

New York State Unified Court System  
Office of Court Administration  
Division of Professional and Court Services

COMMUNITY DISPUTE RESOLUTION CENTERS  
IN NEW YORK CITY

Request for Proposals  
OCA/P&CS RFP #003

APPLICATION FORMS AND  
INSTRUCTIONS

**OCA/P&CS RFP #003  
BID OPENING 11/26/2014 2:00PM**

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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, contract with and provide funding to not-for-profit centers that provide arbitration, conciliation and mediation services.

The Community Dispute Resolution Centers (CDRCs) serve several vital functions. First, the centers empower parties to play a greater role in deciding the procedural and substantive outcomes of their disputes that they might otherwise do in litigation. 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 parties 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 employ 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.

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**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.

Award Criteria:

<u>Category</u>	<u>Point Value</u>
Organizational ability (19%)	30
Appropriateness and quality of proposed program (46%)	73
Appropriateness of staffing plan (13%)	20
Reasonableness of cost (22%)	35
<b>TOTAL POSSIBLE POINTS (100%)</b>	<b>158</b>

A minimum score of 115 is required for a contract to be awarded.

**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 April 1, 2015 – March, 31 2020.

**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. 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 **OCTOBER 23, 2014** at **11:00 A.M.** at 80 Centre Street in Room 133 (The Collaborative Family Law Center). While participation in the pre-bid conference is not mandatory, it is strongly recommended.

**G. Questions**

Questions regarding this RFP must be in writing by email only to: [ahershbe@nycourts.gov](mailto:ahershbe@nycourts.gov). Indicate in "Subject" field: OCA/P&CS RFP #003 - Question(s).

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The deadline to submit questions is **NOVEMBER 7, 2014, before 2:00 P.M.** A Questions & Answers (Q&A) sheet will be posted on the UCS website at: <http://nycourts.gov/admin/bids/currentsolicitations.shtml> a few days after the deadline for submission of questions.

**G. Application Submission Procedures/Deadline**

*Step One: complete the grant application*

Please follow the formatting instructions and page limits. An application includes the Application Cover Sheet, Application Proposal Narrative and Attachments.

*Step Two: assemble the following attachments:*

- A. The most recent, completed full-year organizational financial statement (expenses, revenue and balance sheet), audited, if available.
- B. Organizational chart
- C. 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 2013-2014.
- D. Certificate of incorporation
- E. Staff job descriptions and resumes
- F. A copy of IRC §501[c][3] letter
- G. Documentation of Taxpayer Identification Number (TIN)
- H. A statement that you have timely filed with the NYS Attorney General's Charities Bureau all required periodic or annual reports
- I. Attach a copy of the applicant's:
  - a. Strategic plan
  - b. Resource development plan
  - c. Mission statementIf 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.
- J. Insurance Certificates (see Exhibit 1)
- K. 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
- L. Vendor Responsibility: Acknowledgment Form and VR Questionnaire if applicable and submitting on paper (see Exhibit 2)

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

Applications must be received at the address below by **NOVEMBER 26, 2014 at 2 P.M.** Deliver ONE signed, hard copy original and THREE additional copies (four complete sets) of the Application to:

Amelia M. Hershberger Management Analyst Division of Professional and Court Services 2500 Pond View, Suite 104 Castleton-on-Hudson, New York 12033	<b>And include the following notation below the address:</b> “Deliver immediately to Amelia Hershberger” “Sealed Application - Do not open” “OCA/Professional and Court Services #003”
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**II. Application Cover Sheet**

Legal Name of Applicant Organization	
Executive Director/CEO	
Application Contact Person, Title, Phone Number and Email Address	
Address	
County	
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	

Check the box(es) for the county(ies) in which an application is made:				
Bronx <input type="checkbox"/>	Kings <input type="checkbox"/>	New York <input type="checkbox"/>	Queens <input type="checkbox"/>	Richmond <input type="checkbox"/>

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**III. Proposal Narrative**

**a. Organizational Questions**

1. Explain how the proposed center is in alignment with the organization’s mission, as attached in Appendix F, and, if relevant the organization’s history. [6375 characters]
  
2. Briefly explain how the organization’s strategic plan attached in Appendix 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 strategic plan, please explain. [2125 characters]
  
3. Provide the following information: (a) number of full board meetings held in calendar year 2013; (b) number of full board meetings with a quorum present;(c) list of active board sub-committees, including frequency of meetings for each; (d) data regarding the diversity of the board (background, age, gender, race) and in which county each resides; (e) total amount of financial support given by the board in state fiscal year 2013-2014; (f) percentage of board members contributing financial support to the agency; and (g) The mechanism and process the board uses to evaluate the performance of the Executive Director/Chief Executive Officer. [2500 characters]
  
4. For Existing Providers listed in Exhibit 8:  
 Complete the following grid to indicate past funding the agency has secured for the proposed program, answering on a state fiscal year basis. Please include total financial support, even if it exceeds the minimum match requirements and/or has not been listed in past reconciliations or budgets. Preference will be given to proposals that demonstrate the ability to secure funds in the following order of preference:

		<b>2010-2011</b>	<b>2011-2012</b>	<b>2012-2013</b>	<b>2013-2014</b>
Category 1	NYS Unified Court System CDRC grant and Judicial District funding.				
	NYC Criminal Justice Coordinator’s Office				
	Other Public revenue that directly supports dispute resolution programs.				
	Foundations and other grant makers				
	Individual donations				
Category 2	Fee-for-service dispute resolution revenue				

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	Revenue from mediation and dispute resolution training				
Category 3	In kind revenue supporting the CDRC program				
Category 4	Public and private revenue that supports complementary non-dispute resolution programs				

For Prospective Providers not listed in Exhibit 8:

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; (3) In kind revenue.

