



NEW YORK STATE UNIFIED COURT SYSTEM

Request for Proposals: DPCS/JBO # 127
Professional and Court Services /
Judiciary Benefits Office

UCS Employee Assistance Program

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* 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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Reading this Request for Proposals

This Request for Proposals (RFP) comprises the *Articles*, *Attachments*, and *Exhibits* described below.

There are twelve (11) **Articles** in this main document:

- I. Background Information
- II. Purpose and Scope
- III. Minimum Qualifications
- IV. Award
- V. Program Services
- VI. Required Documents
- VII. Submission of Proposal
- VIII. Key Dates
- IX. Questions
- X. Pre-Bid Conference
- XI. General Terms and Specifications

In addition, there are three (3) standard **Attachments**: Attachments I, III, and IV. Note that Attachment II is deliberately not included in this RFP. The three Attachments that are included in this RFP are available for download from the table on the Unified Court System’s Current Solicitations webpage (<http://ww2.nycourts.gov/admin/bids/currentsolicitations.shtml>). The attachments are available in the “Addenda” column of the row corresponding to this RFP. If this RFP requires vendors to submit a “required budget form,” that form is available for download in the same row and column as the Attachments.

Lastly, there are **Exhibits** that are published in this main document following Article XI. Vendors are strongly encouraged to follow the checklist in Exhibit 2 when assembling their proposal.

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



For information about *why the Unified Court System has issued this RFP*, please consult Articles I, II, and V.

If you want to know *whether you or your organization qualifies to submit a proposal*, please consult Article III as well as Attachment III.

For information about *how and when to submit any questions*, please consult Article IX. If you want to know *whether a pre-bid conference will be held*, please consult Article X.

For guidance about *how to submit your proposal*, including *formatting requirements*, please review Articles VI and VII as well as Exhibit 2.

For details about *how your proposal will be evaluated*, please read Articles IV, V, VI, and XI as well as the Proposal Evaluation Tool in Exhibit 5.

Finally, the *number of available awards and the duration of the resultant contract* can be found in Article IV. This RFP includes the standard “Appendix B” that will be incorporated into any resultant contract (see Exhibit 6).

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>.

II. PURPOSE AND SCOPE

The UCS Office of Court Administration's (OCA) Division of Professional and Court Services (DPCS) is soliciting proposals on behalf of the Judiciary Benefits Office (JBO) to administer the UCS Employee Assistance Program ("EAP"), which is referred to as the "Work/Life Assistance Program" ("Program").

UCS provides the Program as a benefit to UCS judicial and nonjudicial employees and their families, to help employees balance personal life with work needs and to address personal difficulties that might affect performance in the workplace.

RFP Objectives

Through this procurement, UCS wishes to:

- (1) Provide maximum access for employees to high-quality EAP services at no cost to employees and their families and at minimum cost to the State;
- (2) Minimize the amount and rate of future cost increases for Program services;
- (3) Establish performance targets to assess and monitor EAP program performance; and
- (4) Ensure all state and federal regulations and requirements pertaining to the delivery of EAP services are met.

Overview of Program Services

Program services shall include but not be limited to:

1. Confidential assessments, short-term counseling, referrals, and follow-up services
2. Comprehensive health and wellness services, including behavioral wellness programs focused on alcohol and other substance abuse, stress, grief, family problems, and emotional health
3. Information, guidance, and referral services concerning family care, including childcare, elder care, and consumer issues, such as financial, legal, and everyday living
4. Consultative role with UCS managers and supervisors to address employee issues affecting work performance

5. Risk assessment and crisis management, including onsite support during crisis and other emergency response situations
6. Custom training programs, orientation, outreach, and online resources

**** See Article V (Program Services), below, for detailed specifications. ****

UCS Employee Workforce

As of the date this RFP is issued, UCS employs approximately 16,256 judicial and non-judicial employees. Roughly 25% of the employees are trained security and/or law enforcement personnel authorized to carry firearms. The diverse workforce includes union-represented members as well as Management Confidential (“MC”) designees.

Eligible Participants

Program services are available to the UCS Employee Workforce described above as well as their families, including immediate family members as well as parents, parents-in-law, siblings, domestic partners, and anyone to whom the employee has a close personal relationship where the person would be considered “like” family (collectively, “Eligible Clients”). Note that the number of Eligible Clients is greater than the number of employees who constitute the UCS Employee Workforce.

Historical Utilization

UCS has offered employees and their families access to Work/Life Assistance Program services for many years. During each of the past four calendar years (2018, 2019, 2020, and 2021), fewer than five percent (5%) of eligible employees availed themselves of program services.

Compensation

Proposers should calculate the total cost for all services to be delivered pursuant to this RFP on a per-employee basis for each of the first three years of any resulting contract and aggregate those costs as instructed on the Pricing Sheet found in Exhibit 3. The awarded Contractor’s compensation shall be calculated annually. For each of the first three years of the contract resulting from this RFP, Contractor’s compensation shall be calculated by multiplying the per-employee premium rate supplied on the Pricing Sheet in Exhibit 3 by the number of employees on the UCS payroll as of January 1 of that year (irrespective of the annual number of Eligible Clients who participate in the Program). Premium rate increases for the fourth and fifth years will be subject to negotiation between the selected vendor and UCS, and UCS invites vendors to propose a methodology, such as adjustments to the Consumer Price Index, for calculating any proposed rate increase for those years.

III. MINIMUM QUALIFICATIONS

OCA will consider proposals submitted by entities that demonstrate a minimum of three (3) years’ experience providing similar services required under this solicitation. Proposals must

commit to deliver Program services 24 hours a day, seven days a week, and throughout the United States.

In addition, the selected vendor must either be registered with the NYS Department of State (“DOS”) as an entity authorized to do business in New York State or, if not currently registered with DOS, the organization must be eligible and able to receive such authorization.*

IV. AWARD

A single estimated quantity term contract (“Contract”) will be awarded to the successful respondent (“Awarded Contractor”). The terms and conditions of this RFP will form the basis of the contract with the Awarded Contractor.

Term of Award

The Contract will be awarded for an initial term of three (3) years (“Initial Term”) pursuant to this RFP. The Contract is expected to commence during **Spring 2023**. OCA reserves the right to renew such Contract for two (2) additional one-year periods (each, a “Renewal Term”) upon the same terms and conditions excluding pricing.

OCA further reserves the right to extend the Contract for a period not to exceed six (6) months (“Extension Term”), upon written notification to Awarded Contractor prior to the expiration date of the Initial Term or a Renewal Term, upon the same terms and conditions including pricing as the preceding Term; provided, the maximum term of the awarded contract will be five (5) years. The Contract, renewals and extension thereof are subject to the approval of the NYS Attorney General and the NYS Comptroller.

Award Selection Criteria and Method of Award

The selected awardee must (1) meet the minimum qualifications outlined in Article III above; (2) be a responsible applicant as determined in accordance with the criteria in Article XI; and (3) receive the highest composite (technical + cost) score in excess of the minimum score as determined by the selection criteria set forth herein. A minimum technical score of 40 is required for a contract to be awarded.

Responsibility is determined in accordance with the criteria articulated in the “Responsible Applicant” paragraph set forth in Article XI (General Terms and Specifications).

Proposals will be reviewed and rated by a team of qualified UCS staff. Preference will be given to qualified entities that have provided EAP services to public or private organizations with predominantly unionized workforces governed by collective bargaining agreements and/or with security or law enforcement workforces authorized to carry firearms, as is the case with approximately 25% of UCS’s employees.

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

* For additional guidance, please see <https://app.dos.ny.gov/publicinquiry/>.

Proposals will be scored as follows:

Technical Criteria (80%)	Maximum Points
Organizational Capacity	20
Quality of Program Services	40
Staffing and Administrative Services	20
Maximum Technical Points	80
Cost (20%)	20
Maximum Cost Points	20
MAXIMUM TOTAL POINTS	100

Criteria for organizational capacity, quality of program services, and staffing and administrative services are contained the Rating Tool attached as Exhibit 4 hereto.

V. PROGRAM SERVICES

1. Statement of Work Overview

UCS seeks creative and cost-effective proposals from responsible vendors capable of administering a work/life assistance program featuring employee counseling services, wellness services, concierge services, and training programs (collectively, the “Project Services”) as described below. The awarded contractor must deliver a full spectrum of employee assistance services, including but not limited to counseling assistance and referral assistance for Eligible Clients facing emotional well-being, relationship and family problems, alcohol and substance abuse problems, workplace challenges, conflicts between co-workers, and legal and financial difficulties.

Subsection A: Staffing and Administrative Services

The selected vendor must furnish one or more account managers to ensure the high quality of all services delivered under the resulting contract. Specifically, the assigned account manager(s) will facilitate and coordinate services for employees referred for mandatory participation in counseling services (see Subsection B, below). The selected vendor must also: (a) conduct outreach and program promotion; (b) provide online resources and services; and (c) furnish reports documenting utilization of program services.

1. Account Management Services. A critical part of the successful administration of the Program is the partnership between the awarded contractor’s Account Manager/Team and the UCS Program liaisons. Program administration has become increasingly decentralized; accordingly, administration of the program on behalf of UCS is performed by program liaisons on a regional basis. While UCS has courts in all 62 counties of New York State, its administrative activities occur primarily in regional district offices located in New York City, Long Island, and seven different upstate locations (the cities of

Albany, Binghamton, Buffalo, Rochester, Saratoga Springs, Syracuse, and White Plains). The Program liaisons will be based primarily in these regional locations. Consequently, the Account Manager/Team must be available to work closely with all the Program liaisons on all Program-related matters, including being available for frequent travel throughout the State to meet with liaisons and also for program promotion and training. Additionally, the Account Manager(s) must also be available to UCS managers as well as Union officials for consultations regarding employee performances that may concern Program-related issues. Vendors must provide the names and titles of all the Account Management Team members responsible for working with the UCS Program Liaisons in each regional Judicial District as set forth in Exhibit 7. For this purpose, Judicial Districts 1, 2, 11, 12 & 13 (New York City) are combined into one region.

2. Staffing Requirements for Counseling Services: The successful vendor will designate a social worker or mental health counselor who holds a master's degree or higher in a relevant field to act as the main contact person in coordinating services to be rendered under the resultant contract. The successful vendor must provide a qualified backup counselor, who also holds a master's degree or higher in a relevant field, in the event of the main contact's absence or unavailability. As the individual holding this position is an important part of the Program, the resultant contract will require UCS prior approval of any subsequent designated social worker or mental health counselor.

For employees referred for mandatory counseling (see Subsection B, below), the assigned account manager(s) must: (a) liaise with the Program liaisons and UCS Human Resources and administrative authorities responsible for disciplinary matters and drug testing procedures; (b) monitor the attendance in and compliance with counseling services of employees who are referred on a mandatory basis for program services and report such information as directed by UCS; and (c) monitor and follow the case from inception to completion based on UCS needs and requirements and must report on case status within UCS directed timeframes.

3. Outreach and Program Promotion. The awarded contractor must provide outreach and promotion of Program services on an ongoing basis. The successful vendor must include in its proposal a description of its proposed employee outreach and promotional services, including details regarding the content and frequency of presentations to be offered, promotional material (including the number/amount of materials bidder will supply annually without additional cost to UCS, employees, or Eligible Clients), website for use by UCS Eligible Clients, and any other promotional services that bidder proposes to offer.

The Contractor shall work in conjunction with UCS to ensure continuity of branding across all program and materials, fliers (including digital), mailings, emails, website, apps, social media and any other communications information, tools, communication methods, and resources. This branding shall include, but is not limited to, use of logos designated by UCS, color scheme, and applicable taglines. All uses of these branding

elements shall be subject to prior approval in writing by OCA. All marketing and communications materials, including contact information for any Eligible Clients, shall become the property of UCS.

4. Online Resources and Services. The awarded contractor must provide a dedicated online resource center for UCS and all Eligible Clients. Eligible Clients must have access to online services provided through the online resource center. Bidder's proposal must describe in sufficient detail the bidder's current online resource center and provide a list of available online services.
5. Program Development and Reports: The Awarded contractor will work closely with and report to the JBO Program Administrators to assist in the ongoing development and implementation of the Program. The awarded contractor shall submit, at no additional cost to UCS and at least twice annually, activity reports in a format and in accordance with the Program evaluation requirements satisfactory in form and substance to UCS. The vendor must include a sample activity report with its proposal (see Required Documents item (VI)(A)(1)(a)(3) on page 12).

Subsection B: Employee Counseling Services

The vendor must provide a short-term counseling program at no cost to the employee and at no additional cost to UCS. The selected vendor must provide up to eight (8) sessions, as appropriate and necessary, to Eligible Clients. The vendor's proposal must describe in sufficient detail the vendor's procedures and time frames for providing referrals as well as for scheduling appointments in emergency and non-emergency cases. Bidder's proposal must describe in sufficient detail the bidder's standards for service availability, return call procedures (emergency and non-emergency), and procedures for scheduling appointments (emergency and non-emergency) and timeframes for responding and completing each of the services.

The selected vendor will select counseling services to Eligible Clients upon:

- A referral from JBO or the employee's supervisor for *mandatory participation*;
- A *voluntary request* from the employee; or
- Notification from the JBO that onsite counseling services are needed following a *crisis or other traumatic event* affecting multiple employees at one or more specific locations.

The selected vendor must have the capability to coordinate with various human service organizations and professionals for immediate, intermittent and aftercare delivery of services to Eligible Clients as needed. The vendor will carefully prescreen these agencies and professionals to find key personnel who will best serve the needs of Eligible Clients. All referrals made to both inpatient and outpatient alcohol/substance use and psychiatric programs should be prescreened and placed in specialized programs; Eligible Clients who are employed as court officers should be referred to programs designed to address the unique stresses associated with first responders.

Referrals are to be made based on each individual Eligible Client's health care benefits to appropriate agencies and taking into consideration the Eligible Client's geographic location. The selected vendor must use its best efforts to refer Eligible Clients covered by an employee's health insurance plan consistent with the terms of that coverage.

Whenever possible, the awarded contractor must make referrals and provide assistance for long-term treatment to resources that are covered by the individual's existing health care coverage. The applicant must demonstrate that it has established and maintains ongoing relationships with a sufficient number of community-based resources who participate in the New York State Health Insurance Program (NYSHIP). The state health insurance booklet titled "Choices," which describes the State's Empire Plan, lists the NYSHIP-approved health maintenance organizations, and explains the options available to UCS employees. It is available for download at this URL: <https://www.cs.ny.gov/employee-benefits/hba/shared/publications/choices/2023/active-choices-2023.pdf>.

In 2021, there were approximately 505 employees referred for services; this number is in line with referrals made in previous years. Over the past three (3) years, approximately 50 to 60 employees have been referred for mandatory counseling services per year.

1. **Mandatory Counseling:** UCS may mandate that employees who test positive for the presence of drugs or who are the subject of disciplinary actions attend counseling sessions. If an employee's participation is mandatory, the awarded contractor must monitor that employee's participation and report the employee's attendance and compliance to UCS on a schedule to be mutually agreed upon. In the case of mandated employee counseling referrals and services, the awarded contractor must monitor and follow the case from beginning to completion based on UCS needs and requirements and must report on case status within a timeframe to be specified by the UCS. Awarded contractor's mental health professional staff must be solely dedicated to providing EAP services, and the bidder must explain in its proposal how its case management services will operate absent any conflicts of interest. The selected vendor must provide assessment, motivation, counseling sessions, and/or referral for counseling for each problem presented by each Eligible Client requesting assistance within a time-frame suitable to UCS.
2. **Voluntary Counseling:** The awarded contractor must offer or make available a short-term counseling program to Eligible Clients seeking assistance of up to eight (8) sessions, as appropriate and necessary. Upon the request and need of an Eligible Client, the vendor will conduct an evaluation to assess the individual and determine the appropriate level of intervention and/or treatment. The purpose of these sessions will be for assessment and, if necessary, referral. If deemed necessary, counseling and/or a referral will be provided for each Eligible Client. If it is determined that an Eligible Client needs to be referred for further or more specialized services, the successful vendor will provide such a referral and follow up to determine rate of success or need for further evaluation. In such cases, the referred individual(s) will be financially responsible either through health insurance

or self-pay for those services they receive. The selected vendor will furnish 24-hour telephone answering services and guarantee that Eligible Clients will be offered an appointment within a time-frame suitable to UCS. The selected vendor must provide assessment, motivation, counseling sessions, and/or referral for counseling for each problem presented by each Eligible Client requesting assistance within a time-frame suitable to UCS.

3. Onsite Post-Traumatic Event Counseling Services: A variety of traumatic events, including terrorist and mass-shooting events, catastrophic environmental phenomena, or the sudden loss of a family member or colleague, can occur with little or no advance notice. The awarded contractor shall be required to provide critical incident stress debriefing and/or grief group sessions at any UCS location throughout the State upon request and at no additional cost or expense to UCS within a timeframe to be agreed upon mutually. Preference will be given to vendors with experience providing such debriefings and sessions, and proposals should include proposed time frames for outreach and onsite counseling in critical / emergency situations (see Required Documents item (VI)(A)(1)(a)(10) on page 14).

Subsection C: Wellness Services

The selected vendor will provide a high-quality, cost-effective Wellness Program to Eligible Clients. The vendor will perform and manage all administrative functions for wellness-related activities, including monitoring and tracking compliance, providing program reports and results tracking for individuals, and producing all communication materials relating to available wellness services. Additional health & wellness activities and programs, such as webinars and in-person programs, must also be conducted, as requested by UCS, at no additional cost or expense. The vendor shall include samples of its promotional materials and descriptions of previous outreach programs with its proposal (see Required Documents item (VI)(A)(1)(a)(11) on page 14).

Subsection D: Concierge Services

1. Family and Caregiving Services. The selected vendor will deliver childcare assessment, referral, and educational services as well as caregiving assessment, information, referral, and benefit assistance services.
 - a. Childcare Assessment, Referral, and Educational Services: The awarded contractor must provide services in the area of childcare, including, but not limited to, assessment by counseling staff of necessary and age/ability-appropriate level of care, information concerning potential child care savings programs or tax credits, as well as information and referrals for the full range of childcare options, including day care for pre-school aged children; care both before and after school; in-home care; and summer camps. In addition, the selected vendor will offer Eligible Clients education concerning parenting, child development, adoption, and academic services. The vendor's proposal must describe in sufficient detail the

vendor's procedures and time frame for providing information/referrals to Eligible Clients.

- b. Caregiving Assessment, Information, Referral, and Benefit Assistance Services:
The selected vendor must provide caregiving services, including but not limited to assessment by staff of necessary and appropriate level of care; information and referrals concerning the full range of housing options for the elderly and other community resources; assistance with Medicare and Medicaid information and applications; legal and financial assistance; and assistance in handling the resulting family stress and other caregiver concerns. The vendor's proposal must describe in detail the vendor's procedures and timeframe for providing information/referrals to Eligible Clients.
2. Consumer Information and Work-Life Referral Services. The selected vendor will provide information to Eligible Clients on a variety of consumer issues, including daily living, pet care, vacation planning, contractors, adult education, support groups, fitness centers, etc.

Subsection E: Training Services

At the direction of UCS, the selected vendor will develop and deliver customized training programs related to Program services on a broad range of topics targeted to UCS managers, employees, Unions, and Eligible Clients upon timeframes satisfactory to UCS. The selected vendor must provide an Account Manager or a member of the Account Team who will travel to any of the regions described on page 5 under "Account Management Services." See Exhibit 8 (UCS Annual Reports 2018-2021 Utilization) for a sample listing of activity and locations where a member of the Account Team and/or affiliate may be required to travel. The selected vendor must ensure that this travel occurs throughout the contract period to provide training programs at no additional cost or expense to UCS. All costs and expenses for conducting such activities shall be the sole responsibility of the awarded contractor.

1. Management Training Programs: Applicants are encouraged to identify in their proposals training modules they would offer to UCS managers. UCS is particularly interested in trainings to UCS management and Union officials, which will assist them recognize warning signs and motivate employees to use Program services. Applicants are encouraged to include a list of available training modules as well as a list of proposed training modules targeted to UCS management employees.
2. Other Training Programs: The selected vendor will offer trainings (in-person and/or online) to UCS employees that will boost morale, improve productivity, help employees resolve conflicts in the workplace, support employee wellness, etc. Applicants are encouraged to include a list of available training modules as well as a list of proposed training modules targeted to UCS non-management employees, Union representatives, and non-employee Eligible Clients.

Subsection F: Additional Services

Applicants are encouraged to include descriptions in their proposals of any EAP program services offered in addition to (and not as a replacement of) the required program services set forth above. Such program enhancements, if available, shall be at no additional cost to the UCS and shall be included in the vendor's premium rate. UCS is particularly interested in "state of the art" Program services that will: (a) be compelling to Eligible Clients who might not otherwise avail themselves of Program services; (b) convey to UCS employees that by offering this benefit UCS values its employees and wants to help them to achieve balance in their personal and professional lives; (c) help Eligible Clients who are current UCS employees improve their productivity and job satisfaction; and (d) help UCS attract and retain qualified and productive employees.

2. Invoicing

A. Awarded contractor shall submit true and accurate invoices by email to an employee to be designated by UCS.

B. Each invoice shall include:

- Vendor name
- Name of UCS Agency that ordered the goods or services;
- Description of goods or services requesting for which payment is invoiced (may be in narrative or code values format);
- Period during which the invoiced goods or serves were delivered or rendered;
- Quantity of goods, property, or services delivered or rendered; and
- Amount requested

3. Additional Contractor Requirements

N/A

VI. REQUIRED DOCUMENTS

General and Formatting Requirements

All documentation must be submitted on prescribed forms, without alteration.

Vendors must submit every document listed in sections A and B, below.

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. To facilitate photocopying, do not permanently bind 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.

All submitted forms must have the SAME COMPANY NAME AND TAX ID NUMBER in order for a purchase order or contract to be approved by the NYS Comptroller.

Failure to provide all documents in the manner required – including the number of requested copies - may result in disqualification of a bid response. Any changes, deletions, or additions (including the addition of supplemental terms and conditions) to this RFP or to any exhibits or appendices to this RFP, including Exhibit 3 (Pricing Sheet), may result in the rejection of the bid as non-responsive.

A. NARRATIVE DESCRIPTION, STANDARD BID DOCUMENTS, AND OTHER REQUIRED DOCUMENTS

1. Narrative Description

Applicants must submit a proposal narrative and quote responsive to the requested items set forth below.

The maximum number of pages for all responses to this Narrative Description is 25 pages.

