

Judiciary Civil Legal Services in New York

Request for Proposals

Issued May 5, 2016

Due June 15, 2016 at 2PM

**APPLICATION FORMS AND INSTRUCTIONS**

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## **I. Background Information and Instructions**

The New York State Unified Court System’s Permanent Commission on Access to Justice has found that there is an unacceptable crisis of the unrepresented in the courts of New York State. Each year, close to 1.8 million low-income New Yorkers must navigate the complexities of the State’s civil justice system without the assistance of counsel in disputes over the most basic necessities of life. This crisis burdens our courts and represented parties by requiring Judges and other court personnel to devote greater time to cases involving unrepresented New Yorkers than would be necessary if currently unrepresented parties were assisted by counsel. It prevents unrepresented parties from receiving full access to justice and hurts our State by reducing the amount of federal assistance for New Yorkers and by increasing other costs arising from poverty.

In its initial 2010 Report the Commission proposed a multi-year plan to allocate funding within the Judiciary’s budget for civil legal services for New Yorkers in all areas of the State living at or below 200 percent of the federal poverty level (\$46,100 in annual income for a family of four in 2012).<sup>1</sup> The Commission has prioritized civil legal problems involving the “essentials of life”— housing, family matters, access to health care and education, and subsistence income. During State fiscal year 2012-13, the Judiciary awarded \$25 million for this critical initiative to civil legal service providers throughout the state. During fiscal years 2013-14, 2014-15, and 2015-16, \$15 million in additional funds were awarded each year, providing a total of \$70 million to service providers. As a result of those grants, more low-income New Yorkers have received civil legal assistance. Although there have been some gains, the Commission finds that there is still a substantial gap to be bridged in access to justice in core civil legal matters involving the “essentials of life.” In keeping with its multi-year plan, the Commission recommended that the current allocation for civil legal services in the Judiciary budget once again be increased. The 2016-17 State fiscal year budget allocated an additional \$15 million for this critical initiative, with funding to begin at the \$85 million annual level effective January 1, 2017.

The parameters for the funding and the mechanism for distributing funds were adopted by the Chief Judge in response to the Commission’s recommendations. The Chief Judge established an Oversight Board, consisting of the Chief Administrative Judge of the Courts, the Chair of the Commission, and the Chair of the IOLA Board, to oversee the process for the allocation of this funding.

Funds are allocated to each county based on the proportion of the population living at or below 200% of the poverty line. The \$85,000,000 available will be awarded pursuant to this competitive procurement. The purpose of competitively bidding the funds is to continue to promote a broad array of quality civil legal services that directly address each of the “essentials of life” and improve access to such services in each county. An additional goal is to further encourage cooperative agreements that promote collaboration among legal service providers, bar associations and law schools.

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<sup>1</sup> <http://www.nycourts.gov/accesstojusticecommission/PDF/CLS-TaskForceREPORT.pdf>

It is the intent of this Request for Proposals (RFP) to award contracts for Judiciary Civil Legal Services in the counties for which funding is available as listed in Exhibit 3. The Unified Court System (UCS) is soliciting proposals for the purpose of establishing one or more contracts to provide the services herein. Applicants must have staff with the requisite training, knowledge and experience to resolve client problems effectively and efficiently.

### **A. Applicant Eligibility**

Awards will be made to qualified organizations which are non-profit entities, tax-exempt under the Internal Revenue Code.

Applicants seeking funding for joint projects between two or more funding-eligible organizations should have only one of the organizations submit an application for the project. The participating organizations should decide which organization will submit the application. The application should be submitted in the name of the organization, not in the name of the proposed project, unless the project is a separate legal entity. The application should contain one budget which allocates the expenditures among the participating organizations. Joint project applications are considered separately and have no effect on any application for a different project that is submitted individually by any of the participants in a proposed joint project.

### **B. Funding**

Available funding for the Judiciary Civil Legal Services program is allocated by county based on the proportion of the population living at or below 200% of the poverty line. The amount allocated by county under this procurement was determined by allocating the total 2016-17 fiscal year appropriation of \$85,000,000 by the proportion of the population living at or below 200% of the poverty line. See Exhibit 3, Maximum Available Funding by County.

