

STATE OF NEW YORK

JUDICIARY

—REQUEST FOR BID—

**(This is not an order)
 BID MUST BE MADE ON THIS SHEET
 OR AS OTHERWISE SPECIFIED**

NYS OFFICE OF COURT ADMINISTRATION
 25 BEAVER STREET
 NEW YORK, NY 10004
 (Agency Name and Address)

Direct Inquiries to: Marie-Claude Ceppi
 Telephone No.: 212-428-2727
 Email: Mceppi@courts.state.ny.us

Price to include delivery to (describe exact location and method of delivery)

PER RFB SPECIFICATIONS

| | |
|--|---|
| Bid Number: OCA/LB-147 Issue Date: 10/06/2009 | Commodity Group: |
| Opening Date: OCTOBER 27, 2008 Time: 3:00 P.M. | Commodity Name: LOCK BOX SERVICES |

OFFICE OF GENERAL SERVICES "GENERAL SPECIFICATIONS" (DECEMBER 1998) ARE FULLY INCORPORATED HEREIN.

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|---|---|
| <p>Agency's Specification of item(s) Required (include quantities)</p> <p>UCS ATTACHMENT I, III and IV ATTACHED & INCORPORATED HEREIN.</p> | <p>Bidder's Quotation and Specific Description of Item Offered</p> <p>ALL BID RESPONSES MUST BE ENTERED ON THE ENCLOSED BID RESPONSE FORM UNLESS SPECIFIED OTHERWISE HEREIN.</p> |
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NOTICE TO BIDDERS

Pursuant to the Rules and Regulations of the Chief Administrator for the Courts, sealed bids for furnishing the item(s) in this Request for Bid will be received at the above address. When submitting a bid, you must:

- Complete this form in its entirety using ink or typewriter and return with all other documents.
- Explain any deviations or qualifications if your bid deviates from the specifications. If necessary, attach a separate sheet setting forth such explanations.
- Sign the bid. The bid must be completed in the name of the bidder (corporate or other) and must be fully and properly executed by an authorized person.
- INDICATE THE BID NUMBER, THE BID OPENING DATE AND TIME ON THE ENVELOPE CONTAINING THE SEALED BID.
- Mail the bid to the above agency address in sufficient time for it to be received before the specified bid opening. **LATE BIDS WILL BE REJECTED.**

BIDDER HEREBY CERTIFIES THAT THE ABOVE QUOTED (OR OTHERWISE NOTED) PRICES ARE APPLICABLE TO ALL CUSTOMERS FOR COMPARABLE QUANTITIES, QUALITY, STYLES OR SERVICES.

BIDS MUST BE SIGNED

| | | | |
|------------------------------------|------|---|-----|
| Bidder's Firm Name: | | Employer's Federal Identification Number | |
| Address Street | City | State | Zip |
| Bidder's Signature | | Official Title | |
| Printed or Typed Copy of Signature | | Area Code/ Telephone Number Email: | |

DOCUMENT ENCLOSURE CHECKLIST

Pricing sheet - the pricing sheet **must be included** in bidder's proposal. Failure to do so will immediately disqualify bidder's response.

The following documents must be fully executed and included in bidder's proposal. Failure to do so may disqualify bidder's response:

- UCS Request for Bid Form with original signature
- Attachment I - UCS Standard Request for Bid Clauses & Forms
 - Q p.3 - Non-Collusive Bidding Certificate and
 - Q p.4 - Corporate Acknowledgment
- Attachment III - Vendor Responsibility Questionnaire
 - ? paper questionnaire or
 - ? questionnaire file online via OSC VendRep System
- Attachment IV - Procurement Lobbying Forms
 - ? Disclosure of Prior Non-Responsibility Determination (UCS 420)
 - ? Affirmation of Understanding and Agreement (UCS 421)
 - ? Termination Clause (UCS 423)
- List of at least three (3) references (names, contacts, addresses, phone numbers, emails)
- Original bid response + five (5) complete copies
- Signed Documents Enclosure Checklist
- Organizational Chart
- Resumes
- Description of company's qualifications and experience
- Certificate of Insurance

NB: There is no Attachment II

To be complete, a bidder's bid response must include ALL the above documents. All documents requiring an original signature must bear the BLUE INK signature of the same authorized individual. Signatory notarization must be that of the person whose signature is affixed to all required documents.

Bidder's Company Name:

Authorized Officer's Name and Signature:

Date:

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***** GENERAL SPECIFICATIONS *****

I. The RFB/RFP Process

Note to Bidders

1. Attachment I - Standard Request for Bid Clauses & Forms, Attachment IV- Procurement Lobbying Law required forms

In addition to such other specifications and criteria as are presented herein, the NYS Unified Court System Attachment I - Standard Request for Bid Clauses & Forms, Attachment IV - Disclosure of Prior Non-Responsibility Determination (UCS 420) as well as Affirmation of Understanding and Agreement (UCS 421) and Termination Clause (UCS 423) pursuant to the Procurement Lobbying Act, which must be downloaded or printed from the UCS Contract & Procurement website under “Addenda” for the appropriate solicitation, are incorporated and made a part of this solicitation.

2. Attachment III - Vendor Responsibility Questionnaire

The NYS Unified Court System/Office of Court Administration (hereafter “UCS/OCA”) is required to conduct a review of a prospective contractor to provide reasonable assurances that the vendor is responsible. The required Vendor Responsibility Questionnaire is designed to provide information to assist 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 New York State, business integrity, financial and organizational resources, and performance history (including references).