Note: Each requested item below correlates to one or more of the evaluation factors in the Proposal Evaluation Tool set forth in Exhibit 5.

a. Organizational Capacity

1. Summarize the vendor's applicable experience providing EAP/Work Life assistance. Describe the vendor's experience providing EAP/Work Life assistance in New York State. [Correlates to Evaluation Factor A1]
2. List the names and contact information for any and all client organizations served by the vendor during the past five years. UCS reserves the right to inquire of any such organizations as it deems necessary to complete its evaluation. [Correlates to Evaluation Factor A2]
3. List the number of current staff operating within New York State separated out by location and title (e.g., counselor, administrator) and the percentage of staff dedicated to each of the Program services (e.g., X% dedicated counselors; X% dedicated administrators). Also, include a sample activity report per Article V(1)(A)(5) on page 7. [Correlates to Evaluation Factor C1]
4. Indicate the number of established locations and the address for each such location in each Judicial District set forth in Exhibit 7 (Judicial Districts). For this purpose,

Districts, 1, 2, 11, 12 & 13 (New York City) are to be combined. [Correlates to Evaluation Factor C1]

5. Provide a list indicating the approximate number of currently operating affiliates that the bidder will be using to provide counseling services within New York State. [Correlates to Evaluation Factor C1]
6. Provide a list indicating the number of established affiliates located in each Judicial District as set forth in Exhibit 7. For this purpose, Districts, 1, 2, 11, 12 & 13 (New York City) are to be combined. The vendor (and/or awarded contractor) shall provide to UCS a list containing the names/addresses of its affiliates in all Districts. All entities to whom the awarded contractor refers Eligible Clients shall possess the requisite professional licensing and experience to service the particular referral. The Awarded contractor shall be required to demonstrate same to UCS upon request. Notwithstanding the foregoing, the awarded contractor shall remain primarily responsible and liable for the performance of all entities to whom it refers Eligible Clients. UCS shall have no independent communication with the affiliates unless specific individual circumstances require otherwise. [Correlates to Evaluation Factor C1]
7. Explain whether the vendor has nationwide capabilities to provide—directly or through appropriate referrals—the full range of Program Services to Eligible Clients throughout the United States, as the same may be necessary to the family members of UCS employees who do not reside within New York State. Describe your organization’s experience delivering Program Services to individuals with limited-English proficiency, to individuals who are hard of hearing or have hearing impairments, and to individuals who require and are entitled to receive reasonable accommodations under applicable law to access Program Services. Confirm that websites and other electronic communications will comply with Section 508 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794d). [Correlates to Evaluation Factor A3]

b. Program Services

8. Explain how your organization will provide up to eight (8) counseling sessions per calendar year to ***Eligible Clients who are referred for mandatory counseling services***. Discuss how your organization will ensure that assigned service providers meet minimum qualifications and how service providers will be assigned to referred Eligible Clients. Verify that these services will be delivered at no additional cost to the Eligible Client or to UCS above and beyond the total cost for the contract. Confirm that services will be delivered in coordination with the Eligible Client’s health insurance coverage. Explain how your organization will maintain client

- confidentiality while monitoring participation in such services, and explain how your organization will report to the assigned UCS Program Liaison or to the UCS Human Resources and designated administrative authority. [Correlates to Evaluation Factor B1]
9. Explain how your organization will provide up to eight (8) counseling sessions per calendar year to ***Eligible Clients who access counseling services on a voluntary basis***. Discuss how your organization will ensure that assigned service providers meet minimum qualifications and how service providers will be assigned to referred Eligible Clients. Verify that these services will be delivered at no additional cost to the Eligible Client or to UCS above and beyond the total cost for the contract. Confirm that services will be delivered in coordination with the Eligible Client's health insurance coverage. Explain how your organization will maintain client confidentiality while monitoring participation in such services, and explain how your organization will report utilization of such services to the assigned UCS Program Liaison. [Correlates to Evaluation Factor B2]
 10. Describe how your organization will provide ***critical incident stress debriefing and/or grief group sessions*** at any UCS location throughout the State upon request and at no additional cost or expense to UCS within a timeframe to be agreed upon mutually. Discuss your organization's experience providing such debriefings and sessions, and include proposed time frames for outreach and onsite counseling in critical / emergency situations. [Correlates to Evaluation Factor B3]
 11. Describe how your organization will provide a ***high-quality, cost-effective Wellness Program*** to Eligible Clients. Explain how your organization will perform and manage all administrative functions for wellness-related activities, including monitoring and tracking compliance, providing program reports and results tracking for individuals, and producing all communication materials relating to available wellness services. Indicate how your organization will conduct health & wellness activities and programs, such as webinars and in-person programs, as requested by UCS at no additional cost or expense. Include samples of promotional materials and descriptions of previous outreach programs. Describe how your proposal will engage Eligible Clients in proactively managing their health, result in measurable improved health outcomes for participants, and maintain compliance with applicable laws, including HIPAA, ADA, ERISA, and COBRA. [Correlates to Evaluation Factor B4]
 12. Explain how your organization will connect Eligible Clients with ***high-quality childcare services***, including, but not limited to, assessment by counseling staff of necessary and age/ability-appropriate level of care as well as information and referrals for the full range of childcare options, including: day care for pre-school

- aged children; care both before and after school; in-home care; and summer camps. In addition, the explain how your organization will offer Eligible Clients education concerning parenting, child development, adoption, and academic services. Describe in sufficient detail your organization’s procedures and timeframe for providing information/referrals to Eligible Clients. [Correlates to Evaluation Factor B5]
13. Describe how your organization will connect Eligible Clients with ***high-quality caregiving services***, including but not limited to assessment by staff of necessary and appropriate level of care; information and referrals concerning the full range of housing options for the elderly and other community resources; assistance with Medicare and Medicaid information and applications; legal and financial assistance; and assistance in handling the resulting family stress and other caregiver concerns. Describe in detail your organization’s procedures and timeframe for providing information/referrals to Eligible Clients. [Correlates to Evaluation Factor B5]
14. Describe your organization’s experience identifying ***family support and peer resources*** as part of an integrated EAP and work-life program. Discuss how your organization will provide information to Eligible Clients on a variety of consumer issues, including daily living, pet care, vacation planning, contractors, education, support groups, fitness centers, etc., and how your organization will help Eligible Clients access those services. Describe how your organization maintains an accurate and up-to-date list of provider organizations for those services. [Correlates to Evaluation Factor B5]
15. Explain how your organization will ***promote Program Services on an ongoing basis***. Describe proposed employee outreach and promotional services, including details regarding the content and frequency of presentations to be offered, promotional material (including the number/amount of materials bidder will supply annually without additional cost to UCS, employees, or Eligible Clients), website for use by UCS Eligible Clients, and any other promotional services that your organization proposes to offer. [Correlates to Evaluation Factor B6]

16. Explain how your organization will develop and deliver ***training programs for managers***. Confirm that any training programs will be delivered at no additional cost to UCS and that your organization will provide at least one (1) onsite training at least once every two years in each of the Judicial Districts (for this purpose, Districts, 1, 2, 11, 12 & 13 (New York City) are to be combined into one region). Include a list of managerial training programs delivered over the past five years, and include a sample set of curriculum materials for one of those trainings. Also, discuss your organization's experience delivering trainings to managers and Union representatives as well as its capacity to deliver such trainings during the term of the contract resulting from this RFP; confirm that any such training programs will be delivered at no additional cost to UCS. [Correlates to Evaluation Factor B7]
17. Explain how your organization will provide a ***dedicated online resource center*** for UCS and all Eligible Clients. Describe your organization's current online resource center and provide a list of available online services. Confirm that websites and other electronic communications will comply with Section 508 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794d). Confirm that communications will be co-branded with the UCS and that the UCS logo will appear as the same size or larger than that of your organization. Indicate whether the online resource will be a platform-independent web-base app. [Correlates to Evaluation Factor B6]
18. Discuss ***additional services*** your organization proposes to provide as part of a modern, fully integrated employee assistance program and work-life initiative. Describe any EAP program services your organization will deliver in addition to (and not as a replacement of) the required program services contained in this RFP. Such program enhancements, if available, must be included in your organization's quoted premium rate. [Correlates to Evaluation Factor B8]

c. Staffing and Administrative Services

19. Describe how your organization will ***assign one or more Account Managers*** to liaise with UCS personnel to ensure that high-quality services are delivered timely, regionally, and responsively. [Correlates to Evaluation Factor C2]
20. Include an ***organizational chart*** identifying the names and titles of the Account Manager and Account Team members who will be responsible for the UCS account. [Correlates to Evaluation Factor C2]
21. Include ***copies of resumes and copies of diplomas/state certifications/other qualifications*** for each identified Account Team member, including the Account Manager(s). Each Account Manager's business address, phone, and fax numbers, as well as e-mail address, should also be provided. [Correlates to Evaluation Factor C1]

22. Provide a complete *list of staff counselors with appropriate mental health degrees/certifications*. The awarded contractor shall provide updated staff documentation upon request. [Correlates to Evaluation Factor C1]
23. Discuss how the assigned Account Manager will *monitor the attendance in and compliance with counseling services of employees who are referred on a mandatory basis* for program services. For mandated employee counseling referrals/services, the assigned Account Manager must monitor and follow the case from inception to completion based on UCS needs and requirements and must report on case status within timeframes directed by UCS. Propose how the assigned Account Manager will report such information to UCS. If your organization currently furnishes such reports, please include a redacted example of the report your organization customarily prepares and furnishes. [Correlates to Evaluation Factors B1 and C2]
24. Describe how the Account Manager will work closely with and report to the JBO Program Administrators to assist in the ongoing development and implementation of the Program. Confirm that your organization will submit activity reports at no additional cost to UCS and at least twice annually. Include a sample activity report with the proposal. [Correlates to Evaluation Factor C2]

d. Cost

25. Using the Pricing Sheet set forth in Exhibit 3, supply the Total Cost for the initial three-year term of the contract by completing the following table (the total cost is defined as the sum over three years of the number of employees per year multiplied by the premium rate per employee):

Year	Premium Rate per Employee		Number of Employees		Cost
1	\$	×	16,256	=	\$
2	\$	×	16,256	=	\$
3	\$	×	16,256	=	\$
TOTAL COST (sum of the Cost for Each Year)					\$

[Correlates to Evaluation Factor D1]

26. Premium rate increases for years 4 and 5 will be subject to negotiation between the selected vendor and UCS. Explain how your organization will calculate any proposed rate increase for those years. Identify any external factors, such as adjustments to the Consumer Price Index, that will drive requests for increased premiums. [Correlates to Evaluation Factor D2]

2. Bidder Contact Information

In the Proposal Cover Sheet (Exhibit 1), vendor shall designate a person as the primary contact for all questions OCA may have regarding the vendor's proposal.

3. References

Each vendor must submit three (3) references, other than UCS, including the company/agency name, complete address, contact name, title, telephone number and email address, for whom the vendor has provided similar services at any time during the past three (3) years.

B. STANDARD BID DOCUMENTS

1. Attachment I - Standard Request for Bid Clauses & Forms and 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, and Attachment IV - Disclosure of Prior Non-Responsibility Determination (UCS 420) and Affirmation of Understanding and Agreement (UCS 421) 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 (UCS) is required to conduct a review of a prospective Vendor 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 Vendor's legal authority to do business in New

York State, business integrity, financial and organizational resources, and performance history (including references).

The UCS recommends that vendors file the required Vendor Responsibility Questionnaire online via the New York State VendRep System. However, vendors may choose to complete a paper questionnaire and submit it with their proposal.

Online Questionnaire: To enroll in and use the New York State VendRep System, see the VendRep System Instructions available at <http://www.osc.state.ny.us/state-vendors/vendrep/vendrep-system> or go directly to the VendRep System online at <https://onlineservices.osc.state.ny.us/Enrollment/login?1>. Vendors must provide their New York State Vendor Identification Number when enrolling (see paragraph headed 'New York State Vendor File Registration' for instructions on obtaining a Vendor Identification

Number.) For VendRep System assistance, contact the Office of the State Comptroller's Help Desk at 866-370-4672 or 518-408-4672 or by email at ITServiceDesk@osc.state.ny.us.

Vendors who file the Vendor Responsibility Questionnaire online via the OSC VendRep System are requested to checkmark the appropriate box on the Document Enclosure Checklist. Please note that online submissions must be certified and dated/updated not more than six (6) months prior to the bid opening date of this RFB/RFP. Bidders' authorized signature of the RFB/RFP form will serve as confirmation that bidders have knowingly filed their questionnaire online if the paper questionnaire is not included with the bidder's submission.

Paper Questionnaire: Vendors opting to complete and submit a paper questionnaire can obtain the appropriate questionnaire from the VendRep website www.osc.state.ny.us/vendrep/forms_vendor.htm or may contact the UCS or the Office of the State Comptroller's Help Desk for a copy of the paper form.

3. New York State Vendor File Registration

Prior to being awarded a contract pursuant to this solicitation, the bidder(s) must be registered in the New York State Vendor File (Vendor File) administered by the OSC. This is a central registry for all vendors who do business with New York State agencies and the registration must be initiated by a State agency. Following the initial registration, a unique New York State ten-digit vendor identification number (Vendor ID) will be assigned to vendors for usage on all future transactions with New York State. Additionally, the Vendor File enables vendors to use the Vendor Self-Service application to manage certain vendor information in one central location for all transactions related to the State of New York.

If the bidder is already registered in the Vendor File, the vendor must enter the vendor's ten-digit Vendor ID on the first page of this bid document.

If the bidder is not currently registered in the Vendor File, upon award of a contract the Bidder must complete the OSC Substitute W-9 Form (<https://www.osc.state.ny.us/sites/default/files/vendors/2017-11/vendor-form-ac3237s-fe.pdf>) and submit the form to UCS. **The UCS will initiate the vendor registration process** for the Vendor. Once the process is initiated, Vendor will receive an e-mail identifying their unique ten-digit Vendor ID and instructions on how to enroll in the online Vendor Self-Service application. For more information on the Vendor File please visit the following website:

https://esupplier.sfs.ny.gov/psc/fscm/SUPPLIER/ERP/c/NUI_FRAMEWORK.PT_LANDI_NGPAGE.GBL.

4. Electronic Payments

Vendors not currently receiving electronic payments, and who wish to do so, should enroll in ePayment – New York State's electronic payment program for vendors. To do so,

vendors need to log onto the Vendor Self-Service Portal and enter their bank account information. ePayments will ensure you are receiving payments faster and in a more secure manner. If you need assistance in accessing the Vendor Self-Service Portal, please contact the SFS Helpdesk at helpdesk@sfs.ny.gov or 1-877-737-4185.

5. Proof of Insurance

Vendor must include in its proposal all documentation required pursuant to Exhibit 4 (Insurance Requirements).

VII. SUBMISSION OF PROPOSAL

1. Vendors must supply three (3) printed copies of their proposals, and all proposals must be submitted in person or by mail.
2. All proposals must be enclosed in a single envelope or, if in multiple envelopes, with information indicating the individual envelope number and the total number of envelopes (for example, “Envelope 2 of 3”). Each envelope must be labeled with the following information on two sides:

**“Deliver immediately to Diana Sakur”
“Sealed Application - Do not open”
“EMPLOYEE ASSISTANCE PROGRAM RFP DPCS/JBO # 127
Due Thursday, February 16, 2023, at 2PM”**

3. Bids/Proposals must be clearly addressed and submitted to:

**Division of Professional and Court Services
2500 Pond View, Suite 104
Castleton-on-Hudson, New York 12033
ATTN: Diana Sakur**

Proposals will not be accepted electronically or by fax.

Applications must arrive at the address above by no later than **Thursday, February 16, 2023, at 2PM (EST)**.

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 OCA-designated person by **Thursday, February 16, 2023, at 2PM (EST)** at the latest or bids will be declared late bids and they will be disqualified. It is recommended that bidders allow several extra days for shipping in order to meet the deadline.

Vendor Confidential/Proprietary Information

If applicable, vendors 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. Vendors are advised that any material deemed confidential by vendor 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.

No-Bids

Vendors are requested to send a no-bid letter to OCA, Attn: Diana Sakur, at the above address, should they decide not to answer this solicitation. Please write the following in the lower left corner of the envelope: RFP DPCS/JBO # 127. No-bid letters may be sent by email to ahershe@nycourts.gov. Please indicate in "Subject" field: RFP DPCS/JBO # 127 – No-Bid.

VIII. KEY DATES

EVENT	DATE
RFP Issue Date*	Monday, December 19, 2022
RFP Question Due Date	Thursday, January 5, 2023
Pre-Bid Conference Date	Thursday, January 19, 2023 at 1:00 PM (EST)
Proposal Submission Deadline	Thursday, February 16, 2023, at 2:00 PM (EST)
Estimated Contract Start Date	Spring 2023

***OCA reserves the right to modify any Key Date as it may deem appropriate.**

IX. QUESTIONS

Any and all questions regarding this solicitation are to be directed by email only to:

Diana Sakur

dsakur@nycourts.gov

Please indicate in "Subject" field: "RFP DPCS/JBO # 127 – Question(s)."

The deadline to submit questions is **Thursday, January 5, 2023 at 5:00 PM (EST)**. A written response to all submitted questions in the form of a Questions & Answers (Q&A) sheet will be posted in the "Addenda" column of the row corresponding to this RFP on the UCS website at www.nycourts.gov/admin/bids/currentsolicitations.shtml.

IMPORTANT: All questions regarding this solicitation must be in writing by email and directed solely to the attention of the above designated person. Contact by any prospective vendor, 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 vendor's standing, and may cause rejection of its proposal.

X. PRE-BID CONFERENCE

A virtual pre-bid conference will be held on **Thursday, January 19, 2023 at 1:00 PM (EST)** via Microsoft Teams™ to review this RFP. While this conference is not mandatory, vendors are strongly encouraged to participate to benefit most directly and immediately from any issues or clarifications presented. Any vendor who wishes to participate in the pre-bid conference must send an email not later than 4:00 PM EST on January 18, 2023 to Diana Sakur, Court Analyst, at dsakur@nycourts.gov indicating the vendor's planned attendance. A reply email containing an invitation link will be sent to participating vendors prior to the pre-bid conference date. The invitation will include a telephone call-in number to enable audio-only participation.

XI. GENERAL TERMS AND SPECIFICATIONS

Access to Court Facilities

Awarded Contractor 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 withdraws its bid/proposal in writing, whichever occurs first.

Charities Registration (not-for-profit corporations only)

Not-for-profit corporation vendors must be registered with the New York State Office of the Attorney General as a charitable organization, and 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 RFB/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 acknowledges that any and all information, records, files, documents, or reports contained in any media format provided to the Awarded Contractor by the court, or which may be otherwise encountered by Awarded Contractor, shall be considered extremely confidential and shall be handled accordingly at all times. Neither the Awarded Contractor 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 without the express prior written authorization of UCS. Any breach of this confidentiality by the Awarded Contractor 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 to further penalties.

Awarded Contractor 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 is prohibited from maintaining confidential files and records provided to or generated by Awarded Contractor 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 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.

Estimated Quantities

Any quantities specified in this solicitation constitute estimates only, and accordingly no commitment or guarantee to reach any specified volume of business is made or implied.

Awarded Contractor must accept all requests for services placed by UCS during the term of an awarded contract.

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 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 attorney's 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 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; and (iv) enforcement by UCS of the awarded contract or any provisions thereof.

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 corporations, or other organizations 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.

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 court personnel.

Intellectual Property

If Awarded Contractor is required to produce specially commissioned materials pursuant to this Agreement (the "Work"), whether in written form, on tape, on computer-readable media, or in another tangible form, 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 this Agreement 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 incompleteness 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.

Online RFB/RFP Package: Disclaimer

Bidders accessing any UCS/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 shall send true and accurate invoices on a monthly 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 monthly in arrears and shall be made within thirty (30) days of submission by Awarded Contractor and approval by UCS of invoices satisfactory to UCS and OSC.

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.

Price Adjustments

Pricing shall be subject to increase as of the commencement date of each Renewal Term by the percentage equal to the lesser of: (i) the increase, if any, in the Consumer Price Index for All Urban Consumers (“CPI”) as determined by the U.S. Bureau of Labor Statistics as of the third month prior to the commencement date of each such Renewal Term, over the CPI as of the third month prior to the commencement date of the immediately prior term of the Agreement, or (ii) five percent (5%). Pricing shall thereafter remain unchanged for the balance of each such term and shall further remain unchanged during an Extension Term.

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 Line-Item 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 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 Line-Item Budget Form. Bidder must quote pricing on a cost per employee basis and compute all price extensions prompted by Line-Item 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 Line-Item Budget Form will be prorated accordingly.

Pricing will remain unchanged during the Initial Term.

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 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, the criteria set forth in paragraph 2 of the General Specifications (Attachment III-Vendor Responsibility Questionnaire), the criteria set forth in the paragraph headed “Rejected and Unacceptable Bids/Proposals,” 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.

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

Termination

Early termination of the contract for cause may result in, among other consequences, all remedies available to UCS and New York State, including, but not limited to: the awarded contractor 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, 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, all remedies available to UCS and New York State, the Awarded Contractor 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 applicant produces any materials for UCS pursuant to this RFB/RFP, such work shall be deemed “work for hire” and shall be governed by the terms of Exhibit 6 (Appendix B: Materials Produced Under the Agreement).

EXHIBIT 1
 PROPOSAL COVER SHEET

RFP DPCS/JBO # 127 – EMPLOYEE ASSISTANCE PROGRAM

Legal Name of Applicant	
Executive Director/CEO	
Years of Experience	
Total Funding Requested	
Address	
Phone	
Fax	
Email	
Website Address (not required)	
Federal Tax Identification No. (TIN)	

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 2):	
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 2 to this Request for Proposals.

EXHIBIT 2
DOCUMENT ENCLOSURE CHECKLIST

NOTE: Vendors must supply three (3) complete copies of vendor's proposal sealed as set forth in the Proposal Submission Procedures on page 19 of this RFP.

The following forms must be fully executed and included in each copy of vendor's proposal. *Failure to do so may disqualify vendor's response.*

Please check each box below to confirm that the corresponding document is included in the proposal.

- ☐ Signed Proposal Cover Sheet (Exhibit 1)
- ☐ Document Enclosure Checklist (Exhibit 2)
- ☐ Pricing Sheet (Exhibit 3)
- ☐ Narrative Description (see Article VI(A)(1))
- ☐ Attachment I - Standard Request for Bid Clauses & Forms
 - ☐ p.3 - Non-Collusive Bidding Certificate
 - ☐ p.4 – Acknowledgment of Individual or Corporation
 - ☐ p.5 – Bidder's Certification of work (Printing)
 - ☐ p.6 – Bidder's Certification of Recycled Products
 - ☐ p.7 – Manufacturer's Affidavit of Recycled Content
- ☒ Attachment II - Not Applicable
- ☐ Attachment III - Vendor Responsibility Questionnaire
 - ☐ Questionnaire filed online via OSC VendRep System and certified within 6 months of the bid opening due date, or
 - ☐ Paper questionnaire
- ☐ Attachment IV - Procurement Lobbying forms
 - ☐ Disclosure of Prior Non-Responsibility Determination (UCS 420)
 - ☐ Affirmation of Understanding and Agreement (UCS 421)
- ☐ Certificates of NYS Worker's Compensation and NYS Disability Benefits Insurance, or Certificate of Attestation of Exemption.
Please see Exhibit 4 (Insurance Requirements) for a list of accepted forms.
- ☐ Copies of bidder's certificate(s) of insurance or other adequate proof evidencing the insurance coverages required by the bid specifications.
- ☐ List of references (see Article VI(A)(3))
- ☐ Proprietary information in separate folder from bid response, if applicable

EXHIBIT 3
PRICING SHEET

Supply the requested information in the yellow fields below. Other than entering information in the yellow fields, do not alter this Pricing Sheet in any manner. Any additions, changes, or deletions to the portions of the Pricing Sheet other than the yellow fields may result in rejection of the bid response.

Year	Premium Rate per Employee		Number of Employees		Cost
1	\$	×	16,256	=	\$
2	\$	×	16,256	=	\$
3	\$	×	16,256	=	\$
TOTAL COST (sum of the Cost for Each Year)					\$

Company Name:	
Authorized Officer's Name and Title:	
Signature:	Date:

EXHIBIT 4
INSURANCE REQUIREMENTS

The selected vendor 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 NYS law. Proof of workers' compensation insurance and disability benefits insurance must be provided with the grant application. If applicant is legally exempt from such coverage, proof of exemption must be provided. The only forms acceptable as evidence of these insurance requirements are:

Proof of Workers' Compensation Coverage

- Form C-105.2 - Certificate of Workers' Compensation Insurance issued by private insurance carriers; or
- Form U-26.3 issued by the State Insurance Fund; or
- Form SI-12 - Certificate of Workers' Compensation Self-Insurance; or
- Form GSI-105.2 - Certificate of Participation in Workers' Compensation Group Self-Insurance; or
- Form CE-200 - Certificate of Attestation of Exemption from NYS Workers' Compensation and/or Disability Benefits Coverage.

Proof of Disability Benefits Coverage

- Form DB-120.1 - Certificate of Disability Benefits Insurance, or
- Form DB-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 NYS Workers' Compensation and/or Disability Benefits Coverage.

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

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

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

NYS Unified Court System
Office of Court Administration
Division of Professional and Court Services
2500 Pond View, Suite 104
Castleton-on-Hudson, New York 12033

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

2. Commercial General Liability Insurance (bodily injury and property damage on an occurrence basis), contractual and products/completed operations liability coverage, and auto liability with minimum limits as follows:

Bodily Injury and Property Damage	\$1 million, per occurrence, \$2 million, aggregate
Personal Injury and Advertising	\$1 million aggregate
Contractual and Products/ Completed Operations Liability	\$2 million aggregate
Auto Liability, Combined single limits	\$1 million

Commercial general liability insurance coverage must be obtained from commercial insurance carriers licensed 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, that provides for at least thirty (30) days advance written notice to UCS as certificate holder for cancellation or non-renewal prior to finalization of the contract. Such insurance shall cover the premises owned or rented by the center

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 EVALUATION TOOL
TECHNICAL PROPOSAL SUMMARY RATING SHEET

APPLICANT: _____

A. ORGANIZATIONAL CAPACITY (20 POINTS) **A.**_____

B. QUALITY OF PROGRAM SERVICES (40 POINTS) **B.**_____

C. STAFFING AND ADMINISTRATIVE SERVICES (20 POINTS) **C.**_____

D. REASONABLENESS OF COST (20 POINTS) **D.**_____

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

TOTAL: _____

EVALUATOR: (Print) _____

(Signature) _____

DATE: _____

DETAIL RATING SHEETS

APPLICANT: _____

REVIEWER: _____

ORGANIZATIONAL CAPACITY (20 POINTS TOTAL)

A1. Evaluate the extent to which the proposer has experience delivering a comprehensive employee assistance program and work-life assistance services to a workforce with represented and unrepresented employees, and evaluate the extent to which the proposer has experience working with security personnel having Peace Officer status and licensed to carry firearms. (Maximum: 10 points)

[Reviewer: Consider the following source of information: Response to Question 1 as set forth in Article VI(A)(1)(a), which starts on page 12 of the RFP]

Award 0-3 points if the proposer has over 10 years' experience delivering a comprehensive employee assistance program and work-life assistance services (award 3 points if the proposer has at least 10 years' experience delivering such programming/services; award 2 points if the proposer has at least 5 but less than 10 years' experience delivering such programming/services; award 1 point if the proposer has at least 2 years' experience delivering such programming/services; or award 0 points if the proposer has less than 3 years' experience delivering such programming/services); AND

Award an additional 0-3 points if the proposer has substantial experience delivering a comprehensive employee assistance program and work-life assistance services in New York State (award 3 points if the proposer has at least 10 years' experience delivering such programming/services in New York State; award 2 points if the proposer has at least 5 but fewer than 10 years' experience delivering such programming/services in New York State; award 1 point if the proposer has at least 2 but fewer than 5 years' experience delivering such programming/services in New York State; or award 0 points if the proposer has less than 2 years' experience delivering such programming/services in New York State); AND

Award an additional 0-2 points if the proposer has experience delivering a comprehensive employee assistance program and work-life assistance services to a public-sector workforce comprising both represented and unrepresented employees (award 2 points if the proposer has delivered such programming/services to a public-sector workforce comprising both represented and unrepresented employees; award 1 point if the proposer has delivered such programming/services only to private-sector workforces comprising both represented and unrepresented employees; or award 0 points if the proposer has no experience delivering such programming/services to a workforce consisting of both represented and unrepresented employees); AND

Award an additional 0-2 points if the proposer has experience delivering a comprehensive employee assistance program and work-life assistance services to a workforce that includes security personnel having Peace Officer status and licensed to carry firearms (award 2 points if the proposer has delivered such programming/services to a workforce at least 25 percent of whom have Peace Officer status and are licensed to carry firearms; award 1 point if the proposer has delivered such programming/services to a workforce at least 5 percent of whom but less than 25 percent of whom have Peace Officer status and are licensed to carry firearms; or award 0 points if the proposer has no experience delivering such programming/services to a workforce at least 5 percent of whom have Peace Officer status and are licensed to carry firearms

A1 Rating: _____

Basis for rating:

A2. Evaluate the satisfaction of clients that purchased the proposer’s employee assistance program and work-life assistance services within the past five years and assess the extent to which the proposer has the organizational capacity to help the UCS achieve the following four goals:

- (1) Minimize the cost and rate of future rate increases;**
- (2) Establish performance targets to assess and monitor EAP program performance;**
- (3) Allow maximum access for employees to high-quality EAP services at minimum cost to the State; and**
- (4) Ensure all state and federal regulations and requirements pertaining to the delivery of EAP services are met.**

(Maximum: 5 points)

[Reviewer: Consider the following source of information: Response to Question 2 as set forth in Article VI(A)(1)(a), which starts on page 12 of the RFP]

- 5 points: Clients report high levels of satisfaction with proposer’s services, and the proposer is well suited to help UCS achieve the four goals outlined above.
- 3 points: Clients report mixed levels of satisfaction and dissatisfaction with proposer’s services, or the references expressed concern about the proposer’s suitability for helping UCS achieve the four goals outlined above.
- 1 point: Clients report high levels of dissatisfaction with proposer’s services, or the references were doubtful that the proposer was well suited to help UCS achieve the four goals outlined above.

