

OCA-DGCP-058 Mental Health Case Management Services, New York County, New York

Issued Friday, October 24, 2025

Due Wednesday, November 19, 2025 at 2:00 PM Eastern



NEW YORK STATE UNIFIED COURT SYSTEM

Office of Court Administration
Division of Grants, Contracts & Procurement

OCA-DGCP-058 Mental Health Case Management
Services, New York County, New York

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- Attachment IV - Procurement Lobbying forms

* Attachments are available for download from the Unified Court System’s Current Solicitation webpage:
<http://ww2.nycourts.gov/admin/bids/currentsolicitations.shtml>

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I. BACKGROUND INFORMATION

The mission of the New York State Unified Court System (UCS) is to deliver equal justice under the law and to achieve the just, fair and timely resolution of all matters that come before our courts. In the service of our mission, the UCS is committed to operating with integrity and transparency, and to ensuring that all who enter or serve in our courts are treated with respect, dignity, and professionalism. We affirm our responsibility to promote a court system free from any and all forms of bias and discrimination and to promote a judiciary and workforce that reflect the rich diversity of New York State. More information about the UCS is available at <https://www.nycourts.gov>. UCS operates problem-solving courts which help judges and court staff respond to the needs of participants and the community. Problem-solving courts look to the underlying issues that bring people into the court system, employ innovative approaches to address those issues, and seek to simplify the court process for participants. A problem-solving court involves an intervention by the court in cooperation with a team of specialists in social services, treatment, and criminal justice professionals in the local community. In return for a promise of a reduced sentence, appropriate non-violent addicted offenders are given the option of entering voluntarily into court-supervised treatment. The rules and conditions of participation are clearly stated in a contract entered into by the defendant, the defense attorney, the district attorney, and the court.

Coordinating court, treatment, and social services to support participants requires a specialized combination of expertise with the justice, substance use, mental health, and social services communities.

II. PROJECT INFORMATION

The UCS Office of Court Administration’s (OCA) Division of Grants, Contracts and Procurement (DGCP) is soliciting sealed proposals via this Request for Proposals (“RFP”) for the purpose of procuring mental health case management services for the Judicial Diversion-Mental Health Track (“JD-MHT”) in the New York County (Manhattan) Supreme Court, Criminal Term (“NYCSC-CT”) to serve individuals with co-occurring behavioral health disorders (the “Project”).

UCS anticipates the Awarded Contractor (as defined in Article III below) will begin to perform the Project Services (as set forth in Article V below) on or about April 1, 2026.

The maximum available funding for the Project budget for the First Budget Period (as indicated in Article VIII) is \$576,841 to accomplish the Project Services required (the “Project Budget”). Applicants will be required to submit a budget for the First Budget Period, as indicated in Article VIII.

Key Bid Dates (Note: OCA reserves the right to modify any Key Bid Date as it may deem appropriate.)

EVENT	DATE
Bid Issue Date	Friday, October 24, 2025
Question Due Date	Wednesday, November 5, 2025 at 2:00PM Eastern
Bid Submission Deadline Date	Wednesday, November 19, 2025 at 2:00PM Eastern
Estimated Contract Start Date	April 1, 2026

Note: Throughout this RFP, the terms *bidder*, *proposer*, *vendor* and *applicant* are used interchangeably, as are *RFP*, *bid* and *solicitation*.

III. AWARD

UCS intends to award a single contract (“Contract”) to a single successful bidder (“Awarded Contractor”) for a term of four years and nine months. The Contract is expected to commence on or about April 1, 2026, and terminate on or about December 31, 2030 (“Contract Term”).

Any Contract resulting from this solicitation is subject to the approval of the NYS Attorney General and Office of the State Comptroller.

IV. MINIMUM QUALIFICATIONS

Proposals will be considered only from applicants who meet the following minimum qualifications:

- Qualified applicants are agencies that possess at least two (2) years of experience in performing services similar to those described herein.
- Qualified applicants must have the capacity to provide Project Services, including the Required Staffing (as detailed in Article V below), to clients within New York County.

V. PROJECT SERVICES

UCS seeks proposals describing how the applicant will provide the services listed below (“Project Services”). The selected applicant shall be required to:

1. Provide comprehensive mental health assessments. The psychiatrist will be responsible for reviewing and conducting comprehensive psychiatric assessments of selected JD-MHT participants and provide clinical supervision to staff on the type and nature of ongoing services that participants need in the community. The mental health team may also conduct additional

validated mental health screening and assessments to inform individualized treatment plans.

Written reports of the evaluation and treatment plans will be provided to all relevant NYCSC-CT court parties, including the judge, prosecutors, and defense attorneys.

2. The mental health team will coordinate with the UCS-employed NYCSC-CT Project Director to be a resource for the NYCSC-CT team and stakeholders, including training, consultation, and other professional support.
3. The mental health team, in conjunction with the NYCSC-CT Project Director, will provide the Judge with treatment recommendations regarding initial treatment modality, provider placement for JD-MHT participants, and ongoing adjustment towards treatment goals, as appropriate.
4. The mental health team will manage the care of JD-MHT participants by providing comprehensive, individualized case management services that address underlying issues, including, but not limited to, behavioral health, that might have contributed to the participants' involvement in the legal system. Caseloads are anticipated at approximately 20 – 25 participants per clinician, with an estimate of the provider serving at least 60 participants per year. To the extent possible, the mental health clinicians and peer will not only help place JD-MHT participants in appropriate programming, but also assist them in navigating meetings, appointments, housing resources, benefits, and wrap-around services.
5. Provide peer support services. The peer with shared lived experience will provide support, coaching and mentoring for JD-MHT participants at the NYCSC-CT Court, the provider's location(s), and in the community, as needed. The peer should also accompany participants to appointments and deliver aftercare support to participants.
6. Work with appropriate system (e.g., state and city agencies) and community partners (e.g., reentry service providers, youth service providers, faith-based organizations) for referrals and support for the population to be served.
7. The mental health team will be responsible for: (i) maintaining electronic files for all assessed and mandated participants in OCA's data management system in compliance with confidentiality recordkeeping requirements; and (ii) providing continuous feedback on participants' progress with team members.
8. Complete quarterly reports as required by UCS.
9. Provide appropriate supervision and oversight for any staff included in the Project.

Other services that may be needed include but are not limited to:

1. Drug testing, including administration of urinalysis tests (note: applicants should designate funding in their proposed budget to pay for drug tests administered in connection with the Project);
2. Implementation of evidence-based case coordination practices; and
3. Incorporate best practices working with individuals with co-occurring disorders.