Bidders are invited to file the required Vendor Responsibility Questionnaire online via the New York State VendRep System or may choose to complete and submit a paper questionnaire. To enroll and use the New York State VendRep System, see the VendRep System Instructions available at www.osc.state.ny.us/vendrep or go directly to the VendRep System online at <https://portal.osc.state.ny.us>. For direct VendRep System user assistance, the OSC Help Desk may be reached at 866-370-4672 or 518-408-4672 or by email at helpdesk@osc.state.ny.us. Vendors opting to file a paper questionnaire can obtain the appropriate questionnaire from the VendRep website www.osc.state.ny.us/vendrep or may contact the Unified Court System or the Office of the State Comptroller for a copy of the paper form.

Bidders who file the Vendor Responsibility Questionnaire online via the OSC VendRep System are requested to checkmark the appropriate box on the Document Enclosure Checklist. Bidders’ authorized signature of the RRB/RFP Form will serve as confirmation that bidders have knowingly filed their questionnaire online if paper questionnaire is not included with bidders bid/proposal submission.

Online RFB/RFP Package : Disclaimer:

Bidders accessing any UCS/OCA solicitations and related documents from the New York State UCS website www.nycourts.gov/admin/bids under “Current Solicitations” shall remain solely and wholly responsible for reviewing the respective solicitation & bid documents on the internet regularly, up to the scheduled date and time of the bid/proposal due date, to ensure their knowledge of any amendments, addenda, modifications or other information affecting the solicitation or bid documents in question.

Questions:

Questions may be addressed **in writing** only, by e-mail or by fax, to:

Marie-Claude Ceppi
Management Analyst
Mceppi@courts.state.ny.us
Fax: (212) 428-2819

The **deadline** to submit questions is **October 15, 2008 at 5:00 pm**. No questions will be entertained after this deadline. All questions will be answered individually in writing and a Questions & Answers (Q&A) sheet with all the questions received and their answers will be posted on the UCS website.

IMPORTANT: All communications and questions regarding this solicitation must be directed solely to the attention of the above-designated person. Contact by any prospective bidder, or any representative thereof, with any other personnel of the UCS/OCA in connection with this RFB/RFP may violate the Procurement Lobbying Act of 2005 (see Attachment IV), will jeopardize the respective bidder’s standing and may cause rejection of its proposal.

Bid Response/Proposal: Original and Copies:

Bidders shall submit all the following required **original RFB/RFP documents:** Bid/Proposal; Executed RFB/RFP Form; Attachment I - pages 3 and 4 of 10; Attachment III - Vendor Responsibility Questionnaire (checkmark the appropriate box for paper questionnaire or online submission in Documents Enclosure Checklist); Attachment IV - Disclosure of Prior Non-Responsibility Determinations (UCS 420) Affirmation of Understanding and Agreement (UCS 421) and Termination Clause (UCS 423), and any other required documentation, brochures, samples, etc. listed on the Document Enclosure Checklist. Please note that there is no Attachment II.

Failure to provide all original documents or the failure to provide the requested number of copies may result in disqualification of a bidder’s response.

Binding Nature of Bid/Proposal on Bidders:

All bids/proposals shall remain binding on bidders until such time as the UCS/OCA provides written notification of its intent to award the contract to a specific bidder or until the bidder withdraws its bid/proposal in writing, whichever occurs first.

Packaging, Identifying and Delivering of Bids/Proposals:

Bidders may **not** submit their bid/proposal responses online.
All bid/proposal submissions must be securely contained in a **sealed package or carton** and **clearly labeled** on two sides as follows:

“Deliver immediately to Marie-Claude Ceppi R-840”
“Sealed bid - Do not open”
”OCA/LB-147 due October 27, 2008 at 3:00 p.m.”.

Bids/Proposals must be **clearly addressed and submitted** to:

Marie-Claude Ceppi
Management Analyst
NYS Office of Court Administration
25 Beaver Street, R-840
New York, NY 10004

Failure to seal and mark the bid/proposal as prescribed may result in non-delivery and/or rejection of the bid/proposal. Please note that bids/proposals must be received by the above-named UCS/OCA-designated person by October 27, 2008 at 3:00 pm at the latest or bids will be declared a “late bid” and they will be disqualified. It is recommended that bidders allow several extra days for shipping in order to meet the deadline.

No-Bids:

In order to remain on the UCS/OCA bidders list, bidders are requested to send a no-bid letter to UCS/OCA, Attn: Marie-Claude Ceppi, at the above address, should they decide not to answer this solicitation. The envelope shall be clearly marked in the lower left corner as follows:
OCA/LB-147.

Rejected and Unacceptable Bids/Proposals:

The UCS/OCA reserves the right to reject any and all proposals or bids submitted in response to this solicitation for failure to comply with the requirements of the solicitation. In addition, UCS/OCA may reject any bids/proposals from any bidders who are in arrears to the State of New York upon any debt or contract; or who have previously defaulted on any contractual obligations, (as surety or otherwise), or on any obligation to the State of New York; or who have been declared not responsible or disqualified by any agency of the State of New York; or who have any proceeding pending against them relating to the responsibility or qualification of the bidders to receive public contracts.

References:

Each bidder must provide at least three (3) references including the company/agency name, complete address, contact name, title, telephone number and email address, for whom the bidder has provided similar products/services at any time during the past five (5) years.