		<b>2010-2011</b>	<b>2011-2012</b>	<b>2012-2013</b>	<b>2013-2014</b>
Category 1	Public and private revenue				
	Foundations and other grant makers				
	Individual donations				
Category 2	Fee-for-service revenue				
	Revenue from mediation and dispute resolution training				
Category 3	In kind revenue				

- Briefly explain how the organization's resource development plan<sup>1</sup> attached in Attachment I(b) was created. Include details about who was involved, the process,

<sup>1</sup> A resource development plan (RDP) 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. When the CDRC is within an umbrella organization and both the CDRC and umbrella organization have resource

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the duration of the process, and use of any outside experts. If your organization does not have a resource development plan, please explain. [2125 characters]

6. For Existing Providers listed in Exhibit 8: Complete the grid to demonstrate your organization’s past experience in submitting thorough ADR reports in a timely manner (for existing providers):

	<b>Due Date</b>	<b>FY 2010-11 Submission Dates</b>	<b>FY 2011-12 Submission Dates</b>	<b>FY 2012-13 Submission Dates</b>	<b>FY 2013-14 Submission Dates</b>
First Quarter reconciliation	8/15				
Second Quarter reconciliation	11/15				
Third Quarter reconciliation	2/15				
Final reconciliation	5/15				
Bi-Annual Report (mid-year)	11/15				
Bi-Annual Report (final)	5/15				
Yearly Agency Audit	varies				

For Prospective Providers not listed in Exhibit 8: 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 2011-12, FY 2012-13 and FY 2013-14? [2125 characters]

7. Discuss the organization’s capacity to resolve computer-related issues and its back-up protocols.
8. Describe how the organization will use technological components, including case management software, website, and videoconferencing, to meet the needs of staff, referral sources, clients, neutrals, and the Unified Court System. [2125 characters]
9. Define each dispute resolution process that the center will provide, and describe the fee policy that the program will utilize in determining client fees for dispute resolution services. [4250 characters]
10. Please explain the quality assurance mechanisms that the center will use to monitor the quality of intake and screening services. Please include information about staff training, management and development; policies and procedures; written manuals; and any other pertinent processes or mechanisms. Please reference rather than attach any written materials. [4250 characters]
11. Please explain the mechanisms that the center will use to monitor the quality of dispute resolution services (mediation, conciliation, and arbitration). Please include

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development plans, include that which refers to the CDRC specifically. If your organization has a resource development plan for only the overall agency, please indicate such, and then complete the answer.

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information about training, apprenticeships, continuing education, mediator evaluation, and any other pertinent processes or mechanisms. Please reference rather than attach any written materials. [4250-8500 characters]

12. Describe your agency's: (a) internal controls procedure<sup>2</sup> and (b) role of program staff in developing programmatic budgets.[4250 characters]
13. Beyond meeting requirements of laws governing discrimination of individuals in protected classes, describe the practices and methods by which your agency will attract and maintain a diverse and culturally competent workforce and environment. [6375 characters]
14. If the proposer is a multi-purpose agency<sup>3</sup>, please 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. For Existing Providers listed in Exhibit 8: Attach resumes of all staff and a proposed organizational chart in Attachment B. Resumes should be limited to one page per person. Please provide a staffing plan for the program. Describe the capacity of the organization to administer the proposed program, including descriptions of the proposed supervisory structure and supervisory practices of the program. [no limit]

For Prospective Providers not listed in Exhibit 8: Attach the job descriptions for all functions and a proposed organizational chart in Attachment B. In the space below provide a staffing plan for the program. Describe the capacity of the organization to administer the proposed program, including descriptions of the proposed supervisory structure 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]

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<sup>2</sup> Internal controls 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.

<sup>3</sup> 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.

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- 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. Please describe the facilities that are available for the center including the proposed main office and/or regional offices.

For Prospective Providers: Please propose up to three specific locations. For each proposed office, identify the following: (1) the number of program staff who will work at the office; (2) the number of rooms available for simultaneously holding arbitration, conciliation, or mediation sessions; (3) whether there is a waiting area; (4) the degree to which the organization will need to furnish staff areas, session rooms or the waiting area (5) taking into consideration accessibility and convenience, including accessibility for people with disabilities, why this location is being considered for use as a CDRC, and (6) other community locations that are available to you.

For Existing Providers: For each proposed office, identify the following: (1) the number of program staff who will work at the office; (2) the number of rooms available for simultaneously holding arbitration, conciliation, or mediation sessions; (3) whether there is a waiting area; (4) the degree to which the organization will need to furnish staff areas, session rooms or the waiting area (5) taking into consideration accessibility and convenience, including accessibility for people with disabilities, why this location was selected for use as a CDRC, and (6) other community locations that are available to you. [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).

	Number	Average Age	Oldest	Newest
Computer				
Fax				
Phone				
Copier				

19. For Existing Providers listed in Exhibit 8: Please complete the following grid with information about your currently active mediation panel, including both staff and

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volunteers. For each box, please include both total numbers and percentages. If your program supervises a peer mediation program, please include a separate summary of the demographic characteristics of those mediators.

For Prospective Providers not listed in Exhibit 8: Please complete the following grid with information about the mediation panel you expect to use to provide the services described in question 8.