Applicants may submit a single proposal to serve a single county or multiple counties. Proposals must articulate the specific counties to be served and the “essentials of life” service types to be provided in each county in the Application Summary Table.

### C. Award Selection Criteria and Method of Award

Proposals will be reviewed and rated by the Oversight Board to Distribute Judiciary Civil Legal Services Funds in New York to ensure that the “essentials of life” – housing, family matters, access to health care and education, and subsistence income – are provided for throughout the state.

Proposals will be evaluated and points awarded in the following categories:

Organizational Capacity:	15 points maximum
Overall Program Plan	50 points maximum
Reasonableness of Cost (Overall Budget):	15 points maximum
County-Specific Program Plan:	15 points maximum <sup>2</sup>
County-Specific Reasonableness of Cost:	5 points maximum <sup>3</sup>
<b>TOTAL POSSIBLE POINTS</b>	<b>100</b>

A minimum total score of 85 is required for a contract to be awarded. A separate score will be calculated for each county for which services are proposed. Funding will be awarded to each responsible applicant that proposes to provide services in a given county and that receives a score of 85 or more. Responsibility is determined in accordance with the criteria articulated in paragraph I(G) below.

Reviewers will consider the following factors in awarding points in each category:

#### Organizational Capacity (15 Points Maximum)

1. The extent to which the applicant demonstrates that the organization’s mission aligns with the provision of civil legal services to low income clients and has experience providing civil legal services to low income clients. (5 points). Reviewers will consider the following source(s) of information: Mission Statement; Narrative Proposal, Organizational Capacity, questions 1, 2 and 5.
2. The extent to which the applicant demonstrates that the organization has instituted mechanisms and internal controls likely to result in high quality provision of civil legal services and appropriate management of funds, taking into account significant developments which may have impacted the ability to institute such mechanisms or internal controls. (5 points). Reviewers will

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<sup>2</sup> A separate score will be calculated for each county for which services are proposed.

<sup>3</sup> A separate score will be calculated for each county for which services are proposed.

consider the following source(s) of information: Narrative Proposal, Organizational Capacity, questions 3, 4, 6, 7, 8 and 9 and Attachment R.

3. The extent to which the applicant demonstrates effective or innovative use of technology to enhance access to and quality of civil legal services. (3 points). Reviewers will consider the following source(s) of information: Narrative Proposal, Organizational Capacity, question 10.
4. The ability of the organization to respond to victims of natural disasters (2 Points). Reviewers will consider the following source(s) of information: Narrative Proposal, Organizational Capacity, question 11

#### Overall Program Plan (50 Points Maximum)

1. The extent to which the application proposes to address essentials of life issues as defined in RFP Section I: Background Information and Instructions (9 points). Reviewers will consider the following source(s) of information: Narrative Proposal, Program Description, question 1.
2. The extent to which the applicant proposes provision of direct legal services. (8 points). Reviewers will consider the following source(s) of information: Narrative Proposal, Program Description, questions 2, 3 and 4.
3. The extent to which the applicant proposes provision of services that enhance access to justice. (6 points). Reviewers will consider the following source(s) of information: Narrative Proposal, Program Description, questions 2, 3 and 4.
4. The accessibility of the proposed program (8 points). Reviewers will consider the following source(s) of information: Narrative Proposal, Program Description, questions 5 and 6, Attachments K and L.
5. The proposed caseload in context of catchment area and funding requested. (14 points). Reviewers will consider the following source(s) of information: Narrative Proposal, Program Description, questions 7, 8 and 9.
6. The collaborative nature of the proposed program (5 points) Reviewers will consider the following source(s) of information: Narrative Proposal, Program Description, questions 10 and 11.

#### Reasonableness of Cost: Overall Budget (15 Points Maximum)

1. The extent to which the proposed program will effectively use state dollars for the delivery of quality services. (5 points). Reviewers will consider the following source(s) of information: Budget, Budget Narrative.