Required Staffing:

1. Supervisor (part-time). The Supervisor will provide direct oversight of the JD-MHT program, including (i) direct supervision for the mental health clinician/case managers and peer mentor; and (ii) develop trainings on program interventions. The supervisor must have professional experience in the mental health and substance use fields and strong organizational skills.
Preferred qualifications:
 - Bachelor's Degree in Psychology or related mental health field or Behavioral Science with previous supervisory experience. Working knowledge of mental health treatment programs. Good communication skills, both oral and written. Ability to work cooperatively with treatment and criminal justice systems. Ability to work both independently and as part of a team. Proficient in computer applications or other automated systems, such as spreadsheets and Microsoft Office applications.

2. Licensed Psychiatrist (part-time). The psychiatrist will conduct psychiatric evaluations to support court advocacy and provide reports that are clear and concise. The psychiatrist is expected to conduct mental health assessments and psychosocial evaluations. Ability to work cooperatively with criminal justice, treatment, and mental health systems. Excellent communication skills, both oral and written.
Required qualifications:
 - Must have completed a residency and be Board-eligible to practice in New York State. Extensive experience working with adults with mental illness, serious mental illness, and co-occurring substance use disorders.

3. Mental Health Clinician/Case Manager (at least three (3) full-time). The Mental Health Clinician/Case Manager will provide services and identification, screening, treatment planning, intensive case management, and court reporting of eligible defendants with significant behavioral health needs. They will report directly to the NYCSC-CT Project Director and must be skilled in identifying primary treatment/intervention needs, such as mental health problems, substance use, and other areas of concern. Experience with co-occurring disorder population preferred. Experience working with clients referred from the criminal justice system is highly desired.
Required qualifications:
 - Master's Degree from an accredited college or university in the field of mental health counseling, social work, or a related field with at least two (2) years of relevant experience; or
 - A Bachelor's Degree from an accredited college or university in the field of mental health counseling, social work, or a related field with at least three (3) years of full time, paid work experience in the field of mental health counseling, social work, or a related field.

4. Peer Mentor (full-time). The Peer Mentor will report directly to the Supervisor and must demonstrate knowledge of coping skills for dealing with symptoms of mental health and co-

occurring mental health and substance use issues, self-help techniques, and self-help group process. High School Diploma or equivalent required.

Preferred Qualifications:

- New York State certification as a Recovery Coach, Peer Support Specialist, Family Advocate, or near completion, or relevant experience preferred.

VI. INSURANCE REQUIREMENTS

Awarded Contractor shall be required to maintain the insurance specified in Exhibit 4 hereto (Insurance Requirements) at its own cost and expense during the Contract Term.

VII. AWARD SELECTION CRITERIA AND METHOD OF AWARD

A single award will be made pursuant to this RFP. The Awarded Contractor must: (1) meet the minimum qualifications outlined in Article IV above; (2) be a responsible bidder as determined in accordance with the criteria in Article XII (General Specifications); and (3) receive the highest composite (average technical of all evaluators + cost) score in excess of the minimum score as determined by the selection criteria set forth herein.

In the event of a tie composite score, the applicant with the higher cost score, i.e., lowest total cost, will prevail.

Proposals will be reviewed and rated by a team composed of qualified UCS staff, and will be scored as follows:

Technical Criteria (75%)	Maximum Points
Capacity	35
Proposed Service Delivery	40
Maximum Technical Points	75
Cost (25%)	25
Maximum Cost Points	25
MAXIMUM TOTAL POINTS	100

Note: A minimum Technical Criteria point score of 40 (average of all evaluators) is required for an award to be made. Detailed criteria are contained in the Proposal Rating Tool attached as Exhibit 5 hereto. Cost submissions will be scored as follows:

The proposal with the lowest cost will be awarded maximum cost points (25). Each higher cost proposal will be awarded points according to the following formula:

$$\text{Lowest cost proposal} \div \text{higher cost proposal} \times 25$$

For example: Assuming the lowest cost proposal is \$100, and the next higher cost proposal is \$125, the \$100 cost proposal would be awarded 25 points and the \$125 cost proposal 20 points based on the following computation:

$$100 \div 125 = (.8) \times 25 = 20$$

VIII. REQUIRED DOCUMENTS

General Requirements

All documentation must be submitted on prescribed forms, without alteration. Where no form is included or specified, submissions must be single-spaced with one-inch page margins (not including attachments or financial forms) using a 12-point font. Pages should be numbered. To facilitate photocopying, do not permanently bind documents.

Applicants must submit every document listed below, as well as the documents listed in the Document Enclosure Checklist annexed as Exhibit 1 hereto. Failure to provide all documents in the manner required may result in disqualification of an applicant's proposal.

A complete set of the documents required below must be submitted.

a. Narrative Description - Organizational Capacity

Applicants must submit a narrative description of no more than five (5) pages addressing all of the organizational capacity requirements listed below:

1. Briefly describe the proposer's philosophy of, role in, and approach to mental health services as they relate to individuals with mental health disorders.
2. Briefly describe the proposer's current principal activities.
3. Describe the proposer's experience, if any, with government-funded projects. Include the number of and duration of projects, if any.
4. Describe the organization's experience and expertise providing comprehensive mental health assessments, case management services, and peer support services for clients with co-occurring disorders.
5. Describe the proposer's experience and expertise providing services to individuals involved in the criminal justice system. Include the number of and duration of projects, if any.
6. Describe the proposer's capacity to: (i) effectively manage government-funded programming, including, but not limited to, the ability to meet fiscal and programmatic reporting requirements; and (ii) work in partnership with the court.
7. Describe the proposer's experience with recruiting and training Peer Mentors.

8. Provide an organizational chart showing all supervisory staff (will not be included in the page limit).

b. Project Staff Resumes

Submit resumes for all staff who will provide Project Services. For those positions currently vacant, submit detailed job descriptions.

c. Narrative Description - Proposed Service Delivery

Applicants must submit a narrative description of no more than five (5) pages addressing all of the Project description requirements listed below:

1. Describe the organization's plan for delivery of the Project Services described herein.
2. Describe proposer's plan to staff the JD-MHT, including all necessary staffing for the full implementation of the Project.
3. Describe how the organization's experience and existing collaborations with the court and community-based service delivery systems will enhance the Project goals.
4. Describe the organization's plan to ensure the Project goals are met.
5. Describe how staff will document their activities with defendants and how this information will be maintained.
6. Describe the proposer's plan to provide a full-time Peer Mentor who will be responsible for providing assistance to participants. How will the organization staff the Peer Mentor position with a candidate who is well-rooted in recovery, have experience working with the substance use and mental health community, and have excellent oral and written communication skills?
7. Describe the proposed process for reporting progress to the court. How will the proposer provide feedback to the courts on an effective and ongoing basis, including completing quarterly reports? Include information about the timing and content of proposed feedback.
8. Describe the proposer's plan to collect, maintain, and report data as required by UCS.
9. Describe the proposed supervisory structure for the Project. How will the organization ensure appropriate supervision?

d. Line-Item Budget Proposal

Applicants must submit a line-item budget proposal indicating the total amount of funding requested *for the first budget period* (the "First Budget Period") described below. The budget must be on the Required Budget Form available at <http://nycourts.gov/admin/bids/currentsolicitations.shtml>.