Sex		Ethnicity		Age		Languages Spoken	Number
Male	/ %	American Indian	/ %	Under 20	/ %	Spanish	
Female	/ %	Asian	/ %	20-29	/ %	Chinese	
Total	/100%	Black	/ %	30-39	/ %	Russian	
		Latino	/ %	40-49	/ %	French	
		White	/ %	50-59	/ %	French Creole	
		Other	/ %	60-69	/ %	Italian	
		Total	/100%	70+	/ %	Other	
				Total	/100%		

20. Please compare your response to question 19 regarding the composition of your mediator panel with the demographic data about your county as provided in Exhibit 7. Discuss how the organization will recruit a panel of neutrals who reflect the diversity and exhibit the capacity to serve linguistically diverse clients of the community the organization will serve. If the organization has faced particular challenges recruiting a diverse panel of neutrals in the past, please explain the challenges, strategies that have been attempted, and possible new approaches. [4250 characters]

21. For Existing Providers listed in Exhibit 8: For each of the last three calendar years, provide the total number of cases and percentage of cases in which volunteers provided dispute resolution services. In the column entitled Next Contractual Period, estimate the percentage of cases in which volunteers will provide dispute resolution services during the contractual period covered by this RFP. Please feel free to provide any additional information about volunteer utilization and/or include a breakout of percentages for specific case types, dispute resolution processes, or referral sources.[2125 characters]

For Prospective Providers not listed in Exhibit 8: In the column entitled Next Contractual Period, estimate the percentage of cases in which volunteers will provide dispute resolution services during the contractual period covered by this RFP.

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	<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>Next Contractual Period</b>
Volunteers	/ %	/ %	/ %	%

22. For Existing Providers listed in Exhibit 8: Complete the grid below to indicate the years of experience of the currently Active Mediators.

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

23. Provide a detailed plan to recruit, utilize, and retain volunteer neutrals. Please 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, please explain how it differs from past practices.[4250 characters]

24. Describe the dispute resolution needs of the communit(ies) that the center will serve. How were these needs assessed? How will the center attempt to meet those needs, and how was this approach determined? [8500 characters]

25. For Existing Providers listed in Exhibit 8: In Chart A on the next page, report the number of cases for which the center provided services in fiscal year 2013-14 as well as the number of cases in which it expects to provide services in the first three years of the proposed contract period. For each year specify the number of cases in which dispute resolution services are provided in the DR Provided 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. Please include only those cases funded by category 1 and 2 funding as indicated in question 4. Do not include complementary services. Use Chart B to project which dispute resolution processes will be utilized.

For Prospective Providers not listed in Exhibit 8:

a. In the chart to follow, Chart A., project the number of cases for which the center expects to provide services in the first three years of the proposed contract period. For each year specify the number of cases in which dispute resolution services are provided in the DR Provided column. Those cases where dispute resolution services

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are not provided, but intake and other related services are provided should be reported in the NO DR column.

- b. Use Chart B to project the number of each ADR process used in the first year of the proposed contract period.

<b>Chart A</b>								
	<b>2014-15</b>		<b>2015-16</b>		<b>2016-17</b>		<b>2017-18</b>	
	DR	No DR						
Agricultural - Credit								
Agricultural - Non Credit								
Civil – Housing Dispute								
Civil – Large Claim								
Civil – Small Claim								
Criminal – Felony								
Criminal – Misdemeanor/ Violation								
DSS Conciliation								
Juvenile Delinquency								
Lemon Law								
Manufactured Housing								
Matrimonial								
Other								
Parenting Issues								
Peer Mediation								
Permanency								
PINS/Pre-PINS								
Special Education								
Youth Issues								
<b>TOTAL</b>								

If “Other” = more than 50 cases per year, please describe the nature of cases defined in this way. [2125 characters]

<b>Chart B</b>	
	<b>2015-16</b>
Arbitration	

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Conciliation	
Conflict Coaching	
Facilitation	
Mediation	
Restorative Justice	

26. For Existing Providers listed in Exhibit 8: For the last fiscal year indicate the number and percentage of referrals the center has received from its six most frequent referral sources. Also complete column entitled Next Contractual Period with the percentage of referrals the program expects to receive from these referral sources.

For Prospective Providers not listed in Exhibit 8: Identify the six most frequent sources of case referrals in the column labeled Referral Source. Complete the column labeled Next Contractual Period with the percentage of referrals the program expects to receive from each source.

<b>Referral Source<sup>4</sup></b>	<b>FY 2013-14</b>	<b>Next Contractual Period</b>
	/ %	%
	/ %	%
	/ %	%
	/ %	%
	/ %	%
	/ %	%

27. Provide a detailed outreach plan of how your organization will develop and maintain referrals with courts and other community institutions, including the District Attorney's Office, the NYPD, and other public and private agencies, and how this plan will achieve the projections provided in questions 25 and 26. Also identify 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

<sup>4</sup> When including a referral source, please use one 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 (please specify).

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other current or potential referral source in the community to be served. [8500 characters]

28. Provide a detailed description of how the center will promote the center's services to the public, and how this effort will specifically help achieve the projections detailed in questions 25 and 26. [4250 characters]

#### **IV. Budget**

##### **Line-Item Budget**

Please include a line-item budget showing anticipated expenses and revenues during the initial 12-month period April 1, 2015 - March 31, 2016, using the Excel budget form available at: <http://nycourts.gov/admin/bids/currentsolicitations.shtml>. The budget requests must include a brief narrative providing explanation of each non-personnel item.