A2 Rating: _____

Basis for rating:

A3. Evaluate the extent to which the proposer has the capacity to provide—either directly or through appropriate referrals—the full range of Program Services nationwide to Eligible Clients, including Eligible Clients who have a disability or have limited English proficiency.

(Maximum: 5 points)

[Reviewer: Consider the following source of information: Response to Question 7 as set forth in Article VI(A)(1)(a), which starts on page 12 of the RFP]

- 5 points: Proposer demonstrates that Eligible Clients, including those who have a disability or have limited English proficiency, are highly likely to be able to access the full range of Program Services nationwide.
- 3 points: Proposer demonstrates that Eligible Clients, including those who have a disability or have limited English proficiency, are somewhat likely to be able to access the full range of Program Services nationwide.
- 1 point: Proposer demonstrates that Eligible Clients, including those who have a disability or have limited English proficiency, are unlikely to be able to access the full range of Program Services nationwide.

A3 Rating: _____

Basis for Rating:

SUBTOTAL FOR PART “A” (A1 + A2 + A3):

B. QUALITY OF PROGRAM SERVICES (40 POINTS TOTAL)

B1. Evaluate the extent to which the proposal comprehensively and convincingly explains how the proposer will achieve the following with respect to Eligible Clients who are referred to participate in counseling services on a mandatory basis:

- (1) Referred Eligible Clients will receive up to eight sessions of high-quality counseling services;**
- (2) The proposer will assign an Account Manager to monitor and report on the Eligible Client's attendance at and participation in those sessions from case inception through case completion;**
- (3) The proposer and Account Manager will keep confidential information regarding the referred Eligible Client's participation in services except as necessary to report to UCS the Eligible Client's compliance with the mandatory referral;**
- (4) The proposer will ensure that counseling services are delivered in coordination with the Eligible Client's health insurance coverage; and**
- (5) The proposer confirms that such services will be delivered at no additional cost to the UCS or the Eligible Client beyond the cost quoted in response to question # 25 of this RFP.**

(Maximum: 6 points)

[Reviewer: Consider the following sources of information: Responses to Questions 8 and 23 as set forth in Article VI(A)(1)(a) and Article VI(A)(1)(c), respectively, which starts on page 12 of the RFP]

- 6 points: The proposal comprehensively and convincingly explains how the proposer will achieve all of the items (1-5) in the list above.
- 3 points: The proposal explains how the proposer will achieve most but not all of the items (1-5) in the list above.
- 1 point: The proposal explains how some the proposer will achieve less than most of the items (1-5) in the list above.

B1 Rating: _____

Basis for Rating:

B2. Evaluate the extent to which the proposal comprehensively and convincingly explains how the proposer will achieve the following with respect to Eligible Clients who participate in counseling services on a voluntary basis:

- (1) Eligible Clients will receive up to eight sessions of high-quality counseling services;**
- (2) The proposer and Account Manager will keep confidential information regarding the Eligible Client's participation in services;**
- (3) The proposer will ensure that counseling services are delivered in coordination with the Eligible Client's health insurance coverage; and**
- (4) The proposer confirms that such services will be delivered at no additional cost to the UCS or the Eligible Client beyond the cost quoted in response to question # 25 of this RFP.**

(Maximum: 6 points)

[Reviewer: Consider the following sources of information: Response to Question 9 as set forth in Article VI(A)(1)(b), which starts on page 12 of the RFP]

- 6 points: The proposal comprehensively and convincingly explains how the proposer will achieve all of the items (1-4) in the list above.
- 3 points: The proposal explains how the proposer will achieve most but not all of the items (1-4) in the list above.
- 1 points: The proposal explains how some the proposer will achieve less than most of the items (1-4) in the list above.

B2 Rating: _____

Basis for Rating:

B3. Evaluate the extent to which the proposal demonstrates that the proposer will provide comprehensive critical incident stress debriefing and/or grief group sessions with little advance notice at various locations throughout the state and with a high degree of professionalism. Proposals that fail to confirm these services will be delivered at no cost beyond the cost quoted in response to Question # 25 should receive 0 points.

(Maximum: 4 points)

[Reviewer: Consider the following source of information: Response to Question 10 as set forth in Article VI(A)(1)(b), which starts on page 12 of the RFP]

- 4 points: The proposed plan for delivering comprehensive critical incident stress debriefing and/or grief group sessions is highly likely to meet the UCS' needs for these services to be delivered with little advance notice at various locations throughout the state and with a high degree of professionalism; moreover, the proposer assures that these services will be delivered at no additional cost to UCS beyond the cost quoted in response to Question # 25 of the RFP.
- 2 points: The proposed plan for delivering comprehensive critical incident stress debriefing and/or grief group sessions is somewhat likely to meet the UCS' needs for these services to be delivered with little advance notice at various locations throughout the state and with a high degree of professionalism; moreover, the proposer assures that these services will be delivered at no additional cost to UCS beyond the cost quoted in response to Question # 25 of the RFP.

0 points: The proposed plan for delivering comprehensive critical incident stress debriefing and/or grief group sessions is highly unlikely to meet the UCS' needs for these services to be delivered with little advance notice at various locations throughout the state and with a high degree of professionalism; or, the proposer did not confirm that these services will be delivered at no additional cost to UCS beyond the cost quoted in response to Question # 25 of the RFP.

B3 Rating: _____

Basis for Rating:

B4. Evaluate the extent to which the proposal demonstrates that the proposer will:

- (1) Deliver high-quality, cost-effective wellness services to Eligible Clients;**
- (2) Perform and manage all administrative functions for wellness-related activities, including monitoring and tracking compliance, providing enrolled Eligible Clients with program reports and results tracking, and producing all communication materials relating to available wellness services;**
- (3) Conduct health and wellness activities and programs through various modalities, including webinars and in-person programs;**
- (4) Deliver such programming and services at no additional cost to UCS beyond the cost quoted in response to Question # 25 of the RFP; and**
- (5) Engage Eligible Clients in proactively managing their health, result in measurable improved health outcomes for participants, and maintain compliance with applicable laws, including HIPAA, ADA, ERISA, and COBRA.**

(Maximum: 4 points)

[Reviewer: Consider the following source of information: Responses to Questions 11 and 15 as set forth in Article VI(A)(1)(b), which starts on page 12 of the RFP]

4 points: The proposal comprehensively and convincingly explains how the proposer will accomplish all of the items (1-5) in the list above.

2 points: The proposal explains how the proposer will accomplish most but not all of the items (1-5) in the list above.

0 points: The proposal explains how some the proposer will accomplish less than most of the items (1-5) in the list above.

B4 Rating: _____

Basis for Rating:

B5. Evaluate the extent to which the proposal demonstrates that the proposer will connect Eligible Clients with high-quality childcare, caregiving, and/or family support services as part of an integrated employee assistance program and work-life assistance program. Evaluate whether the proposer will:

- (1) Conduct assessments of Eligible Clients' needs and provide information and referrals to appropriate service providers;**
- (2) Educate Eligible Clients regarding their options and assist clients with enrollment as needed;**
- (3) Deliver the above services timely and competently.**

(Maximum: 5 points)

[Reviewer: Consider the following sources of information: Response to Questions 12, 13, and 14 as set forth in Article VI(A)(1)(b), which starts on page 12 of the RFP]

- 5 points: The proposal comprehensively and convincingly explains how the proposer will accomplish all of the items (1-3) in the list above.
- 3 points: The proposal explains how the proposer will accomplish most but not all of the items (1-3) in the list above.
- 1 point: The proposal explains how some the proposer will accomplish less than most of the items (1-3) in the list above.

B5 Rating: _____

Basis for Rating:

B6. Evaluate the extent to which the proposal demonstrates that the proposer will promote program services on an ongoing basis and how it will establish and maintain a dedicated online resource center for UCS and all Eligible Clients.

(Maximum: 5 points)

[Reviewer: Consider the following sources of information: Responses to Questions 15 and 17 as set forth in Article VI(A)(1)(b), which starts on page 12 of the RFP]

- 5 points: The proposal comprehensively and convincingly explains how the proposer will promote its services to Eligible Clients and how it will establish and maintain a dedicated online resource center.
- 3 points: The proposal provides a less than comprehensive and convincing explanation of how the proposer will promote its services to Eligible Clients and how it will establish and maintain a dedicated online resource center.

1 point: The proposal does not explain how the proposer will promote its services to Eligible Clients and/or the proposal does not indicate that the proposer will establish and maintain a dedicated online resource center.

B6 Rating: _____

Basis for Rating:

B7. Evaluate the extent to which the proposal demonstrates that the proposer will develop and deliver training programs for managers that will improve the knowledge, skills, and abilities of those managers who successfully complete these trainings. Specifically, evaluate whether the proposal:

- (1) Commits the proposer to deliver training programs for managers at no additional cost beyond that set forth in the response to Question # 25 of the RFP;**
- (2) Commits the proposer to provide at least one (1) onsite training at least once every two years in each of the Judicial Districts (for purposes of this RFP, Districts 1, 2, 11, 12 & 13 are combined into one region: New York City);**
- (3) Includes a list of managerial trainings the proposer has delivered over the past five years as well as sample set of curriculum materials for one of those trainings; and**
- (4) Describes the proposal's experience delivering trainings to managers and Union representatives.**

(Maximum: 5 points)

[Reviewer: Consider the following source of information: Response to Question 16 as set forth in Article VI(A)(1)(b), which starts on page 12 of the RFP]

5 points: The proposed plan for delivering managerial trainings is highly likely to improve the knowledge, skills, and abilities of managers who successfully complete the proposer's managerial trainings.

3 points: The proposed plan for delivering managerial trainings is somewhat likely to improve the knowledge, skills, and abilities of managers who successfully complete the proposer's managerial trainings.

1 point: The proposed plan for delivering managerial trainings is unlikely to improve the knowledge, skills, and abilities of managers who successfully complete the proposer's managerial trainings.

B7 Rating: _____

Basis for Rating:

B8. Evaluate the extent to which the proposal commits the proposer to deliver additional services (other than counseling services, referral services, wellness services, managerial training programs, promotional materials, and online resources) that will benefit Eligible Clients as part of a modern, fully integrated employee assistance program and work-life initiative. Such additional services must be included in the premium rate set forth in the response to Question # 25 of this RFP.

(Maximum: 5 points)

[Reviewer: Consider the following source of information: Response to Question 18 as set forth in Article VI(A)(1)(b), which starts on page 12 of the RFP]

- 5 points: UCS and Eligible Clients are highly likely to deem the proposed additional services valuable and to access those additional services, and the services will be provided at no cost beyond that quoted in response to Question # 25 of this RFP.
- 3 points: UCS and Eligible Clients are somewhat likely to deem the proposed additional services valuable and to access those additional services, and the services will be provided at no cost beyond that quoted in response to Question # 25 of this RFP.
- 1 points: UCS and Eligible Clients are unlikely to deem the proposed additional services valuable and to access those additional services, or the proposal indicates that the proposer will charge an additional amount to access these proposed additional services beyond the cost quoted in response to Question # 25 of this RFP.

B8 Rating: _____

Basis for Rating:

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

C. STAFFING AND ADMINISTRATIVE SERVICES (20 POINTS TOTAL)

C1. Evaluate the extent to which the proposal demonstrates that the proposer will:

- (1) Staff its operations throughout New York State so that there are a sufficient number of administrators and counselors available to deliver services under the contract resulting from this RFP;**
- (2) Deliver services in each Judicial District (for purposes of this RFP, Districts 1, 2, 11, 12 & 13 are combined into one region: New York City);**
- (3) Establish and/or maintain relationships with affiliates to deliver counseling services in New York State and, in particular, to ensure that such services are available in each Judicial District and delivered by affiliates with the requisite professional licensing and experience to deliver counseling services to Eligible Clients whom the proposer refers for services;**
- (4) Assign qualified Account Managers as demonstrated in copies of the Account Managers' resumes or diplomas/state certifications/other qualifications the proposer included in its proposal; and**
- (5) Assign staff counselors with appropriate mental health degrees/certifications to deliver counseling services.**

(Maximum: 10 points)

[Reviewer: Consider the following sources of information: Responses to Questions 3-6 and 21-22 as set forth in Article VI(A)(1)(a) and Article VI(A)(1)(c), respectively, which starts on page 12 of the RFP, along with documents furnished in response to those questions.]

10 points: The proposal comprehensively and convincingly explains how the proposer will accomplish all of the items (1-5) in the list above.

6 points: The proposal explains how the proposer will accomplish most but not all of the items (1-5) in the list above.

2 points: The proposal explains how some the proposer will accomplish less than most of the items (1-5) in the list above.

C1 Rating: _____

Basis for Rating:

C2. Evaluate the extent to which the proposal demonstrates that the proposer will:

- (1) Assign one or more Account Managers to liaise with UCS personnel to ensure that high-quality services are delivered timely, regionally, and responsively;**
- (2) Provide appropriate supervisory support and accountability for assigned Account Managers as indicated in an organizational chart included with the proposal;**
- (3) Ensure that the assigned Account Managers will monitor from case inception through case completion the extent to which employees who are referred on a mandatory basis for program services attend and comply with counseling services delivered pursuant to the contract resulting from this RFP and report such information to UCS appropriately; and**
- (4) Ensure that assigned Account Managers not only deliver activity reports at no additional cost to UCS beyond the cost set forth in response to Question # 25 of this RFP, but also assist with the ongoing development and implementation of the Program.**

(Maximum: 10 points)

[Reviewer: Consider the following sources of information: Responses to Questions 19-20 and 23-24 as set forth in Article VI(A)(1)(c), which starts on page 12 of the RFP, along with documents furnished in response to those questions.]

10 points: The proposal comprehensively and convincingly explains how the proposer will accomplish all of the items (1-4) in the list above.

6 points: The proposal explains how the proposer will accomplish most but not all of the items (1-4) in the list above.

2 points: The proposal explains how some the proposer will accomplish less than most of the items (1-4) in the list above.

C2 Rating: _____

Basis for Rating:

SUBTOTAL FOR PART “C” (C1 + C2):

D. REASONABLENESS OF COST (20 POINTS TOTAL)

D1. Evaluate the reasonableness of the proposed three-year cost (as indicated on Exhibit 3 in response to Question # 25 of the RFP) in comparison with other proposals received.

(Maximum: 15 points)

[Reviewer: Consider the following source of information: Response as it appears on Exhibit 3 (Pricing Sheet) to Question 25 as set forth in Article VI(A)(1)(d), which starts on page 12 of the RFP]

Rank by cost all of the proposals in which the proposer proposes to deliver all of the Program Services set forth in Article V(I)(A)-(E). Set aside those proposals in which the proposer proposes to deliver fewer than all of the Program Services set forth in Article V(I)(A)-(E).

Award 15 points to the least expensive proposal that proposes to deliver all of the Program Services. Award 14 points to the second least expensive proposal. Award 13 points to the third least expensive proposal.

Continue in this fashion until: (a) 0 points have been awarded for the 15th least expensive proposal that proposes to deliver all of the Program Services, in which case award 0 points to all remaining proposals; or (b) there are no more proposals proposing to deliver all of the Project Services set forth in Article V(I)(A)-(E), in which case award no more than 5 points for any proposal that proposes to deliver fewer than all of the Project Services, where those awarded points are based exclusively on the reasonableness of the cost for the incomplete services the proposer proposes to deliver.

D1 Rating: _____

Basis for Rating:

D2. Evaluate whether the proposed method for calculating premium rate increases is likely to ensure that UCS and Eligible Clients enjoy access to high-quality Program Services at minimum cost to the State in the final two years of the contract resulting from this RFP.

(Maximum: 5 points)

[Reviewer: Consider the following source of information: Response to Question 26 as set forth in Article VI(A)(1)(d), which starts on page 12 of the RFP]

5 points: The proposal method for calculating premium rate increases is highly likely to ensure that UCS and Eligible Clients will continue to receive Program Services at minimum cost to the state in the fourth and fifth years of the resulting contract.

3 points: The proposal method for calculating premium rate increases is somewhat likely to ensure that UCS and Eligible Clients will continue to receive Program Services at minimum cost to the state in the fourth and fifth years of the resulting contract.

1 point: The proposal method for calculating premium rate increases is unlikely to ensure that UCS and Eligible Clients will continue to receive Program Services at minimum cost to the state in the fourth and fifth years of the resulting contract.

D2 Rating: _____

Basis for Rating:

SUBTOTAL FOR PART “D” (D1 + D2):

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 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 of thereof, Contractor shall deliver all such Work to UCS.
2. Contractor represents and warrants that the Work shall be created solely by Contractor, be original, and does not infringe upon any 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 proprietary rights to any materials produced 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 licenses to UCS or its authorized designee, in perpetuity, at no additional cost or expense, the non-exclusive, irrevocable worldwide rights 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.

EXHIBIT 7



EXHIBIT 8

UCS ANNUAL UTILIZATION REPORTS (2018-2021)

Utilization Report for 2018

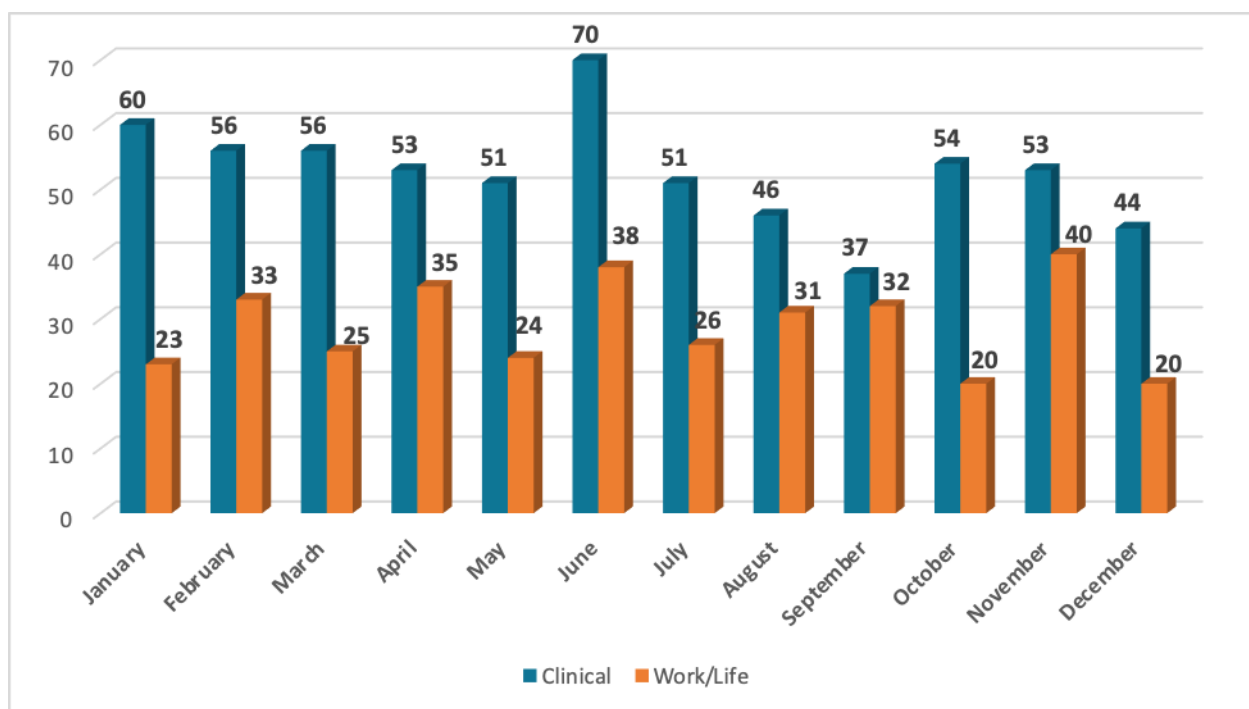
UTILIZATION OVERVIEW

January 1, 2018 – December 31, 2018

Number of Participants: 16,900

	Period Count	Annual Utilization
Clinical	631	3.73%
Work-Life	344	2.04%
Web Logins	1,311	7.76%
TOTAL	2,286	13.53%

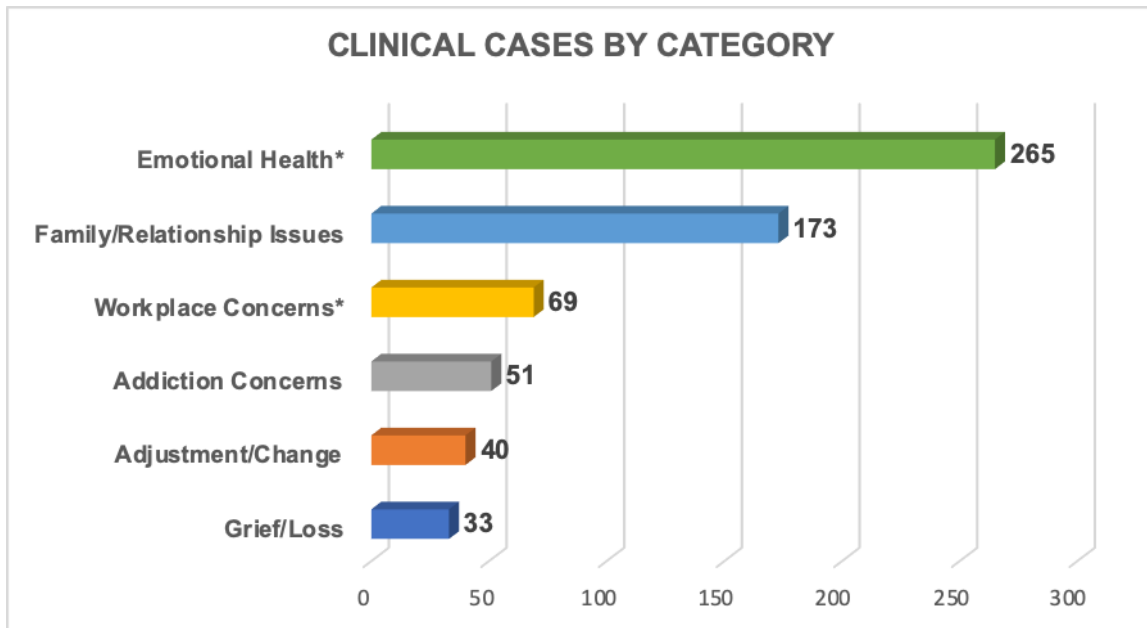
CASES BY MONTH



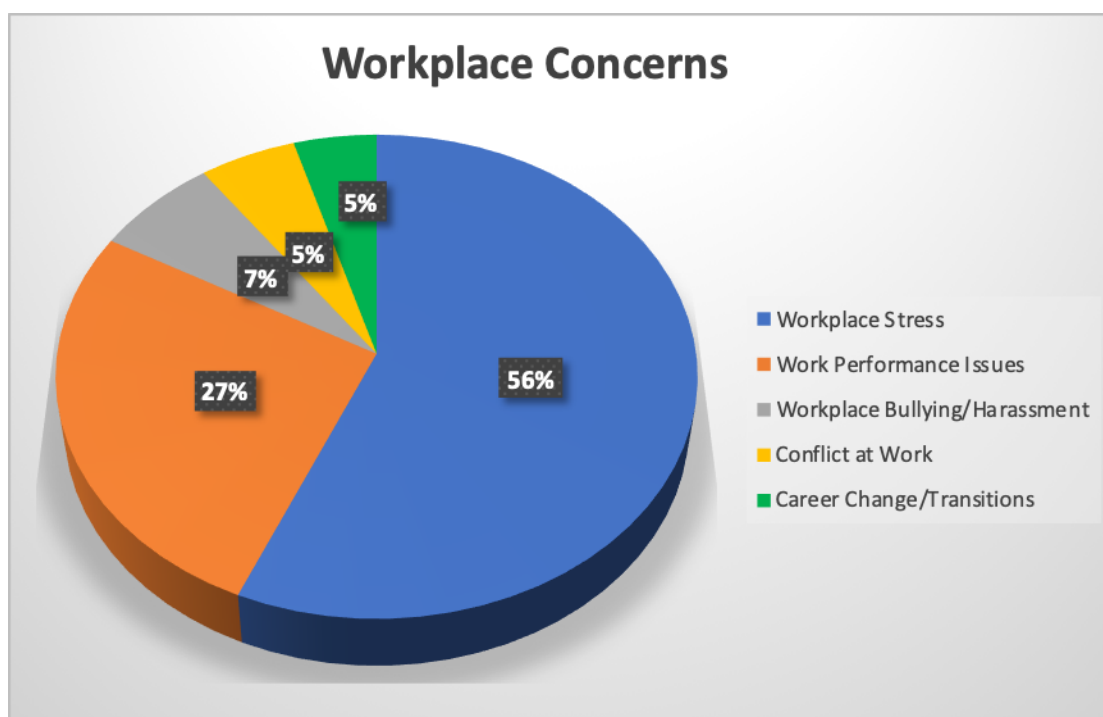
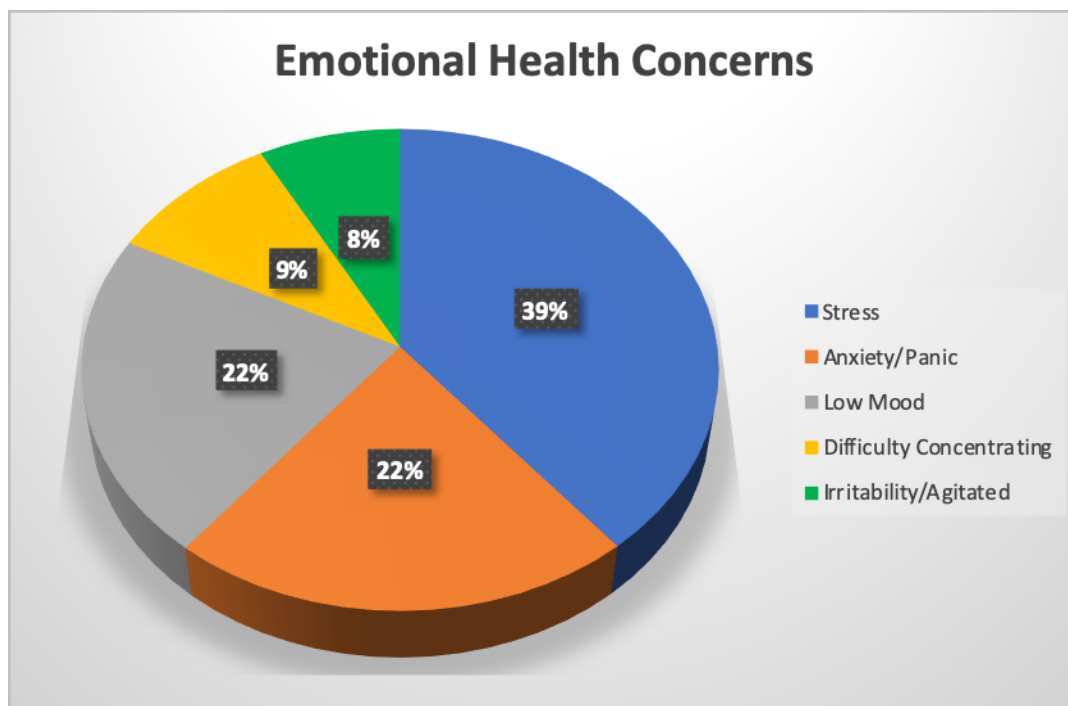
CLINICAL CASES BY CATEGORY

Presenting Issue	TOTAL	PERCENTAGE
Emotional Health*	265	42.0%
Family/Relationship Issues	173	27.4%
Workplace Concerns*	69	11.0%
Addiction Concerns	51	8.1%
Adjustment/Change	40	6.3%
Grief/Loss	33	5.2%
TOTAL	631	100%

*See further breakdown of presenting concerns on following page.

