

New York State Unified Court System
Office of Court Administration
Division of Professional and Court Services

Brooklyn Treatment Court
Mental Health, Addiction, Trauma Treatment Track
(B-MATT)

Request for Proposals
OCA/P&CS RFP #008

**APPLICATION FORMS AND
INSTRUCTIONS**

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I. Background Information

The Brooklyn Treatment Court (BTC) and the Brooklyn Veterans Treatment Court (BVTC) offer substance abuse treatment as an alternative to incarceration for nonviolent felony and misdemeanor drug offenders arrested in Brooklyn, New York.

By offering additional mental health and trauma treatment services, the BTC and the BVTC aim to broaden the current existing population by including individuals with behavioral health conditions who have previously been precluded from participating in these courts.

Through grant funds from the U.S. Department of Health and Human Services, Substance Abuse and Mental Health Services Administration, Center for Substance Abuse Treatment (CSAT), the BTC and BVTC will enhance its existing services by contracting with an organization to implement a Brooklyn Mental Health, Addiction, Trauma Treatment (B-MATT) track for individuals with co-occurring disorders. This B-MATT track will streamline the screening, assessment, and referrals process; create effective linkages between the criminal justice and mental health systems; and ensure that those with co-occurring disorders receive specialized services. The court seeks applications to implement the B-MATT track by contracting with a substance abuse and mental health provider who can provide treatment to participants with co-occurring disorders.

Applicants are required to include at a minimum a full time Licensed Clinical Social Worker or Licensed Mental Health Counselor and a part-time Licensed Practical Nurse. The Licensed Clinical Social Worker or Licensed Mental Health Counselor must be dedicated to work solely on this project. Job description is as follows:

- (1) The Licensed Clinical Social Worker or Licensed Mental Health Counselor will assess mental health and specialized treatment and recovery needs. This person will create integrated individualized treatment plans, provide individual and group therapy utilizing evidence-based practices for c-occurring disorders and trauma family services. Preferred Minimum Qualifications: Experience with criminal justice system preferred; supervisory experience; familiarity with evidence-based; LCSW with experience in trauma related care required.
- (2) The Licensed Practical Nurse will be responsible for monitoring, administering and providing for the security and accurate recording of prescribed medication, maintaining timely and accurate documentation in resident's chart and other reports. The LPN will also monitor compliance with medication regiments, coordinate appointments provide individual and group counseling and educational services regarding medical issues for residents and work in cooperation with staff and scheduled medical appointments with cooperating hospitals and healthcare facilities.

A. Applicant Eligibility

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

Applicants must have facilities within the City of New York and staff with the requisite training, knowledge and experience to effectively administer the program.

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B. Funding

Total available funding for the program is \$720,836 for the three year, six month term. The initial budget period will be April 1, 2015-September 30, 2016 for which available funding is estimated at \$102,977.

C. Award Selection Criteria and Method of Award

Proposals will be reviewed and rated by a selection committee comprised of staff of the Brooklyn Supreme Court and/or the Office of Court Administration.

Funding will be awarded to the responsible applicant that receives the highest score in excess of the minimum score.

Proposals will be evaluated on the following criteria:

<u>Category</u>	<u>Point Value</u>
Organizational Capacity	15
Program Plan	50
Staffing Plan	15
Reasonableness of Cost	20
TOTAL POSSIBLE POINTS	100

(See Exhibit 3, Evaluation Tool for a detailed breakdown of the factors comprising each criterion). A minimum score of 80 is required for a contract to be awarded.

D. Grant Contract

The selected applicant will enter into a contract with UCS. Such agreements are subject to the review and approval of the Offices of the New York State Attorney General and the State Comptroller. The term of the contract is expected to be April 1, 2015 – September 29, 2018. The terms of the contract are subject to the availability of funds from CSAT

E. Reporting Requirements

Organizations awarded a contract will be required to submit fiscal and programmatic reports. The due dates, format and specific information to be contained in the reports will be articulated in the contract.

