explain the strategies that the organization will use to obtain resources from individual, corporate, foundation, and/or government funding sources. Some RDPs also include an organizational overview, case statements, historical review of past funding sources, and analysis of the current funding climate.

STRATEGIC PLAN

A strategic plan describes the results of an organizational process for defining its mission and goals. It guides the strategy for setting goals, determining actions to meet goals and allocating resources to support those actions. The strategic plan serves as a reference that helps coordinate allocation of time, human capital and financial resources in relation to organizational strengths, needs, opportunities and challenges. A strategic plan should describe the organizational process for assessing and defining its direction and for making decisions on allocating its resources to pursue this

strategy. It may also extend to control mechanisms for guiding the implementation of the strategy, especially in consideration of relationships among stakeholders and partners.