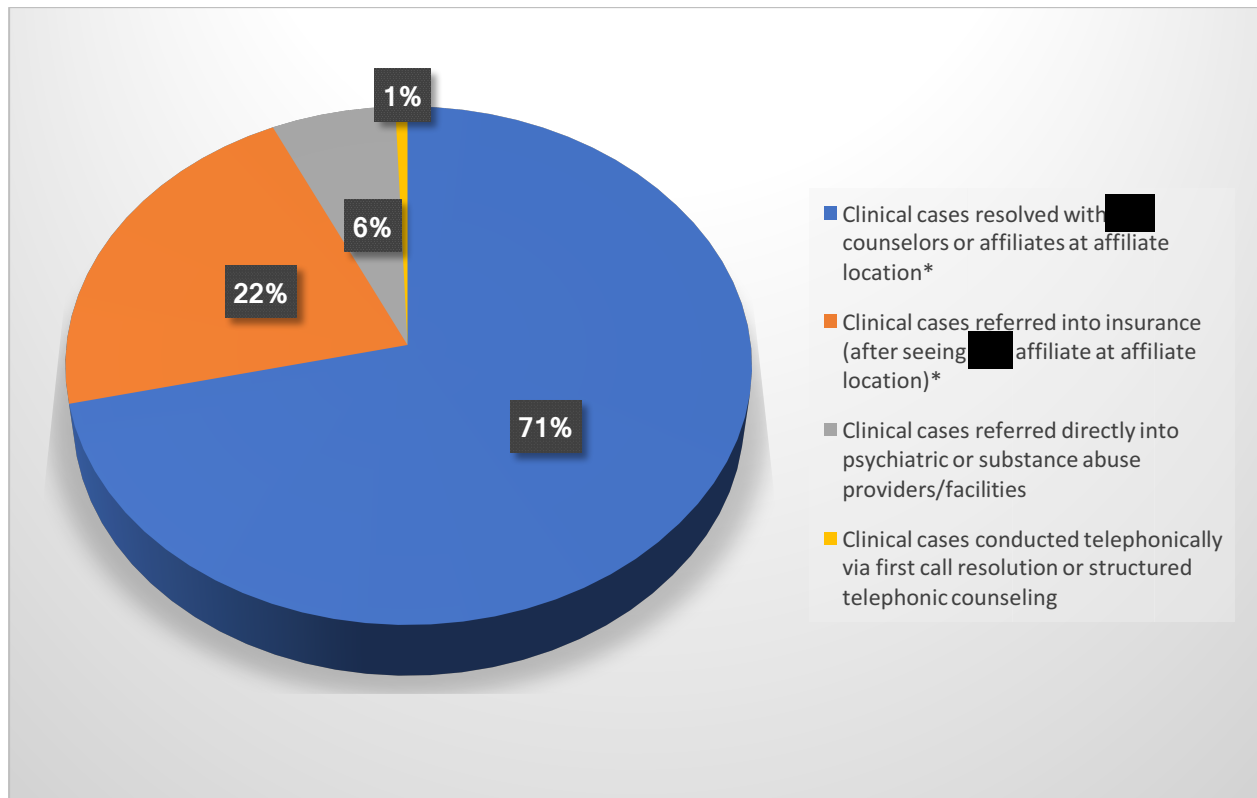


TOP CONCERNS*



*Note: Members are given the option to select none, one, or multiple concerns; percentages do not tally to 100%.

CLINICAL CASE RESOLUTIONS



*17.74% - All Clinical cases seen by a [redacted] Counselor in [redacted] New York Headquarters

WORK-LIFE CASES BY CATEGORY

DAILY LIVING	TOTAL	PERCENTAGE
Health/Wellness	33	9.6%
Travel	15	4.4%
Social Services	12	3.5%
Housing	11	3.2%
Education	11	3.2%
Miscellaneous	11	3.2%
Household Services	9	2.6%
Career	8	2.3%
Relocation	6	1.7%
Legal	5	1.5%
Support Groups	5	1.5%
Financial Services	4	1.2%
General Education Materials	4	1.2%
Low-Cost Housing	4	1.2%
Pets	4	1.2%
Subtotal	142	41.0%
ELDER CARE	TOTAL	PERCENTAGE
Home Care	16	4.7%
Area Agency on Aging	12	3.5%
Elder Housing	11	3.2%
Financial Assistance	9	2.6%
Miscellaneous	9	2.6%
Doctors	4	1.2%
General Education Materials	4	1.2%
Adult Day Care	3	0.9%
Aging Life Care Professional	2	0.6%
Disability	2	0.6%
Subtotal	72	21.0%
CHILD CARE	TOTAL	PERCENTAGE
Day Care Centers	14	4.1%
Babysitters	8	2.3%
Local Nanny & Babysitter Information	7	2.0%
Child Care Information	6	1.7%

Summer Camp	6	1.7%
Nanny Agencies	4	1.2%
Family Day Care	3	0.9%
Miscellaneous	3	0.9%
Subtotal	51	14.8%
LEGAL IN-PERSON	TOTAL	PERCENTAGE
Legal Miscellaneous	11	3.2%
Bankruptcy	6	1.7%
Divorce	6	1.7%
Real Estate	6	1.7%
Child Support/Child Custody	5	1.5%
Elder Law	5	1.5%
Wills & Estate Planning	4	1.2%
Consumer Issues	1	0.3%
Credit & Debt Issues	1	0.3%
Criminal	1	0.3%
Education Law	1	0.3%
Immigration	1	0.3%
Subtotal	48	14.1%
FINANCIAL	TOTAL	PERCENTAGE
Budgeting	5	1.5%
Credit	4	1.2%
Debt	4	1.2%
Financial Miscellaneous	2	0.6%
Investments	2	0.6%
Mortgage	2	0.6%
Pensions	2	0.6%
Sub Total	21	6.1%
LEGAL ADVICE	TOTAL	PERCENTAGE
Legal Miscellaneous	4	1.2%
Tenancy	3	0.9%
Power of Attorney	1	0.3%
Real Estate	1	0.3%
Taxation	1	0.3%
Sub Total	10	3.0%
TOTAL	344	100.0%

WORKPLACE ACTIVITIES

Manager consultations: 206 hours

- VIP/Informal referrals
- Formal referrals
- Workplace crisis
- Promotion/account administration

Manager referrals (including union, VIP/informal, and formal referrals): 52

- Addiction concerns
- Time/attendance
- Abberant behavior
- Caregiver stress
- Grief and loss
- Emotional health

Employee Orientations

Date	Location	Hours
3/6/2018	Webinar/Daily Living	1.00
3/8/2018	Manhattan	1.00
4/11/2018	Webinar/Caregiving	1.00
4/20/2018	Family Ct. Judges Conf.	1.00
5/8/2018	Webinar/Emotional Health	1.00
10/2/2018	Webinar	1.00
11/1/2018	Gender Fairness Comm.	1.00
		7.00

Transition to Supervisor Trainings

Date	Location	Hours
3/23/2018	CSEA Judiciary/Verona	1.00
5/22/2018	Manhattan	1.00
6/21/2018	Syracuse	1.00
11/8/2018	Manhattan	1.00
		4.00

Wellness Seminars

Date	Location/Topic	Hours
1/12/2018	Rochester/Understanding Immune Sys.	1.00
5/4/2018	Rochester/ Negative to Positive You	1.00
9/14/2018	Rochester/Concentration	1.00
		3.00

Critical Incident Stress Debriefing (CISD)

Date	Location	Hours
1/5/2018	Manhattan	3.00
1/16/2018	Troy	3.00
1/30/2018	Catskill	4.00
2/6/2018	Bronx	4.00
2/6/2018	Brooklyn	3.00
2/7/2018	Brooklyn	3.00
2/7/2018	Manhattan	4.00
2/26/2018	Buffalo	1.00
8/13/2018	Utica	3.00
8/17/2018	Utica	3.00
		31.00

Total Onsite Hours 45.00

WEBSITE UTILIZATION

HOMEPAGE	Q1	Q2	Q3	Q4	TOTAL
Monthly Feature	452	410	281	351	1,494
Home			156	164	320
Homepage Feature 1	60	47	28	64	199
Search	53	59	66	60	238
News	45	37	26	47	155
Savings Center	60	41	7	5	113
Cloud	51	28	2	28	109
Division Feature	22	41	20	10	93
Advanced Search	6	7	8	12	33
Seminars	5	2	1	15	23
New Content	2	1		7	10
Yearly Planner Center	1			3	4
Disclaimer	2				2
Care Space-Parenting	1				1
Yearly Planner Center – Weekly Planner	1				1
SUB TOTAL	761	673	595	766	2,795

BALANCING	Q1	Q2	Q3	Q4	TOTAL
Mental Health	92	117	208	118	535
Relationships	108	33	20	77	238
Grief and Loss	27	46	32	38	143
Personal Growth	34	68	6	11	119
Addiction and Recovery	29	16	15	29	89
Families	29	4	36	14	83
Communication		4	9	7	20
Home			10	2	12
Sub Total	319	288	336	296	1,239
LIVING	Q1	Q2	Q3	Q4	TOTAL
Financial	7	100	36	80	223
Legal	36	30	27	72	165
Legal Forms	37	26	27		90
Pets	15	30	11	12	68
Travel and Leisure Time	10	29	11	14	64
Moving	4	20	10	9	43
Home Buying or Selling	17	4	3	10	34
Safety	4	16		3	23
Errands Online	1	5	13	3	22
Home Improvement		2	13	4	19

Consumer Tips		14	4		18
Fraud and Theft	1	2	7	1	11
Legal Ready Docs				3	3
Home				1	1
Sub Total	132	278	162	212	784
PARENTING	Q1	Q2	Q3	Q4	TOTAL
Child Care	18	120	64	44	246
Education	4	53	10	40	107
Parenting	16	13	29	14	72
Developmental Stages	3	14	12	9	38
Kids' Well-Being	10	8	6	3	27
Adoption		4	15	6	25
Home				2	2
Sub Total	51	212	136	118	517
THRIVING	Q1	Q2	Q3	Q4	TOTAL
Healthy Eating	27	63	38	3	131
Women's Health	2	27	33	11	73
Health Challenges	23	3	17	11	54
Live Healthy	5	39	1	2	47
Seniors' Health	23	10		9	42
Men's Health	9	13	1	3	26

Infants' and Toddlers' Health		3	5	11	19
Adolescents' Health	3	6	1	5	15
Children's Health	1	8	4	1	14
Medical Care	7	7			14
Health Tools			2	1	3
Home			1		1
Sub Total	100	179	103	57	439
AGING	Q1	Q2	Q3	Q4	TOTAL
Health	14	32	14	8	68
Housing Options	10	18	22	9	59
Caregivers	23	10	6	17	56
Planning the Future	6	12	10	27	55
Home Care	12	2	18	19	51
Adults With Disabilities	12	7	1	16	36
Government Programs	16	7	3	9	35
Grief and Loss		11	1	13	25
Aging Well	6	2	14	1	23
Home				2	2
Sub Total	99	101	89	121	410
WORKING	Q1	Q2	Q3	Q4	TOTAL
Workplace Safety	26	1	14	4	45

Workplace Productivity	11	30			41
Effective Manager	7	15	4	7	33
Workplace Diversity	26	1	2	3	32
Accomplished Employee	3	8	12	4	27
Career Development	7	2	5	5	19
Training and Development		10	3	6	19
Career Transition	3	9	5		17
Home			2	3	5
Sub Total	83	76	47	32	238
WEBINARS	Q1	Q2	Q3	Q4	TOTAL
Caring for Aging Relatives	3		2	5	10
Maintaining Respect and Civility in the Workplace	5	2	1	1	9
Your Routine Financial Checkup	7	2			9
Bereavement: Coping With Loss	3	3	1	1	8
Creating a Personal Development Plan		3	1	3	7
A Personal Guide to Building Resiliency and Coping With Change			1	5	6
Eating Your Way to Wellness	2	1	2	1	6
Say What You Mean the Right Way: Healthy Forms of Communication		1		5	6

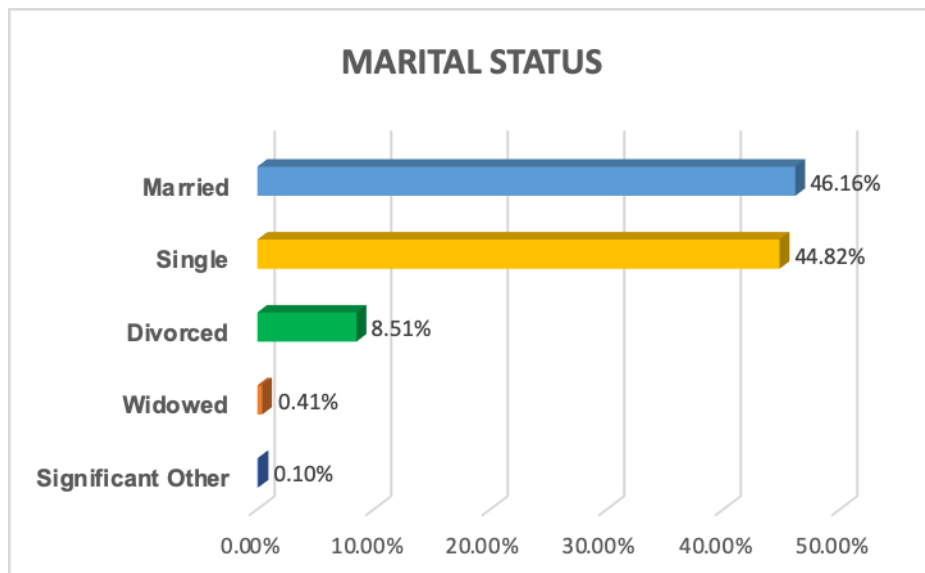
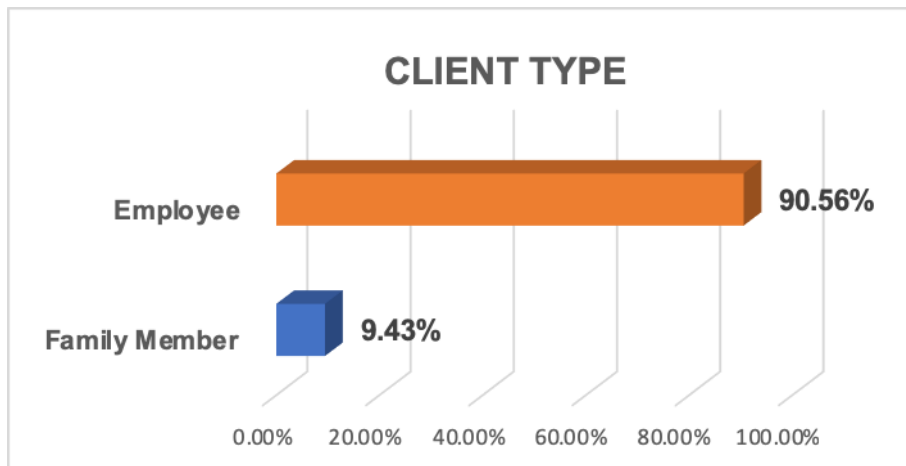
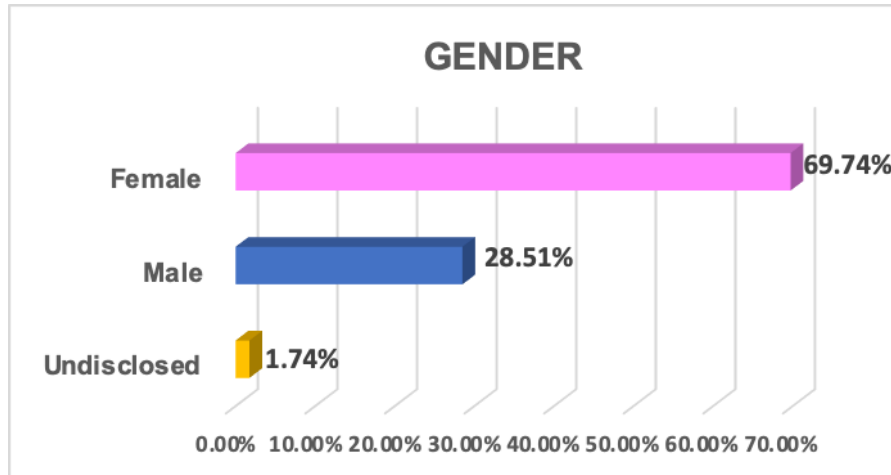
Self-Care: Remaining Resilient	2		1	3	6
DIY: Apps and Guides for Household Management	1	4			5
Home Alone? When Kids Outgrow Child Care		2		2	4
Financial Fitness: Living Within a Realistic Budget		1		2	3
Getting Your Affairs in Order: Five Essential Documents				3	3
Identifying Signs of Addiction in a Loved One			2	1	3
Make Your Money Work for You: A Debt Management Plan		1	2		3
Managing in a Multigenerational Workplace	3				3
Teaching Your Child Responsibility	1	1	1		3
A Special Online Seminar – Taking the Unknown out of PTSD		1	1		2
Communication Skills for Collaboration	2				2
Diversity in the Workplace: Maintaining an Inclusive Environment	2				2
Everything in Its Place: Getting Organized	1			1	2
Home Buying 101	1			1	2
Keeping Your Love Alive	2				2
Suddenly You're a Caregiver				2	2

Maximizing Your Day: Effective Time Management				1	1
A Healthier You		1			1
A Special Online Seminar: Healthy Living for Your Brain and Body: Tips From the Latest Research				1	1
Beating the Blues				1	1
Building Resiliency 101		1			1
Changing Relationships: You and Your Aging Parent or Relative				1	1
Effective Communication With Children	1				1
Emotional Support: Staying Balanced in a Changing World		1			1
Estate Planning: Five Essential Documents				1	1
Family Ties			1		1
Holidaze: How to Enjoy the Holidays and Minimize Holiday Stress	1				1
Improve Your Health With Proper Ergonomics and Frequent Movement		1			1
Interpersonal Communication: Social Skills for Success				1	1
Next Steps: Dealing With Addiction in a Loved One				1	1

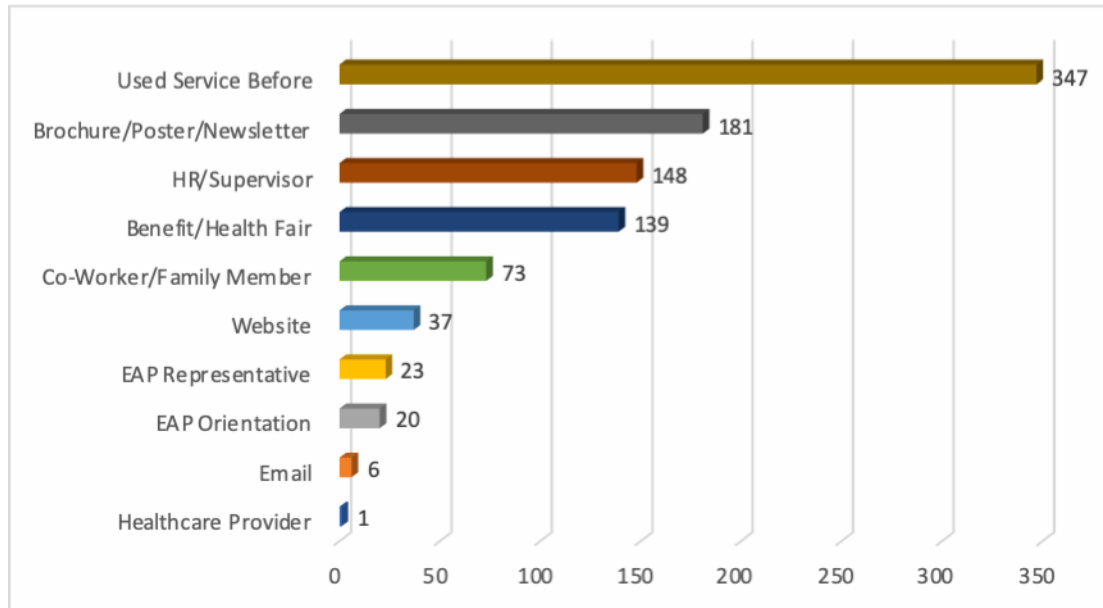
Nobody Likes a Bully: Bullying in the Workplace	1				1
Retirement: It's Not Just About the Money			1		1
Technology and Keeping Your Kids Safe			1		1
Will There Be a Couch? What to Expect From Counseling	1				1
Sub Total	39	26	18	43	126
E- LEARNING	Q1	Q2	Q3	Q4	TOTAL
Estate Planning: Five Essential Documents	1	1		5	7
Appreciating Personality Differences	1	1	1	1	4
Cultural Diversity in the Workplace	4				4
Nobody Likes a Bully: Bullying in the Workplace	3				3
Business Etiquette and Professionalism		2			2
Eating Your Way to Wellness		1	1		2
Caring For Aging Relatives	1				1
Drug-Free Workplace Compliance	1				1
Maximizing Your Day: Effective Time Management		1			1
Say What You Mean the Right Way: Healthy Forms of Communication		1			1

Sub Total	11	7	2	6	26
HOMEPAGE CENTERS	Q1	Q2	Q3	Q4	TOTAL
Savings Centers			5	5	10
Home				2	2
Yearly Planner Center - Two Year Glance			1	1	2
Yearly Planner Center - Yearly Planner			2		2
Tax Act				1	1
Yearly Planner Center - Meal Planner			1		1
Sub Total			9	9	18
Total	1,595	1,840	1,497	1,660	6,592