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**V. Required Attachments Checklist**

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

	A. The most recent, completed full-year organizational financial statement (expenses, revenue and balance sheet), audited, if available.
	B. Organizational Chart
	C. 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 fiscal year 2013-2014.
	D. Certificate of incorporation
	E. Staff job descriptions and resumes
	F. A copy of IRC §501[c][3] letter
	G. Documentation of Taxpayer Identification Number (TIN)
	H. A statement that you have timely filed with the NYS Attorney General's Charities Bureau all required periodic or annual reports
	I. Attach a copy of the applicant's: <ul style="list-style-type: none"> <li>a. Strategic plan</li> <li>b. Resource development plan</li> <li>c. Mission statement</li> </ul> <p style="margin-left: 40px;">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.</p>
	J. Insurance Certificates (see Exhibit 1)
	K. 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.
	L. Vendor Responsibility: Acknowledgment Form and VR Questionnaire if applicable and submitting on paper (see Exhibit 2)

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**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/](http://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 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:

New York State Unified Court System

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

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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.

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**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](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](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](mailto: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**

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Exhibit 3  
EVALUATION TOOL  
SUMMARY RATING SHEET

APPLICANT: \_\_\_\_\_

COUNTIES TO BE SERVED: \_\_\_\_\_

- |   |          |
|---|----------|
| A. ORGANIZATIONAL CAPACITY (30 POINTS)                                  | A. _____ |
| B. APPROPRIATENESS AND QUALITY OF THE PROPOSED PROGRAM PLAN (73 POINTS) | B. _____ |
| C. APPROPRIATENESS OF STAFFING PLAN (20 POINTS)                         | C. _____ |
| D. REASONABLENESS OF COST (35 POINTS)                                   | D. _____ |

A minimum score of 115 is required for a contract to be awarded.

TOTAL \_\_\_\_\_

EVALUATOR (Print) \_\_\_\_\_

(Signature) \_\_\_\_\_

DATE \_\_\_/\_\_\_/\_\_\_

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**DETAIL RATING SHEETS**

**APPLICANT:** \_\_\_\_\_

**AREA TO BE SERVED:** \_\_\_\_\_

**REVIEWER:** \_\_\_\_\_

**A. ORGANIZATIONAL ABILITY (30 POINTS TOTAL)**

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

- **Has demonstrated success in securing funding and other resources to support dispute resolution or other programming.**
- **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, 5, Attachment I(b)]**

8-10 points: Proposer has met both of the following criteria:

- Proposer has 3 or more years of experience securing resources including funding.
- Proposer has plan likely to secure funding and other resources in the future.

5-7 points: Proposer has met one of the two following criteria:

- Proposer has 3 or more years of experience securing resources including funding.
- Proposer has plan likely to secure funding and other resources in the future.

1-4 points: Proposer has met none of the following criteria:

- Proposer has 3 or more years of experience securing resources including funding.
- Proposer has plan likely to secure funding and other resources in the future.

A1 Rating \_\_\_\_\_

Basis for rating:

**A2. 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 other institutions.

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

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A2 Rating \_\_\_\_\_

Basis for rating:

**A3. Evaluate the extent to which the proposer demonstrates that the organization has the technological capacity to administer the program. (5 points)**

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

4-5 points: Proposer demonstrates that it already possesses strong technological infrastructure to: (1) deploy and maintain needed software, including case management software; (2) connect staff who work in various satellite offices; and (3) provide services and respond to inquiries from members of the public, referral sources, clients, and neutrals.

2-3 points: Proposer demonstrates that it possesses an adequate technological infrastructure to: (1) deploy and maintain needed software, including including case management software; (2) connect staff who work in various satellite offices; and (3) provide services and respond to inquiries from members of the public, referral sources, clients, and neutrals.

0-1 points: Proposer fails to demonstrate that it possesses the necessary technological infrastructure outlined above.

A3 Rating: \_\_\_\_\_

Basis for Rating:

**A4. Evaluate the extent to which the proposer's Board of Directors is actively engaged in the oversight and success of the organization, including how the organization's mission aligns with its activities. (10 points)**

**[Reviewer: Consider the following source(s) of information: questions 1, 2, 3, 5, and Attachment I(c)]**

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

- Actively monitoring and improving performance (criteria: number of full board meetings held with a quorum, board committee meetings held, and Executive Director Performance evaluation process).
- Ensuring leadership and resources (criteria: resource development plan, percentage of Board members contributing to the organization financially, and total amount of fiscal year financial support derived from the Board).
- Shaping mission and strategic direction (criteria: strategic plan and organization mission alignment).

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

- Actively monitoring and improving performance (criteria: number of full board meetings held

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with a quorum, board committee meetings held, and Executive Director Performance evaluation process).

- Ensuring leadership and resources (criteria: resource development plan, percentage of Board members contributing to the organization financially, and total amount of fiscal year financial support derived from the Board).
- Shaping mission and strategic direction (criteria: strategic plan and organization mission alignment).

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

- Actively monitoring and improving performance (criteria: number of full board meetings held with a quorum, board committee meetings held, and Executive Director Performance evaluation process).
- Ensuring leadership and resources (criteria: resource development plan, percentage of Board members contributing to the organization financially, and total amount of fiscal year financial support derived from the Board).
- Shaping mission and strategic direction (criteria: strategic plan and organization mission alignment).

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

- Actively monitoring and improving performance (criteria: number of full board meetings held with a quorum, board committee meetings held, and Executive Director Performance evaluation process).
- Ensuring leadership and resources (criteria: resource development plan, percentage of Board members contributing to the organization financially, and total amount of fiscal year financial support derived from the Board).
- Shaping mission and strategic direction (criteria: strategic plan and organizational mission alignment).

A4 Rating \_\_\_\_\_

Basis for rating:

<b>SUBTOTAL FOR PART "A" (A1 + A2 + A3 + A4): _____</b>
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**B. APPROPRIATENESS AND QUALITY OF THE PROPOSED PROGRAM (73 POINTS TOTAL)**

**B1. Evaluate the extent to which the proposal demonstrates that the center will provide high quality intake, screening, and dispute resolution services. (15 points)**

**[Reviewer: Consider the following source(s) of information: questions 10 and 11]**

13-15 points: The proposal contains a detailed description of the mechanisms that the center will use to monitor the quality of services and these mechanisms are very likely to yield dispute resolution services of very high quality.