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

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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

All questions regarding this RFP must be in writing by email only to ahershbe@nycourts.gov. The deadline to submit questions is January 23, 2015 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.

I. 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 or financial forms) using a 12 point font. To facilitate photocopying, please do not permanently bind applications. An application includes the Application Cover Sheet, Proposal Narrative, Budget and Attachments.

Step Two: assemble the following attachments:

- A. Audited Financial Statement from the Most Recently Ended Fiscal Year
- B. Mission Statement
- C. Organizational chart
- D. Resumes and job descriptions of senior management and project staff.
- E. Photocopy of correspondence issued by the Internal Revenue Service that indicates the applicant's status as a tax-exempt organization
- F. Insurance Certificates (see Exhibit 1)
- G. Affirmative Action/EEO Policy
- H. Documentation of Current NY Charities Registration
- I. Documentation of Taxpayer Identification Number (TIN)
- J. Vendor Responsibility: Acknowledgment Form and VR Questionnaire if applicable and submitting on paper

Step Three: deliver the application with all required attachments

Applications will not be accepted electronically or by fax. Applications must arrive at the address below no later than Tuesday, February 3, 2015 at 2pm. Deliver ONE signed, hard copy original and THREE additional copies (four complete sets) of the Application to:

Amelia Hershberger
New York State Office of Court Administration

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Division of Professional and Court Services
Castleton-on-Hudson, New York 12033

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

“Deliver immediately to Amelia Hershberger”
“Sealed Application - Do not open”
“OCA/Professional and Court Services #008 – Due February 3, 2015 before 2pm”

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II. Application Cover Sheet

Legal Name of Applicant Organization	
Executive Director/CEO	
Proposal Contact Person, Title, Phone Number and Email Address	
Total Budget of Organization	
Total FTE Staff Employed in Organization	
Number of FTE Staff Funded Under This Proposal	
Summary of Proposal (indicate principal program activities in 2 or 3 sentences)	
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	

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III. Proposal Narrative

Organizational Capacity (Page limit: 3-pages, single spaced).

The answers to the questions in this section should describe current programs and activities and demonstrate the existing capacity of the organization to provide 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 experience and expertise in providing services to the substance abuse population.
3. Describe how the funding requested in this RFP will enhance the overall mission and services that the organization currently provides.
4. Describe the organization policies and procedures in place to ensure client confidentiality.
5. Describe the organizations capacity to effectively manage government funded programming including but not limited to the ability to meet fiscal and programmatic reporting requirements, make effective use of technical assistance provided by funding entities, and work in partnership with the court.
6. Briefly describe the organization's: (a) internal controls procedure¹ and (b) role of senior program staff in developing and monitoring program budgets.
7. Describe any prior experience the organization has in providing services to court-referred clients and experience developing an effective working relationship with the court.

Program Description (Page limit: 5-pages, single spaced).

The answers to the questions in this section should describe the new or enhanced services to be provided if awarded funding under this RFP.

1. Describe the facilities available for the program.
2. Estimate the number clients that will be served during each year of the three year term.
3. Describe the intake process for potential clients referred to the program. Describe each step in the process.
4. Provide information regarding the service delivery method(s).
5. Describe the proposed process for reporting individual client progress to the court.
6. Explain how the program will address special needs, for example, language barriers, physical disabilities, etc.
7. Identify and describe partnerships and/or collaborations with medical providers, community-based organizations or other entities that will participate as partners in the proposed program. Attach letters of support from the partner organization(s).

¹ 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.

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Staffing Plan (Page limit: 2-pages, single spaced, not including resumes and/or job descriptions).

1. Describe the staffing plan for the program including the functions of each staff category included in the project budget.
2. Describe the proposed supervisory structure of the program.
3. Beyond meeting requirements of laws governing discrimination of individuals in protected classes, describe the practices and methods by which your agency will attract and maintain a diverse and culturally competent workforce.

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IV. Budget

Line Item Budget

The proposal must include a line-item budget articulating anticipated expenses during the initial 6-month period April 1, 2015-September 30, 2015 for which available funding is estimated at \$102,977.