CALLER INFORMATION



KNOWLEDGE OF SERVICES



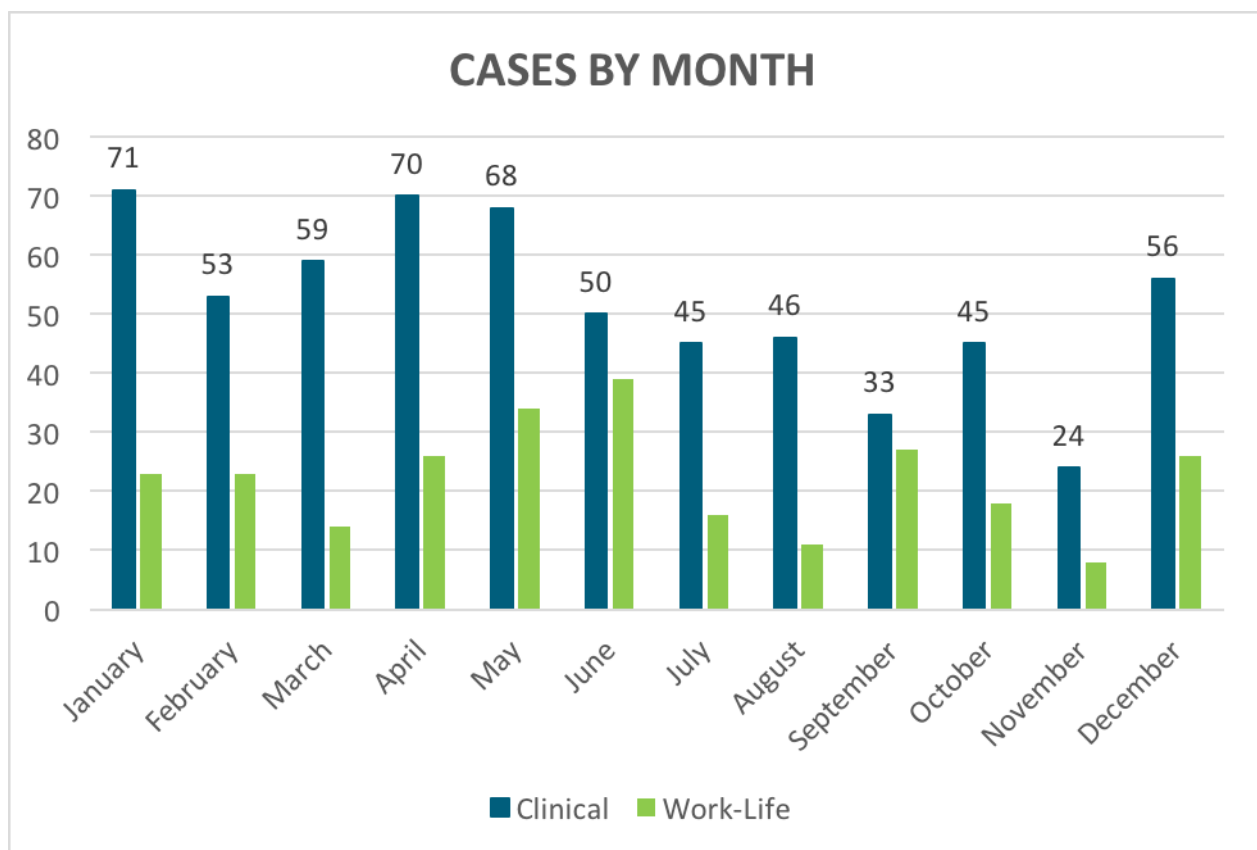
Utilization Report for 2019

UTILIZATION OVERVIEW

January 1, 2019 – December 31, 2019

Number of Participants: 16,900

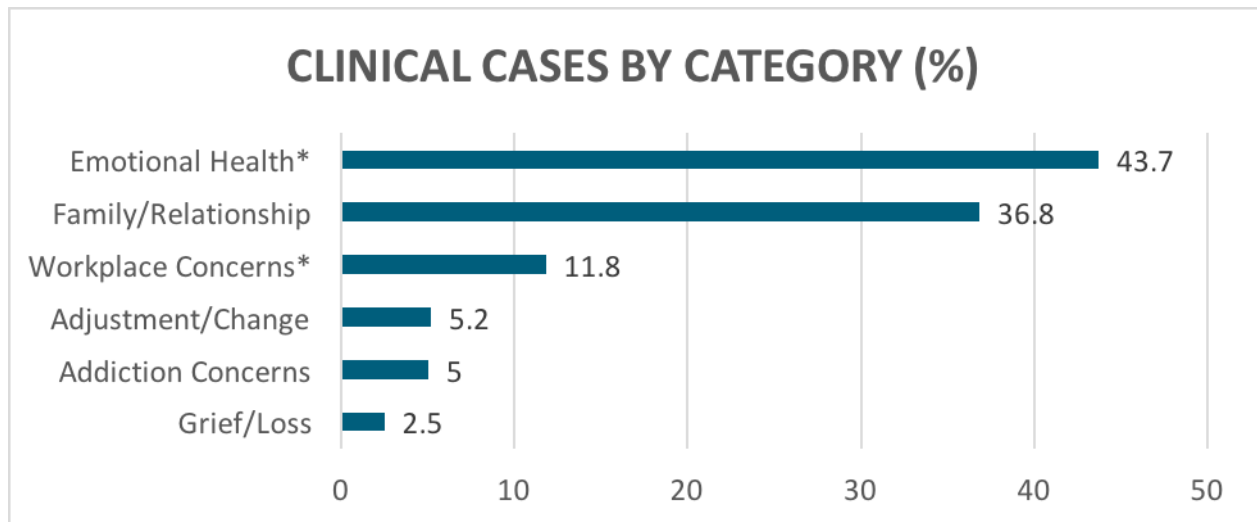
	Period Count	Annual Utilization
Clinical	620	3.67%
Work-Life	263	1.56%
Web Logins	2,422	14.33%
TOTAL	3,305	19.56%



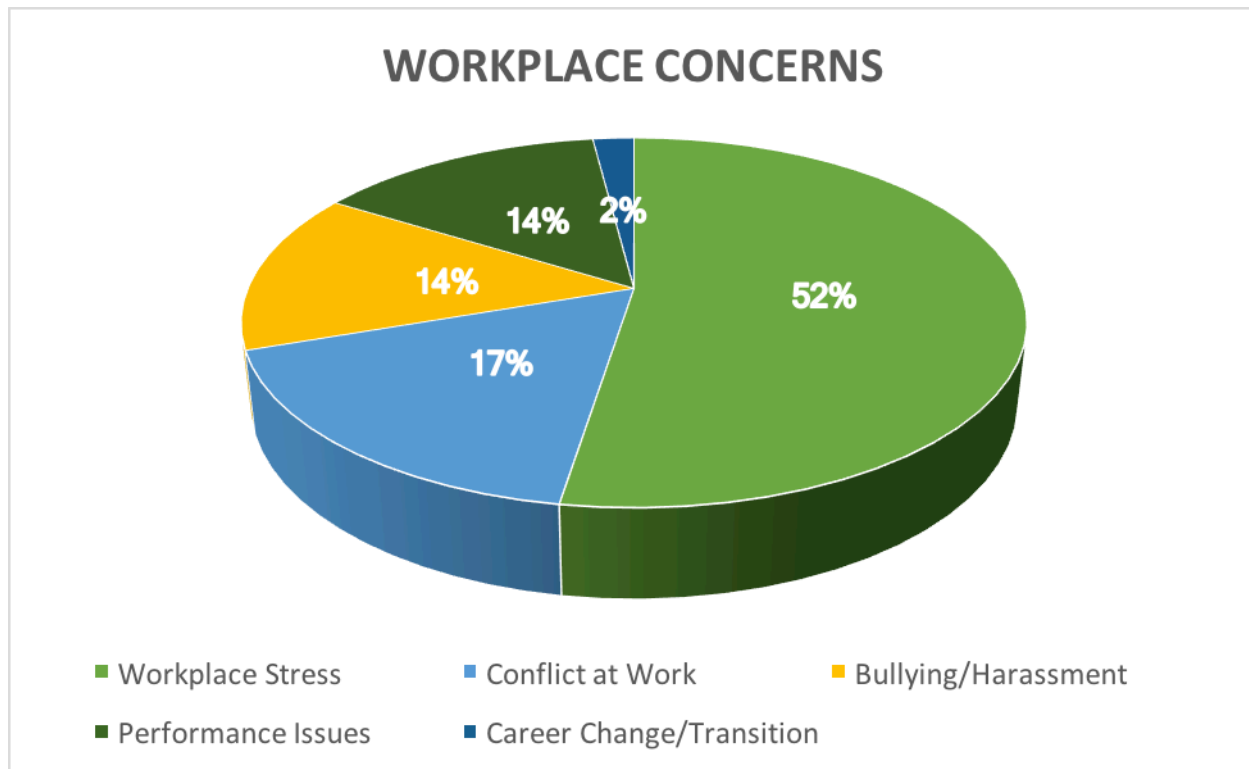
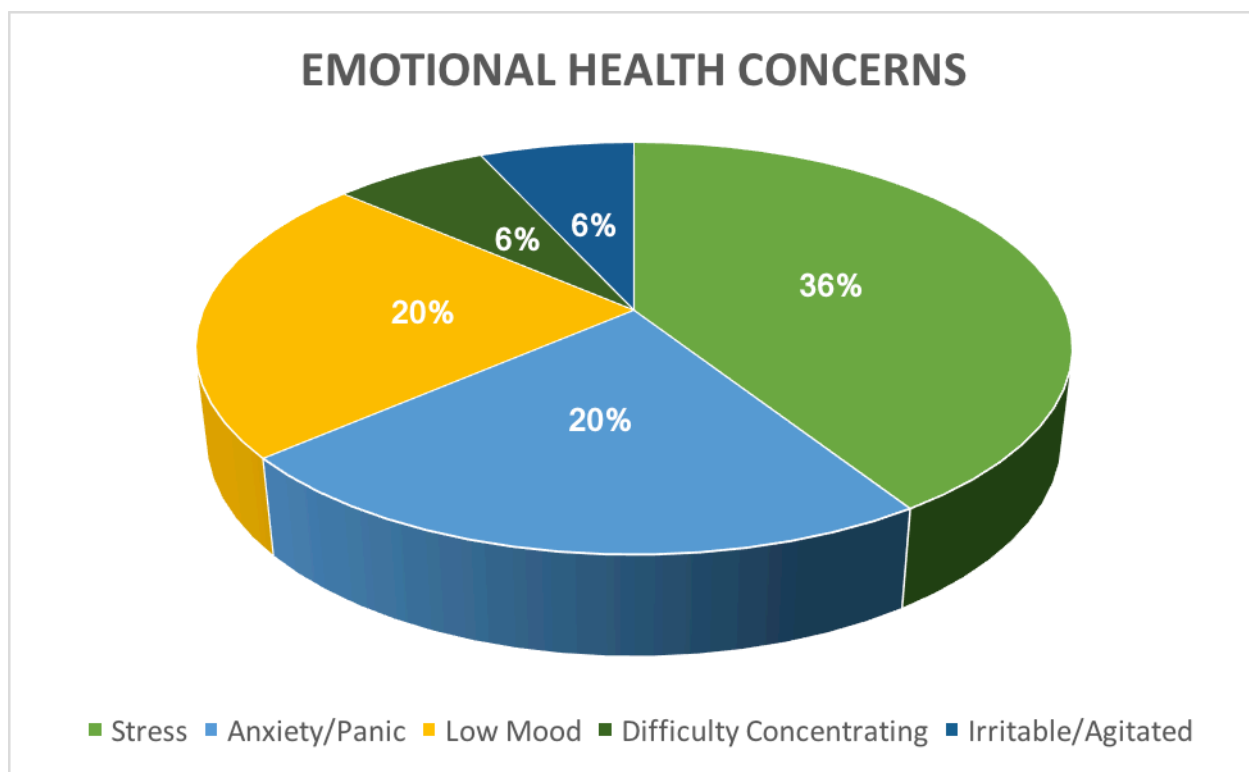
CLINICAL CASES BY CATEGORY

PRESENTING ISSUE	TOTAL	PERCENTAGE
Emotional Health*	271	43.7%
Family/Relationship Issues	197	31.8%
Workplace Concerns*	73	11.8%
Adjustment/Change	32	5.2%
Addiction Concerns	31	5.0%
Grief/Loss	16	2.5%
TOTAL	620	100.0%

*See further breakdown of presenting concerns on following page.

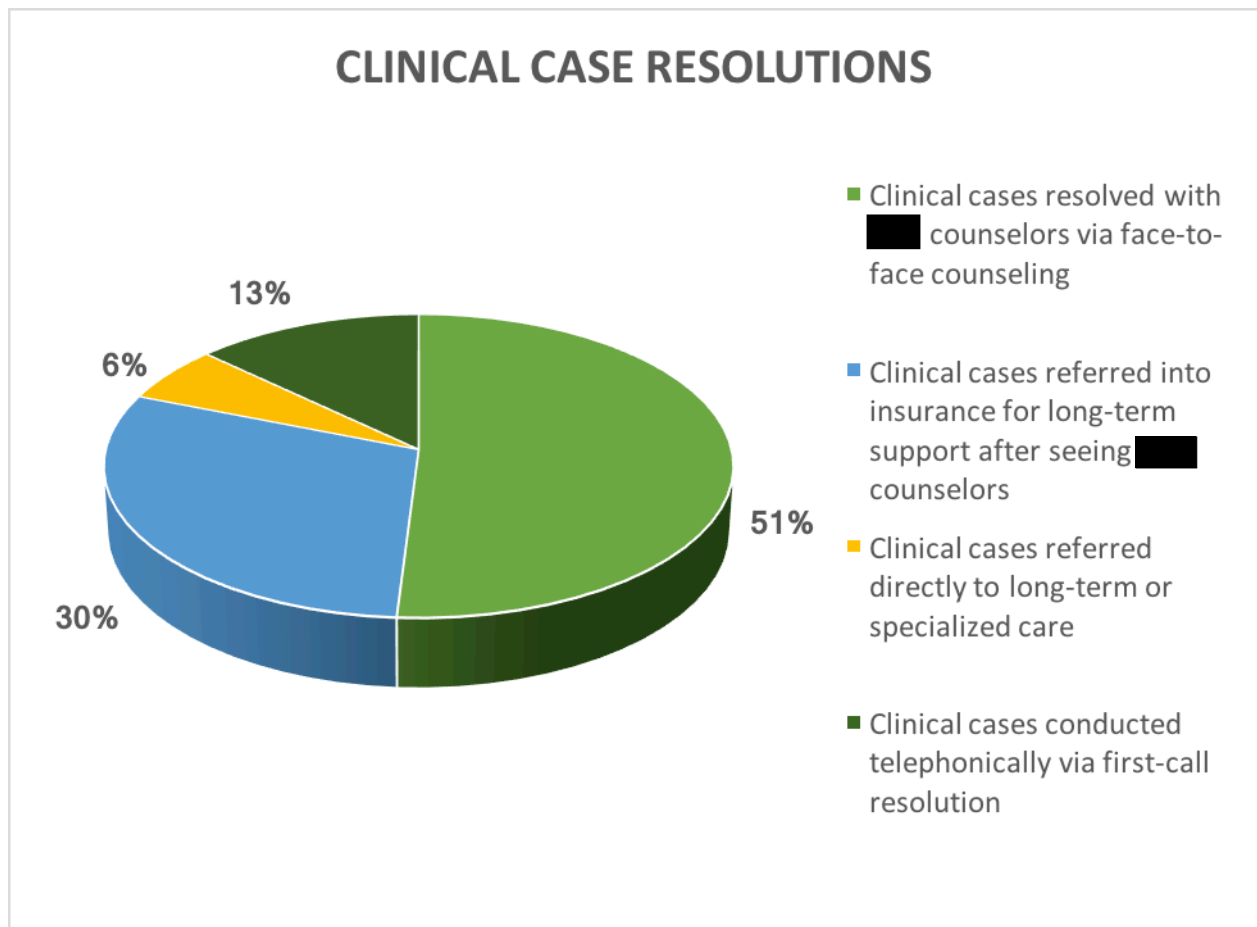


TOP CONCERNS**



**Note: Members are given the option to select none, one, or multiple concerns; percentages do not tally to 100%.

CLINICAL CASE RESOLUTIONS



64% of all clinical cases were resolved within the benefit

19% of all clinical cases were seen by a [redacted] counselor in [redacted] New York Headquarters

WORK-LIFE CASES BY CATEGORY

DAILY LIVING	TOTAL	PERCENTAGE
Mental Health/Behavioral Health	23	8.7%
Health/Wellness	17	6.5%
Support Groups	13	4.9%
Travel	11	4.2%
Miscellaneous	9	3.4%
Housing	6	2.3%
Household Services	6	2.3%
Career	6	2.3%
Low-Cost Housing	6	2.3%
Social Services	5	1.9%
Education	4	1.5%
Financial Services	4	1.5%
General Education Materials	4	1.5%
Legal	3	1.1%
Relocation	2	0.8%
Pets	2	0.8%
Subtotal	121	46.0%
ELDER CARE	TOTAL	PERCENTAGE
Home Care	17	6.5%
Area Agency on Aging	9	3.4%
Elder Housing	5	1.9%
Miscellaneous	4	1.5%
Financial Assistance	3	1.1%
Support Groups	2	0.8%
Disability	2	0.8%
Subtotal	42	16.0%
CHILD CARE	TOTAL	PERCENTAGE
Day Care Centers	12	4.6%
Babysitters	6	2.3%
Local Nanny & Babysitter Information	6	2.3%
Child Care Information	5	1.9%
Nanny Agencies	3	1.1%

Freestanding Preschools	3	1.1%
Summer Camp	2	0.8%
Subtotal	37	14.1%
LEGAL IN-PERSON	TOTAL	PERCENTAGE
Legal Miscellaneous	5	1.9%
Divorce	5	1.9%
Real Estate	5	1.9%
Probate	4	1.5%
Bankruptcy	3	1.1%
Child Support/Child Custody	3	1.1%
Elder Law	3	1.1%
Tenancy	3	1.1%
Credit & Debt Issues	3	1.1%
Civil Rights	1	0.4%
Power of Attorney	1	0.4%
Subtotal	36	13.5%
FINANCIAL	TOTAL	PERCENTAGE
Retirement Planning	6	2.3%
Debt	6	2.3%
Budgeting	4	1.5%
Bankruptcy	2	0.8%
Mortgage	2	0.8%
Financial Miscellaneous	1	0.4%
Sub Total	21	8.0%
LEGAL ADVICE	TOTAL	PERCENTAGE
Tenancy	2	0.8%
Immigration	2	0.8%
Child Support/Child Custody	2	0.8%
Sub Total	6	2.4%
TOTAL	263	100.0%

WORKPLACE ACTIVITIES

Manager consultations: 195 hours

- VIP/Informal referrals
- Workplace crisis
- Formal referrals
- Promotion/account administration

Manager referrals (including union, VIP/informal, and formal referrals): 38

- Addiction concerns
- Caregiver stress
- Time/attendance
- Grief and loss
- Abberant behavior
- Emotional health

Employee Orientations

Date	Location	Hours
4/4/2019	Webinar/Daily Living	1.00
4/12/2019	Webinar/Caregiving	1.00
5/10/2019	Webinar/Emotional Health	1.00
10/24/2019	60 Centre Street	1.00
10/24/2019	60 Centre Street	1.00
		5.00

Transition to Supervisor Trainings

Date	Location	Hours
2/1/2019	White Plains	1.00
2/14/2019	Beaver Street	1.00
3/15/2019	Beaver Street	1.00
7/16/2019	Buffalo	1.00
10/31/2019	Webinar	1.00
11/19/2019	25 Beaver Street	1.00
		6.00

Wellness Seminars

Date	Location/Topic	Hours
10/18/2019	Nichols/Supporting a Distressed Ee	1.00
10/22/2019	Saratoga/5 Buckets Principle	1.00
11/21/2019	Manhattan/Staying Strong & Resilient	1.00
		3.00

Critical Incident Stress Debriefing (CISD)

Date	Location	Hours
1/28/2019	Brooklyn	2.00
3/5/2019	Rochester	3.00
6/14/2019	Carmel	3.00
6/24/2019	Syracuse	3.00
9/16/2019	Queens	3.00
9/18/2019	Brooklyn	3.00
		18.00

Total Onsite Hours 32.00

WEBSITE UTILIZATION

HOMEPAGE	Q1	Q2	Q3	Q4	TOTAL
Home	681	2,492	1,394	1,086	5,653
Seminars	103	253	132	79	567
Monthly Feature	242	5	2		249
Homepage Feature 1	66	3			69
Search	96				96
News	19				19
Advanced Search	2	1	3	4	10
Division Feature	8	2			10
Cloud	5				5
Site Map	1	1	1	1	4
New Content	1				1
SUB TOTAL	1,224	2,757	1,532	1,170	6,683

BALANCING	Q1	Q2	Q3	Q4	TOTAL
Mental Health	123	142	187	151	603
Relationships	15	51	71	33	170
Grief and Loss	41	44	29	25	139
Home	23	50	29	30	132
Addiction and Recovery	19	46	6	51	122
Families	17	29	29	11	86

Communication	13	18	8	3	42
Sub Total	319	288	336	296	1,239
LIVING	Q1	Q2	Q3	Q4	TOTAL
Financial	47	46	40	16	149
Legal Ready Docs		44	36	21	101
Home Buying or Selling	2	32	27	12	73
Legal	8	35	21	6	70
Moving	9	26	13	5	53
Travel and Leisure	11	19	15	8	53
Home Improvement	7	24	2	13	46
Home	2	23	8	6	39
Consumer Tips	5	17	7		29
Errands Online	5	11		12	28
Pets	3	6	10	6	25
Safety	9	3	1	3	16
Legal Forms	12				12
Go Green		3			3
Fraud and Theft		1		1	2
Sub Total	120	290	180	109	699
WORKING	Q1	Q2	Q3	Q4	TOTAL
Effective Manager	131	22	24	11	188
Accomplished Employee	70	16	4	9	99

Home	12	18	7	6	43
Workplace Safety	3	31	5		39
Workplace Productivity	14	11	4	6	35
Career Transition	7	2	14	6	29
Training and Development	15	3	3	7	28
Career Development	6	5	5	3	19
Workplace Diversity	10	7		2	19
Sub Total	268	115	66	50	499
AGING	Q1	Q2	Q3	Q4	TOTAL
Aging Well	11	50	4	10	75
Home Care	11	27	19	7	64
Caregivers	12	16	20	15	63
Planning the Future	3	35	19	6	63
Government Programs	12	34	12	4	62
Housing Options	6	39	7	1	53
Home	1	23	6	9	39
Health	5	27	2	1	35
Grief and Loss	5	1		4	10
Adults with Disabilities		5	4		9
Sub Total	66	257	93	57	473
THRIVING	Q1	Q2	Q3	Q4	TOTAL
Health Challenges	3	41	18	18	80

Healthy Eating	5	45	20	9	79
Women's Health	9	10	55		74
Home	6	29	5	11	51
Live Healthy	10	22	8	7	47
Health Tools	2	19	8	11	40
Infant and Toddler Health			12	12	24
Medical Care	4	5	7	2	18
Men's Health		1		12	13
Seniors' Health		6		6	12
Adolescents' Health		3			3
Sub Total	39	181	133	88	441
PARENTING	Q1	Q2	Q3	Q4	TOTAL
Child Care	30	15	21	19	85
Kids' Well-Being	12	17	5	39	73
Education	12	34		11	57
Parenting	14	8	5	10	37
Home	4	11	7	7	29
Developmental Stages	2	3	3	2	10
Adoption	2			1	3
Sub Total	76	88	41	89	294

HOMEPAGE CENTERS	Q1	Q2	Q3	Q4	TOTAL
Savings Center	13	56	19	11	99
Yearly Planner Center-Task Planner	1	7	5	8	2
Yearly Planner Center-Meal Planner		6	7	3	16
NOLO		4	5	5	14
Home	1	4	7	1	13
Explainer Videos	1	5	1	5	12
Yearly Planner Center-Yearly Planner		5	4	3	12
Tax Act	3	5		2	10
Yearly Planner Center-2-Year Glance	1	2	3	2	8
Yearly Planner Center-Holiday List		1		2	3
Sub Total	20	95	51	42	208
E- LEARNING	Q1	Q2	Q3	Q4	TOTAL
Appreciating Personality Differences	1	2	1	1	5
Business Etiquette and Professionalism	3	2			5
Estate Planning: Five Essential Documents		2	2		4
Accountability	3				3
Eating Your Way to Wellness	2	1			3

Nobody Likes a Bully: Bullying in the Workplace		2	1		3
The Art of Conflict Resolution	1	1	1		3
Cultural Diversity in the Workplace	2				2
Effective Communication			1	1	2
Recognizing a Troubled Employee	1	1			2
Caring For Aging Relatives				1	1
Emotional Intelligence for Success				1	1
Say What You Mean the Right Way: Healthy Forms of Communication		1			1
Self-Care: Remaining Resilient			1		1
Sub Total	13	12	7	4	36
INTERNATIONAL	Q1	Q2	Q3	Q4	TOTAL
Immigration			2		2
Subtotal			2		2
WEBINARS	Q1	Q2	Q3	Q4	TOTAL
Making a Life While Making a Living	2	3	50	3	58
Building Positive Relationships at Work	29	9	7	3	48
Understanding Resilience	2	43			45

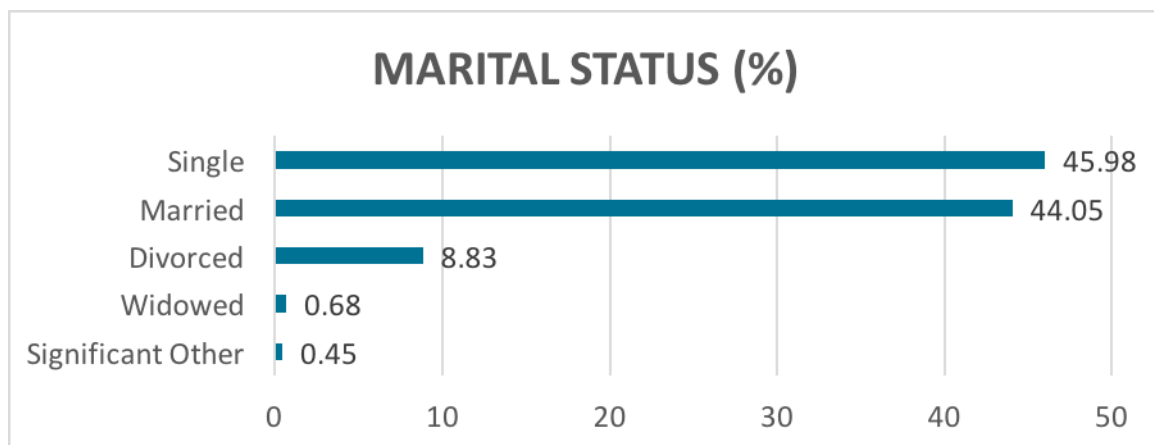
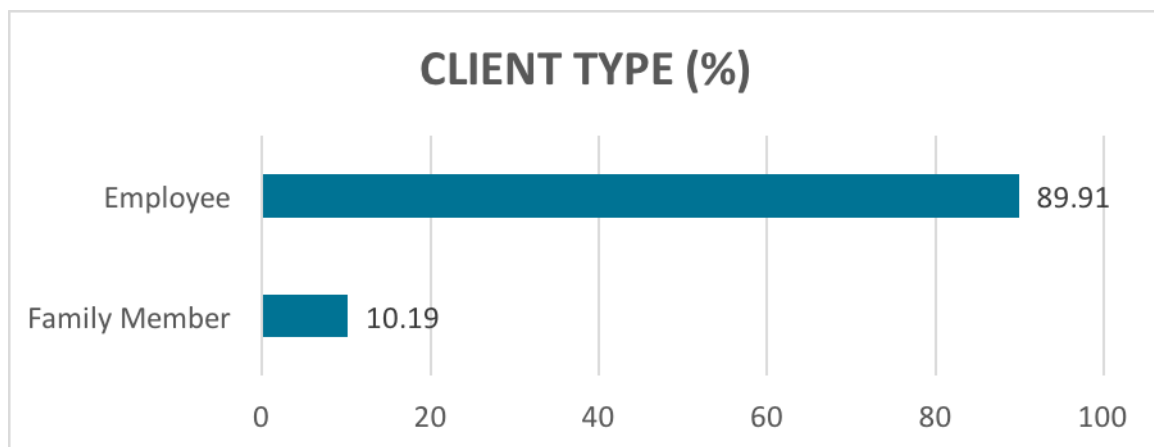
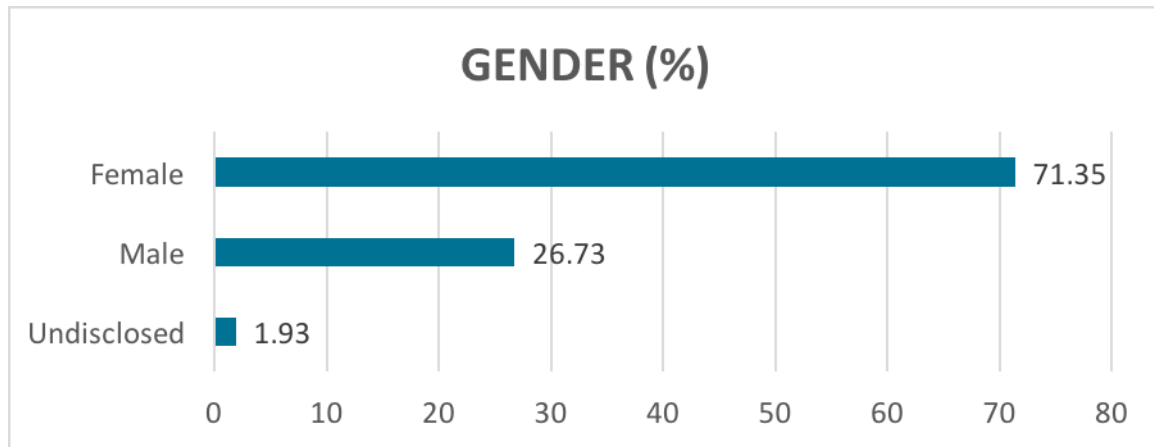
Healthy Mind Toolkit	1	26	6	3	36
Mental Health Drives Performance	18	4	1	1	24
Maintaining Respect and Civility in the Workplace	13	2	6	2	23
Mindfulness Matters		16	5	2	23
Communication Skills for Collaboration	17	1	1	2	21
Interpersonal Communication	8	11	1	1	21
Effective Budgeting	3	4	11		18
Say What You Mean the Right Way	4	7	5		16
Emotional Wellness	1	6	7	1	15
Maximizing Your Day: Effective Time Management	3	5	4	2	14
Examining Relationships	3	7	2	1	13
#BalanceforBetter (International Women's Day 2019)		1	8	1	10
Building Resiliency 101	3	4	1	2	10
Everything in its Place: Getting Organized	2	7		1	10
Creating a Personal Development Plan	1	3		5	9
Keeping Your Love Alive	1	6	1	1	9
Retirement: It's Not Just About the Money		7	2		9
Self-Care: Remaining Resilient	2	4		2	8