10-12 points: The proposal contains a detailed description of the mechanisms that the center will use to monitor the quality of services and these mechanisms are likely to yield dispute resolution services of good to high quality.

7-9 points: The proposal contains a brief description of the mechanisms that the center will use to monitor the quality of services and these mechanisms are somewhat likely to yield dispute resolution services of adequate to good quality.

4-6 points: The proposal contains a cursory description of the mechanisms that the center will use to monitor the quality of services and these mechanisms are likely barely adequate to yield dispute resolution services that comport with the minimum indicia of quality.

0-3 points: The proposal lacks a description of the mechanisms that the center will use to monitor the quality of its services and its services are likely to be poor or inadequate.

B1 Rating \_\_\_\_\_.

Basis for Rating:

**B2. Evaluate the extent to which the proposal demonstrates that the organization will provide appropriate, accessible facilities for each county it proposes to serve. (10 points)**

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

9-10 points: The proposal contains a detailed description of the facilities for each proposed center, and all of the facilities are appropriate to provide the proposed services. Facilities contain rooms suitable to hold dispute resolution sessions, are close to courts and other referring organizations, and are easily accessed by all members of the public, including those with disabilities. In addition to the main office location, off-site facilities for mediation have been identified and are available to clients.

6-8 points: The proposal contains a description of the facilities for each proposed center, and the majority of the facilities are appropriate to provide the proposed services. Facilities contain rooms suitable to hold dispute resolution sessions, are reasonably close to courts and other referring organizations, and can be accessed by all members of the public, including those with disabilities. In addition to the main office location, off-site facilities for mediation have been identified and are available to clients.

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4-5 points: The proposal contains a description of the facilities for each proposed center, and only some of the facilities are appropriate to provide the proposed services. Facilities contain rooms suitable to hold dispute resolution sessions, are close to courts and other referring organizations, and can be accessed by members of the public, including those with disabilities. In addition to the main office location, off-site facilities for mediation have been identified and are available to clients.

0-3 points: The proposal lacks a description of facilities, or describes facilities unsuitable for dispute resolution sessions, or describes facilities difficult for the public, including individuals with disabilities, to access. In addition to the main office location, off-site facilities for mediation have not been identified and are unavailable to clients.

B2 Rating \_\_\_\_\_.

Basis for Rating:

**B3. 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. (5 points)**

**[Reviewer: Consider the following source(s) of information: questions 19 and 20]**

4-5 points: The proposal demonstrates that the roster of available neutrals will reflect the diversity of the community that the center will serve.

2-3 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.

0-1 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.

B3 Rating \_\_\_\_\_.

Basis for Rating:

**B4. Evaluate the extent to which the proposal demonstrates that the center will recruit, train, utilize and retain volunteer neutrals. (10 points)**

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

11-15 points: The proposal contains a plan that is highly likely to be effective in recruiting, training and retaining volunteer neutrals. The proposal also 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 is somewhat likely to be effective in recruiting, training and retaining volunteer neutrals. The proposal also commits the Proposer to utilize volunteer neutrals in

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more than 50% of all appropriate dispute resolution cases.

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

B4 Rating \_\_\_\_\_.

Basis for Rating:

**B5. Evaluate the extent to which the proposal demonstrates that the organization will provide dispute resolution programming that will respond to local community needs. Also, evaluate the extent to which the proposal describes a fee policy that appropriately balances the Proposer's fundraising needs against the needs of community members to have affordable access to the center, while also waiving fees for indigent members of the community. (10 points)**

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

8-10 points: The proposal substantively demonstrates that the organization will provide dispute resolution programming that will respond to local community needs, and describes a fee policy that demonstrates thoughtful balance of Proposer's fundraising needs against the needs of community members to have affordable access to the center. The fee policy waives fees for indigent members of the community.

4-7 points: The proposal moderately demonstrates that the organization will provide dispute resolution programming that will respond to local community needs, and describes a fee policy that demonstrates balance of Proposer's fundraising needs against the needs of community members to have affordable access to the center. The fee policy waives fees or uses a sliding scale for indigent members of the community.

0-3 points: The proposal fails to adequately demonstrate that the organization will provide dispute resolution programming that will respond to local community needs, and either describes a fee policy that is inadequate, or fails to describe a fee policy at all or that demonstrates any balance of Proposer's fundraising needs against the needs of community members to have affordable access to the center. The fee policy does not waive fees for indigent members of the community, or relies on a sliding scale that is inappropriate.

B5 Rating \_\_\_\_\_.

Basis for Rating:

**B6. Evaluate the extent to which the proposal demonstrates that the center will work with local courts and other community institutions to generate appropriate referrals to the center. (15 points)**

**[Reviewer: Consider the following source(s) of information: questions 25, 26 and 27, Attachment K]**

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12-15 points: Proposer demonstrates a comprehensive plan to develop referrals with courts and other community institutions that is highly likely to yield a referral relationship that will generate a consistent caseload of appropriate cases. Proposer's references include commitments by Judges or representatives of other community institutions to utilize the Proposer's ADR services.

8-11 points: Proposer demonstrates an adequate plan to develop referrals with courts and other community institutions that is likely to yield a referral relationship that will generate a consistent caseload of appropriate cases. Proposer's references indicate that Proposer is likely to secure future commitments by Judges or representatives of other community institutions to utilize the Proposer's ADR services.