Confidential/Proprietary Information:

Bidder should specifically identify those portions of the proposal deemed to contain confidential or proprietary information or trade secrets, and must provide justification why such material, upon request, should not be disclosed to parties other than OCA. Such confidential/proprietary information must be easily separable from the non-confidential sections of the proposal.

Subcontracting:

No subcontracting will be allowed. The awarded vendor shall use its own qualified personnel to perform the work and services described in these specifications. The work to be performed pursuant to this RFB's specifications shall be performed at the awarded vendor's place of business and shall not be assigned, transferred or subcontracted.

Insurance:

Bidder must include with its response a certificate of general liability insurance coverage in the minimum amount of \$1,000,000 for each occurrence. The awarded contractor will be required to include UCS as an additional insured at no cost to the UCS and the insurance must remain in force throughout the period a contractual agreement exists with UCS.

Awarded contractor will also be required to procure and maintain throughout the term of the

contract, fidelity bonding on its employees with limits of not less than \$5,000,000 covering employee theft, forgery and alteration, disappearance and destruction, robbery, safe burglary and computer fraud. UCS shall be named as an additional insured on such fidelity bond and the bond shall cover the personal property of UCS that is in Contractor's custody or control.

Independent Contractor Status:

It is expressly understood and agreed that the awarded contractor's status shall be that of an independent provider of services and that no officer, employee, servant or subcontractor of the contractor is an employee of the UCS, OCA or State of New York. The awarded contractor shall be solely responsible for the work, assignment, compensation, benefits and personal conduct and standards of all such persons assigned to the provision of services. Nothing herein shall be construed to impose any liability or duty on the UCS, OCA or State of New York to persons, firms, consultants or corporations employed or engaged by the awarded contractor either directly or indirectly in any capacity whatsoever, nor shall the UCS, OCA or State of New York be liable for any acts, omissions, liabilities, obligations or taxes of any nature including, but not limited to, unemployment and Workers' Compensation insurance of the awarded contractor or any of its employees or subcontractors.

Compliance with Laws:

Awarded contractor must be compliant with all applicable federal, state and local laws, rules and regulations prior to and during the provision of all services under the contract resulting from this RFB/RFP.

Implied Requirements:

Products and services that are not specifically requested in this RFP, but which are necessary to the provision of the products or services required by this RFP, shall be included in bidders proposal.

Silence of Specifications

The apparent silence of the specifications contained in this RFP as to any detail or the apparent omission of a detailed description concerning any point, shall be regarded as meaning that only the best commercial practices are to prevail. All interpretations of these specifications shall be made on the basis of this statement.

Financial Stability:

Upon request by UCS/OCA, each bidder shall provide a copy of its financial filings as audited by a certified auditing firm for the past three consecutive years, as well as copies of the bidder's last three (3) annual reports.

II. RFP # OCA/LB-147

Purpose and Scope:

The UCS/OCA is soliciting sealed bids to establish an estimated quantity term contract for the provision of lock box services, to include the receipt of applications for all UCS open-competitive exams and the collection by lock box of examination fees as well as for all related labor, material, equipment and services including digital imaging.

Estimated Quantities:

Any quantity specified in this RFB/RFP constitutes an **estimate only** and accordingly, no commitment or guarantee to reach any specified volume of business is made or implied. Accordingly, the award shall be for an **estimated quantity term contract**.

The number of applications to be processed is estimated at 60,000 per year. The actual number of applications might be lower or higher.

Term of Award:

A single contract will be awarded for an initial term of two (2) years effective January 1, 2009 to December 31, 2010, with three renewal terms of one year each. The renewal terms shall be optional at the sole discretion of UCS/OCA and shall be upon the same terms and conditions as the initial term including pricing. UCS/OCA shall also have the option to extend the contract for a maximum of one hundred and eighty (180) days after either the initial term or the last renewal term exercised by UCS/OCA.

Bidder's Qualifications:

Bidder shall provide an organizational chart showing all the authorized officers working on the UCS account. The authorized officers shall include an Account Manager who will be the designated contact with OCA regarding all aspects of the contract and its performance and all team members who will be assigned to the UCS account. Bidder shall also provide resumes for

the Account Manager and each team member, including business address, phone and fax numbers and e-mail address. The awarded contractor shall not remove the Account Manager of any team members assigned to the UCS account without good cause, unless requested by OCA. OCA reserves the right to require the selected contractor to remove the Account Manager or any team member from the account in the event of unsatisfactory performance.

Description of Bidder's experience:

Bidder is required to describe and to document its company's qualifications and past and current experience in providing the full range of services contained in this RFB's specifications or its response may be rejected.

Pricing:

Bidders shall quote a **single price per application processed** based on approximately sixty thousand (60,000) applications per year. The price/application shall include all services and deliverables described in these specifications, as well as all expenses. **Pricing shall remain firm during the initial term of the contract.** Please refer to the Pricing Sheet.

Price Increase:

Price increases may be requested at the end of the contract's initial term and/or any renewal period and are subject to OCA's approval.

Reasonable, necessary and documented cost increases to the contractor for any renewal period will be considered subject to the following:

1. The price increase must not exceed the change in the national CPI-U (NSA) from the twelve (12) months preceding the price increase request date, as available on the Bureau of Labor Statistics website at www.bls.gov/CPI under "Latest Numbers."
2. The awarded contractor must submit written request for allowable increase(s) forty-five (45) days prior to the end of the initial term of the contract or any renewal period accompanied by any/all supporting documentation at the time of the awarded contractor's request for a price increase.
3. A price increase for the extension period will not be allowed. Prior initial term or renewal term pricing shall prevail.