Bereavement: Coping with Loss	1	4	1		6
DIY: Apps and Guides for Household Management		4	1	1	6
Eating Your Way to Wellness		4		2	6
Estate Planning: Five Essential Documents		3		3	6
Your Routine Financial Checkup		4	1	1	6
A Healthier You	2	2		1	5
New HR Initiatives in Anti-Bullying	1	1	2	1	5
Nobody Likes a Bully: Bullying in the Workplace	1	1	1	2	5
Will There Be a Couch: What to Expect from Counseling			2	3	5
You Make Me So Mad	2	2		1	5
Coping with Change	1	1		2	4
Eight Steps to a Healthy Heart	2			2	4
Getting Your Affairs in Order		2	1	1	4
Know the 10 Signs	1	3			4
Managing a Multi-Generational Workforce	2		2		4
Resilience: The Power to Succeed				4	4
Accepting Aging: Yourself and Others				3	3
Diversity in the Workplace	1	1	1		3

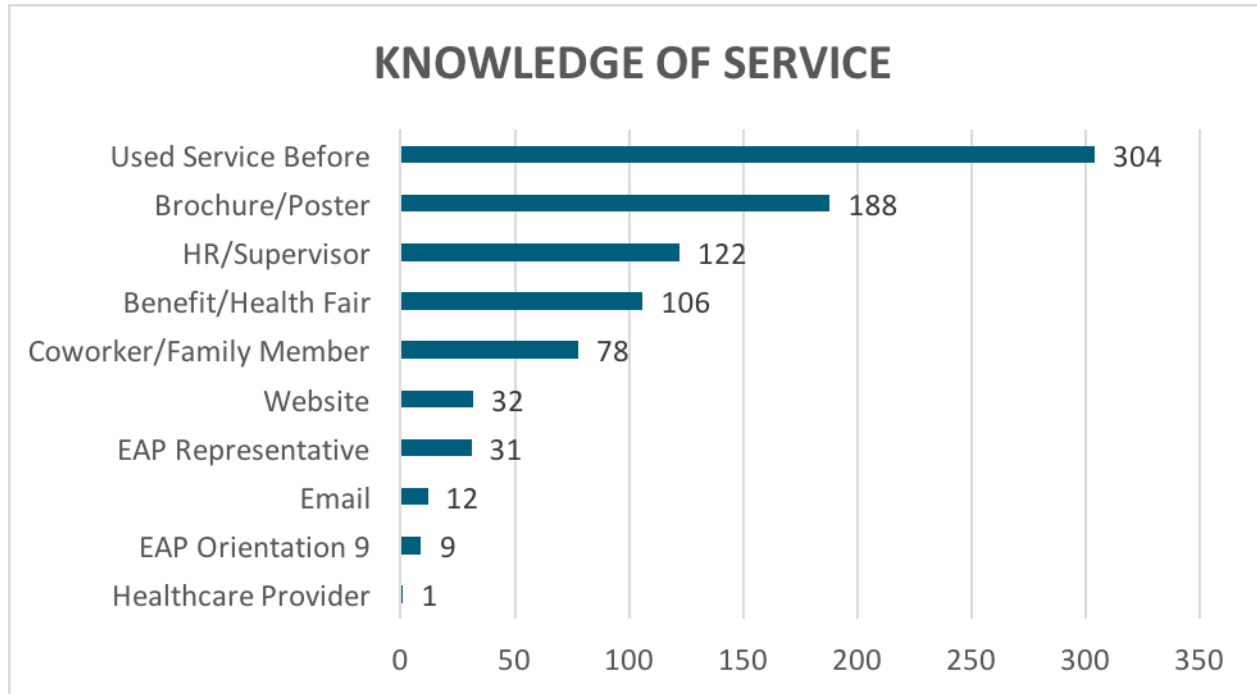
Identifying Signs of Addiction in a Loved One		1	1	1	3
Make Your Money Work for You: Debt Management		1		2	3
The Path to Inner Peace		2	1		3
Sandwich Generation: Multigenerational Caregiving	1		1	1	3
Healthy Living for Your Brain and Body		2			2
Taking the Known Out of PTSD	1	1			2
Caring for Aging Relatives		2			2
Disrupting Negative Thoughts		1		1	2
Effective Communication with Children	1	1			2
Family Ties			2		2
Holidaze: How to Enjoy the Holidays and Minimize Stress			2		2
Stick With it		1		1	2
Your Financial Checkup				2	2
Disrupting Negative Thoughts	1			1	2
Let's Sleep On It	1	1			2
Beating the Blues		1			1
Being an Upstander				1	1
Compassion Fatigue: Increasing Resiliency		1			1

Emotional Support: Staying Balanced in a Changing World		1			1
Financial Fitness: Living within a Realistic Budget		1			1
Home Alone: When Kids Outgrow Child Care		1			1
Home Buying 101		1			1
Information Overload				1	1
Lighten Up with Laughter				1	1
Practical Strategies to Stay Safe		1			1
Raising Well-Adjusted Kids				1	1
Rebuilding Your Team's Resilience in the Aftermath of a Terrorist Attack				1	1
Restore Your Resilience After a Terrorist Attack			1		1
Suddenly You're a Caregiver		1			1
Sub Total	139	232	138	80	589
Total	2,239	4,450	2,626	2,002	11,317

CALLER INFORMATION

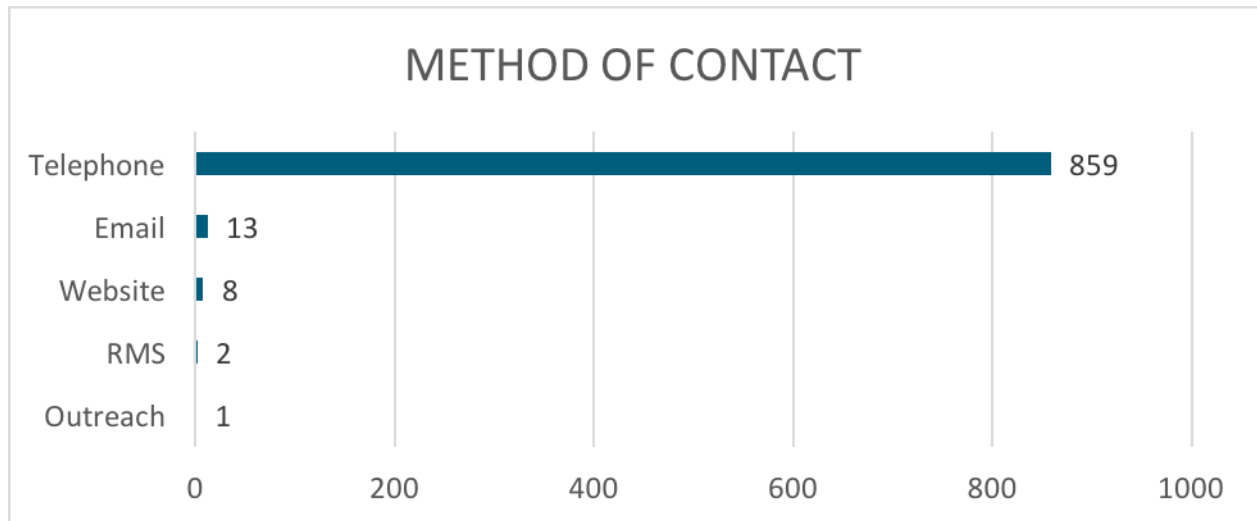


KNOWLEDGE OF SERVICE



KNOWLEDGE OF SERVICE	TOTAL	PERCENTAGE
Used Service Before	304	34.43%
Brochure/Poster/Newsletter	188	21.29%
HR/Supervisor	122	13.82%
Benefit/Health Fair	106	12.00%
Co-Worker/Family Member	78	8.83%
Website	32	3.62%
EAP Representative	31	3.51%
Email	12	1.36%
EAP Orientation	9	1.02%
Healthcare Provider	1	0.12%
TOTAL	883	100%

METHOD OF CONTACT



METHOD OF CONTACT	TOTAL	PERCENTAGE
Telephone	859	97.28%
Email	13	1.47%
Website	8	0.91%
RMS	2	0.23%
Outreach	1	0.11%
TOTAL	883	100.0%

Utilization Report for 2020

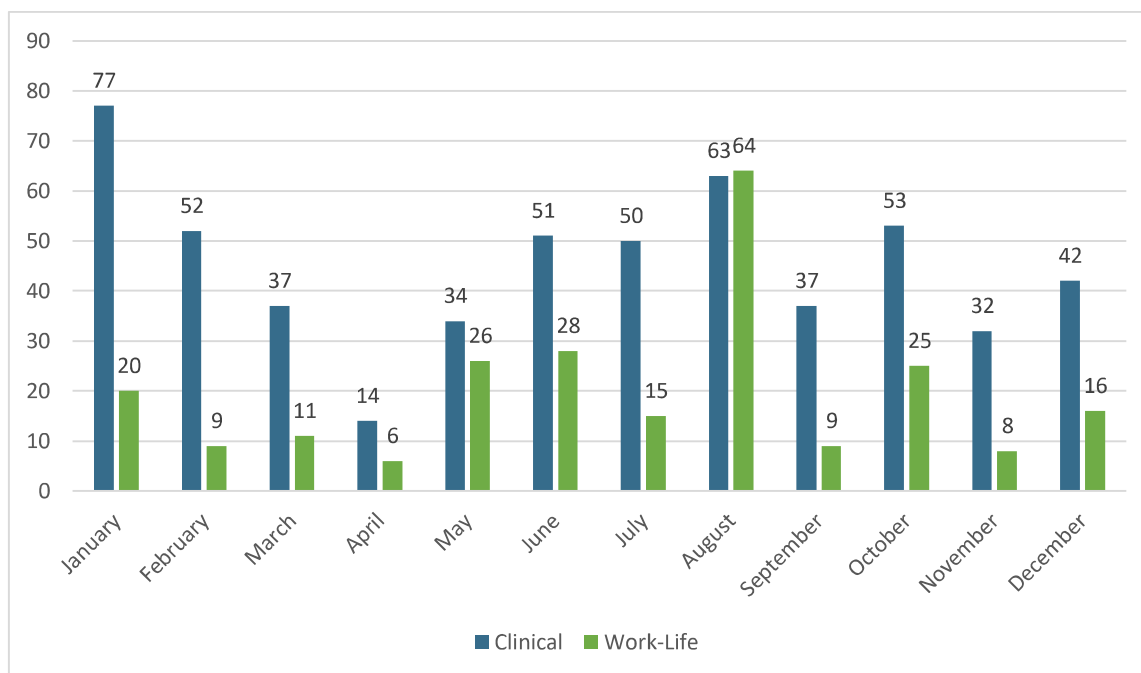
UTILIZATION OVERVIEW

January 1, 2020 – December 31, 2020

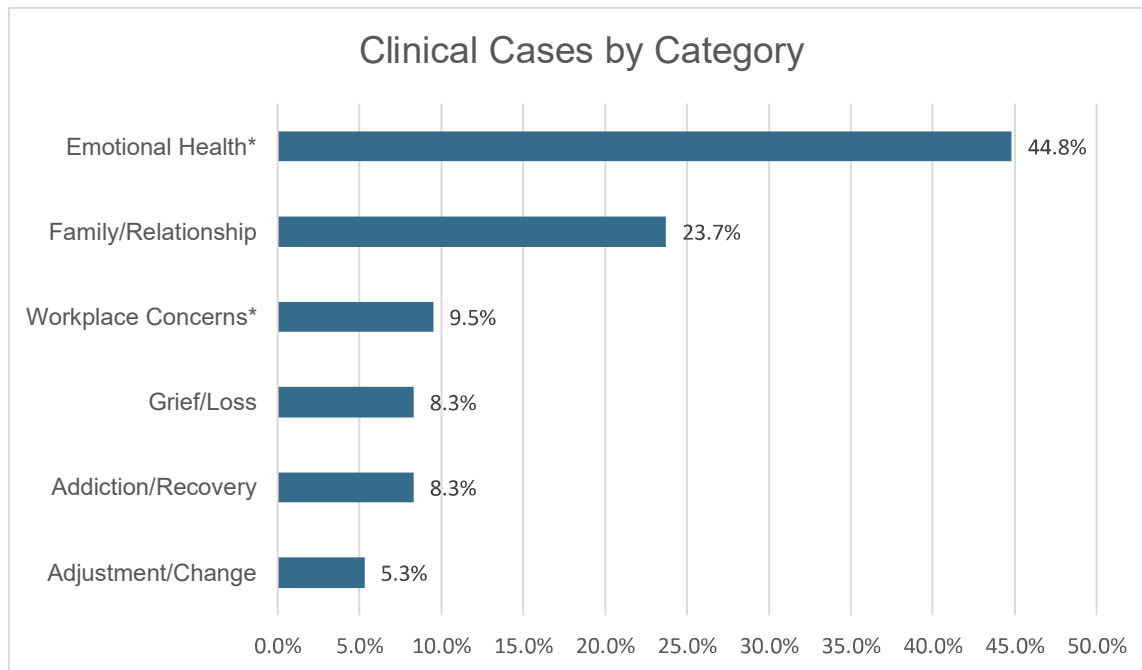
Number of Participants: 16,900

	Period Count	Annual Utilization
Clinical	542	3.20%
Work-Life	237	1.40%
Web Logins	3,218	19.04%
TOTAL	3,997	23.64%

CASES BY MONTH

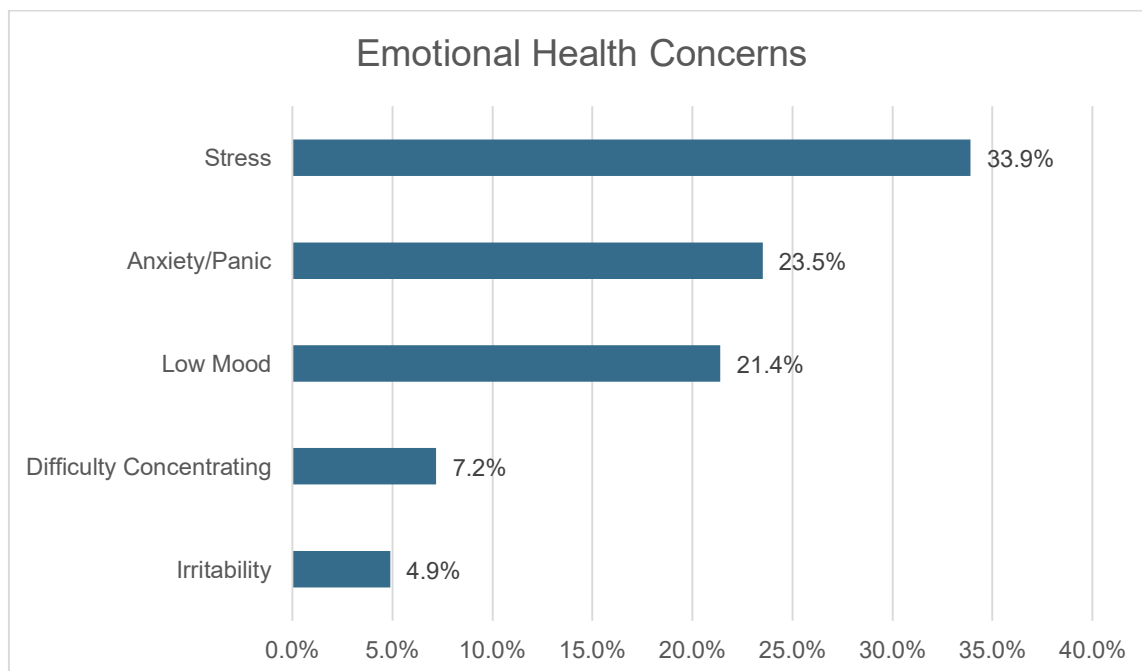


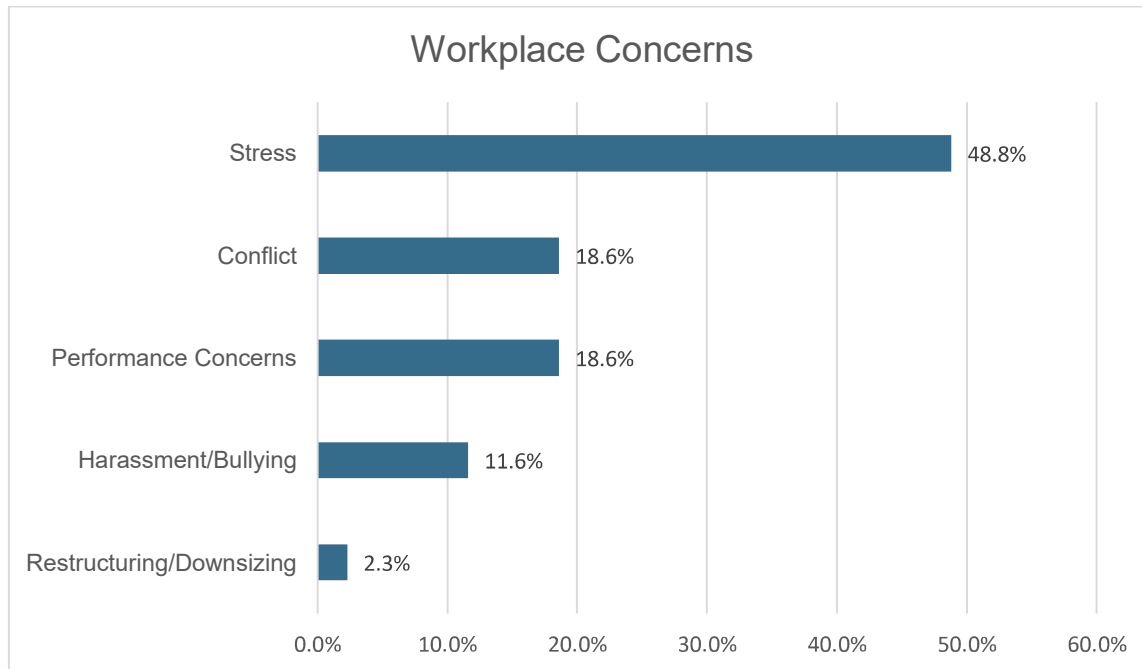
CLINICAL CASES BY CATEGORY



**See further breakdown of Emotional Health and Workplace presenting concerns below.*

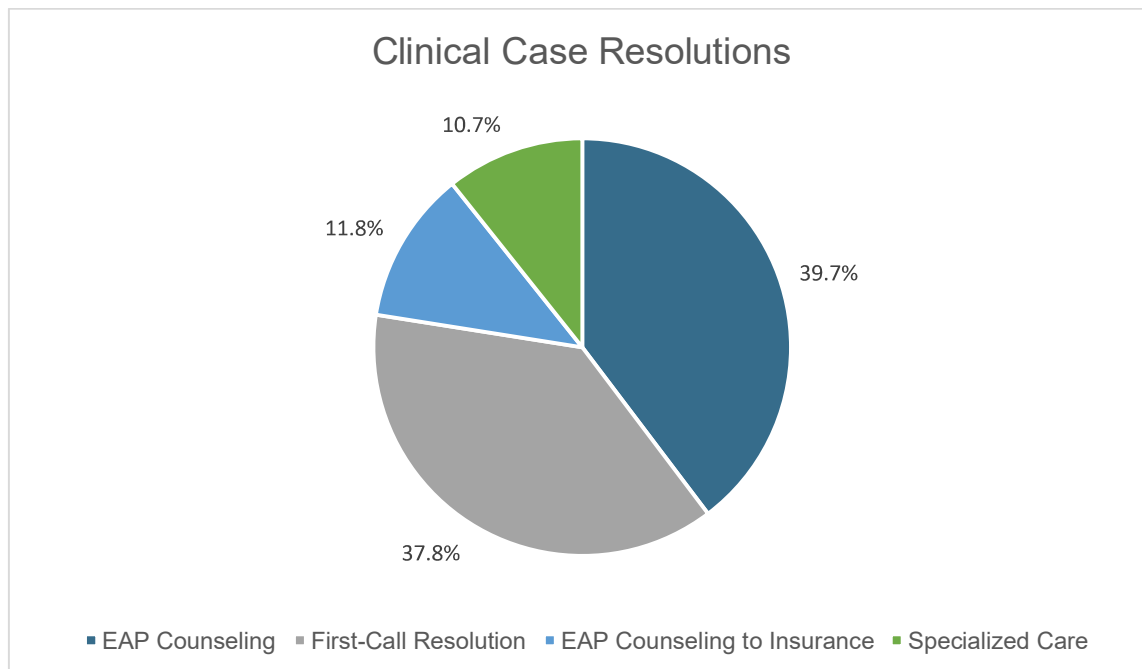
TOP CONCERNS**





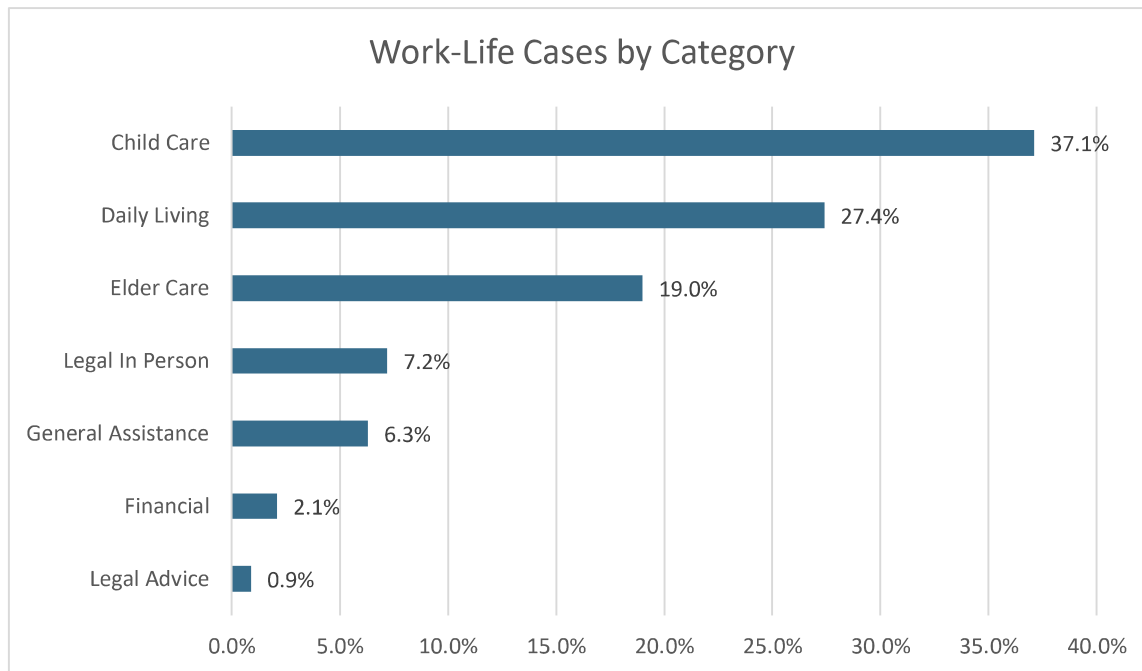
****Members are given the option to select none, one, or multiple concerns; percentages do not tally to 100%.**

CLINICAL CASE RESOLUTIONS



- 77.5% of clinical cases were resolved within the EAP.
- 22.5% of clinical cases were transitioned or referred into insurance.