Proposals listing total budgeted costs in excess of the Project Budget set forth in Article II above may be subject to disqualification.

Proposals should include budgeted costs for on-site training, consultation, materials, and other expenses.

Note that there shall be no other charge, cost, reimbursement, or expense of any kind payable by UCS in connection with or arising from the performance of the Project Services. Applicant shall be solely responsible for all costs and expenses incurred in connection with the performance of Project Services that are not expressly included in its budget and approved by UCS.

1. The First Budget Period is April 1, 2026-March 31, 2027 (12 months). The maximum available funding for the First Budget Period is \$576,841.
2. Subsequent budget periods during the Contract Term will be subject to the availability of appropriated funds and will be determined based on fiscal and programmatic considerations.
3. Non-Allowable Costs/Expenses

The following items *may not be included* in applicant's budget:

- Major capital expenditures
- Interest costs
- Fundraising costs
- Advertising costs except for recruitment of Project Services personnel
- Entertainment costs
- Costs for dues, or attendance at conferences or meetings of professional organizations

e. Budget Narrative

Applicant must submit a narrative of not more than three (3) pages that briefly describes the expenses included in each budget category of its budget proposal, and how they relate to the Project Services. The Personal Services description must include a brief description of responsibilities. The Non-Personal Services (NPS) description must include a brief description of how each expense category relates to the provision of Project Services. For equipment expenses, if any, explain the type of equipment (for example, laptop computer, cell phone) to be purchased. For travel expenses, if any, explain which staff will be traveling and the destination, purpose, and frequency of travel.

f. Additional Documents

In addition to the documents listed above, applicants must submit all documents listed in the Document Enclosure Checklist attached as Exhibit 1 hereto.

IX. SUBMISSION OF PROPOSAL

a. Proposal Delivery

Applicants must submit their proposals by hand delivery or mail. Only one (1) signed, hard copy original complete proposal is required. **Proposals will not be accepted electronically or by fax.**

Proposals must be clearly addressed and submitted to:

NYS Unified Court System

**Division of Grants, Contracts & Procurement
2500 Pond View, Suite 104
Castleton-on-Hudson, New York 12033
ATTN: Jillian Halse**

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

**“Deliver immediately to Jillian Halse”
“Sealed Application - Do not open”
“RFP # OCA-DGCP-058 Mental Health Case Management Services, New York County, New
York
– Due November 19, 2025 at 2:00 PM Eastern”**

b. Submission Deadline

Applications must arrive at the address above by no later than **Wednesday, November 19, 2025 at 2:00 PM Eastern**. Any application received after this deadline will be declared late and may be disqualified. Notwithstanding the foregoing, a late application may be accepted by UCS in its sole discretion if: (i) an insufficient number of timely applications meeting the requirements of this RFP are received; or (ii) the applicant has satisfactorily demonstrated to UCS that the late application was caused solely by factors outside the control of the applicant. However, in no event shall UCS be obligated to accept a late application, and in making such determination, UCS will consider whether accepting a late application would materially benefit or disadvantage a particular applicant. It is recommended that applicants allow several extra days for shipping in order to meet the deadline.

c. Amendment of Proposals

Proposers may only amend submitted proposals prior to the Bid Submission Deadline Date. Amended proposals must be submitted in packaging which clearly indicates “Amended Proposal for RFP # OCA-DGCP-058.” Amended proposals must be signed by an individual who is duly authorized to amend the bidder’s original proposal. Amended proposals must be submitted in the same manner as original proposals described herein. Amended proposals received by UCS after the Bid Submission Deadline Date will be rejected for lateness.

d. Withdrawal of Proposal Prior to Bid Submission Deadline Date

A proposal may be withdrawn at any time prior to the Bid Submission Deadline Date. If multiple proposals are submitted by the same bidder, the bidder must clearly indicate to which proposal the withdrawal applies.

e. Bidder Confidential/Proprietary Information

If applicable, bidders 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 UCS. Bidders are advised that any material deemed confidential by bidder may still be subject to disclosure in connection with any governmental or

judicial proceeding or inquiry or as may be required by applicable law, including, but not limited to, Article 6 of the New York Public Officers Law (Freedom of Information Law). Such confidential/proprietary information must be in a separate folder from the non-confidential sections of the proposal.

f. No-Bids

Proposers deciding not to answer this RFP are requested to send a no-bid letter to OCA, Attn: Jillian Halse, Court Analyst, NYS Unified Court System, Division of Grants, Contracts and Procurement, 2500 Pond View, Suite 104, Castleton-on-Hudson, NY 12033. The envelope must be clearly marked in the lower left corner as follows: RFP # OCA-DGCP-058. No-bid letters may alternatively be sent by email to JHalse@nycourts.gov. Please indicate in “Subject” field: RFP # OCA-DGCP-058 – No-Bid.

X. QUESTIONS

Any and all questions applicants may have in connection with this RFP are to be directed by email only to:

Jillian Halse
JHalse@nycourts.gov

Please indicate in “Subject” field: RFP # OCA-DGCP-058 Mental Health Case Management Services, New York County, New York Question(s)

The deadline to submit questions is **Wednesday, November 5, 2025 at 2:00 PM Eastern**. No questions will be entertained after this deadline. A written Questions & Answers (Q&A) listing all questions received and their answers will be posted on the UCS website at www.nycourts.gov/admin/bids in the Addenda column for the appropriate solicitation and emailed to the applicants list promptly after this deadline.

IMPORTANT: Contact by any prospective applicant, or any representative thereof, with any other personnel of the UCS in connection with this RFP may violate the Procurement Lobbying Act of 2005 (see Attachment IV), will jeopardize the respective applicant's standing and may cause rejection of its proposal.

XI. PRE-BID CONFERENCE

A pre-bid conference will not be held.

XII. GENERAL SPECIFICATIONS

The terms and conditions set forth below are binding on, and incorporated into this RFP, the Bidder's proposal, and any contract resulting from this RFP.

Access to Court Facilities

Awarded Contractor(s) must comply with all applicable location rules, policies, guidelines and procedures in order to be granted access to court facilities. Where applicable to the performance of work under an awarded contract, bidders shall be wholly responsible for familiarity with the physical layout and access to the courts and buildings in question, including but not limited to, roadways, overhangs, parking, security, elevators, required access permits or insurance certificates. Court staff cannot modify security measures, access protocols, or parking restrictions to facilitate Awarded Contractor's entrance to or egress from court facilities unless required to do so by law.