The awarded contractor shall send its request for a price increase in writing only to:

Marie-Claude Ceppi
Management Analyst
NYS Office of Court Administration
25 Beaver Street, R-840
New York, NY 10004

Confidentiality/UCS Ownership of Records:

Bidders and awarded contractor will be required to maintain the confidentiality of any and all information, records, files, documents or reports generated by, or contained in, any media format (e.g. print, electronic) provided to contractor by UCS, or otherwise obtained by contractor in the performance of contractual services. Neither the contractor nor any of its employees shall at any time be permitted to use any such information for any purpose outside the scope of the agreement resulting from this RFP without the express written authorization of UCS/OCA. Further, any and all material and documents, records and any other data or information developed by contractor, or any person or entity acting on behalf of contractor, remains the sole property of the UCS/OCA. Contractor may not make use of such data or information without the express knowledge and written consent of the UCS/OCA.

Security

Awarded contractor will be required to store and maintain all documents received by contractor in a place and manner physically secure from access by unauthorized persons. Electronic records must be maintained in such a way that unauthorized persons cannot obtain the information by any means. Contractor shall ensure that the records and information are never maintained in a mobile or portable device or remotely accessed. This prohibition applies to laptop computers, personal digital assistants, USB flash drives, MP-3 players, CD ROMS, DVDs, floppy disks or the successor to or equivalent of any of the these devices.

Notarized Statement of Confidentiality/Security Procedures:

Bidder must provide a complete, notarized statement describing in details the procedures and steps that bidder will follow to assure the complete confidentiality and security of the records. This notarized description shall include the names and titles of the authorized officers within the company who will have access to these records. In the event an authorized officer is removed or added from the UCS account during the life of the contract, subject to UCS/OCA approval (see paragraph "Bidder's Qualifications), a new notarized statement reflecting the changes shall be provided to the UCS/OCA. The notarized description shall indicate how the computer records and physical media will be safeguarded. Failure to provide such notarized

statement shall disqualify bidder's proposal.

Methodology:

Bidder shall describe the following processes:

1. The receiving, opening, batching, key-entering of applications.
2. The recording and depositing of fees.
3. The digital imaging of all applications and attachments as well as all money orders and/or checks.
4. The transmission of information, reports, and applications to the UCS/OCA.
5. Confidentiality/Security Procedures (see paragraph "Notarized Statement of Confidentiality Procedures")

Work Site Location and Visits:

The awarded vendor's work site shall be located within one of the following states: New York, New Jersey or Connecticut. The UCS may require bidder to schedule a site visit, as part of the bid response's evaluation. The UCS reserves the right to periodically visit and inspect the awarded vendor's place of business, equipment, software and/or number of employees, to verify the timely and quality performance of the services described in this RFB, including the confidentiality and security of UCS records.

Invoices:

The awarded contractor shall submit invoices for each examination or multiple examinations at the conclusion of each filing period. Invoices shall indicate a cumulative total of the number of applications processed.

Method of Award:

A single contract will be awarded to the responsible bidder who scores the highest total points (Maximum 100) for the following categories:

1. Cost:

Max. 40 points

Lowest cost gets maximum points; next lowest cost gets a fraction of points

Formula: (lowest \$ cost/2nd lowest \$ cost, etc.) x max. points = points

Example: lowest = \$100 40 points; 2nd lowest = \$125

\$ 100 : \$125 = 0.8

0.8 x 40 = 32 Lowest = 40 points; 2nd lowest = 32 points

2. Methodology:

Max. 30 points

Max. 6 point for each criteria:

Application processing method
Fee Recording and Deposit Process
Process for Print and Electronic Transmission of Information to UCS
Promptness of Fee Processing
Confidentiality Procedures

3. Company's Experience:

Max. 30 points

Max. 6 point for each criteria:

Company's years of experience
UCS Account Team Resumes
Company References and Past Performance
Company's description and documentation
Appropriateness of Facilities: convenience of site(s)/security/equipment
and organization of space

In addition to the evaluation criteria set forth above, bidder must be responsible as defined in section I.2 of the General Specifications and in the section headed "Rejected and Unacceptable Bids/Proposals"

Supporting Presentation:

UCS/OCA may request bidder to make an oral and visual presentation in support of its proposal.

****** DETAILED SPECIFICATIONS ******

Statement of Work: Background:

Of the approximately 18,000 positions in the Unified Court System, almost 10,000 are in the competitive class. Competitive class positions are those positions for which the merit and fitness of applicants are determined by competitive examinations. Typical titles found in the competitive class include Court Officer, Court Reporter and Court Clerk, as well as office clerical and administrative support titles.

Examinations to fill these competitive positions are scheduled on a periodic basis. Prior to the examination date, an examination announcement (sample, Exhibit A) is distributed to all courts and court agencies throughout the Unified Court System, and to other agencies such as the New York State Department of Labor, and various county civil service commissions. The examination announcement is usually published approximately ninety (90) days before the date of the examination and contains such information as a brief description of the nature of the duties

and responsibilities of the position, salary grade, minimum qualifications to compete, subject matter of the examination, fee requirements and other general information.

