Drug Court Evaluation Services
Cayuga County, New York

Request for Proposals
OCA / Professional and Court Services #005

APPLICATION FORMS AND INSTRUCTIONS

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I. Background Information and Instructions

The New York State Unified Court System (UCS) Office of Court Administration's Division of Professional and Court Services is soliciting proposals for the purpose of establishing a contract to provide evaluation services for the Auburn Trauma Treatment Project.

UCS operates problem-solving courts, among them drug courts, which help judges and court staff respond to the needs of litigants and the community. Problem-solving courts look to the underlying issues that bring people into the court system, employ innovative approaches to address those issues, and seek to simplify the court process for litigants. A drug court involves an intervention by the court in cooperation with a team of specialists in social services, treatment, and criminal justice professionals in the local community. In return for a promise of a reduced sentence, appropriate non-violent addicted offenders are given the option of entering voluntarily into court-supervised treatment. The rules and conditions of participation are clearly stated in a contract entered into by the defendant, the defense attorney, the district attorney, and the court.

UCS is the recipient of an award by the U.S. Department of Health and Human Services Substance Abuse and Mental Health Services Administration for the purpose of funding the Auburn City and Cayuga County treatment courts to implement a trauma-informed treatment care model to include trauma-specific services. The goal of the project is to improve service delivery and outcomes for justice-involved individuals with substance abuse disorders and trauma histories by changing the way the drug court team members and community treatment and non-treatment providers approach such individuals.

UCS seeks proposals for evaluation services. The selected evaluation entity will have capacity to:

- design a process and outcome evaluation in collaboration with the Auburn City and Cayuga County treatment court teams; and
- collect quantitative and qualitative data; and
- assist the court in collecting and compiling data pursuant to the Government Performance and Results Act (GPRA) and as required by SAMHSA for periodic reporting; and
- assist the court on an ongoing basis to track participants to ensure GPRA court-client outcome data is being collected at the appropriate points in time as required by SAMHSA; and
- provide feedback to the Court on an ongoing basis to promote continuous quality improvement and make recommendations for data informed policy changes; and
- produce a final program evaluation report.

A. Applicant Eligibility and Minimum Qualifications

Award will be made to the qualified individual or organization with the capacity to conduct the services described herein.

B. Funding

The maximum available funding for evaluation services is $155,250 over the project term: January 1, 2015 – September 30, 2017. Proposals totaling more than $155,250 will not be considered.

C. Award Selection Criteria and Method of Award

Proposals will be reviewed and rated by a group comprised of staff from the local Court team and the Office of Court Administration's Division of Professional and Court Services. One contract award will be made to the proposer that receives the highest composite (technical + cost) score that exceeds the minimum technical score.

In the event of a tied composite score, the proposer with the higher cost score will prevail.

Responsibility is determined in accordance with the criteria articulated in paragraph (G) below.

Proposals will be evaluated on the following criteria:

Technical Criteria (70 of 100 total points, 70%)	
Capacity	35 points
Proposed service delivery	35 points
Total Technical Points:	**70 points**

Cost Criteria (30 of 100 total points, 30%)	
Daily rate	15 points
Total proposed cost	15 points
Total Cost Points	**30 points**

Cost will be evaluated with the following formula:
Daily rate in lowest daily rate proposal / Proposer's daily rate * 15 = Daily rate score
Total cost in lowest total cost proposal / Proposer's total proposed cost *15 = Total proposed cost score

(See Exhibit 3, Rating Tool for a detailed breakdown of the factors comprising each criterion)

A minimum technical score (average of all proposal raters) of 35 is required for a contract to be awarded.

D. Contract

The successful proposer will enter into a contract with UCS. The contract will be for a multi-year term January 1, 2015 – September 30, 2017. UCS reserves the right to extend this agreement for an additional twelve (12) months at the end of the term.

E. Reporting Requirements

The due dates, format and specific information to be contained in reports required 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. 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

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

The deadline to submit questions is Wednesday, November 26, 2014 at 5pm. 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.

I. Proposal Submission Procedures/Deadline

Step One: Complete the Proposal

Please follow the formatting instructions. Proposals 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.

A Proposal includes the Proposal Cover Sheet, Technical Proposal, Cost Proposal and Attachments.

Step Two: Assemble the Following Attachments:

A. UCS Attachment I pages 3 and 4: Standard Request for Bid Clauses and Forms Non-Collusive Bidding Certificate and Corporate Acknowledgment
B. UCS Attachment IV: Procurement Lobbying Form
C. Resumes and job descriptions of all project staff.
D. Documentation of Taxpayer Identification Number (TIN)
E. Vendor Responsibility: Acknowledgment Form and VR Questionnaire if applicable and submitting on paper

Step Three: Deliver the Application with all Required Attachments
Applications must arrive at the address below by no later than **Monday, December 8, 2014 at 2PM.**

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

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

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

"Deliver immediately to Amelia Hershberger"
"Sealed Application - Do not open"
"CAYUGA EVALUATION RFP – Due 12/8/14 at 2PM"

Proposals will not be accepted electronically or by fax. The proposal is an irrevocable offer for ninety (90) days following the proposal due date. In the event a final contract has not been awarded within this period, UCS reserves the right to negotiate extensions to this period.