Binding Nature of Bid/Proposal on Bidders

All bids/proposals shall remain binding on bidders until such time as UCS/OCA provides written notification of its intent to award the contract to a specific bidder or until the bidder requests withdrawal of its bid/proposal in writing, and such withdrawal is accepted by UCS/OCA in its sole discretion in accordance with applicable law and the terms of this RFP, whichever occurs first.

Charities Registration

If a vendor is required to register with the New York State Office of the Attorney General as a charitable organization, the registration must be up to date at the time of contract approval. Vendors must be sure all their documents are up-to-date and comply with the vendor responsibility requirements as outlined below. To determine the status of your charities registration with the Attorney General, contact: https://www.charitiesnys.com/RegistrySearch/search_charities.jsp

Clarification/Correction of Bids/Proposals

In addition to any rights articulated elsewhere in this solicitation, UCS reserves the right to require clarification at any time during the procurement process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of a bidder's proposal and/or to determine a bidder's compliance with the requirements of this solicitation. This clarifying information, if requested in writing by UCS, must be submitted by the bidder, in accordance with formats as prescribed by UCS at the time said information is requested and, if received by the due date set forth in UCS's request for clarification, shall be included as a formal part of the bidder's proposal. Clarifying information, if any, whether provided orally, visually, or in writing, will be considered in the evaluation process. Failure to provide required information by its associated due date may result in rejection of the bidder's proposal. Nothing in the foregoing shall mean or imply that UCS is obligated to seek or allow clarifications or corrections as provided for herein.

Compliance with Laws

Prior to and during the provision of all services under the contract resulting from this RFP, Awarded Contractor(s) must comply with all applicable federal, state, and local laws, rules, and regulations, including but not limited to fire, health, and safety codes.

Confidential/Proprietary Information

If applicable, applicants should specifically identify those portions of the proposal deemed to contain confidential or proprietary information or trade secrets, and, upon request, must provide justification why such material should not be disclosed to parties other than UCS and the Offices of the New York State Attorney General and Comptroller. Applicants are advised that any material deemed confidential by applicant may still be subject to disclosure in connection with any governmental or judicial proceeding or inquiry or as may be required by applicable law, including but not limited to Article 6 of the New York Public Officers Law (Freedom of Information Law). Such confidential/proprietary information must be easily separable from the non-confidential sections of the proposal.

Confidentiality and Data Security

Awarded Contractor(s) acknowledges that any and all information, records, files, documents, or reports contained in any media format provided to the Awarded Contractor(s) by the UCS, or which may be otherwise encountered by Awarded Contractor(s), shall be considered extremely confidential and shall be handled accordingly at all times. Neither the Awarded Contractor(s) nor any of its employees, servants, vendors, agents or volunteers shall at any time be permitted to utilize such confidential information for any purpose outside the scope of any resulting agreement from this RFP without the express prior written authorization of UCS. Any breach of this confidentiality by the Awarded Contractor(s) or by any of its employees, servants, subcontractors, agents, or volunteers, may result in the immediate termination of any resulting agreement by UCS and may subject the Awarded Contractor(s) to further penalties.

Awarded Contractor(s) shall use, and require its employees and authorized agents to use, at least the degree of care a reasonably prudent person would use to protect and prevent improper access to the records.

Awarded Contractor(s) is prohibited from maintaining confidential files and records provided to or generated by Awarded Contractor(s) in a mobile or portable device. Remote access to the UCS confidential information is prohibited unless industry standard protocols for remote access are in place (e.g., SSL, VPN). In addition, Awarded Contractor(s) will be required to comply with the data security and confidentiality requirements of other government agencies that supply data to UCS.

Contract Terms

The successful bidder shall be required to comply with the provisions set forth in this RFP, as well as such other provisions contained in an agreement, in form and content satisfactory to UCS in its sole discretion.

Federal Requirements

If an award made under this bid is funded in whole or in part with federal funds, the bid/award recipient shall, at its cost and expense, promptly and fully comply with, and assist UCS as may be necessary in complying with, any federal requirements applicable to such federal award and funding. It is the responsibility of the applicant to be fully familiar with the federal terms and conditions of the award.

Financial Stability

Upon request by UCS, applicant shall provide its audited financial statements prepared in accordance with

Generally Accepted Accounting Principles (GAAP) for the past three (3) consecutive years and a copy of its last three (3) annual reports.

Implied Requirements

Products and services that are not specifically requested in this solicitation, but which are necessary to provide the functional capabilities proposed by the bidder, shall be included in the offer except as specified herein.

Indemnity

Awarded Contractor(s) shall indemnify, defend and hold harmless UCS, its officers and employees from and against any and all claims, causes of action, damages, costs, liabilities and expenses of any kind (including reasonable attorneys' fees and the cost of legal defense) which UCS may incur by reason of: (i) Awarded Contractor's breach of any term, provision, covenant, representation or warranty contained in the contract awarded as a result of this bid; (ii) any act, omission, negligence or intentional misconduct of Awarded Contractor(s) or its employees, subcontractors, agents, volunteers or of other persons under its direction and control; (iii) Awarded Contractor's performance or failure to perform under the contract; or (iv) enforcement by UCS of the awarded contract or any provisions thereof. UCS will notify Awarded Contractor of any claim, action, or demand for which indemnity is required in the reasonable opinion of UCS and will cooperate reasonably with Awarded Contractor at Awarded Contractor's expense. Any law firm Awarded Contractor chooses to defend UCS must be experienced in defending similar claims and will be subject to UCS approval, which will not be unreasonably withheld. Awarded Contractor may not settle any lawsuit or matter relating to the culpability or liability of UCS without the prior written consent of UCS. UCS reserves the right to participate in any defense of a claim and/or to be represented by counsel of its own choosing at its own expense.

Awarded Contractor shall also defend, indemnify, and hold UCS harmless from and against any and all damages, expenses (including reasonable attorneys' fees), claims, judgments, liabilities and costs in any action for infringement of a patent, copyright, trademark, trade secret or other proprietary right arising out of the awarded contract.

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 Awarded Contractor is an employee of the UCS, OCA or State of New York. The Awarded Contractor(s) 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 corporations, or other organizations employed or engaged by the Awarded Contractor(s), 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(s) or any of its employees or subcontractors.

Inspection of Bidder's/Awarded Contractor's Facilities

The UCS/OCA reserves the right to inspect bidder's proposed facilities, as part of the bid evaluation. Subsequent to award, Awarded Contractor's facilities shall be made available for periodic inspection. In all instances, advance notification will be communicated by appropriate UCS personnel.