Depending on the title, the examination may be either open-competitive or promotional. An open-competitive examination is open to all qualified applicants, whether members of the general public or employees of the Unified Court System. Promotional examinations, however, are limited to those qualified employees of the UCS who meet the requirements stated in the examination announcement. Promotional applications will be processed internally by the UCS and are not a subject of this bid. There is a filing fee for all open-competitive examinations. The amount - which is currently \$30 - is noted on the examination announcement. An exception to the fee is provided for all employees of the UCS, as well as individuals receiving various types of public support outlined in each examination announcement. Payment is required in the form of a money order; cash is not accepted and checks, although accepted, are discouraged. Applicants are required to submit their applications (see Exhibit B) and filing fee to a designated Post Office box. In some cases, more than one examination is held on the same day. On such occasions, applicants will be required to submit one fee and application for every examination in which they desire to participate.

Services Required:

The awarded contractor shall:

- Begin to process all applications received at least six (6) weeks prior to the filing deadline.
- Provide digital imaging of all applications and attachments, as well as money orders and/or checks.
- Maintain Post Office Box on behalf of UCS which will be used for the receipt of open competitive applications and filing fees.
- Provide for a pick-up of mail from the Post Office Box at least once a day, and provide for the pick-up of work from UCS at 25 Beaver Street, New York City, as occasionally required by the UCS.
- Open mail, remove all contents.
- Examine all applications for completeness, in accordance with Exhibit D - Guidelines for Processing Applications.
- Key-enter application information for the purpose of compiling a roster of applicants and delivering such information to the UCS Department of Technology (DOT) once a week during the filing period. Specific information concerning required application data can be found in the paragraph "Roster of Applicant File" below.
- Establish a bank account in the name of UCS to deposit money orders and checks into a UCS-designated account.

- Examine all checks and money orders for bankability (e.g. signature, amount, proper payee, etc.) in accordance with Exhibit D- Guidelines for Processing Applications.
- Batch checks, money orders and applications.
- Prepare deposit tickets, which include batch numbers and money totals for each batch, and deposit all checks and money orders to the credit of the UCS.
- Assign identical numbers in sequence to both the application and fee for reconciliation purposes.
- Deliver all completed applications and related documents to the UCS.
- Providing the UCS with monthly statements, periodic and summary activity reports, and a final roster of examination applicants

Roster of Applicants File:

The awarded contractor will be required to provide a Roster of Applicants file which shall include the following data for each application in a clear text file with fixed length fields and fixed length records of 260 characters containing the following information:

| | | |
|---|---------------|----|
| CYCLE NUMBER | Numeric | 3 |
| EXAM TYPE - will be either 45 or 55 | Numeric | 2 |
| EXAM NUMBER | Numeric | 3 |
| SABBATH - will be either Y or N | Alpha/Numeric | 1 |
| SPECIAL - will be either Y or N | Alpha/Numeric | 1 |
| TEST CENTER - if no center is entered, make it 99 | Alpha/Numeric | 2 |
| SPECIAL VETERANS - either V or D | Alpha/Numeric | 1 |
| SSN | Alpha/Numeric | 9 |
| LAST NAME | Alpha/Numeric | 25 |
| FIRST NAME | Alpha/Numeric | 15 |
| MIDDLE INITIAL | Alpha/Numeric | 1 |
| STREET ADDRESS | Alpha/Numeric | 40 |
| FILLER (Note: street address field 64 for cleansing) | Alpha/Numeric | 24 |
| FILLER (Note: second street address line is not used) | Alpha/Numeric | 64 |
| CITY | Alpha/Numeric | 25 |
| FILLER (Note: makes city field 30 for cleansing) | Alpha/Numeric | 5 |
| STATE | Alpha/Numeric | 2 |
| ZIP1 | Alpha/Numeric | 5 |
| ZIP2 | Alpha/Numeric | 4 |
| FEE - should be either P or U or W | Alpha/Numeric | 1 |
| BATCH - numbering method is contractor's prerogative | Numeric | 4 |
| FILLER (Check Digit will be added by UCS) | Alpha/Numeric | 1 |
| FILLER (Delivery Point will be added by UCS) | Alpha/Numeric | 2 |
| FILLER (LACS will be added by UCS) | Alpha/Numeric | 1 |

| | | |
|---|---------------|----|
| FILLER (Result Code will be added by UCS) | Alpha/Numeric | 10 |
| FILLER (Note: makes record length 260) | Alpha/Numeric | 9 |

The noted file will be sent, at least once per week, either by File Transfer Protocol (FTP) or electronic mail (e-mail) from the contractor to the Unified Court System (UCS) Division of Technology at 125 Jordan Road, Troy, NY 12180 attn: I/O control Unit with a cc to the UCS Personnel Examination Unit, 25 Beaver Street, R-1083, New York, NY 10004.

If the preferred method, FTP'ing the file, is used, DoT will provide the contractor with the site address and file name and the contractor shall add the following header information to the file:
cycle
exam type
exam number
total number of records

If the file is sent via e-mail, DoT will provide the file name and the contractor will attach the file to e-mail noting in the e-mail the following information regarding the file:

cycle number
exam type
exam number
batch numbers
number of applications with fee code of P (paid)
number of applications with fee code of U (Unified Court System Employee)
number of applications with fee code of W (waived)
total number of records in file
This e-mail will be sent to:

IOCONTROL@COURTS.STATE.NY.US

and copy to:

UCS Personnel Examination Unit, 25 Beaver Street, R-1083, New York, NY 10004 whose e-mail address will be supplied at a future date.