4-7 points: Proposer articulates aspirational goals to solicit referrals from courts and other community institutions but offers no more detailed plans than to accept appropriate cases on an ad hoc basis from such institutions. 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.

0-3 points: Proposer lacks any plan to develop a referral relationship with courts and other community institutions. Proposer's references offer lackluster endorsements of the Proposer.

B6 Rating \_\_\_\_\_.

Basis for Rating:

**B7. 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. (8 points)**

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

7-8 points: The proposal contains a detailed description of the mechanisms that the center will use to promote its services to members of the public, and these mechanisms are highly likely to yield cases.

5-6 points: The proposal contains a description of the mechanisms that the center will use to promote its services to members of the public, and these mechanisms are likely to yield cases.

3-4 points: The proposal contains a cursory description of the mechanisms that the center will use to promote its services to members of the public, and these mechanisms are somewhat likely to yield cases.

0-2 points: The proposal does not describe how the center will use to promote its services to members of the public.

B7 Rating \_\_\_\_\_.

Basis for Rating:

<b>SUBTOTAL FOR PART "B" (B1 + B2 + B3 + B4 + B5 + B6 + B7): _____</b>
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**C. APPROPRIATENESS OF STAFFING PLAN AND PROCEDURES (20 POINTS TOTAL)**

**C1. Evaluate the extent to which the proposal demonstrates an appropriate supervisory structure for the center. (5 points)**

**[Reviewer: Consider the following source(s) of information: question 12, 15, and Attachment B]**

4-5 points: The proposal indicates that the program director will have significant input and responsibilities during the development and monitoring of the program budget, and the proposed supervisory structure will provide thorough staff oversight.

2-3 points: The proposal indicates that the program director will have nominal input and responsibilities during the development and monitoring of the program budget, and the proposed supervisory structure will provide adequate staff oversight

0-1 points: The proposal provides the program director without any input or responsibility during the development and monitoring of the program budget, and the proposed supervisory structure will provide less than adequate staff oversight

C1 Rating \_\_\_\_\_.

Basis for Rating:

**C2. Evaluate the extent to which the proposal demonstrates an appropriate allocation of responsibilities among staff of the center and that the center(s) will be appropriately staffed to meet the needs of the community. (1 points)**

**[Reviewer: Consider the following source(s) of information: questions 14, 16, Attachment B and Attachment E]**

7-10 points: The proposal contains resumes of existing staff or job descriptions of proposed positions, and the responsibilities are allocated in a manner that enables staff to balance appropriately their responsibilities to monitor cases, solicit cases from institutions and members of the public, monitor and train neutrals, and participate in the ongoing development of the center.

3-6 points: The proposal contains resumes of existing staff or job descriptions of proposed positions, but the responsibilities are not allocated in a manner that enables staff to balance appropriately their responsibilities to monitor cases, solicit cases from institutions and members of the public, monitor and train neutrals, and participate in the ongoing development of the center.

0-2 points: There is no mechanism to assess whether staff responsibilities are allocated in a manner that enables staff to balance appropriately their responsibilities because the proposal does not include the resumes of existing staff or job descriptions of proposed positions.

C2 Rating \_\_\_\_\_.

Basis for Rating:

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**C3. Evaluate the agency’s commitment, efforts, and accomplishments toward maintaining diversity among its staff and promoting cultural competence. (5 points)**

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

4-5 points      Proposer demonstrates a consistent commitment, adequate efforts and accomplishments to maintaining diversity among staff and to promoting cultural competence of staff.

2-3 points      Proposer presents a plan that fails in some ways to adequately demonstrate consistent commitment, adequate efforts and accomplishments to maintaining diversity among staff and to promoting cultural competence of staff.

0-1 points      Proposer fails to adequately demonstrate consistent commitment, adequate efforts and accomplishments to maintaining diversity among staff and to promoting cultural competence of staff.

C3 Rating \_\_\_\_\_.

Basis for Rating:

<b>SUBTOTAL FOR PART “C” (C1 + C2 + C3)</b>
---

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**D. REASONABLENESS OF COST (35 POINTS TOTAL)**

**D1. Evaluate the extent to which the proposed program will effectively utilize state dollars for the delivery of quality services. (5 points)**

**[Reviewer: Consider the following source(s) of information: Budget, questions 9-12, 18-29]**

- 5 points: The program utilizes state dollars very effectively for the proposed services.
- 4 points: The program utilizes state dollars somewhat effectively for the proposed services.
- 2-3 points: The program utilizes state dollars somewhat ineffectively for the proposed services.
- 0 points: The program utilizes state dollars very ineffectively for the proposed.

D1 Rating \_\_\_\_\_.

Basis for Rating:

**D2. 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, Attachment E, Exhibit 4, question 16]**

- 11-15 points: Salaries and fringe benefit costs are appropriate for the positions listed in the proposal, and competitive with other proposals submitted for the same geographic area.
- 7-10 points: The majority of salaries and fringe benefit costs listed are appropriate, but some are too high to be reasonable or some are too low to be competitive with other proposals submitted for the same geographic area.
- 3-6 points: Some salaries and fringe benefit costs are reasonable for the positions listed in the proposal, but most are too high to be reasonable or too low to be competitive with other proposals submitted for the same geographic area.
- 0-2 points: None of the salaries or fringe benefit costs are reasonable.

D2 Rating \_\_\_\_\_

Basis for Rating:

**D3. 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**

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**in the budgets of similarly sized agencies. (5 points)**

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

4-5 points: Administrative costs comprise less than 20% of the proposed budget and provide for sufficient agency administration of the program.

2-3 points: the administrative costs comprise less than 20% of the proposed budget, but some costs are too high or too low to provide for reasonable administration of the program.