Budget Narrative

Include a brief budget narrative providing explanation of each non-personnel item.

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V. Required Attachments Checklist

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

	A. Audited Financial Statement from the Most Recently Ended Fiscal Year
	B. Mission Statement
	C. Organizational chart
	D. Resumes (for incumbents) and job descriptions of all senior management and project staff.
	E. Photocopy of correspondence issued by the Internal Revenue Service that indicates the applicant's status as a tax-exempt organization
	F. Insurance Certificates (see Exhibit 1)
	G. Affirmative Action/EEO Policy
	H. Documentation of Current NY Charities Registration
	I. Documentation of Taxpayer Identification Number (TIN)
	J. Vendor Responsibility: Acknowledgment Form and VR Questionnaire if applicable and submitting on paper

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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 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:

New York State Unified Court System

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

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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.

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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

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EXHIBIT 3
EVALUATION TOOL
SUMMARY RATING SHEET

APPLICANT: _____

COUNTIES TO BE SERVED: _____

- | | |
|--|----------|
| A. ORGANIZATIONAL CAPACITY (15 POINTS) | A. _____ |
| B. PROGRAM PLAN (50 POINTS) | B. _____ |
| C. STAFFING PLAN (15 POINTS) | C. _____ |
| D. REASONABLENESS OF COST (20 POINTS) | D. _____ |

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

TOTAL _____

EVALUATOR (Print) _____

(Signature) _____

DATE ___/___/___

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DETAIL RATING SHEETS

APPLICANT: _____

REVIEWER: _____

A. ORGANIZATIONAL CAPACITY (15 POINTS TOTAL)

A1. Evaluate the extent to which the applicant demonstrates that the organization is organized with a mission that aligns with the services to be provided under this program (5 points).

A1. _____

A2. Evaluate the extent to which the applicant demonstrates the capacity to establish and maintain an effective working relationship with the court (2 points).

A2. _____

A3. Evaluate the extent to which the applicant demonstrates that the organization has instituted mechanisms likely to result in high quality services, taking into account significant developments which may impact on the ability to institute such mechanisms (5 points).

A3. _____

A4. Evaluate the ability of the organization to effectively manage government funded programs (3 points)

A4. _____

SUBTOTAL FOR PART "A" (A1 + A2 + A3 + A4) _____

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B. PROGRAM PLAN (50 POINTS TOTAL)

B1. Evaluate the extent to which the applicant proposes facilities adequate for the program (15 points)

B1. _____

B2. Evaluate the appropriateness of the proposed caseload in context of the amount of funding available. (5 points)

B2. _____

B3. Evaluate the proposed intake, service delivery and client progress reporting plan (20 points)

B3. _____

B4 Evaluate the accessibility of the proposed program (5 points)

B4. _____

B5. Evaluate the collaborative nature of the proposed program (5 points)

B5. _____

SUBTOTAL FOR PART "B" (B1 + B2 + B3 + B4 + B5): _____

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C. STAFFING PLAN (15 POINTS TOTAL)

C1. Evaluate the extent to which the applicant proposes a staffing plan that is adequate for the operation of the program (10 points)

B1. _____

C2. Evaluate the appropriateness of the proposed supervisory structure. (8 points)

B2. _____

C3. Evaluate the plan to attract and maintain a diverse and culturally competent workforce (2 points)

B3. _____

SUBTOTAL FOR PART "C" (C1 + C2 + C3) _____

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D. REASONABLENESS OF COST: OVERALL BUDGET (20 POINTS TOTAL)

D1. Evaluate the extent to which the salaries and fringe benefits for the proposed program are appropriate for the positions listed in the proposal. (10 points)

D1. _____

D2. Evaluate the extent to which the non-personnel service costs included in the budget are reasonable for the operation of the proposed program. (5 points)

D2. _____

D3. Evaluate the extent to which the percentage of UCS funds allocated for the support of administrative and/or indirect costs are reasonable. (5 points)

D3. _____

SUBTOTAL FOR PART "D" (D1 + D2 + D3) _____