Exhibits:

- Exhibit A Sample Examination Announcement
- Exhibit B Examination Application
- Exhibit C Examination Schedule for 2008-2009
- Exhibit D Guidelines for Processing Applications

OCA/LB-147
LOCK BOX SERVICES

BID OPENING: OCTOBER 27, 2008
3:00 PM

B L A N K P A G E



**CAREER OPPORTUNITIES IN THE
NEW YORK STATE
UNIFIED COURT SYSTEM**

Exhibit A

**THE OFFICE OF COURT ADMINISTRATION
ANNOUNCES AN
OPEN-COMPETITIVE EXAMINATION**

TITLE: COURT OFFICE ASSISTANT (KEYBOARDING)

EXAMINATION NUMBER: 45-751

**STARTING
SALARY**

Court Office Assistant (Keyboarding) is graded at JG-8. The current hiring rate is \$26,354. Appointees in New York City, Suffolk, Rockland, Nassau and Westchester Counties also receive \$3,451 in annual location pay. Appointees in Orange, Dutchess and Putnam Counties will receive \$1,725 in annual location pay.

**APPLICATION
FEE**

A \$30 **NON-REFUNDABLE** application fee is being charged to file for this examination.

**DISTINGUISHING
FEATURES OF
WORK**

Court Office Assistants (Keyboarding) work under close supervision on a variety of keyboarding, office clerical, and administrative support tasks, such as formatting and keyboarding written material, checking, filing, and sorting court papers, obtaining and copying information, retrieving material from files, providing information at public counters, and perform other related duties. Court Office Assistants (Keyboarding) are located in courts of every jurisdiction, County Clerks' and Commissioners of Jurors' Offices, law libraries, and administrative offices and auxiliary agencies in the Unified Court System.

**ELIGIBLE LISTS
AND LOCATION OF
POSITIONS**

The eligible list established as a result of this examination will be used to fill appropriate positions in the Unified Court System throughout New York State. A promotion examination, *Court Office Assistant (Keyboarding) (55-751)*, is being held in conjunction with this open-competitive exam. **The promotion list will be used to make appointments before the open-competitive list.**

**MINIMUM
QUALIFICATIONS
TO COMPETE**

To be eligible to compete in this examination, candidates must have, by the date of the examination, December 13, 2008, a High School diploma or the equivalent, and one (1) year of clerical experience.

RESIDENCY

New York State residency is not a requirement to compete in this examination or for appointment from the eligible list.

**Examination is scheduled to
be held December 13, 2008**

**Applications must be postmarked no
later than September 26, 2008**

The Unified Court System is an Equal Opportunity Employer, M/F

- BENEFITS** Court employees receive 20 days of paid vacation during their first year of service in addition to 12 paid holidays. They also accrue 13 days of paid annual sick leave. Participation in medical, dental, life insurance and retirement plans is offered.
- SUBJECT OF EXAMINATION** The examination is composed of two parts: a written test which will be used to determine a candidate's rank on the eligible list, and a qualifying keyboarding test administered on the same day as the written test.

WRITTEN TEST

The written examination will consist of multiple-choice questions and will assess the following:

1. **Clerical Checking**
These questions measure a candidate's ability to distinguish between sets of names, numbers, letters and/or codes which are almost exactly alike. Material is presented in three columns, and candidates are asked to compare the information in the three sets.
2. **Court Record Keeping**
These questions measure a candidate's ability to read, combine, and manipulate written information organized from several sources. Candidates are presented with different types of tables which contain names, numbers, codes, and other information, and must combine and reorganize the information to answer specific questions.
3. **Reading, Understanding and Interpreting Written Material**
These questions measure a candidate's ability to understand and interpret what they have read. Candidates are provided with brief reading selections followed by questions regarding the selections. Candidates are not required to have any special knowledge relating to the content area covered in the selections.
4. **Filing**
These questions test a candidate's ability to arrange information into files according to categories specified by the directions in alphabetical, numerical and chronological order. Questions are based on the completed files.
5. **Spelling, English Grammar and Usage, Punctuation and Sentence Structure**
These questions measure a candidate's knowledge of spelling, English grammar, usage, punctuation, and sentence structure.
6. **Number Facility**
These questions measure a candidate's ability to perform basic calculations involving addition, subtraction, multiplication, division and percentages. These questions do not require the use of a calculator and calculators will not be permitted at the test center.
7. **Basic Computer Concepts**
These questions measure a candidate's ability to understand the basic concepts in using a personal computer (PC) as it relates to word processing activities in an office setting.

KEYBOARDING TEST (QUALIFYING)

Candidates will be required to type an exact copy of a selection at the rate of 45 words per minute corrected. This is a five-minute keyboarding (typing) test of speed and accuracy from straight copy. *The test is administered on a personal computer which is available at each test center.*

Waiver of Performance Test

Candidates may not have to take the performance test in typing if they have already passed a keyboarding test at the rate of 45 words per minute within five (5) years of the date of the test, December 13, 2008. Waiver forms, which are available for this purpose, may be submitted with the examination application.

ISSUE DATE: August 25, 2008

INFORMATION FOR OPEN-COMPETITIVE CANDIDATES - PLEASE READ CAREFULLY

APPLICATION: Applications (UCS-19) may be obtained from the courts and court agencies of New York State or by writing to the Examination Unit, Office of Court Administration, Room 1081, 25 Beaver Street, New York, N.Y. 10004. Separate applications must be filed for each examination. When requesting an application by mail, specify examination number and title, show the word "EXAMINATION" in the lower left-hand corner of the envelope, and enclose a stamped self-addressed, legal-size envelope. Additional or revised information, such as a change of address after the application has been filed, must be provided in writing to the Office of Court Administration at the above address. The application form can be downloaded from the website:

www.nycourts.gov

FILING FEE: A filing fee is required to apply for this examination. The amount is noted on the examination announcement. **Your application must be accompanied by a money order payable to N.Y.S. Office of Court Administration. DO NOT SEND CASH OR CHECKS.** The following information should be written on the money order: Applicant's name, Social Security Number, home address, title of the examination and examination number for which application is being filed. **Filing fees are not refundable.** Compare your qualifications carefully to the requirements stated on the announcement before submitting your application.