0-1 points: The administrative costs comprise greater than 20% of the total proposed budget or do not provide for adequate administration of the program.

D3 Rating \_\_\_\_\_

Basis for Rating:

**D4. Evaluate the extent to which the non-personnel service costs included in the budget are reasonable for the operation of the proposed program. (5 points)**

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

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

4 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.

D4 Rating \_\_\_\_\_

Basis for Rating:

**D5. Evaluate the extent to which the proposal includes matching funds that are sufficient and appropriate to the long-term health and sustainability of the program. (5 points)**

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

5 points: The proposal includes sufficient matching revenues to meet program requirements and relies heavily on cash funding from public and community sources and direct fees-for-service from

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alternative dispute resolution services.

4 points: The proposal includes sufficient matching revenues to meet program requirements and relies on cash funding from public and community sources and direct fees-for-service from alternative dispute resolution services, as well as in-kind contributions to the program.

2-3 points: The proposal includes sufficient matching revenues to meet program requirements and relies on cash funding from public and community sources and 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.

0-1 points: The proposal does not include sufficient matching revenues to meet program requirements and/or relies on in-kind contributions to the program or funding for non-dispute resolution programming rather than cash funding for alternative dispute resolution from community and public sources and fee-for-service.

D5 Rating \_\_\_\_\_

Basis for Rating:

<b>SUBTOTAL FOR PART "D" (D1 + D2 + D3 + D4 + D5) _____</b>
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**Exhibit 4: Summary of Budget Categories**

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

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**Exhibit 4: Summary of Budget Categories**

<b>Summary of Budget Categories</b>		
<b>Category</b>	<b>Allowable Expense</b>	<b>Non-Reimbursable Expenses</b>
Federal Insurance Contributions Act (FICA) tax and other required benefits	<ul style="list-style-type: none"> <li>• Payroll Taxes</li> <li>• Social Security Taxes</li> <li>• Medicare</li> <li>• Disability Insurance</li> <li>• State Unemployment Insurance</li> <li>• Workers Compensation Insurance</li> </ul>	<ul style="list-style-type: none"> <li>• Taxes from which a non-profit organization is exempt</li> <li>• Federal Unemployment Insurance. Not-for-profit Corporations are exempt under Section 501(c)(3) of the Internal Revenue Code.</li> </ul>
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"> <li>• Life insurance</li> <li>• MTA tax and transit check processing fee</li> <li>• Non health related flexible spending accounts</li> <li>• Parking expenses at a person's regular workplace</li> </ul>	<ul style="list-style-type: none"> <li>• Taxes from which a non-profit organization is exempt</li> </ul>
<b>Non Personal Service</b>		
Supplies	<ul style="list-style-type: none"> <li>• Any consumable supply necessary for program operations</li> </ul>	<ul style="list-style-type: none"> <li>• Taxes from which a non-profit organization is exempt</li> </ul>
<b>Travel</b>		
Routine Travel	<ul style="list-style-type: none"> <li>• Staff and volunteer travel for routine programmatic purposes</li> </ul>	<ul style="list-style-type: none"> <li>• Taxes from which a non-profit organization is exempt</li> <li>• Alcoholic beverages</li> <li>• Meal and incidental expenses or lodging costs in excess of allowable state rates</li> </ul>

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**Exhibit 4: Summary of Budget Categories**

<b>Summary of Budget Categories</b>		
<b>Category</b>	<b>Allowable Expense</b>	<b>Non-Reimbursable Expenses</b>
Conference/ Meeting Travel:	<ul style="list-style-type: none"> <li>• Staff and volunteer travel for the purposes of attending a professional conference, training, or other than routine meetings.</li> </ul>	<ul style="list-style-type: none"> <li>• Taxes from which a non-profit organization is exempt</li> <li>• Alcoholic beverages</li> </ul> <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"> <li>• Equipment and furniture necessary for program operations that is purchased</li> <li>• Durable, non-consumable goods with a per unit cost of \$250 or more or as defined in your UCS contract (whichever is greater)</li> <li>• Licenses for software</li> </ul>	<ul style="list-style-type: none"> <li>• Taxes from which a non-profit organization is exempt</li> </ul>
Rental, Lease and Repair of Equipment	<ul style="list-style-type: none"> <li>• Equipment and furniture necessary for program operations that is leased</li> <li>• Maintenance agreements or repair costs</li> </ul>	<ul style="list-style-type: none"> <li>• Taxes from which a non-profit organization is exempt</li> <li>• Automobile lease without prior approval of UCS</li> </ul>
Real Estate Rentals / Utilities	<ul style="list-style-type: none"> <li>• Rental of office space</li> <li>• Electricity costs</li> <li>• Heating costs</li> </ul>	<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"> <li>• The cost of mailing and shipping as necessary for program operations</li> </ul>	
Printing	<ul style="list-style-type: none"> <li>• The cost of printing materials as necessary for program operations</li> </ul>	<p>Note: The purchase of paper, printer cartridges or other supplies for in-house printing (correctly labeled as supplies).</p>

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**Exhibit 4: Summary of Budget Categories**

<b>Summary of Budget Categories</b>		
<b>Category</b>	<b>Allowable Expense</b>	<b>Non-Reimbursable Expenses</b>
Telecommunications	<ul style="list-style-type: none"> <li>• Telephone service charges, including mobile phone plans or fees incurred by the organization</li> <li>• Program-related phone calls</li> <li>• Internet access</li> <li>• Web-site hosting fees</li> </ul>	<ul style="list-style-type: none"> <li>• Expenses related to unauthorized telephone calls</li> <li>• 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</li> </ul>
Insurance Fees	<ul style="list-style-type: none"> <li>• General Liability</li> <li>• Board and Officers Liability</li> <li>• Professional Liability</li> </ul>	
Legal Reference	<ul style="list-style-type: none"> <li>• Subscriptions to professional publications and resources, print or online subscriptions</li> <li>• Books</li> <li>• Magazines</li> </ul>	<ul style="list-style-type: none"> <li>• Non-professional periodicals (e.g., waiting room magazines).</li> </ul>
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)	<ul style="list-style-type: none"> <li>• Payments to paid mediators, arbitrators or other ADR professionals providing direct services to program service recipients</li> </ul>	
<b>Food and Beverage</b>		
Snack (Children’s Centers Only)	<ul style="list-style-type: none"> <li>• Food and beverages purchased for children attending the Children’s Centers in the Courts program.</li> </ul>	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.