2. The extent to which the salaries and fringe benefits for the proposed program are appropriate for the positions listed in the proposal. (4 points). Reviewers will consider the following source(s) of information: Budget, Budget Narrative.
3. The extent to which the percentage of UCS funds that support administrative costs (including salaries and fringe benefits of non-program staff, real estate expenses that are not used for the direct delivery of services, and related costs) is comparable to the percentage found in the budgets of similarly sized agencies. (4 points). Reviewers will consider the following source(s) of information: Budget, Budget Narrative.
4. The extent to which the non-personnel service costs included in the budget are reasonable for the operation of the proposed program. (2 points). Reviewers will consider the following source(s) of information: Budget, Budget Narrative.

#### County Specific Program Plan (15 Points Maximum)

1. The extent to which the proposed program provides accessible, quality services within the county served (10 points). Reviewers will consider the following source(s) of information: Narrative Proposal, County Specific Questions 1, 2, 3, 4, 6.
2. The proposed caseload in context of catchment area and funding requested. (3 points). Reviewers will consider the following source(s) of information: Narrative Proposal, County Specific Question 5.
3. The extent to which the proposed program avoids redundant services (2 points). Reviewers will consider the following source(s) of information: Narrative Proposal, County Specific Question 8.

#### County Specific Reasonableness of Cost (5 Points Maximum)

1. The extent to which the proposed program will effectively utilize state dollars for the delivery of quality services in the county. (5 points). Reviewers will consider the following source(s) of information: Application Summary Table, Budget, Budget Narrative.

Once applications are received, a list of all applicants will be circulated to the Oversight Board with Conflict of Interest Disclosure Forms, which must be filed prior to Oversight Board review of applications. Oversight Board members are required to disclose affiliations with applicants. Board Members are precluded from reviewing and being involved in decisions on grants involving any organization with which they have an affiliation that creates a conflict of interest.

The funding amount awarded to each qualified applicant will be based on the following criteria:

- The funds available in each county.
- The total application score.

- A preference will be given for applications that address essentials of life needs not currently met within the catchment area.
- The nature and scope of the services to be provided.
- The estimated number of clients to be served.
- The estimated number of cases to be handled.
- Expertise in providing services to a specific sub-population or sub-populations within the catchment area (i.e. ability to provide services in languages other than English, or in a culturally appropriate manner to specific sub-groups).
- Accessibility of the proposed services to eligible clients in the catchment area as demonstrated by:
  - Maintenance of physical offices in the catchment area
  - Linkage agreements with other departments of the applicant’s organization or other organizations in the community that provide social services to the target population and that might result in greater client access to civil legal services.
  - Capacity to provide accessible services to a specific sub-catchment area (i.e. a particular municipality or neighborhood within a given county)

UCS reserves the right to award multiple contracts for the same county. When more than one qualified proposal is received for the same county, UCS shall award a proportion of the total amount allocated for the particular county to each qualified applicant with the intent of providing a broad array of services to address the legal needs of clients in each of the four high priority “essentials of life” areas is available and accessible.

If no awards are made for a particular county or the awards in a given county do not exhaust available funds, UCS reserves the right to reallocate the funds allocated to that catchment area to proportionally increase the amounts available to other awarded contracts providing services within the same Judicial Department.

#### **D. Grant Contract**

Grant recipients will enter into a contract with UCS. Contracts awarded pursuant to this Request for Proposals will have a five (5) year multi year term of January 1, 2017 - December 31, 2021. The initial period of the contract will be for three (3) months, January-March 2017. Funds available during the initial period will be 25% of the amounts articulated in Exhibit 3.

#### **E. Reporting Requirements**

Grant recipients will be required to report on the use of the awarded funds. The due dates, format and specific information to be contained in the reports will be determined by UCS.

## **F. Insurance Requirements**

Grant recipients will be required to maintain during the term of the contract: (i) workers' compensation and disability benefits insurance; (ii) commercial general liability insurance; and (iii) professional liability insurance. See Exhibit 1 for specific coverage requirements and documentation that must be submitted with application.