An exception to the fee requirement will be made for employees of the Unified Court System.

An exception to the fee requirement will also be made for persons receiving Supplemental Social Security payments or Public Assistance (Home Relief or Aid to Dependent Children, provided Foster Care, or are certified Job Training Partnership Act eligible through a state or local social service agency, or are receiving public assistance from the New York City Department of Social Services). All claims are subject to later verification and, if not supported by appropriate documentation, are grounds for barring or rescinding an appointment. An exception will also be made for applicants who are unemployed and primarily responsible for the support of a household.

VETERANS CREDITS: Disabled and non disabled veterans who are eligible for extra credit will have 10 and 5 points respectively, added to their scores, if they are otherwise successful in the examination. Eligible veterans should claim those credits when they file their application. Further information regarding instructions for filing and eligibility is contained in the application. If veterans credits are granted, eligibles will have an option to waive them anytime prior to appointment.

VERIFICATION OF QUALIFICATIONS: The Office of Court Administration may refuse to examine an applicant, or after examination, to include a candidate on the eligible list, or may remove or restrict from the eligible list an applicant who is found to lack any of the established requirements for admission to the examination or for appointment from the resultant eligible list.

EXAMINATION RATINGS: Examination final ratings are reported on a scale of 100 with the passing mark set at 70. The passing raw score for the written examination will be determined at a date following the administration of the examination.

SPECIAL ARRANGEMENTS: Candidates who, for religious reasons, cannot be tested on a Saturday must indicate this information on their application. All other requests for alternate test dates must be submitted at least one month prior to the examination date, and will be reviewed on a case by case basis for compliance with the Alternate Test Date Guidelines of the Unified Court System. Applicants with disabilities who require special arrangements should contact the Coordinator of Special Accommodations at (212) 428-2574 or TDD (telecommunications device for the deaf) (212) 428-2587 by the close of the filing period for the examination.

WARNING: Anyone found unlawfully possessing or disclosing questions and answers from civil service examinations, or giving or taking test information from another candidate during the examination, or anyone found taking a civil service examination for someone else or enlisting another person to take an examination for another will be subject to being disqualified from that examination and may be barred from taking any further examinations with the Unified Court System and may be subject to other penalties as prescribed by law.

CANDIDATES SHOULD CONTACT THE OFFICE OF COURT ADMINISTRATION AT (212) 428-2580 IF THEY HAVE NOT RECEIVED THEIR ADMISSION NOTICE THREE (3) DAYS BEFORE THE EXAMINATION DATE (DECEMBER 13, 2008).



2008 - 2009 STATEWIDE EXAMINATION SCHEDULE

| EXAM DATE | TITLE AND SALARY GRADE | TYPE OF EXAM |
|--|--|-----------------------------------|
| October 25, 2008 | Court Revenue Assistant (JG-14) | Promotional |
| November 22, 2008 | Data Recording Assistant (JG-8) | Open-Competitive |
| December 13, 2008 | Court Office Assistant(Keyboarding) (JG-8) Senior Court Office Assistant(Keyboarding) (JG-12) | Promotional & Open-Competitive |
| March 14, 2009 | NYS Court Officer Sergeant (JG-19) | Promotional |
| April 25, 2009 | Court Reporter (JG-24) | Open-Competitive |
| June 6, 2009 | Court Office Assistant (JG-8) Senior Court Office Assistant (JG-12) | Promotional & Open-Competitive |
| September 12, 2009 | Court Interpreter (Spanish) (JG-18) | Open-Competitive |
| October 17, 2009 and December 12, 2009* | NYS Court Officer-Trainee | Open-Competitive |

*There are two test date holdings for this examination. Candidates are scheduled for only one of these dates.
 The opening of filing is anticipated for May, 2009.
 The Scheduling of Examinations is subject to change.

GENERAL EXAMINATION INFORMATION

TYPES OF EXAMINATIONS

- OPEN-COMPETITIVE EXAMINATIONS are open to all qualified applicants, including members of the general public and employees of the New York State Unified Court System.
- PROMOTIONAL EXAMINATIONS are limited to qualified employees of the New York State Unified Court System.

FILING FEES

A non-refundable \$30 filing fee is charged for all open-competitive examinations. A waiver of the fee requirement is made for employees of the New York State Unified Court System and those who fall into other categories set forth on the examination announcement.

EXAMINATION ANNOUNCEMENT AND FILING PERIOD

The issuance of an examination announcement and the opening of the filing period usually occurs about three to four months prior to the scheduled examination date. This filing period is at least four weeks long. If you choose to take an examination you must submit an application during the filing period.

HOW TO OBTAIN APPLICATIONS AND ANNOUNCEMENTS

Applications and announcements may be obtained online at: <http://www.nycourts.gov/careers/>, or by visiting any New York State courthouse or court agency, or by writing to the Examination Unit, Office of Court Administration, PO Box 1060, Church Street Station, New York, N.Y. 10008-1060. Separate applications must be filed for each examination. When requesting an application by mail, enclose a double stamped, self-addressed, business envelope and specify the examination title on the lower left hand corner of the envelope. After the application has been filed, any additional or revised candidate information, such as a change of address, must be provided in writing and mailed to the above address.

