

STATE OF NEW YORK

JUDICIARY

—REQUEST FOR BID—

(This is not an order)  
**BID MUST BE MADE ON THIS SHEET  
 OR AS OTHERWISE SPECIFIED**

<b>Bid Number:</b> OCA/LB-111 <b>Issue Date:</b> 11/28/2005	<b>Commodity Group:</b> Miscellaneous Services
<b>Opening Date:</b> DECEMBER 21, 2005 <b>Time:</b> 3 PM	<b>Commodity Name:</b> LOCKBOX SERVICES

NYS OFFICE OF COURT ADMINISTRATION  
 25 BEAVER STREET  
 ROOM 840  
 NEW YORK, NY 10004

(Agency Name and Address)

Direct Inquiries to: Marie-Claude Ceppi  
 Telephone No.: (212) 428-2727

Price to include delivery to (describe exact location and method of delivery)

As per specifications

OFFICE OF GENERAL SERVICES "GENERAL SPECIFICATIONS" (DECEMBER 1998) ARE FULLY INCORPORATED HEREIN.

Agency's Specification of item(s) Required (include quantities)	Bidder's Quotation and Specific Description of Item Offered
<p><b><u>UCS ATTACHMENT I, II and III</u> ATTACHED &amp; INCORPORATED HEREIN.</b></p> <p>To be downloaded from Contract &amp; Procurement website</p>	<p><b>ALL BID RESPONSES MUST BE ENTERED ON THE ENCLOSED BID RESPONSE FORM UNLESS SPECIFIED OTHERWISE HEREIN.</b></p>

**NOTICE TO BIDDERS**

Pursuant to the Rules and Regulations of the Chief Administrator for the Courts, sealed bids for furnishing the item(s) in this Request for Bid will be received at the above address. When submitting a bid, you must:

1. Complete this form in its entirety using ink or typewriter and return with all other documents.
2. Explain any deviations or qualifications if your bid deviates from the specifications. If necessary, attach a separate sheet setting forth such explanations.

3. Sign the bid. The bid must be completed in the name of the bidder (corporate or other) and must be fully and properly executed by an authorized person.

4. INDICATE THE BID NUMBER, THE BID OPENING DATE AND TIME ON THE ENVELOPE CONTAINING THE SEALED BID.

5. Mail the bid to the above agency address in sufficient time for it to be received before the specified bid opening. **LATE BIDS WILL BE REJECTED.**

BIDDER HEREBY CERTIFIES THAT THE ABOVE QUOTED (OR OTHERWISE NOTED) PRICES ARE APPLICABLE TO ALL CUSTOMERS FOR COMPARABLE QUANTITIES, QUALITY, STYLES OR SERVICES.

**BIDS MUST BE SIGNED**

Bidder's Firm Name:		Employer's Federal Identification Number	
Address Street	City	State	Zip
Bidder's Signature		Official Title	
Printed or Typed Copy of Signature		Area Code/ Telephone Number	

**DOCUMENT ENCLOSURE CHECKLIST**

**All of the following documents and information must be fully executed and returned as specified. Failure to include any of the required documents or information may result in rejection of the bidder's proposal:**

1. UCS Request for Bid Form with original signature.
2. Non-collusive bidding certificate with original ink signature - Attachment I, p.3
3. Corporate acknowledgment with original ink signature. - Attachment I, p.4
4. Vendor Tax Compliance & Certification - Attachment II, Form ST-220, 4 pages
5. Vendor Responsibility Questionnaire - Attachment III
6. List of at least three (3) references (names, contacts, addresses, phone numbers)
7. Bid Sheet
8. Notarized statement of procedures to assure confidentiality of records
9. Organizational chart and copies of resumes/diplomas/certifications
10. Certificate of insurance coverage
11. Bidder's full and complete original proposal with signature
12. Five (5) complete copies of the original bid response including all the above

**Note: all documents requiring original signature must bear the signature of the same authorized individual. Signatory notarization must be that of the person whose signature is affixed to required documents.**

**BID SHEET**

Price per application		Estimated Number of Application per Year		Estimated Grand Total per Year
\$ _____	x	10,000	=	\$ _____

Company Name: \_\_\_\_\_

Authorized Officer's  
Name and Title: \_\_\_\_\_

\_\_\_\_\_

Signature  
and Date: \_\_\_\_\_

\_\_\_\_\_

\*\*\* GENERAL SPECIFICATIONS \*\*\*

**Note:** In addition to such other specifications and criteria presented herein, the NYS Unified Court System Attachment I - Standard Request for Bid Clauses & Forms, Attachment II - Contractor Certification Form ST-220, and Attachment III - Vendor Responsibility Questionnaire, must be downloaded from the Contract & Procurement website under “Addenda” for the appropriate solicitation and are incorporated and made a part hereof.