## **G. Vendor Responsibility**

UCS is required to conduct a review of every organization with which it enters into a contract in order to provide reasonable assurances that the organization is responsible. Vendor responsibility is determined by a review of each prospective contractor's legal authority to do business in New York State, business integrity, financial and organizational resources, and performance history. Organizations applying for funding which, if awarded, would result in a new or amended contract with a total amount of \$100,000 or more are required to submit a Vendor Responsibility Questionnaire. See Exhibit 2 for detailed instructions on completion of the Vendor Responsibility Questionnaire.

## **H. Questions**

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

Amelia Hershberger: [ahershbe@nycourts.gov](mailto:ahershbe@nycourts.gov)

Please indicate in "Subject" field: Judiciary CLS RFP Question(s)

The deadline to submit questions is Wednesday, May 25, 2016, before 1:00 pm. A Questions & Answers (Q&A) sheet will be posted on the UCS website a few days after the deadline for submission of questions.

**IMPORTANT:** All questions regarding this RFP must be in writing and directed solely to the attention of the above-designated person.

## **Application Submission Procedures/Deadline**

### *Step One: Complete the Grant Application*

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

An Application includes:  
Application Cover Sheet;  
Executive Summary and Application Summary Table;  
Narrative Proposal;  
Budget;  
Budget Narrative; and  
Attachments.

All application elements are due on June 15, 2016 at 2pm. No addenda to applications will be accepted after that deadline, and all applications will be considered complete on June 15, 2016 at 2pm.

*Step Two: Assemble the Following Attachments:*

- A. Audited Financial Statement from the Most Recently Ended Fiscal Year
- B. Most Recent Annual Report. If the applicant does not publish an annual report, please explain.
- C. Mission Statement
- D. Organizational chart
- E. Board of Directors Roster. For each board member include name, address, length of current term, total years of service on the board, and number of meetings attended in state fiscal year 2015-2016
- F. Minutes of the Last Four Meetings of the Board of Directors
- G. Resumes and job descriptions of senior management and project staff.
- H. Photocopy of correspondence issued by the Internal Revenue Service that indicates the applicant's status as a tax-exempt organization
- I. Client Financial Eligibility Guidelines
- J. Client Grievance Procedures
- K. Cultural Diversity/Inclusion policies
- L. Language Access policies
- M. Case Acceptance Policy and Procedures
- N. Insurance Certificates (see Exhibit 1)
- O. Affirmative Action/EEO Policy
- P. Documentation of Current NY Charities Registration
- Q. Documentation of Taxpayer Identification Number (TIN)
- R. Vendor Responsibility: Acknowledgment Form and VR Questionnaire if applicable and submitting on paper
- S. Internal Controls Policy<sup>4</sup>

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<sup>4</sup> Internal controls procedures are systematic methods such as reviews, checks and balances instituted by an organization to conduct its business in an orderly and efficient manner; safeguard its assets and resources; deter and detect errors, fraud and theft; ensure accuracy and completeness of accounting data; produce reliable and timely financial and management information; and ensure adherence to agency policies and plans.

*Step Three: Deliver the Application with all Required Attachments via either electronic format or paper format as instructed below:*

**Submission via electronic format**

Prior to submitting electronically, applicants must request and receive a User Name and Password for the UCS SharePoint Web Service. Currently funded Judiciary Civil Legal Services providers will be able to use their existing login credentials (user ID and password) to log into SharePoint but **still must request access to the site set up to receive Judiciary Civil Legal Services applications.**

Applicants may submit requests for a User Name and Password by email only to:

Amelia Hershberger: [ahershbe@nycourts.gov](mailto:ahershbe@nycourts.gov)

Please indicate in “Subject” field: Judiciary CLS RFP SharePoint User Name/Password Request

The deadline to requests a User Name and Password is Wednesday, June 8, 2016, before 1:00 pm.

User Names, Passwords, the SharePoint URL and instructions for uploading files will be provided via an e-mail reply.

Application documents must be uploaded no later than Wednesday, June 15, 2016, before 2:00 pm.

Applications must be submitted in portable document format (PDF).

**In paper format**

Applications must arrive at the address below no later than Wednesday, June 15, 2016, before 2:00 pm.