Intellectual Property

If Awarded Contractor(s) is required to produce specially commissioned materials pursuant to the awarded contract (the "Work"), whether in written form, on tape, on computer-readable media, or in another tangible or intangible form, Awarded Contractor acknowledges and agrees that UCS shall have the option to: (i) retain a royalty-free, nonexclusive and irrevocable right to reproduce, publish, or otherwise use the Work; or (ii) be the sole owner of the Work (the Work shall be considered a "work made for hire"), for Work generated under the awarded contract at no additional cost to UCS.

Minor Bid Irregularities

Provided the same will not materially benefit or disadvantage any particular bidder or substantially alter the requirements of this bid, UCS may: (i) waive technicalities; (ii) waive minor irregularities, omissions or incompletions in the bid or a bid response; (iii) waive any bid requirements that are unmet by all bidders; (iv) consider any and/or all alternatives and/or enhancements suggested by the successful bidder; or (v) make an award under the bid in whole or in part and negotiate contract terms and conditions with the successful bidder to meet UCS requirements consistent with such award.

Notice of Substantial Change in Contractor's Status

In addition to complying with the requirements of State Finance Law Section 138 (requiring prior approval of subcontractors and assignments or conveyances), Contractor shall notify UCS of any substantial change in the ownership, membership, or financial viability of the Awarded Contractor(s) in writing immediately upon its occurrence. In addition to any other remedies available at law or in equity, UCS shall have the right to cancel the contract, in whole or in part, for cause, if it finds, in its sole judgment, that such substantial change adversely affects the delivery of services under the contract or is otherwise not in the best interests of UCS.

Online 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 and 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.

Payment

Awarded Contractor(s) shall send true and accurate invoices on a quarterly basis by email or by conventional mail to such person as UCS/OCA shall designate in the contract resulting from this RFP or by such other method to another person at another address as UCS/OCA shall designate.

Payment shall be made quarterly in arrears and shall be made within thirty (30) days of submission by Awarded Contractor(s) and approval by UCS of invoices satisfactory to UCS and Office of the State Comptroller.

Notwithstanding the foregoing, at the sole discretion of UCS, and subject to the availability of funds, advance payment of up to twenty-five percent (25%) of the annualized funding amount allocated for each budget period may be available for awarded contracts with not-for-profit organizations.

Payment for services performed under the awarded contract shall be conditioned upon the acceptance and approval of such services. Payment shall also be conditioned on whether those services are sufficiently complete both in accordance with the RFP specifications and to the extent necessary for UCS to utilize those services for their intended purpose.

Pricing

All pricing submitted pursuant to the solicitation shall be net and include all costs for the performance of all services required under this solicitation, including transportation costs.

Other than the pricing submitted on the Required Budget Form, there shall be no other charge, cost, reimbursement or expense of any kind payable by UCS in connection with, or arising from, Awarded Contractor's performance of the services set forth herein. Awarded Contractor(s) shall be solely responsible for all costs and expenses incurred in connection with the performance of such services.

Pricing shall be submitted only on, and in the format prescribed by, the Required Budget Form. Bidder must quote pricing and compute all price extensions prompted by the Required Budget Form. In the event of a bidder's miscalculation, the unit price will prevail. UCS reserves the right to make mathematical corrections based on unit price(s). Pricing in the awarded contract for amounts in increments not equal to pricing units indicated in the Required Budget Form will be prorated accordingly.

Rejected and Unacceptable Bids/Proposals/Awards

UCS reserves the right to reject any and all proposals or bids submitted in response to this solicitation. In addition, UCS may reject any bids/proposals from any bidders who are in arrears to the State of New York upon any debt or performance of any contract; or who have previously defaulted on any contractual obligations (as contracting party, 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, whose proposal is incomplete or otherwise non-responsive in any material respect; or who are found to be non-responsible based on any of the criteria specified in the section headed "Responsible Bidder."

UCS also reserves the right to reject any bidder: (i) whose facilities and/or resources are, in the opinion of OCA, inadequate or too remote from the UCS locations to render services in a timely manner in accordance with all requirements of this solicitation; (ii) who does not provide references in accordance with the bid specifications, or whose references report significant failure to comply with specifications; or (iii) who are otherwise, in the opinion of OCA, unable to meet specifications.

UCS further reserves the right to set aside a bid award to a successful bidder if it is unsuccessful in negotiating a satisfactory contract within a time frame acceptable to the UCS, in which event UCS may then invite the next responsible and responsive bidder with the next highest evaluation score to enter into negotiations for purposes of executing a contract.

Responsible Bidder

A bidder shall be defined as “responsible” in accordance with, but not limited to: references, past performance history, financial stability, responses to the Vendor Responsibility Questionnaire (see Attachment III-Vendor Responsibility Questionnaire), the criteria set forth in the paragraph headed “Rejected and Unacceptable Bids/Proposals/Awards,” as well as any other criteria necessary and reasonable to establish the bidder’s responsibility.

Silence of the Specifications

The apparent silence of the specifications contained as part of this package as to any detail or to 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.

Subcontracting

Subcontracting, and any other transfer of any duties or obligations to be performed hereunder, will be permitted only with the prior written consent of UCS to the proposed subcontractors. In the event that bidder proposes to use one or more subcontractors, the specific subcontractors and the services proposed to be performed by such subcontractors, must be listed in bidder’s proposal. If a bidder that proposes to use one or more subcontractors is awarded the contract, the award will constitute the prior written approval of UCS to the subcontractors named in the bidder’s proposal. All subcontracts shall be in writing and contain provisions which are functionally identical to, and consistent with, the provisions of the contract. Unless waived in writing by UCS, all subcontracts between the Contractor and subcontractors shall expressly name UCS as the sole intended third-party beneficiary of such subcontract. UCS reserves the right to review, approve, or reject any subcontract, as well as any amendments to said subcontract(s), and this right shall not make the UCS or the State of New York a party to any subcontract or create any right, claim, or interest in the subcontractor or proposed subcontractor against UCS or the State.

The Awarded Contractor(s) will be the prime contractor and will be responsible for all services required by this RFP. The UCS will communicate only with Awarded Contractor(s), and the Awarded Contractor(s) shall remain wholly liable for the performance by, and payment to, any such subcontractors, their employees, agents, consultants or representatives. UCS may require subcontractors to provide

evidence of insurance, as applicable, prior to UCS approval. If total compensation to any subcontractor exceeds \$100,000 in the aggregate, the subcontractor must submit and certify a Vendor Responsibility Questionnaire.

Awarded Contractor shall give UCS immediate notice in writing of the initiation of any legal action or suit which relates in any way to a subcontract with a subcontractor or which may affect the performance of the Awarded Contractor's duties under the awarded contract.

Termination

Early termination of the contract for cause may result in, among other consequences, exercising any or all remedies available to UCS and New York State, including, but not limited to: the Awarded Contractor(s) both being declared non-responsible by the UCS/OCA pursuant to the UCS and Office of the State Comptroller's guidelines on vendor responsibility and/or being removed from the UCS/OCA applicants list for future solicitations.