II. Proposal Cover Sheet

Legal Name of Proposer	
Executive Director/CEO	
Proposal Contact Person, Title, Phone Number and Email Address	
Summary of Proposal (2 or 3 sentences)	
Total Funding Requested	
Address	
Phone	
Fax	
Email	
Website Address (not required)	
Federal Tax Identification No. (TIN)	
For organizational proposers: Signature of officer authorized to enter into contracts on the organization's behalf	

III. Technical Proposal

Capacity

1. Briefly describe the proposer's philosophy of, role in and approach to evaluation services.
2. Briefly describe the proposer's current principal activities.
3. Describe the proposer's experience, if any, with government-funded projects.
4. Describe the proposer's prior experience providing or capacity to provide evaluation services for grant programs from the Substance Abuse and Mental Health Services Administration. Include the number of and duration of projects, if any.
5. Describe the proposer's prior experience providing or capacity to provide evaluation services in a court or criminal justice setting. Include the number of and duration of projects, if any.
6. Describe the proposer's prior experience collecting or capacity to collect Government Performance and Results Act (GPRA) data.
7. Describe the proposer's prior experience providing or capacity to provide evaluation services in an outpatient drug and alcohol treatment setting. Include the number of and duration of projects, if any.

Proposed Service Delivery

8. Describe the proposer's plan to design a process and outcome evaluation in collaboration with the Auburn City and Cayuga County Court team, including the manner of collaboration and the proposed design process.
9. Provide a detailed plan to collect quantitative and qualitative data, including types of data points.
10. Describe the proposer's plan to assist the court in data collection and compilation pursuant to the Government Performance and Results Act (GPRA).
11. Describe the proposer's plan to work with the Auburn City and Cayuga County Court team, including the collaborating outpatient treatment provider, to ensure GPRA court-client outcome data is being collected at appropriate points in time as required by SAMHSA.
12. How will the proposer provide feedback to the Auburn City and Cayuga County Court team, including the collaborating outpatient treatment provider, on an effective and ongoing basis? Include information about the timing and content of proposed feedback and how the proposer will ensure that feedback is structured to promote data informed policy changes.
13. Describe the proposer's plan to create a final program evaluation report within the grant term. Include the resources, if any, the proposer will need to access to successfully complete the report.

IV. Cost Proposal

The limit for total cost is $155,250 and the limit for daily rate is $450. Proposals with a total cost in excess of $155,250 or a daily rate in excess of $450 will not be considered.

_____ Daily rate of pay for 8 hour day (if multiple people will perform the work under the proposal, use the average rate the proposer estimates will be charged).

X

_____ Number of days proposed to accomplish scope of work

= _____ Total cost

VII. Attachments Checklist

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

	A. UCS Attachment I pages 3 and 4: Standard Request for Bid Clauses and Forms Non-Collusive Bidding Certificate and Corporate Acknowledgment
	B. UCS Attachment IV: Procurement Lobbying Form
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Exhibit 1

INSURANCE REQUIREMENTS

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

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

Proof of Workers' Compensation Coverage

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

Proof of Disability Benefits Coverage

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

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

Workers' Compensation Board
Bureau of Compliance
(518) 462-882
(866) 298-7830

Applicants awarded funding (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 12047

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.** 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**.

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.**

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
RATING TOOL
TECHNICAL PROPOSAL SUMMARY RATING SHEET

PROPOSER: _____

Capacity (35 points possible) **A. _____**

Proposed service delivery (35 points possible) **B. _____**

Total Technical Points: 70 points **TOTAL _____**

A minimum average technical score of 35 is required for a contract to be awarded.

EVALUATOR (Print)_____

(Signature)_____

DATE ___/____/_____

DETAIL RATING SHEETS

PROPOSAL:_____

REVIEWER:_____

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

Capacity (35 points possible) **A. _____**

A1. Rate the appropriateness of the proposer's philosophy and current principal activities with respect to the provision of evaluation services for this project. *(up to 4 points)*

A2. Assess the proposer's stated experience working on government funded projects. *(up to 3 points)*

A3. Assess the proposer's stated capacity to provide evaluation services for grant programs from the Substance Abuse and Mental Health Services Administration. *(up to 10 points)*

A4. Assess the proposer's stated capacity to provide evaluation services in a court or criminal justice setting. *(up to 8 points)*

A5. Assess the proposer's capacity to collect Government Performance and Results Act (GPRA) data. *(up to 5 points)*

A6. Assess the proposer's capacity to provide evaluation services in an outpatient drug and alcohol treatment setting, considering prior projects if applicable. *(5 points)*

Proposed service delivery (35 points possible) **B. _____**

B1. Assess the proposer's plan to design an evaluation with respect to quality of design and quality of collaboration. Is the plan feasible and appropriate? *(up to 5 points)*

B2. Assess the proposer's plan for data collection for both qualitative and quantitative data. Are the data points indicated appropriate to the project and is the plan for collection feasible? *(up to 5 points)*

B3. Assess the proposer's plan for data collection and compilation of data pursuant to GPRA. Is the plan for collection and compilation feasible and appropriate? *(up to 5 points)*

B4. Assess the proposer's plan to provide continuous feedback to court. Is the plan likely to be effective, timely and structured to promote data informed policy changes? *(up to 5 points)*

B5. Assess the proposer's plan to work with the court to collect GPRA court-client outcome data. Is the plan structured to allow for data collection at appropriate points in time? *(up to 5 points)*

B6. Assess the proposer's plan to create a final program evaluation report. Is the plan likely to result in final report within the grant timeline? *(up to 5 points)*

B7. Assess the proposer's plan to create a final program evaluation report. Is the plan likely to result in a report of high quality? *(up to 5 points)*