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

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

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

**“Deliver immediately to Amelia Hershberger”**  
**“Sealed Application - Do not open”**  
**“JUDICIARY CIVIL LEGAL SERVICES #005 – Due June 15, 2016 before 2pm”**

**II. Application Cover Sheet and Executive Summary**

Legal Name of Applicant Organization	
Executive Director/CEO	
Proposal Contact Information (Phone & Email)	
Total Budget of Organization	
Total FTE Staff Employed in Organization	
Number of FTE Staff Funded Under This Proposal	
Total Funding Requested	
Address	
Phone	
Fax	
Email	
Website Address	
Federal Tax Identification No. (TIN)	
New York State Charities Registration Number (If exempt, please explain.)	
Executive Director or Chief Executive Officer Signature	
Board Chair Signature	

### III. Executive Summary and Application Summary Table

Executive Summary: Provide a brief (1-2 paragraph) summary of each of the following narrative elements described in detail in your proposal.	
Organizational Capacity:	
Program Plan:	
Reasonableness of Cost:	





#### IV. Narrative Proposal

**PAGE LIMIT: Ten single-spaced pages for Organizational Capacity and Program Description responses combined. Two single-spaced pages for each response to County Specific Questions.**

**Organizational Capacity. The answers to the questions in this section should describe current programs and activities and demonstrate the existing capacity of the organization to provide civil legal services and to effectively and efficiently manage government-funded programming.**

1. Briefly describe all of the organization's current principal activities.
2. Describe the organization's prior experience providing civil legal services to low-income persons.
3. Summarize in 100 words or less the organization's most significant achievements in providing civil legal services during the period April 1, 2015 – March 31, 2016 including number of clients who benefitted, dollar benefits obtained for clients, etc.
4. Discuss significant developments that affected the organization's capacity to deliver civil legal services.
5. Describe how the additional funding requested in this RFP will enhance the overall mission and services that the organization currently provides.
6. How are case assignments made?
7. What are the agency's supervisory policies and procedures?
8. Describe the agency's mechanisms for assuring quality of service for:
  - client intake
  - case assignment
  - case management and supervision
  - training of staff and volunteers
9. Describe the policies and procedures in place to ensure client confidentiality.
10. Describe the organization's use of technology to enhance access and quality of civil legal services.
11. Describe the organization's plans to quickly respond to the civil legal service needs of victims of natural disasters (e.g. Super-storm Sandy and Hurricane Irene).

**Program Description. The answers to the questions in this section should describe the new, enhanced or expanded programming to be provided if awarded funding under this RFP.**

1. Provide a description of the problems to be addressed by the proposed services, including which essentials of life priorities will be addressed.
2. Indicate the service delivery method(s) the program will employ by placing a check in the appropriate box(es) below:
  - Direct legal services: provided by staff attorneys
  - Direct legal services: provided through referral to pro bono attorneys
  - Direct services: provided by non-attorney staff (i.e. paralegals), supervised by attorneys
  - Direct legal services: provided by law students or recent law school graduates supervised by attorneys
  - Other access to justice services: Training or education to support pro se representation
  - Other access to justice services: Provision of legal information
  - Other access to justice services: Referral to other civil legal service providers
  - Other access to justice services: Referral to other social services
  - Other access to justice services: Mediation / alternative dispute resolution
  - Other [explain in question 4 below]
3. Indicate the level of service the program will provide by placing a check in the appropriate box(es) below
  - Comprehensive representation
  - Representation in Appeals or Other Complex Matters
  - Representation in Court and/or Administrative Proceedings
  - Limited advice and counsel
  - Assistance in Completing Forms or Applications
  - Brief Advice and/or Information
  - Efforts to divert cases from court
  - Legal Education
  - Other [explain in question 4 below]