A. Early Termination for Budget Modification

1. If the UCS Budget ("Budget") is modified (a "Budget Modification," defined in subsection 2 below) for any State fiscal year included in the term of the awarded contract, in whole or in part (including any renewal or extension term), such that UCS determines, in its sole discretion, that it is necessary to reduce, eliminate, or otherwise modify the budget allocation covering payment thereunder, UCS shall have the option to terminate the awarded contract upon not less than thirty (30) days' notice to Awarded Contractor(s), without liability for costs, expenses or damages as a result thereof.
2. For purposes of this subsection A, Budget Modification shall mean and include, with respect to the Budget or any appropriation contained therein:
 - i. any reduction, elimination or restriction upon access thereto as provided by law; or
 - ii. any restriction placed on UCS' spending authority, including any restriction imposed by UCS upon itself in response to a request of the Executive or Legislative Branch of government.
3. Termination hereunder shall be further governed by the termination provisions contained in the awarded contract, as applicable.

B. Early Termination for Cause

Early termination of the contract for cause may result in, among other consequences, exercising any or all remedies available to UCS and New York State, the Awarded Contractor(s) both being declared non-responsible by the UCS/OCA, pursuant to the UCS and Office of the State Comptroller's guidelines on vendor responsibility and in the Awarded Contractor's removal from the UCS/OCA's bidders list for future solicitations.

Unified Court System Self-Insurance

UCS, a New York State governmental entity, is self-retained for risk of loss and liability.

Work for Hire

If Awarded Contractor(s) produces any materials for UCS pursuant to this RFP, such work shall be deemed a “work for hire” and shall be governed by the terms of Exhibit 6 (Appendix B: Terms and Conditions Applicable to Materials Produced Under the Agreement).

EXHIBIT 1

DOCUMENT ENCLOSURE CHECKLIST

The documents listed below must be submitted together with applicant’s proposal. Failure to do so as required may disqualify applicant’s response.

Documents requiring signature must be duly signed where indicated. The listed documents may not be modified, retyped or amended in any manner.

A complete set of RFP documents must be submitted. Failure to provide all documents in the manner required may result in disqualification of an applicant’s proposal.

- ___ Proposal Cover Sheet (Exhibit 2)
- ___ Vendor Assurance and Conflict-of-Interest Disclosure (Exhibit 3)
- ___ Narrative Description – Organizational Capacity (Article VIII (a))
- ___ Project staff resumes (Article VIII (b))
- ___ Narrative Description – Proposed Service Delivery (Article VIII (c))
- ___ Line-Item Budget Proposal/Budget Narrative (Article VIII (d) and Article VIII (e))
- ___ Certificates of NYS Workers’ Compensation and NYS Disability Benefits Insurance, or Certificate of Attestation of Exemption. (See Exhibit 4 “Insurance Requirements” for a list of accepted forms).
- ___ Copies of applicant’s certificate(s) of insurance or other adequate proof evidencing the insurance coverages required by the bid specifications (See Exhibit 4 “Insurance Requirements” for a list of accepted forms).
- ___ Attachment I - Standard Request for Bid Clauses & Forms
 - p.3 - Non-Collusive Bidding Certificate
 - p.4 - Corporate Acknowledgment
- N/A Attachment II – Not Applicable
- ___ Attachment III – Vendor Responsibility Questionnaire
 - questionnaire filed online via Office of State Comptroller VendRep System and certified within 6 months of the bid opening date, or
 - paper questionnaire
- ___ Attachment IV – Procurement Lobbying forms
 - Disclosure of Prior Non-Responsibility Determination (UCS 420)
 - Affirmation of Understanding and Agreement (UCS 421)

EXHIBIT 2
PROPOSAL COVER SHEET

Mental Health Case Management Services, New York County, New York

Legal Name of Applicant	
Executive Director/CEO	
Address	
Phone	
Fax	
Email	
Website Address (not required)	
Federal Tax Identification No. (TIN)	
Amount of Funding Requested	
New York State Charities Registration Number (if applicable)	
Years in Operation	

Vendor’s Primary Contact for Proposal Matters:

NAME:		
STREET:		
CITY:	STATE:	ZIP:
TELEPHONE NUMBER:	EMAIL:	

Verification:

Authorized representative of Vendor must complete and sign below to verify that each copy of the submitted proposal includes all documents required per the Document Enclosure Checklist (Exhibit 1):	
COMPANY NAME:	
AUTHORIZED OFFICER’S NAME AND TITLE:	
SIGNATURE:	DATE:

Note: Applicants must submit this Proposal Cover Sheet together with all documents listed in the Document Enclosure Checklist attached as Exhibit 1 to this Request for Proposals

EXHIBIT 3

VENDOR ASSURANCE AND CONFLICT-OF-INTEREST DISCLOSURE

TO BE COMPLETED ON OFFEROR'S LETTERHEAD

Date

Jillian Halse
Court Analyst
NYS OCA Division of Grants, Contracts & Procurement
2500 Pond View, Suite 104
Castleton-on-Hudson, NY 12033

Dear Ms. Halse:

Re: RFP #OCA- DGCP-058 Mental Health Case Management Services, New York County, New York

Vendor Assurance and Conflict of Interest Disclosure

[INSERT OFFEROR NAME] hereby submits this firm and binding offer to the New York State Unified Court System, the judicial branch of the State of New York, in response to Request for Proposals (RFP) #OCA-DGCP-058 (Mental Health Case Management Services, New York County, New York). The Proposal hereby submitted meets or exceeds all terms, conditions, and requirements set forth in the above-referenced RFP.

[INSERT OFFEROR NAME]'s complete offer is set forth in one bound assembled volume.

[INSERT OFFEROR NAME] hereby affirms that the solution proposed by the Offeror in the Proposal meets or exceeds the service level requirements set forth in the above-referenced RFP, including referenced attachments.