EXAMINATION INFORMATION

For further information call:
 (800) 578-5627 or contact us by email: Exam_Unit@courts.state.ny.us
 DIVISION OF HUMAN RESOURCES, PERSONNEL OFFICE - AUGUST 2008

INSTRUCTIONS TO OPEN-COMPETITIVE CANDIDATES

Read the following instructions, as well as the announcement for this examination before filling out your application.

EXAM SITE SELECTION (ITEM 2)

Enter the code number for your selection which corresponds to the exam center where you wish to be tested. Please be advised that not every test site is used for each examination.

| | | |
|--------------------|-------------------|------------------|
| 24- NEW YORK CITY | 14- HORNELL | 36- SARANAC LAKE |
| 01- ALBANY | 20- MIDDLETOWN | 38- SYRACUSE |
| 06- BINGHAMTON | 21- NASSAU COUNTY | 39- UTICA |
| 08- BUFFALO | 27- OGDENSBURG | 42- NYACK |
| 09- SUFFOLK COUNTY | 33- POUGHKEEPSIE | 41- WATERTOWN |
| 11- FREDONIA | 35- ROCHESTER | |

APPLICATION FEE (ITEM 4)

An application fee is required to apply for this examination. The amount is noted on the examination announcement. Your application must be accompanied by a **MONEY ORDER** payable to: **N. Y. S. Office of Court Administration. DO NOT SEND CASH or CHECKS.** The following information should be written on the money order: Applicant's name, Social Security Number, home address, title of the examination and examination number for which application is being filed. **Application fees are not refundable.** Compare your qualification carefully to the requirements stated on the announcement before submitting your application.

An exception to the fee requirement will be made for employees of the Unified Court System.

An exception to the fee requirement will be made also for persons receiving Supplemental Social Security payments or public assistance (Home Relief or Aid to Dependent Children), Foster Care, or are certified Job Training Partnership Act eligible through a state or local social service agency or are receiving public assistance from the New York City Department of Social Services. All claims are subject to late verification and, if not supported by appropriate documentation, are grounds for barring or rescinding an appointment. An exception will also be made to applications who are unemployed and primarily responsible for the support of a household.

VETERANS CREDITS (ITEM 7)

To be eligible for Veterans Credits, an individual **MUST**:

- be a citizen or an alien lawfully admitted for permanent residence at the time of application for credits.
- be a resident of New York State at the time of applying for Veterans Credits.
- have been honorably discharged or released under honorable circumstances from the Armed Forces of the United States. (Effective January 1, 1998 active duty members of the Armed Forces may request that veterans credits be added to the passing final ratings and use those credits for appointment from the eligible list, once discharged honorably or under honorable circumstances.)

AND

- have served anywhere in the U. S. Armed Forces during one of the following dates:

| | | | |
|---------------------------------|-------------------|----|--|
| World War II | December 7, 1941 | to | December 31, 1946 |
| Korean Conflict | June 27, 1950 | to | January 31, 1955 |
| Viet Nam Conflict | December 22, 1961 | to | May 7, 1975 |
| Persian Gulf Conflict | August 2, 1990 | to | the date upon which such hostilities end |

OR

- have received the Armed Forces Expeditionary Medal, the Navy Expeditionary Medal, or the Marine Corps Expeditionary Medal for the:

| | | | |
|----------------------------------|-------------------|----|-------------------|
| Hostilities in Lebanon | June 1, 1983 | to | December 1, 1987 |
| Hostilities in Grenada | October 23, 1983 | to | November 21, 1983 |
| Hostilities in Panama | December 20, 1989 | to | January 31, 1990 |
- In addition, the following nonmilitary service is also recognized for veterans credit:
 - service in the Commissioned Corps of the U. S. Public Health Services during July 29, 1945 to September 2, 1945 or June 26, 1950 to July 3, 1952 or
 - satisfactory service as a crew member aboard merchant vessels in ocean going service during December 7, 1941 to December 31, 1946.

To claim additional credits as a Disabled Veteran, an individual must, in addition to meeting all of the above requirements, be certified by the Veterans Administration as entitled to receive payments for a service-connected disability rated at ten (10) percent or more.

EXHIBIT D

Guidelines for Processing Applications

Aside from applications which are complete, acceptable applications include those which:

- do not have a Social Security # identified.
- do not have a test area identified. In this case, if the address has a New York City location, (i.e., one of the five boroughs-Manhattan (or New York, N.Y.) Bronx, Queens, Brooklyn or Staten Island (Richmond), then you may enter "24" instead of 99. Our experience is that over 90% of the blank test area location applications come from people in NYC. Enter "99" where you are not sure of the location preference is, or where the candidate is clearly not from New York City.

-have checks of money orders made out to variations of *NYS Office of Court Administration, New York State Civil Service* and *NYS-UCS* are acceptable. In fact, we have been informed that there is a very wide latitude in what will be accepted.

Applications which should not be processed include those which:

- indicate on the application as being paid, but have no check or MO attached.
 - indicate on the application as being paid, but have a check or MO in the wrong amount. In this case, do not process the check or MO, but return to this office in its entirety.
 - are packed in groups of more than one application and contain a check in multiples of the single filing fee amount (e.g., a check for \$60 with two applications or \$90 with three applications)
 - have no address at all (missing zip codes can be processed)
- Return the above without processing and without depositing any fees.

EXHIBIT D