WORK-LIFE CASES BY CATEGORY



CHILD CARE	TOTAL	PERCENTAGE
Day Care Centers	24	10.13%
Local Nanny & Babysitter Information	18	7.59%
Babysitters	17	7.17%
Summer Camp	14	5.91%
Miscellaneous	6	2.53%
Child Care Information	6	2.53%
Nanny Agencies	2	0.84%
Freestanding Preschools	1	0.42%
Subtotal	88	37.12%
DAILY LIVING	TOTAL	PERCENTAGE
Mental Health/Behavioral Health	25	10.55%
Education	12	5.06%
Low-Cost Housing	5	2.11%
Miscellaneous	5	2.11%
Housing	4	1.69%
Financial Services	3	1.27%
Health/Wellness	2	0.84%
Pets	2	0.84%

Social Services	2	0.84%
Insurance Options	1	0.42%
Household Services	1	0.42%
Relocation	1	0.42%
Shelters/Transitional Housing	1	0.42%
Support Groups	1	0.42%
Subtotal	65	27.41%
ELDER CARE	TOTAL	PERCENTAGE
Miscellaneous	12	5.06%
Area Agency on Aging	9	3.80%
Home Care	9	3.80%
Educational Materials	4	1.69%
Elder Housing	3	1.27%
Transportation	2	0.84%
Adult Day Care	1	0.42%
Aging Life Care Professional	1	0.42%
Disability	1	0.42%
Durable Medical Equipment	1	0.42%
Hospice	1	0.42%
Insurance Options	1	0.42%
Subtotal	45	18.98%
LEGAL IN-PERSON	TOTAL	PERCENTAGE
Divorce	4	1.69%
Legal Miscellaneous	4	1.69%
Bankruptcy	2	0.84%
Restraining Order/Protection	2	0.84%
Civil	1	0.42%
Child Support/Child Custody	1	0.42%
Probate	1	0.42%
Real Estate	1	0.42%
Will & Estate Planning	1	0.42%
Subtotal	17	7.16%
FINANCIAL	TOTAL	PERCENTAGE
Budgeting	2	0.84%
Debt	2	0.84%
Retirement Planning	1	0.42%

Sub Total	5	2.10%
LEGAL ADVICE	TOTAL	PERCENTAGE
Legal Miscellaneous	2	0.84%
Sub Total	2	0.84%
GENERAL ASSISTANCE	TOTAL	PERCENTAGE
Overview	15	6.33%
Sub Total	15	6.33%
TOTAL	237	100.0%

WEBSITE UTILIZATION

Unique Logins: **3,218**
Page Views: **11,579**

Top 10 searches based on page views (excluding Homepage):

- | | |
|--------------------------------|---------------------|
| 1) Mental Health | 6) Education |
| 2) Child Care | 7) Grief and Loss |
| 3) Relationships | 8) Legal Ready Docs |
| 4) Financial Checkup (webinar) | 9) Savings Center |
| 5) Financial | 10) Healthy Eating |

HOMEPAGE	Q1	Q2	Q3	Q4	TOTAL
Home	2,285	1,500	1,915	1,355	7,055
Seminars	286	53	124	130	593
Advanced Search	8	2	5	8	23
Monthly Feature		5	5	8	18
News		10	3	1	14
Homepage Feature 1		2	4	1	7
SUB TOTAL	2,579	1,572	2,056	1,503	7,710
BALANCING	Q1	Q2	Q3	Q4	TOTAL
Mental Health	84	63	137	144	428
Relationships	21	20	50	89	180
Home	32	14	28	51	125
Grief and Loss	35	22	31	13	101
Personal Growth	16	5	11	49	81
Families	15	6	18	23	62

Addiction/Recovery	31	7		7	45
Communication	4	2	13	5	24
Sub Total	238	139	288	381	1,046
PARENTING	Q1	Q2	Q3	Q4	TOTAL
Child Care	22	203	144	9	378
Education	20	8	106	6	140
Home	14	33	29	6	82
Development Stages	32		20	7	59
Kids' Well-Being	20	17	17	2	56
Parenting	10	13	13	18	54
Adoption				1	1
Sub Total	118	274	329	49	770
LIVING	Q1	Q2	Q3	Q4	TOTAL
Financial	87	14	22	23	146
Legal Ready Docs	18	12	31	36	97
Home Buying/Selling	29	10	27	11	77
Legal	23	4	17	9	53
Moving	8	1	1	19	29
Pets	16		12	1	29
Consumer Tips	1	5	2	12	20
Errands Online	5	3	5	1	14
Home Improvement	7		5	1	13
Home	4	2	5	1	12
Travel/Leisure	7				9
Safety	2	2	1	2	7
Sub Total	207	53	130	116	506
THRIVING	Q1	Q2	Q3	Q4	TOTAL
Healthy Eating	13	6	43	25	87
Women's Health	36	6	26	15	84
Men's Health	25	2	14		41

Home	10	2	13	11	36
Health Challenges	5	4	14	8	31
Infant/Toddler Health	13		11		24
Live Healthy	8	2	4	8	22
Medical Care	3		4	13	20
Health Tools	7	1	6	5	19
Adolescent's Health	1		4	4	9
Children's Health	5	3	1		9
Senior's Health	5		3		8
Sub Total	131	26	143	90	390
CENTERS	Q1	Q2	Q3	Q4	TOTAL
Savings Center	27	6	27	33	93
NOLO	19	11	13	1	44
Task Planner	2	1	28	9	40
Home	5	1	7	9	22
Two-Year Glance	2		10	2	14
Meal Planner	3		7	3	13
Yearly Planner	5	1	6	1	13
Explainer Videos	4		4	3	11
TaxSlayer	6				6
Mint	1			4	5
Holiday List	2		3		5
PocketSmith	1		1	1	3
Sub Total	77	20	106	66	269
AGING	Q1	Q2	Q3	Q4	TOTAL
Gov't Programs	21		10	3	34
Home Care	15	2	7	1	25
Home	8	4	7	3	22
Planning the Future	8	8	3		19
Housing Options	2	4	8	4	18

Adults w/ Disabilities			15		15
Caregivers	9	1	3	2	15
Aging Well	5	2	5		12
Health		2	2	7	11
Grief and Loss	3	1			4
Sub Total	71	24	60	20	175
WORKING	Q1	Q2	Q3	Q4	TOTAL
Training/Development	12	4	6	10	32
Career Development	13	2	3	11	29
Home	12	2	8	5	27
Accomplished Emp.	9		2	10	21
Productivity	7	1	5	5	18
Career Transition	12		4	1	17
Effective Manager	4			12	16
Workplace Safety	2	2			4
Workplace Diversity				1	1
Sub Total	71	11	28	55	165
E-LEARNING	Q1	Q2	Q3	Q4	TOTAL
Estate Planning	3	1	1		5
Eating for Wellness	1	1			2
Effective Comm.			2		2
Self Care: Resiliency	1	1			2
Business Etiquette	1				1
Time Management			1		1
Sub Total	6	3	4		13
INTERNATIONAL	Q1	Q2	Q3	Q4	TOTAL
Immigration	1				1
Sub Total	1				1
WEBINARS	Q1	Q2	Q3	Q4	TOTAL
Your Financial Checkup	163	1	3	3	170

Building Better Mental Health				20	20
Coronavirus: Building Psychological Immunity	3	12	4	1	20
Building Resiliency Muscles			3	15	18
Outsourcing Your To-Do List			15	2	17
Managing Workplace Stressors	9	2	1	3	15
Communication with Children	2	1	4	6	13
Say What You Mean the Right Way	2	2	2	6	12
Mental Strength Workout	1		3	7	11
Accepting Aging		2	6	2	10
Effective Budgeting	7		2	1	10
Maintaining Composure Amidst Pandemic Panic	1	3	3	3	10
Making a Life While Making a Living	8		1		9
Building Resiliency	1		1	5	7
Communication Skills for Collaboration	5			2	7
Maximizing Your Day	4			3	7
Healthy Forms of Communication	3			4	7
Secret to Work-Life Balance	1		2	4	7
Bereavement	1	1	3	1	6
Estate Planning		2	3	1	6
Examining Relationships	4		1	1	6
Home Alone: When Kids Outgrow Day Care	1	1	4		6
Isolation: How to Mentally Cope		3	2	1	6

Mindfulness Matters	3			3	6
Parents and Homeschooling		1	3	2	6
Emotional Wellness	1	1	3		5
Getting Your Affairs in Order	1	3	1		5
Home Buying 101	3	2			5
Keeping Love Alive		2	2	1	5
Leading People Back to Work			4	1	5
Make Your Money Work for You	2	1	1	1	5
Your Routine Financial Checkup	5				5
Explore New Horizons			2	2	4
Healthy Mind Toolkit	1		1	2	4
Interpersonal Communication			3	1	4
Know Your Strengths	1		1	2	4
Planning a Socially Safe Summer			4		4
Path to Inner Peace	2	1		1	4
Transforming to a Virtual Team Overnight		1		3	4
Breaking the Glass Ceiling			1	2	3
Building Positive Relationships at Work	2	1			3
Caring for Aging Relatives	2		1		3
Disrupting Negative Thoughts			3		3
Eating Your Way to Wellness			2	1	3
Maintaining Respect in the Workplace	1			2	3

Bullying in the Workplace	1			2	3
Planning for Professional Growth		2	1		3
Planning the Ultimate Staycation				2	2
Creating a Positive Learning Environment				2	2
Family Ties	1		1		2
Financial Fitness	2				2
International Stress Awareness Day				2	2
Lighten Up with Laughter	1			1	2
Ready, Set, Retire	2				2
Self-Care: Resiliency		2			2
A Healthier You				1	1
Building Healty and Happy Relationships				1	1
Changing Relationships with Aging Relatives				1	1
Creating a Personal Development Plan	1				1
Diversity in the Workplace				1	1
DIY: Apps and Guides for Household Mgmt	1				1
Getting Organized	1				1
Identifying Addiction in a Loved One				1	1
Let's Sleep On It				1	1
Managing Return-to-Work			1		1
Mental Health: Making a Difference Together			1		1
Raising Well-Adjusted Kids	1				1

Reframing Your World				1	1
Setting Goals				1	1
Social Injustice			1		1
Leading During Crisis				1	1
Running the COVID Battle		1			1
Millennial Life During the Pandemic				1	1
You Make Me So Mad!			1		1
Sub Total	251	48	101	134	534
TOTAL	3,750	2,170	3,245	2,414	11,579

WORKPLACE ACTIVITIES

Consultation and support: 105 hours

- VIP/Informal referrals
- Workplace crisis
- Formal referrals
- Promotion/administration
- Judicial wellness

Manager referrals (including union, VIP/informal, and formal referrals): 20

- Addiction concerns
- Family/caregiver strain
- Adjustment
- Grief and loss
- Abberant behavior
- Mental health

Employee Orientations

Date	Location	Hours
12/15/2020	Webinar 7 th JD	1.00
		1.00

Critical Incident Stress Debriefing (CISD)

Date	Location	Hours
11/12/2020	Goshen/ee death	3.00
2/11/2020	Brooklyn/ee death	3.00
		6.00

COVID-19 Themed Book of Business Webinars

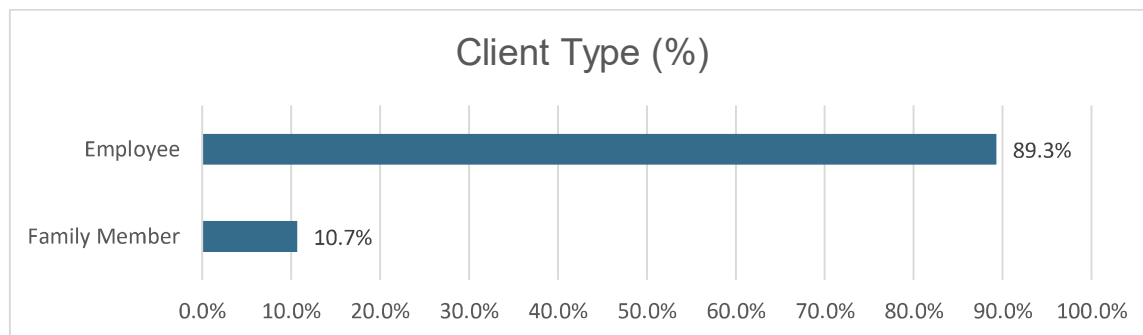
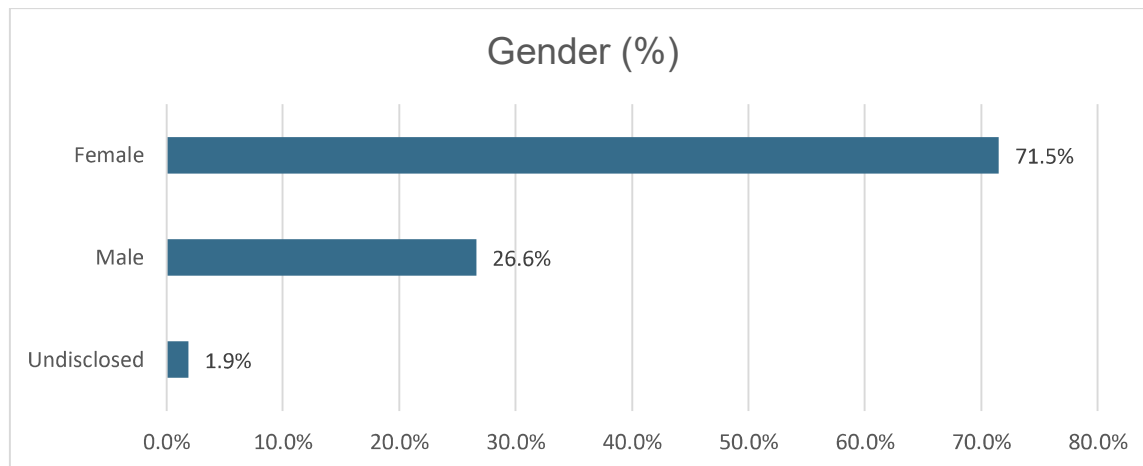
Date	Location/Topic	Attendees
3/31/20	Working Remotely with Kids at Home	3
4/1/20	Stress Management	3
4/1/20	Working Remotely with Kids at Home	3
4/2/20	Stress Management	7
4/3/20	Working Remotely with Kids at Home	6
4/7/20	Stress Management	2
5/11/20	Stress Management	7
5/12/20	Coping with Lonelines	3
5/13/20	Grief During COVID-19	3
5/14/20	Financial. Uncertainty During COVID-19	1

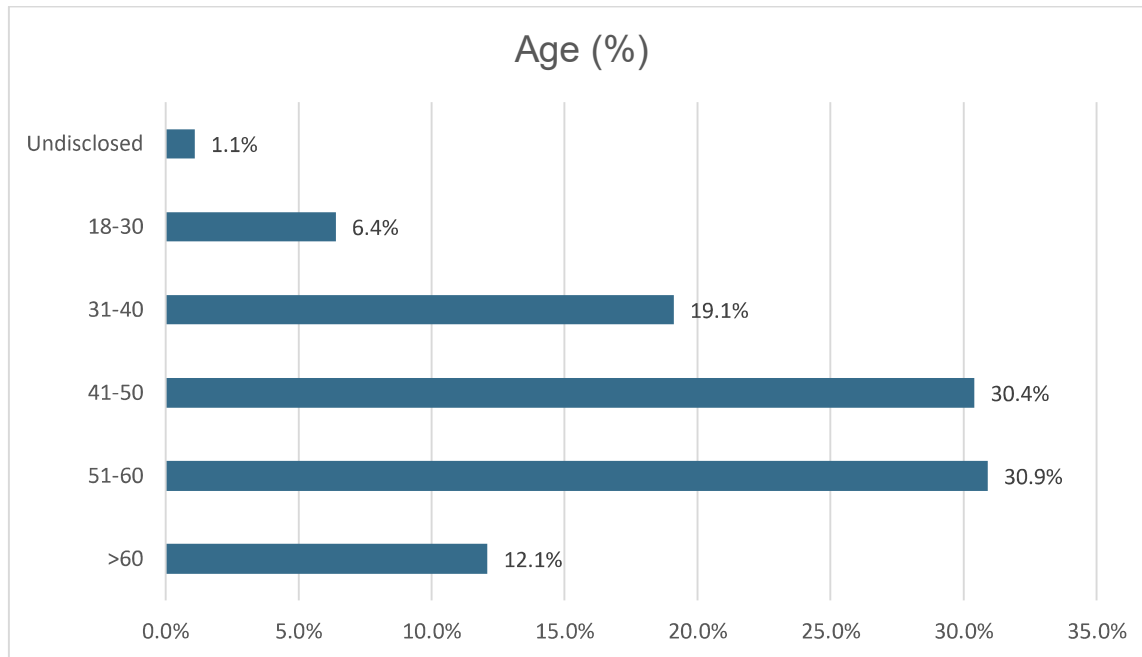
5/14/20	Communicating During COVID-19	4
5/15/20	Yoga	1
5/15/20	Coping with Loneliness	2
5/18/20	Communicating During COVID-19	7
5/18/20	Coping with Loneliness	2
5/19/20	Mental Health Matters	10
5/19/20	Financial Uncertainty During COVID-19	10
5/20/20	Working Remotely with Kids at Home	10
5/20/20	Coping with Loneliness	10
5/21/20	Mental Health Matters	7
5/22/20	Zumba	1
5/26/20	Healthy Eating	1
5/26/20	Mental Health Matters	1
Total		104

Election Day 2020 Themed Book of Business Webinars

Date	Location/Topic	Attendees
11/2/20	Practicing Resiliency During Uncertainty	29
11/4/20	Practicing Resiliency During Uncertainty	41
Total		70

CALLER INFORMATION





KNOWLEDGE OF SERVICE

KNOWLEDGE OF SERVICE	TOTAL	PERCENTAGE
Used Service Before	245	31.45%
Brochure/Poster/Newsletter	216	27.73%
HR/Supervisor	76	9.76%
Benefit/Health Fair	75	9.63%
Co-Worker/Family Member	58	7.45%
EAP Representative	47	6.03%
Website	29	3.72%
Email	17	2.18%
EAP Orientation	16	2.05%
TOTAL	779	100%

METHOD OF CONTACT

METHOD OF CONTACT	TOTAL	PERCENTAGE
Telephone	760	97.56%
Email	17	2.18%
Website	2	0.26%
TOTAL	779	100.0%

Utilization Report for 2021

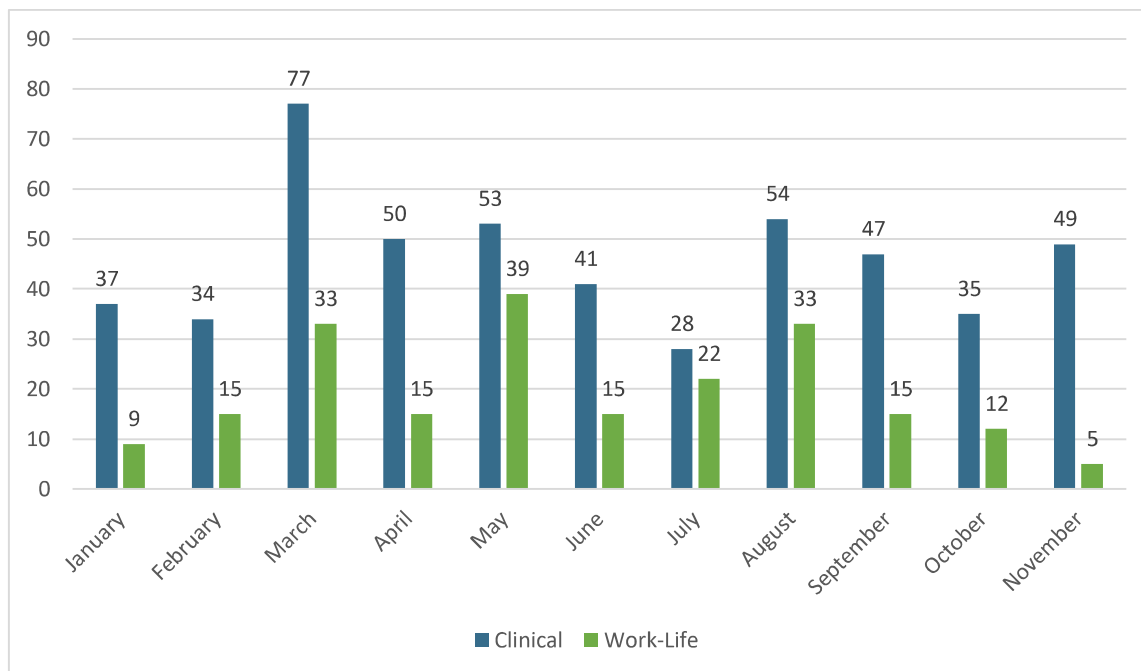
UTILIZATION OVERVIEW

January 1, 2021 – November 30, 2021

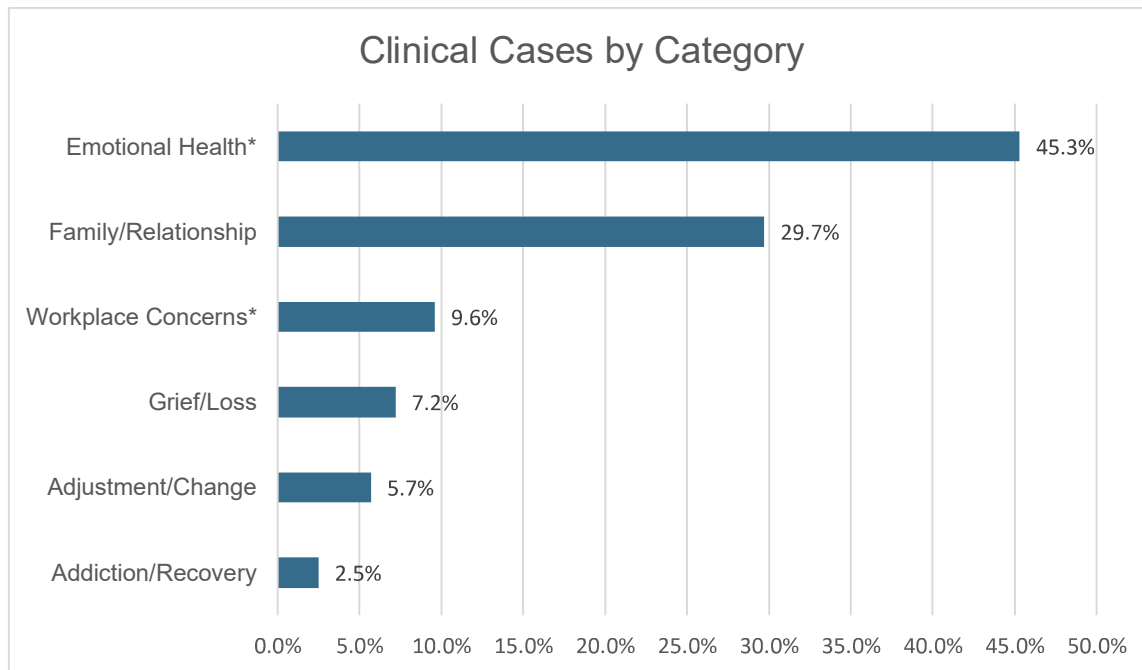
Number of Participants: 15,699

	Period Count	Annual Utilization
Clinical	505	3.52%
Work-Life	213	1.48%
Web Logins	3,337	21.26%
TOTAL	3,997	26.26%