[INSERT OFFEROR NAME] hereby affirms that it knows of no factors existing at time of bid submission or which are anticipated to arise during the procurement or Contract term, which would 1) constitute a potential conflict of interest for Offeror or any subcontractor named in the Proposal, or 2) position the Offeror or any named subcontractor to violate or breach any other contract currently in force with the State of New York:

1. Furthermore [INSERT OFFEROR NAME] hereby attests that it will not act in any manner that is detrimental to any State project on which the Offeror is rendering services. Specifically, Offeror attests that the fulfillment of obligations by the Offeror, as stated in the Proposal, does not violate any existing contracts or agreements between the Offeror and the State;

2. The fulfillment of obligations by the Offeror, as stated in the Proposal, does not and will not create any conflict of interest, or perception thereof, with any current role or responsibility that the Offeror has with regard to any existing contracts or agreements between the Offeror and the State;
3. The fulfillment of obligations by the Offeror, as stated in the Proposal, does not and will not compromise the Offeror's ability to carry out its obligations under any existing contracts between the Offeror and the State;
4. The fulfillment of any other contractual obligations that the Offeror has with the State will not affect or influence its ability to perform under any contract with the State resulting from this RFP;
5. During the negotiation and execution of any contract resulting from this RFP, the Offeror will not knowingly take any action or make any decision which creates a potential for conflict of interest or might cause a detrimental impact to the State as a whole including, but not limited to, any action or decision to divert resources from one State project to another;
6. In fulfilling obligations under each of its State contracts, including any contract which results from this RFP, the Offeror will act in accordance with the terms of each of its State contracts and will not knowingly take any action or make any decision which might cause a detrimental impact to the State as a whole including, but not limited to, any action or decision to divert resources from one State project to another;
7. The Offeror has not and shall not offer to any employee, member or director of the State any gift, whether in the form of money, service, loan, travel, entertainment, hospitality, thing or promise, or in any other form, under circumstances in which it could reasonably be inferred that the gift was intended to influence said employee, member or director, or could reasonably be expected to influence said employee, member or director, in the performance of the official duty of said employee, member or director or was intended as a reward for any official action on the part of said employee, member or director.
8. To comply with the requirements outlined under the heading "Responsible Bidder" in Article XII of the above-referenced RFP, Offeror hereby affirms (enter an "X" in the appropriate box):
 - An online Vendor Responsibility Questionnaire has been updated or created within the last six (6) months at the website of the Office of the Comptroller: <https://onlineservices.osc.state.ny.us/Enrollment/login?1>
 - A hard copy Vendor Responsibility Questionnaire is included with the Proposal and is dated within the last six (6) months.
 - A Vendor Responsibility Questionnaire is not required due to an exempt status. Exemptions include governmental agencies, public authorities, public colleges and universities, public benefit corporations, and Indian Nations.

By signing, the undersigned individual affirms and represents that he or she has the legal authority and capacity to sign and make this offer on behalf of, and has signed using that authority to legally bind [INSERT OFFEROR NAME] to the offer, and possesses the legal capacity to act on behalf of Offeror to

execute a Contract with the New York State Unified Court System. The aforementioned legal authority and capacity of the undersigned individual is affirmed by the enclosed Resolution of the Corporate Board of Directors of [INSERT OFFEROR NAME].

Signature
[INSERT OFFEROR SIGNATORY NAME]
[INSERT TITLE]
[INSERT OFFEROR COMPANY NAME]

EXHIBIT 4

INSURANCE REQUIREMENTS

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

1. Workers' compensation and disability benefits insurance coverage as required under New York State 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 New York State Workers' Compensation and/or Disability Benefits Coverage.

Proof of Disability Benefits Coverage

- Form DB-120.1 - Certificate of Disability Benefits Insurance; or
- Form DB-120.2 - Certificate of Participation in Disability Benefits Group Self-Insurance; or
- Form DB-155 - Certificate of Disability Benefits Self-Insurance; or
- Form CE-200 - Certificate of Attestation of Exemption from New York State Workers' Compensation and/or Disability Benefits Coverage.

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

Workers' Compensation Board
Bureau of Compliance
(518) 462-8882
(866) 298-7830

Applicants awarded funding (whether through a new or amended contract) will be required to provide updated certificates of workers’ compensation and disability benefits coverage that name the UCS as the certificate holder if the applicable form has a space for a certificate holder to be listed. The carrier must enter:

NYS Unified Court System
 Office of Court Administration
 Division of Grants, Contracts & Procurement
 2500 Pond View, Suite 104
 Castleton-on-Hudson, New York 12033

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

2. Commercial General Liability Insurance (bodily injury and property damage on an occurrence basis), personal injury and advertising liability coverage, 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 in, or otherwise authorized 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 a certificate holder, 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. The commercial general insurance of Applicants awarded funding shall be primary insurance with respect to UCS.

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

3. Commercial or other Property Insurance (hazard and casualty) coverage must be obtained from commercial insurance carriers licensed or otherwise authorized to do business in the State of New York. Proof of applicant’s commercial property 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 and loss payee prior to finalization of the contract. Applicant’s insurance carrier

must provide UCS (as a certificate holder) with at least thirty (30) days advance written notice of cancellation or non-renewal of coverage. Such insurance shall cover the premises owned or rented by the vendor in an amount not less than the full insurable value (replacement value) of the real property unless otherwise approved in writing by UCS.

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

EXHIBIT 5

**PROPOSAL RATING TOOL
TECHNICAL PROPOSAL SUMMARY RATING SHEET**

APPLICANT: _____

Capacity (35 points possible) A. _____

Proposed Service Delivery (40 points possible) B. _____

Total Points: 75 points **TOTAL** _____

A minimum average technical score of 40 is required for a contract to be awarded.

EVALUATOR (Print) _____

(Signature) _____

DATE ___/___/___

DETAIL RATING SHEETS

PROPOSER: _____

REVIEWER: _____

A. CAPACITY (35 POINTS POSSIBLE)

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

- _____ A1. Assess the appropriateness of the applicant’s philosophy and current principal activities with respect to mental health services as they relate to individuals with mental health disorders. *(up to 5 points: 5 = excellent, 4 = very good, 3 = good, 2 = fair, 1 = poor, 0 = unacceptable)*

- _____ A2. Assess the applicant’s ability to effectively manage government-funded programs. *(up to 6 points: 6 = excellent, 5 = very good, 3 = good, 2 = fair, 1 = poor, 0 = unacceptable)*

- _____ A3. Assess the applicant’s experience and expertise providing comprehensive mental health assessments, case management services, and peer support services for clients with co-occurring disorders. *(up to 6 points: 6 = excellent, 5 = very good, 3 = good, 2 = fair, 1 = poor, 0 = unacceptable)*

- _____ A4. Assess the applicant’s experience and experience providing services to individuals involved in the criminal justice system. *(up to 6 points: 6 = excellent, 5 = very good, 3 = good, 2 = fair, 1 = poor, 0 = unacceptable)*

- _____ A5. Assess the applicant’s stated capacity to effectively manage government-funded programming and work in partnership with the court. *(up to 6 points: 6 = excellent, 5 = very good, 3 = good, 2 = fair, 1 = poor, 0 = unacceptable)*

- _____ A6. Assess the applicant’s experience with recruiting, screening, training and retaining Peer Mentors. *(up to 6 points: 6 = excellent, 5 = very good, 3 = good, 2 = fair, 1 = poor, 0 = unacceptable)*