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**Exhibit 4: Summary of Budget Categories**

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

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**Exhibit 4: Summary of Budget Categories**

<b>Summary of Budget Categories</b>		
<b>Category</b>	<b>Allowable Expense</b>	<b>Non- Reimbursable Expenses</b>
Other Miscellaneous Expenses	Other miscellaneous expenses not listed above such as: <ul style="list-style-type: none"> <li>• Bank fees</li> <li>• Medical and School Records</li> </ul>	<ul style="list-style-type: none"> <li>• Contributions and donations</li> <li>• Fines and Penalties</li> <li>• 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).</li> <li>• Security deposits (these are not expenses since the monies will be refunded at some future date)</li> </ul>
<b>Services</b>		
Legal	<ul style="list-style-type: none"> <li>• Legal services</li> </ul>	
Accounting / Audit	<ul style="list-style-type: none"> <li>• Financial Review and Audit Services</li> <li>• Accounting Services</li> </ul>	
Consultant Bookkeeping	<ul style="list-style-type: none"> <li>• General bookkeeping services</li> <li>• Payroll services</li> </ul>	
Information Technology Support	<ul style="list-style-type: none"> <li>• Computer consulting services</li> <li>• Telephone consulting services</li> </ul>	
Public Relations	<ul style="list-style-type: none"> <li>• Advertising fees</li> <li>• marketing material development</li> </ul>	
Janitorial	<ul style="list-style-type: none"> <li>• Office Cleaning services</li> </ul>	
Records Management	<ul style="list-style-type: none"> <li>• Paper file storage</li> <li>• Paper file shredding</li> <li>• Digital file storage</li> </ul>	
Temporary Staffing	<ul style="list-style-type: none"> <li>• Expenses for temporary staffing services performed by individuals who are not employees (generally such services are provided under a contract with a temporary agency).</li> </ul>	

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**Exhibit 4: Summary of Budget Categories**

<b>Summary of Budget Categories</b>		
<b>Category</b>	<b>Allowable Expense</b>	<b>Non-Reimbursable Expenses</b>
Experts	<ul style="list-style-type: none"> <li>• Fees for experts related to the provision of legal/program services.</li> </ul>	
Other Services	<ul style="list-style-type: none"> <li>• Snow plowing</li> <li>• Interpreting services</li> <li>• Process Service</li> <li>• Services not listed in other categories</li> </ul>	
Indirect/Administrative Costs	<ul style="list-style-type: none"> <li>• 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.</li> </ul>	<ul style="list-style-type: none"> <li>• Costs that are incurred by a single program, such as program staff salaries, office space designated to the specific program.</li> </ul>

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**Exhibit 5 12 Month Estimated Grants Awards**

<b>County</b>	<b>Estimated Grant Award</b>	<b>Required Match</b>
Bronx	\$264,772	\$224,772
Kings	\$327,151	\$287,151
New York	\$161,753	\$121,753
Queens	\$237,270	\$197,270
Richmond	\$174,560	\$134,560

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**Exhibit 6**

Applicable laws, regulations and program policies as outlined in the CDRCP Program Manual:  
[http://www.nycourts.gov/ip/adr/Info\\_for\\_Programs.shtml](http://www.nycourts.gov/ip/adr/Info_for_Programs.shtml)

**Exhibit 7**

Demographic information by county: [http://quickfacts.census.gov/qfd/maps/new\\_york\\_map.html](http://quickfacts.census.gov/qfd/maps/new_york_map.html)

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**Exhibit 8** List of CDRCs citywide

**Bronx County**

Institute for Mediation and Conflict Resolution  
384 East 149th Street  
Suite 330  
Bronx, NY 10445

**Kings County**

New York Peace Institute  
210 Joralemon Street  
Suite 618  
Brooklyn, NY 11201

**New York County**

New York Peace Institute  
111 John Street  
Suite 600  
New York, NY 10038

**Queens County**

Community Mediation Services  
89-64 163rd Street  
Jamaica, NY 11432

**Richmond County**

New York Center for Interpersonal Development  
130 Stuyvesant Place  
5th Floor  
Staten Island, NY 10301

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**Exhibit 9** General Guidelines for Proposal Writing

1. Read each question thoroughly and ensure that you answer all elements of 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, and 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 alternative dispute resolution services. Also, consider choosing a balanced group of three individuals who will be able to collectively speak effectively to your organization's likelihood to be successful providing a range of alternative 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 part of Attachment I. 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.

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**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 parties 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 parties resolve a dispute, with the assistance of an intermediary, without meeting face-to-face during the negotiations. Conference (Settlement Conference) A brief, non-binding, confidential process in which a neutral third party, often someone with subject-matter expertise, hears abbreviated arguments in an effort to promote settlement. The neutral may offer an evaluation of likely outcomes. The neutral may also provide case planning guidance and settlement assistance with the parties' consent.

**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 parties 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 parties.

**MEDIATION**

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