4. Provide additional information regarding the service delivery method(s) and level of service.
5. How will potential clients become aware of the availability of the proposed services?  
Indicate how the proposed outreach methods address special needs, for example, language barriers, physical disabilities, etc.
6. Describe the intake process for potential clients seeking to access the organization's services. Include information on points of access (web, phone, in person). Describe each step in the process and indicate the staff or other professionals involved in each step (e.g., receptionists, paralegals, lawyers, etc.)
7. Does the applicant use the following definition of a case for the purpose of statistical reporting?: "A case is defined as the provision of legal assistance to an eligible client with a legal problem, or set of closely-related legal problems accepted for assistance" If no, describe the applicant's definition of a case.
8. Based on the definition articulated in question 7 above, what is the estimated number of cases to be handled by the program during 2017?
9. Estimate the number of clients to be served by the program during 2017.
10. Does the program plan involve collaboration with other legal services providers, bar organizations and/or law schools? If so, identify the organizations involved in the project and explain how the collaboration enhances the quality of and access to legal services. Attach letters of support from the partner organization(s).
11. Identify other partnerships and collaborations with social services agencies, medical providers, schools, community-based organizations or other entities that will participate as partners in the proposed program. Attach letters of support from the partner organization(s).

**County-Specific Questions. The applicant must answer these questions once for each county for which funding is applied.**

1. Describe the specific geographic catchment area to be served (i.e. county-wide vs. a particular municipality or neighborhood within a given county)
2. Will the organization maintain a physical office in the catchment area?
3. Discuss the organization's capacity to provide accessible services to citizens in the catchment area.
4. If the services to be provided in this county differ from the overall programmatic description articulated in the Program Description section above, describe the significant differences.
5. Estimate the number of cases to be handled in the county during 2017.
6. Estimate the number of clients to be served in the county during 2017.
7. Describe any particular expertise the organization has or policies the organization has in place that relate to providing services to a specific sub-population or sub-populations within the catchment area (i.e. ability to provide services in languages other than English, or in a culturally appropriate manner to specific sub-groups)
8. Describe any arrangements with other legal service providers in the catchment area designed to avoid duplication of efforts.

V. Budget Submissions

a. Budget.

Complete the budget using the required file available for download at [www.nycourts.gov/admin/bids/currentsolicitations.shtml](http://www.nycourts.gov/admin/bids/currentsolicitations.shtml).

b. Budget Narrative

<b>Budget Category</b>	<b>Narrative summary of expenses budgeted (i.e., a justification for the amounts budgeted in the RFP Budget submitted)</b>
Salaries Detail rationale for salary costs budgeted by position category.	
Fringe Benefits Detail fringe benefits available to staff.	
Equipment Detail equipment purchases planned.	
Other Non-Personal Services Include brief explanations for all sub-categories in which expenses are budgeted.	
Indirect Costs Attach or explain the indirect cost allocation methodology used to calculate indirect costs.	

VI. Attachments Checklist

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

<input type="checkbox"/>	A. Audited Financial Statement from the Most Recently Ended Fiscal Year
<input type="checkbox"/>	B. Most Recent Annual Report. If the applicant does not publish an annual report, please explain
<input type="checkbox"/>	C. Mission Statement
<input type="checkbox"/>	D. Organizational Chart
<input type="checkbox"/>	E. Board of Directors Roster (use form supplied on the next page)
<input type="checkbox"/>	F. Minutes of the Last Four Meetings of the Board of Directors
<input type="checkbox"/>	G. Resumes and job descriptions of senior management and project staff.
<input type="checkbox"/>	H. Photocopy of correspondence issued by the Internal Revenue Service that indicates the applicant's status as a tax-exempt organization.
<input type="checkbox"/>	I. Client Financial Eligibility Guidelines
<input type="checkbox"/>	J. Client Grievance Procedures
<input type="checkbox"/>	K. Cultural Diversity/Inclusion policies. If none, explain (a) how these issues are currently addressed and (b) what plans are in place to develop such policies.
<input type="checkbox"/>	L. Language Access policies. If none, (a) explain how these issues are currently addressed and (b) what plans are in place to develop such policies.
<input type="checkbox"/>	K. Case Acceptance Policy and Procedures
<input type="checkbox"/>	M. Insurance Certificates: (1) Workers' Compensation; (2) Disability Benefits; (3) Commercial General Liability; and (4) Professional Liability
<input type="checkbox"/>	N. Affirmative Action/EEO Policy
<input type="checkbox"/>	O. Documentation of Current NY Charities Registration
<input type="checkbox"/>	P. Documentation of Taxpayer Identification Number (TIN)
<input type="checkbox"/>	Q. Vendor Responsibility: Acknowledgment Form and VR Questionnaire if applicable and submitting on paper
<input type="checkbox"/>	R. Internal Controls Policy