SUBTOTAL FOR PART “A” (A1 + A2 + A3 + A4 + A5 + A6) _____

DETAIL RATING SHEETS

PROPOSAL: _____

REVIEWER: _____

B. PROPOSED SERVICE DELIVERY (40 POINTS POSSIBLE)

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

_____ B1. Evaluate the extent to which the applicant demonstrates that the organization has instituted mechanisms likely to result in high-quality services, taking into account significant developments which may impact on the ability to institute such mechanisms. *(up to 4 points: 4 = excellent, 3 = good, 2 = fair, 1 = poor, 0 = unacceptable)*

_____ B2. Assess the applicant's proposed service delivery of the Project Services. Is the plan likely to result in a fully functional Project? *(up to 5 points: 5 = excellent, 4 = very good, 3 = good, 2 = fair, 1 = poor, 0 = unacceptable)*

_____ B3. Assess the applicant's plan to staff the Judicial Diversion-Mental Health Track. Is the plan likely to result in a fully functional Project? *(up to 4 points: 4 = excellent, 3 = good, 2 = fair, 1 = poor, 0 = unacceptable)*

_____ B4. Assess the applicant's experience and how its existing collaborations with the court and community-based service delivery systems will enhance the Project goals. *(up to 5 points: 5 = excellent, 4 = very good, 3 = good, 2 = fair, 1 = poor, 0 = unacceptable)*

_____ B5. Assess the applicant's plan to ensure the Project goals are met. *(up to 5 points: 5 = excellent, 4 = very good, 3 = good, 2 = fair, 1 = poor, 0 = unacceptable)*

_____ B6. Assess the applicant's plan for Project staff to document their activities with participants, reporting individual client progress to the court, and how this information will be maintained. *(up to 4 points: 4 = excellent, 3 = good, 2 = fair, 1 = poor, 0 = unacceptable)*

_____ B7. Assess the applicant's plan to provide a Peer Mentor to support the Project. *(up to 5 points: 5 = excellent, 4 = very good, 3 = good, 2 = fair, 1 = poor, 0 = unacceptable)*

_____ B8. Assess the applicant's plan to complete quarterly reports as required by UCS. *(up to 4 points: 4 = excellent, 3 = good, 2 = fair, 1 = poor, 0 = unacceptable)*

_____ B9. Assess the applicant’s proposed supervisory structure for the Project. (*up to 4 points: 4 = excellent, 3 = good, 2 = fair, 1 = poor, 0 = unacceptable*)

SUBTOTAL FOR PART “B” (B1 + B2 + B3 + B4 + B5 + B6 + B7 + B8 + B9) _____

EXHIBIT 6

APPENDIX B

Terms and Conditions Applicable to Materials Produced Under the Agreement

1. Contractor acknowledges and agrees that UCS has ordered and/or specially commissioned the services, deliverables, and materials that Contractor is required to produce pursuant to this Agreement (the "Work"), whether in written form, on tape, computer-readable media or other tangible or intangible form. Except as otherwise specified in this Appendix B, Contractor agrees that: (i) UCS shall be the sole owner of the Work; and (ii) the Work shall be considered a "work made for hire" as that term is used under federal and state law. UCS or its authorized designee shall have all right, title, and interest of every kind and nature, whether now known or hereafter devised and including, without limitation, all copyrights and renewals and extensions thereof, in and to the Work, including without limitation any editions and versions thereof, without payment of any royalty or other compensation. Without limiting the foregoing, and except as otherwise specified in this Appendix B, if all or any part of the Work is not so deemed a "work made for hire," Contractor hereby irrevocably grants, assigns, transfers, and sets over to UCS or its authorized designee all rights of any kind and nature in and to the Work that he/she/it may possess or come to possess, including without limitation all copyrights and renewals and extensions thereof, without payment of any royalty or other compensation. Contractor agrees to execute and deliver to UCS any assignments and other documents requested by UCS confirming the assignment to UCS or its authorized designee of all rights in the Work and to fully cooperate with UCS in registering and protecting UCS's rights to and interests in the Work. Upon request of UCS during any stage thereof, Contractor shall deliver all such Work to UCS. To the extent an assignment is not effective under applicable law, Contractor grants UCS an exclusive, perpetual, royalty-free, fully-paid, irrevocable, worldwide, transferable license to use, reproduce, distribute, and commercialize any deliverables to the fullest extent permissible and effective under applicable law. Contractor shall cooperate with UCS, at UCS's request, as reasonably required to perfect or secure UCS's rights, including executing appropriate documents.

2. Contractor represents and warrants that the Work shall be created solely by Contractor, be original, and does not infringe upon the copyright, trademark, patent, or other proprietary rights of any third party, including without limitation the right to use or display the name, face, or likeness of any person. Furthermore, Contractor represents and warrants that the Work and any other materials used in connection with this Agreement shall not include or incorporate in any way the work or materials of any third party with rights to such work or materials, or the name, face, or likeness of any person, unless Contractor has: (i) advised UCS of this; and (ii) the appropriate written authorizations, releases, licenses, or other permits to allow UCS and Contractor to use the Work and any other materials used in

connection with this Agreement without violating such rights have been obtained and delivered to UCS. The form of such authorizations and other documents is subject to UCS's approval.

3. All rights granted to UCS hereunder are irrevocable and shall vest and remain perpetually vested in UCS and UCS's successors and assigns without payment of any royalty or other compensation, whether this Agreement expires or is terminated, and shall not be subject to rescission, cancellation, or termination by Contractor for any cause whatsoever.

4. If applicable, Contractor shall own and retain all pre-existing proprietary rights to any materials, tools, templates, or methodologies produced or licensed by Contractor prior to the Effective Date, or not as a result of this Agreement ("Contractor's Property"), even if such materials are incorporated into the Work. If any such materials are incorporated into the Work, Contractor hereby grants to UCS or its authorized designee, in perpetuity, at no additional cost or expense, a royalty-free, fully-paid, non-exclusive, irrevocable worldwide license to reproduce, display, and otherwise use Contractor's Property as part of the Work.

5. If master tapes are created in the production of the Work, upon receipt of final payment for the Work, Contractor will provide these to UCS, except for the master tapes to Contractor's Property (if applicable).

6. If requested by UCS, Contractor shall include in the Work a copyright notice in the following form: "Copyright (or ©) [year] New York State Unified Court System. All rights reserved." If applicable, the notice shall be computer-readable and clearly visible to viewers for at least three seconds.

7. Contractor shall indemnify, defend, and hold UCS, its administrative officers, directors, employees, and authorized agents harmless from and against all claims, costs, liability, and damages, including reasonable attorneys' fees and disbursements: (i) resulting from the Contractor's breach of representation or warranty made herein; or (ii) arising in connection with an allegation that UCS's use of the Work (if any) or any other deliverable, if any, infringes any patent, trade secret, copyright, or any other proprietary right, including, without limitation, the rights to use or display a person's name, face, or likeness.

8. This Appendix B shall survive expiration or termination of this Agreement.