CASES BY MONTH

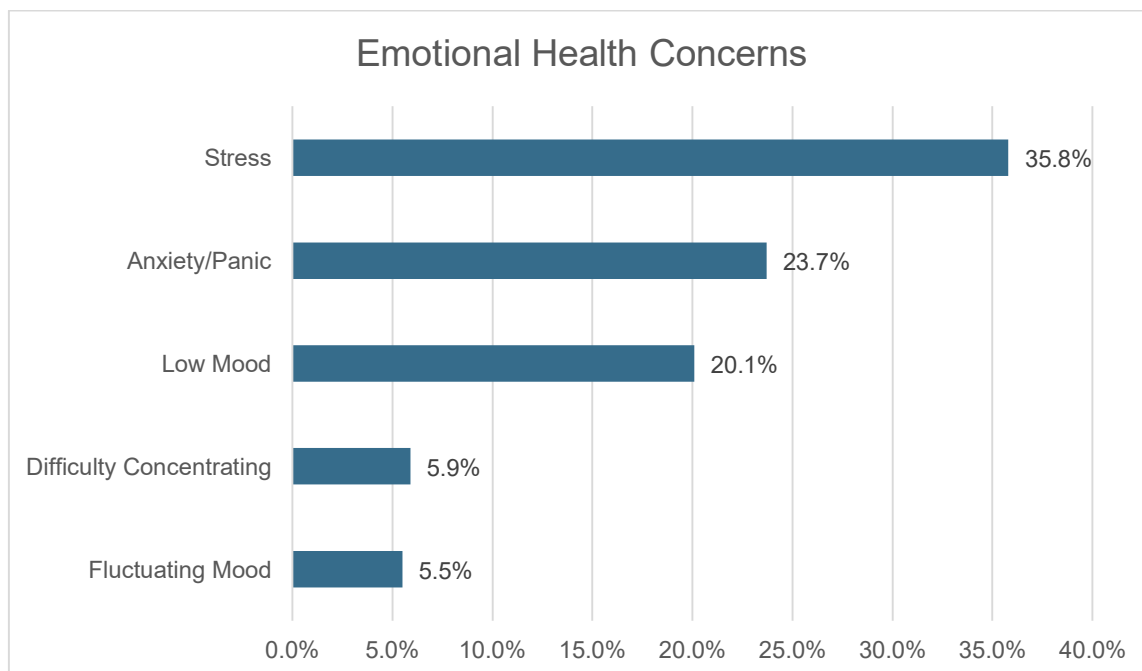


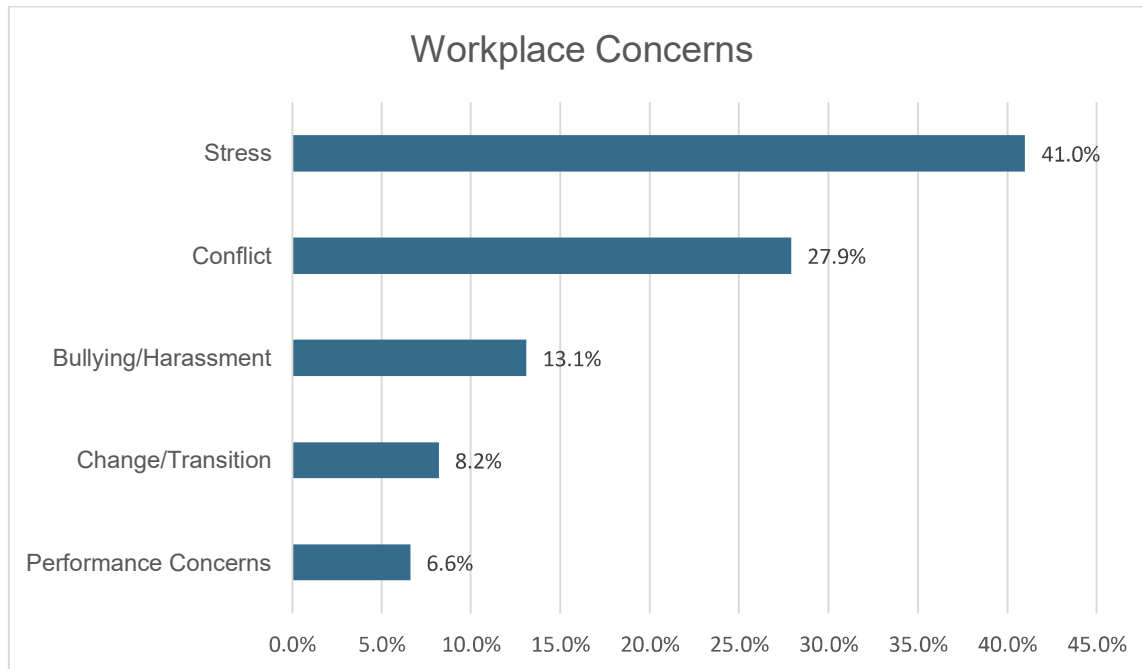
CLINICAL CASES BY CATEGORY



**See further breakdown of Emotional Health and Workplace presenting concerns below.*

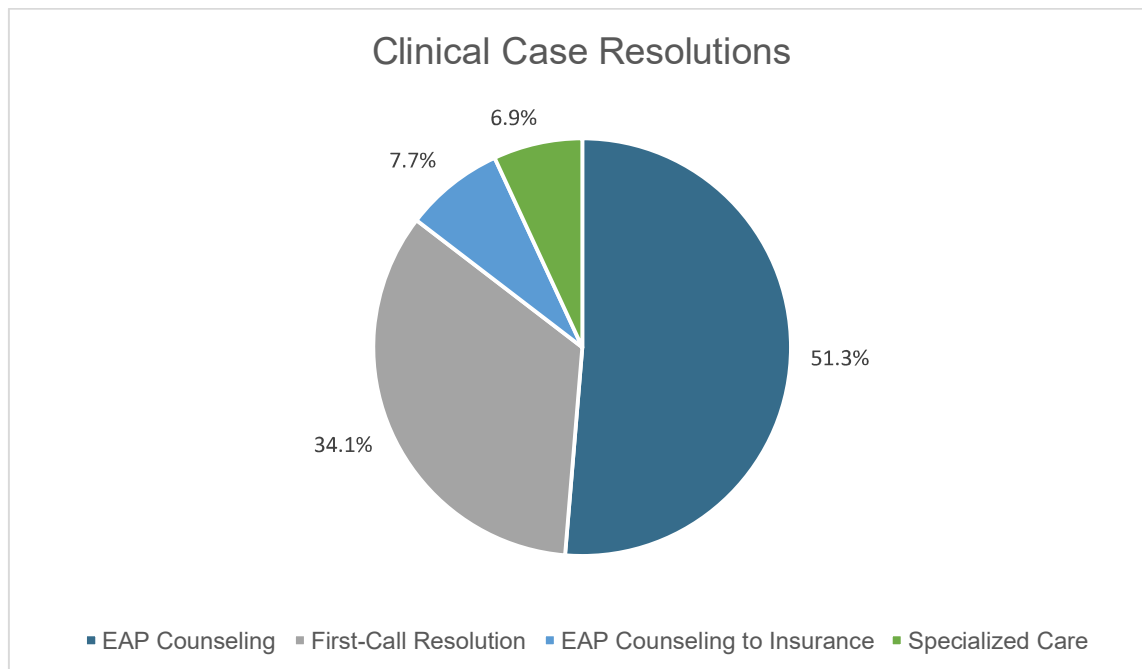
TOP CONCERNS**





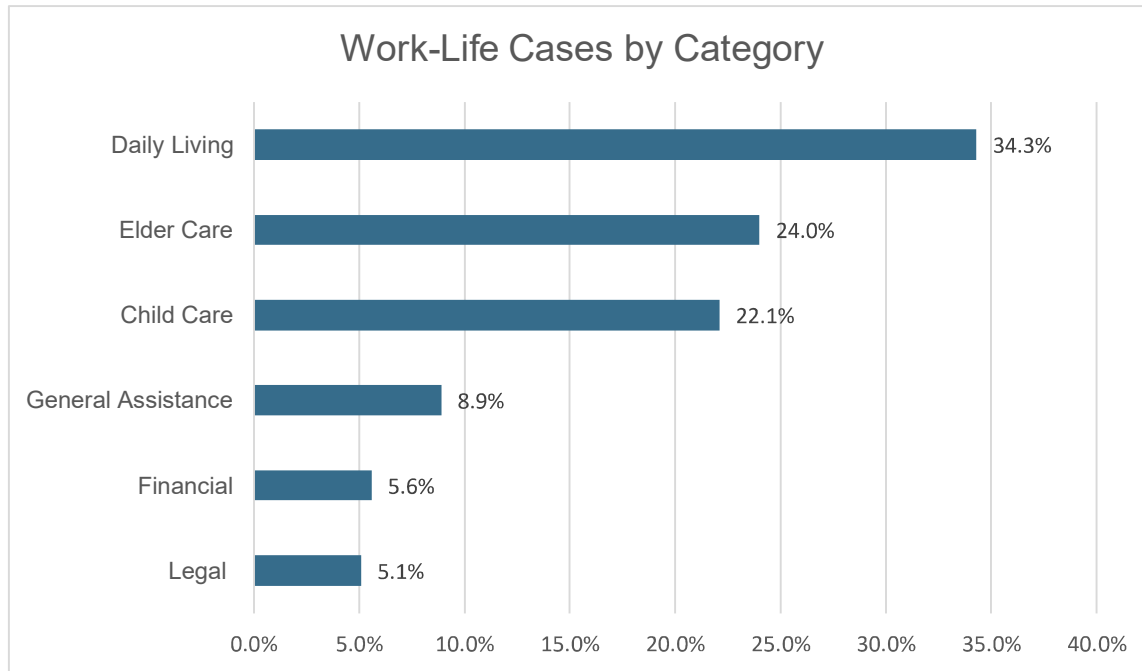
****Members are given the option to select none, one, or multiple concerns; percentages do not tally to 100%.**

CLINICAL CASE RESOLUTIONS



- 85.4% of clinical cases were resolved within the EAP.
- 14.6% of clinical cases were transitioned or referred into insurance.

WORK-LIFE CASES BY CATEGORY



DAILY LIVING	TOTAL	PERCENTAGE
Mental Health/Behavioral Health	22	10.33%
Health/Wellness	18	8.45%
Education	5	2.35%
Housing	4	1.88%
Miscellaneous	4	1.88%
Pets	4	1.88%
Insurance Options	3	1.41%
Support Groups	3	1.41%
Financial Services	2	0.94%
Household Services	2	0.94%
Relocation	2	0.94%
Social Services	2	0.94%
Career	1	0.47%
Educational Materials	1	0.47%
Subtotal	73	34.29%
ELDER CARE	TOTAL	PERCENTAGE
Home Care	13	6.1%
Elder Housing	7	3.29%

Doctors	5	2.35%
Area Agency on Aging	4	1.88%
Miscellaneous	4	1.88%
Aging Life Care Professional	3	1.41%
Educational Materials	3	1.41%
Transportation	3	1.41%
Adult Day Care	2	0.94%
Durable Medical Equipment	2	0.94%
Insurance Options	2	0.94%
Disability	1	0.47%
Estate Planning	1	0.47%
Home Modifications	1	0.47%
Subtotal	51	23.96%
CHILD CARE	TOTAL	PERCENTAGE
Day Care Centers	15	7.04%
Summer Camp	11	5.16%
Child Care Information	10	4.69%
Local Nanny & Babysitter Information	5	2.35%
Babysitters	3	1.41%
Miscellaneous	2	0.94%
Nanny Agencies	1	0.47%
Subtotal	47	22.06%
GENERAL ASSISTANCE	TOTAL	PERCENTAGE
Overview	17	7.98%
Benefit Connect	2	0.84%
Sub Total	19	8.92%
FINANCIAL	TOTAL	PERCENTAGE
Miscellaneous	4	1.88%
Retirement Planning	4	1.88%
Investments	2	0.94%
Credit	1	0.47%
Mortgage	1	0.47%
Sub Total	12	5.64%
LEGAL	TOTAL	PERCENTAGE
Divorce	2	0.94%
Elder Law	2	0.94%

Will & Estate Planning	2	0.94%
Civil	1	0.47%
Credit/Debt Issues	1	0.47%
Criminal	1	0.47%
Power of Attorney	1	0.47%
Tenancy	1	0.47%
Sub Total	11	5.17%
TOTAL	213	100.0%

WEBSITE UTILIZATION

Unique Logins: **3,337**
Page Views: **10,570**

Top 10 searches based on page views (excluding Homepage):

- | | |
|-----------------------------|----------------------------------|
| 1) Mental Health | 6) Legal Ready Docs |
| 2) Relationships Child Care | 7) Healthy Eating |
| 3) Financial | 8) Grief and Loss |
| 4) Legal | 9) Savings Center |
| 5) Child Care | 10) Financial Wellness (webinar) |

HOMEPAGE	Q1	Q2	Q3	Q4	TOTAL
Home	1,965	2,725	1,203	631	6,524
Seminars	88	271	54	11	424
Monthly Feature	3	7			10
Advanced Search	2	1	5		8
Cloud	1				1
SUB TOTAL	2,059	3,004	1,262	642	6,967
BALANCING	Q1	Q2	Q3	Q4	TOTAL
Mental Health	88	245	97	30	460
Relationships	30	99	16	14	159
Home	24	48	23	15	110
Grief and Loss	43	26	10	15	94
Families	11	30	32	2	75
Personal Growth	4	28	16	3	51
Addiction/Recovery	19	17	7	3	46

Communication	8	6	2	2	18
Sub Total	227	499	203	84	1,013
LIVING	Q1	Q2	Q3	Q4	TOTAL
Financial	30	114	8	4	156
Legal	51	39	6	18	114
Legal Ready Docs	46	44	10	6	106
Home Buying/Selling	8	19	10	8	45
Home Improvement	14	7	4	2	27
Home	13	7	5	1	26
Moving	5	9	6	5	25
Pets	8	5	7	2	22
Travel/Leisure	6	3	6		15
Errands Online	7	1	3		11
Consumer Tips	1	5	1		7
Fraud/Theft	2	5			7
Safety	2			1	3
Sub Total	193	258	66	47	564
AGING	Q1	Q2	Q3	Q4	TOTAL
Gov't Programs	35	24	7		76
Planning the Future	19	42	9		70
Grief and Loss	31	26	9		66
Home Care	23	13	10	4	50
Caregivers	18	5	17	8	48
Aging Well	32	11	3		46
Home	24	10	5	1	40
Housing Options	17	11	4		32
Adults w/ Disabilities	1	7	4		12
Health	1	7			8
Sub Total	201	166	68	13	448
CENTERS	Q1	Q2	Q3	Q4	TOTAL

Savings Center	32	34	19	6	91
Task Planner	11	22	12	5	50
NOLO	18	19	5	1	43
Yearly Planner	10	14	8	3	35
Meal Planner	8	15	9	2	34
Two-Year Glance	4	12	7	1	25
Home	6	5	6	4	21
Holiday List	4	10	5	1	20
Explainer Videos	3	6	4		13
Mint	1	4		1	6
PocketSmith	2			1	3
Sub Total	99	141	75	26	341
PARENTING	Q1	Q2	Q3	Q4	TOTAL
Child Care	20	34	43	10	107
Parenting	4	18	20	13	55
Education	8	4	34		46
Development Stages	4	26	2		32
Home	8	9	12	3	32
Kids' Well-Being	10	11	5		26
Adoption	3	3	9		15
Sub Total	57	105	125	26	313
THRIVING	Q1	Q2	Q3	Q4	TOTAL
Healthy Eating	61	31	6	2	100
Women's Health	15	24	15	1	55
Home	20	12	5	2	39
Live Healthy	19	5	5	1	30
Men's Health	15	10	2	1	28
Health Challenges		5	7	5	17
Health Tools	4	5	2		11
Adolescent's Health		7			7

Senior's Health	1	1		4	6
Children's Health	2	2			4
Medical Care	1	3			4
Infant/Toddler Health	2				2
Sub Total	140	105	42	16	303
WORKING	Q1	Q2	Q3	Q4	TOTAL
Effective Manager	13	22	2	2	39
Accomplished Emp.		10	21	1	32
Career Transition	1	19	6		27
Home	6	10	7		23
Career Development		7	10		17
Workplace Diversity	3	2	7	2	14
Training/Development		5	4	2	11
Workplace Safety			11		11
Workplace Productivity		1			1
Sub Total	24	76	68	7	175
WEBINARS	Q1	Q2	Q3	Q4	TOTAL
Financial Wellbeing	1	75	5	1	82
Addressing Anxiety	2	23	10	1	36
Planning for Success	5	15	3	2	25
Reframing Your World	11	9	3	2	25
Setting Future Goals	3	10	6	4	23
Buidling Healthy Relationships		15	4		19
Choose to Challenge	10	4	1		15
Helping Children Build Confidence	1	4	7		12
Ready, Set, Retire	2	7			9
Building Mental Health	3	2	3		8
Keeping Love Alive	1	7			8
Making the Most of Your Summer Break	1	3	4		8

Getting Affairs in Order		6	1	1	8
Bereavement	4	3			7
Estate Planning	4	3			7
Healthy Mind Toolkit	1	6			7
Accepting Aging	2	4			6
Building Resilience		5			5
Say What You Mean the Right Way	1	4			5
Mental Strength Workout		4	1		5
Coronavirus: Building Psychological Immunity	2	1	1		4
Eating Way to Wellness	1	2	1		4
Let's Sleep On It		3	1		4
Switch On to Being More Present		1	3		4
Millennial Life During the Pandemic		4			4
Planning the Ultimate Staycation		3			3
Paying it Forward		1	1	1	3
Resilient Return to the Workplace			3		3
Beating the Blues		1	1	1	3
Caring for Aging Relatives	1	1		1	3
Effective Comm. With Children	1	1	1		3
Family Ties	1		2		3
Leading People Back to Work	1	2			3
Lighten Up with Laughter		2	1		3
Planning a Socially Safe Summer		3			3
Self-Care		2		1	3

Work-Life Balance	1	2			3
Financial Checkup		3			3
Balance for Better	1	1			2
A Healthier You	1	1			2
Healthy Living for Brain and Body		2			2
Creating a Personal Development Plan		1	1		2
8 Steps Healthy Heart	2				2
Emotional Wellness		2			2
Explore New Horizons	1	1			2
When Kids Outgrow Child Care		1	1		2
Internat'l Day Against Homophobia			2		2
Interpersonal Communication		2			2
Maintain Composure Amidst Pandemic Panic			2		2
Managing Work Stress	1	1			2
Mindfulness Matters		2			2
Outsourcing Your To-Do List	1		1		2
Retirement: It's Not Just about the Money		2			2
Say What You Mean the Right Way		2			2
Understanding Resilience			2		2
Working Parents	1	1			2
You Make Me So Mad	1		1		2
Creating a Positive Learning Environment			1		1
Building Positive Relationships at Work			1		1
Changing Relationships	1				1

Creating Hope through Action			1		1
Disrupting Negative Thoughts		1			1
Diversity in Workplace			1		1
Apps for Household Management	1				1
Embracing Diversity				1	1
Emotional Support			1		1
Examining Relationships		1			1
Home Buying 101		1			1
Coping with Isolation		1			1
Make Your Money Work for You			1		1
Work-Life Balance			1		1
Managing Return to Work		1			1
Maximizing Your Day			1		1
Planning for Professional Growth		1			1
Raising Well-Adjusted Kids			1		1
Social Injustice	1				1
Suddenly You're a Caregiver			1		1
Mind-Body Connection		1			1
Elder Care: Supporting those in Isolation			1		1
What to Expect from Counseling		1			1
Routine Financial Checkup		1			1
Sub Total	70	273	86	17	446
TOTAL	3,070	4,627	1,995	878	10,570

WORKPLACE ACTIVITIES

Consultation

175 hours
32 referrals

CISDs

158 hours
135 participants

Wellness

5 hours
126 attendees

Orientations

2 hours
92 attendees

Consultation and Support: 175 hours

Workplace crisis

Promotion/administration

Formal referrals

Judicial Wellness

Informal referrals

Workplace dynamics

Formal and Informal Referrals: 32

Stress and anxiety

Anger management

Mental health

Grief and loss

Daily living needs

Addiction/recovery

Family concerns

Medical concerns

Aberrant behavior

Orientations/Special Programs

Date	Group/Program	Hours	Attendees
2/10/21	JWC Orientation	1	60
10/26/21	Addressing MH in the aftermath of suicide	1	32
Total		2	92

Wellness Seminars

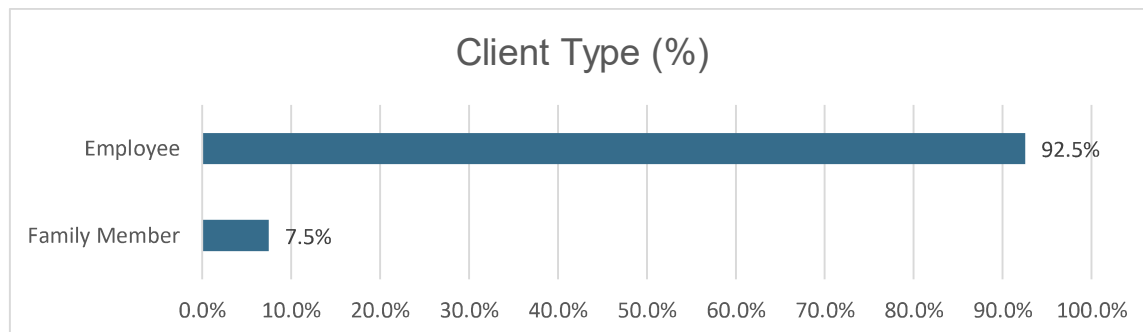
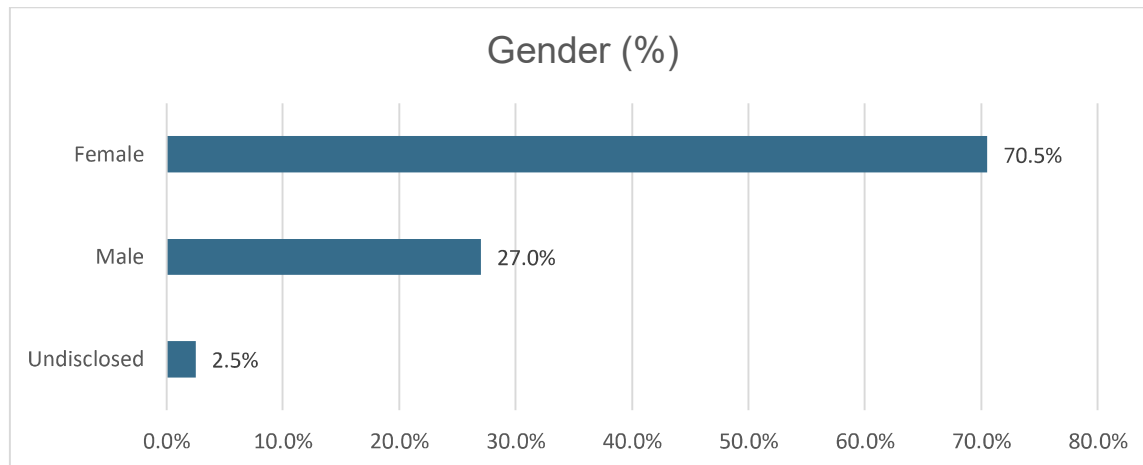
Date	Topic	Hours	Attendees
2/11/21	Managing a Remote Workforce	1	70
2/17/21	Managing Fear & Anxiety – COVID-19	1	28
7/7/21	Clean Living	1	12
9/1/21	Healthy Aging	1	14
10/28/21	Mindful Meditation	1	2
Total		5	126

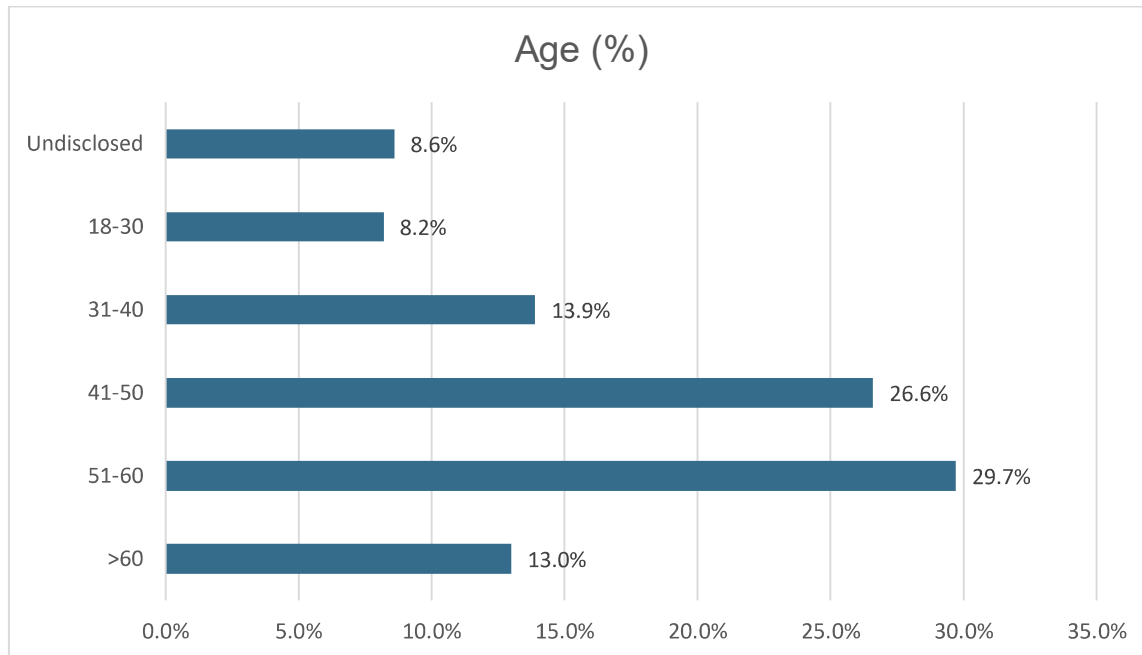
Critical Incident Stress Debriefing (CISD)

Date	Location/Incident	Hours	Participants
3/2/21	60 Lafayette St/Employee death	4	6
3/2/21	900 Sheridan Ave/Employee death	4	3
3/2/21	26 Central Ave/Employee death	4	4
3/2/21	320 Jay Street/Employee death	4	6
3/3/21	151-20 Jamaica Ave/Employee death	4	3
3/3/21	320 Jay Street/Employee death	4	0
3/3/21	60 Lafayette St/Employee death	5	7
3/4/21	100 Richmond Terrace/Employee death	4	4
3/4/21	60 Lafayette St/Employee death	4	5
3/4/21	Virtual support/Employee death	4	2
3/5/21	60 Lafayette St/Employee death	4	5
3/5/21	Virtual support/Employee death	4	0
3/9/21	60 Lafayette St/Employee death	4	11
3/10/21	Virtual support/Employee death	4	0
3/10/21	320 Jay St/Employee death	4	0
3/11/21	60 Lafayette St/Employee death	4	4
3/11/21	Virtual support/Employee death	4	0
3/15/21	60 Lafayette St/Employee death	4	2
3/16/21	320 Jay St/Employee death	4	0
3/17/21	60 Lafayette St/Employee death	4	2
3/17/21	Virtual support/Employee death	4	0
3/18/21	Virtual support/Employee death	4	0
3/23/21	60 Lafayette St/Employee death	4	1

3/23/21	320 Jay Street/Employee death	4	0
3/24/21	60 Lafayette St/Employee death	4	2
3/24/21	Virtual support/Employee death	4	0
3/25/21	Virtual support/Employee death	4	0
6/15/21	115-20 Jamaica Blvd/Employee death	4	1
6/19/21	115-20 Jamaica Blvd/Employee death	4	4
6/29/21	851 Grand Concourse/Employee death	3	3
7/16/2	Virtual support/Employee death	3	0
7/22/21	50 Delaware Ave /Sheriff's Officer death	8	3
8/6/21	Kings County Court/Employee death	3	2
8/9/21	Kings County Court/Death of employee's son	3	0
8/12/21	Kings County Court/Death of employee's son	3	0
9/8/2	100 Centre St/Employee death	3	3
9/9/21	100 Centre St/Employee death	3	4
9/13/21	100 Centre St/Employee death	3	4
9/13/21	Virtual support/Employee death	3	0
10/15/21	165 E. 161 St Bronx/Employee death	3	6
10/25/21	165 E. 161 St Bronx/Employee death	3	2
Total		158	135

CALLER INFORMATION





KNOWLEDGE OF SERVICE

KNOWLEDGE OF SERVICE	TOTAL	PERCENTAGE
Used Service Before	250	34.82%
Brochure/Poster/Newsletter	155	21.59%
HR/Supervisor	90	12.53%
Co-Worker/Family Member	85	11.84%
EAP Orientation	43	5.99%
Benefit/Health Fair	65	9.05%
EAP Representative	17	2.37%
Website	11	1.53%
Email	2	0.28%
TOTAL	718	100%

METHOD OF CONTACT

METHOD OF CONTACT	TOTAL	PERCENTAGE
Telephone	689	95.96%
Email	24	3.34%
Website	5	0.70%
TOTAL	718	100.0%