## Exhibit 1

### INSURANCE REQUIREMENTS

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

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

#### Proof of Workers' Compensation Coverage

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

#### Proof of Disability Benefits Coverage

- Form DB-120.1 - Certificate of Disability Benefits Insurance, or
- Form DB-155 - Certificate of Disability Benefits Self-Insurance; or
- Form CE-200 - Certificate of Attestation of Exemption from NYS Workers' Compensation and/or Disability Benefits Coverage.

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

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

Applicants awarded funding (whether through a new or amended contract) will be required to provide updated certificates of workers' compensation and disability benefits coverage that name the Unified

Court System as the certificate holder if the applicable form has a space for a certificate holder to be listed. The carrier must enter:

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

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

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

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

Commercial general liability insurance coverage must be obtained from commercial insurance carriers licensed to do business in the State of New York. Proof of applicant’s commercial general liability insurance coverage must be submitted with the grant application. Applicants awarded funding will be required to submit an updated certificate naming UCS as an additional insured or loss payee as appropriate and providing for at least thirty (30) days advance written notice to UCS of cancellation or non-renewal. The updated certificate must be submitted prior to finalization of the contract.

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

3. 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 2**

**VENDOR RESPONSIBILITY REQUIREMENTS**

The New York State Unified Court System (UCS) is required to conduct a review of a prospective contractor to provide reasonable assurances that the vendor is responsible. The Vendor Responsibility Questionnaire, a required component of all UCS solicitations, is designed to provide information to assist the UCS in assessing a vendor’s responsibility prior to entering into a contract with the vendor. Vendor responsibility is determined by a review of each prospective contractor’s legal authority to do business in NYS, business integrity, financial and organizational resources, and performance history (including references).

UCS recommends that vendors file the required Vendor Responsibility Questionnaire online via the New York State VendRep system maintained by the Office of the State Comptroller.

If you are already enrolled, go directly to the VendRep System online at: <https://portal.osc.state.ny.us>. To enroll, see the VendRep System Instructions available at: [http://www.osc.state.ny.us/vendrep/vendor\\_index.htm](http://www.osc.state.ny.us/vendrep/vendor_index.htm). Vendors must provide their NYS Vendor Identification Number when enrolling.

Alternatively, vendors may choose to complete and submit a paper questionnaire. Vendors opting to complete and submit a paper questionnaire can obtain the appropriate form from the VendRep website: [http://www.osc.state.ny.us/vendrep/forms\\_vendor.htm](http://www.osc.state.ny.us/vendrep/forms_vendor.htm).

To request assignment of a Vendor Identification Number or for VendRep System assistance, contact the Office of the State Comptroller’s Help Desk at 866-370-4672 or 518-408-4672 or by email at [ciohelpdesk@osc.state.ny.us](mailto:ciohelpdesk@osc.state.ny.us).

**VENDOR RESPONSIBILITY ACKNOWLEDGMENT**

Please complete either option 1 or option 2 below:

**OPTION 1: \_\_\_ Vendor Responsibility Questionnaire filed online via the VendRep System**

*If you have selected Option 1, please complete the following. The required signature is an acknowledgment that the questionnaire has been filed and certified directly on the OSC VendRep system.*

**ORGANIZATION NAME:** \_\_\_\_\_

**NAME/TITLE:** \_\_\_\_\_

**SIGNATURE:** \_\_\_\_\_

**OPTION 2: \_\_\_ Paper Vendor Responsibility Questionnaire Form Attached**

### Exhibit 3: Maximum Available Funds by County

County	Estimated Available Funds, 12 month period
Bronx	\$ 10,216,007.00
New York	\$ 7,551,854.00
<b>1st Department Total</b>	<b>\$ 17,767,861.00</b>
Dutchess	\$ 807,892.00
Kings	\$ 15,620,994.00
Nassau	\$ 2,697,706.00
Orange	\$ 1,291,358.00
Putnam	\$ 218,698.00
Queens	\$ 10,409,060.00
Richmond	\$ 1,537,945.00
Rockland	\$ 1,062,417.00
Suffolk	\$ 3,441,317.00
Westchester	\$ 2,722,414.00
<b>2nd Department Total</b>	<b>\$ 39,809,801.00</b>
Albany	\$ 1,101,516.00
Broome	\$ 970,425.00
Chemung	\$ 437,202.00
Chenango	\$ 262,464.00
Clinton	\$ 347,484.00
Columbia	\$ 227,127.00
Cortland	\$ 220,437.00
Delaware	\$ 234,352.00
Essex	\$ 173,370.00
Franklin	\$ 240,878.00
Fulton	\$ 299,585.00

<b>County</b>	<b>Estimated Available Funds, 12 month period</b>
Greene	\$ 211,681.00
Hamilton	\$ 18,523.00
Madison	\$ 281,017.00
Montgomery	\$ 267,191.00
Otsego	\$ 305,115.00
Rensselaer	\$ 602,322.00
Saratoga	\$ 587,143.00
Schenectady	\$ 583,114.00
Schoharie	\$ 126,988.00
Schuyler	\$ 82,017.00
St. Lawrence	\$ 553,694.00
Sullivan	\$ 402,281.00
Tioga	\$ 213,613.00
Tompkins	\$ 448,381.00
Ulster	\$ 676,162.00
Warren	\$ 246,943.00
Washington	\$ 272,395.00
<b>3rd Department Total</b>	<b>\$ 10,393,420.00</b>
Allegany	\$ 259,684.00
Cattaraugus	\$ 441,439.00
Cayuga	\$ 345,507.00
Chautauqua	\$ 730,290.00
Erie	\$ 4,032,801.00
Genesee	\$ 251,255.00
Herkimer	\$ 334,387.00
Jefferson	\$ 583,412.00
Lewis	\$ 145,199.00

<b>County</b>	<b>Estimated Available Funds, 12 month period</b>
Livingston	\$ 242,320.00
Monroe	\$ 3,142,728.00
Niagara	\$ 930,747.00
Oneida	\$ 1,101,991.00
Onondaga	\$ 1,969,230.00
Ontario	\$ 367,776.00
Orleans	\$ 187,761.00
Oswego	\$ 608,223.00
Seneca	\$ 166,026.00
Steuben	\$ 501,707.00
Wayne	\$ 390,418.00
Wyoming	\$ 171,155.00
Yates	\$ 124,862.00
<b>4th Department Total</b>	<b>\$ 17,028,918.00</b>
<b>Grand Total</b>	<b>\$ 85,000,000.00</b>

\*The amount allocated by county under this procurement was determined by allocating the total appropriation of \$85,000,000 by the proportion of the population living at or below 200% of the poverty line.

**EXHIBIT 4**  
**EVALUATION TOOL**  
**SUMMARY RATING SHEET**

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

**COUNTY TO BE SERVED:** \_\_\_\_\_

- |   |                 |
|---|-----------------|
| <b>A. ORGANIZATIONAL CAPACITY (15 POINTS)</b>                 | <b>A. _____</b> |
| <b>B. OVERALL PROGRAM PLAN (50 POINTS)</b>                    | <b>B. _____</b> |
| <b>C. REASONABLENESS OF COST (OVERALL BUDGET) (15 POINTS)</b> | <b>C. _____</b> |
| <b>D. COUNTY SPECIFIC PROGRAM PLAN (15 POINTS)</b>            | <b>D. _____</b> |
| <b>E. COUNTY SPECIFIC REASONABLENESS OF COST (5 POINTS)</b>   | <b>E. _____</b> |

**A minimum score of 85 is required for a contract to be awarded.**

**TOTAL \_\_\_\_\_**

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

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

**DATE**     **\_\_\_/\_\_\_/\_\_\_**