**Online RFB Package: Disclaimer:**

Bidders accessing any UCS/OCA solicitations and related documents from the NYS UCS website [www.nycourts.gov/admin/bids](http://www.nycourts.gov/admin/bids) under “Current Solicitations” shall remain solely and wholly responsible for reviewing the respective solicitation & 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.

**Purpose and Scope:**

The New York State Unified Court System (hereafter “UCS”) Office of Court Administration (hereafter “OCA”) is soliciting sealed bids to establish an estimated quantity term contract for the receipt of examination applications and the collection by lockbox of examination fees, and for all related labor, material, equipment and services.

**Term of Award:**

A single estimated quantity term contract will be awarded for an initial term of one (1) year effective April 1, 2006. The UCS reserves the right to renew the contract for three (3) additional one-year (1) periods and to further extend the contract for up to one hundred and eighty (180) days. The contract and its renewals and or extension shall be subject to the approval of the New York State Attorney General’s Office and the Office of the Comptroller.

**Method of Award:**

The single bidder who proposes to carry out the examination fee processing operation of the UCS in the most efficient and economical manner according to the following criteria will score the highest point total and will be awarded the contract.

**1. Total Cost: 30 points**

The method of awarding points for cost will be to award 30 points to the lowest responsible bidder. A percentage of 30 points will be awarded to each additional responsible bidder, equal to the ratio of the lowest bid price to the bid price of each other bid times 30.

$$(\text{Lowest \$ bidder/second (third, etc.) lowest \$ bidder}) \times 30 = \text{x points}$$

Example:

Lowest bidder	\$100.00	
Second lowest bidder	\$125.00	$(100/125) \times 30 = 24 \text{ points}$
Third lowest bidder	\$140.00	$(100/140) \times 30 = 21.43 \text{ points}$

Etc.

**2. Methodology: 25 points**

A maximum of 25 points will be awarded to respondents as rated in the area of staff professionalism and method/performance of application processing. Respondents shall outline the process by which applications will be received, opened, batched and key-entered, as well as the process by which fees shall be recorded and deposited. In addition, respondents shall describe the methods by which information, reports, and applications will be forwarded to the UCS. Bidders must provide a notarized statement describing the procedures in place to assure the confidentiality of records (see. p.10)

**3. Demonstrated Experience: 25 points**

A maximum of 25 points will be awarded to respondents based upon prior experience, particularly on similar projects (i.e. processing applications and filing fees) for other governmental agencies.

**4. Appropriateness of Facilities/Sites: 5 points**

A maximum of 5 points will be awarded to respondents for appropriateness as to convenience of the site location and organization of space.

**5. Promptness of fee processing: 15 points**

Number of days between receipt of application fee, availability of money of UCS account, and availability of report of the applicants to Exam Unit.

**Pricing:**

Bidders shall quote a price per application processed and a total price per year equal to the price per application multiplied by the estimated quantity of application per year. In case of a miscalculation, the price per application shall prevail. The price per application shall reflect the cost of all activities to be performed pursuant to this RFB's Specifications.

**Price increases:**

**All prices shall remain firm throughout the initial contract period.**

**Reasonable, necessary and documented** cost increases to the contractor for any renewal period **will be considered** subject to the following:

1. Only those increases applicable to materials and supplies will be reviewed. No increases associated with labor costs will be considered.
2. Contractor must submit written request for allowable increase(s) forty-five (45) days prior to the end of the initial contract period accompanied by any/all supporting documentation to the attention of Marie-Claude Ceppi, NYS Office of Court Administration, 25 Beaver Street, R-840, New York, NY 10004.
3. No price increase will be considered for any "extension" period: prior term/renewal pricing shall prevail.

**Estimated Quantities:**

Any quantity specified in this solicitation constitute **estimates only**, and accordingly, no commitment or guarantee to reach any specified volume of business is made or implied. Accordingly, the award shall be for an **estimated quantity term contract** representing approximately 10,000 applications per year. This number may vary greatly depending on the type and frequency of the examination offered.

**Evaluation:**

A committee consisting of three managerial personnel representing OCA shall review and analyze the bid responses according to the Method of Award stated above.

**Supporting Presentation:**

OCA may request bidders to make an oral and visual presentation(s), on an individual basis, in support of their proposals.

**Bidders' Qualifications:**

Bidders shall provide an organizational chart identifying the names and titles of the account manager and team members responsible for the OCA account. Bidder shall also provide copies of resumes and diplomas/certifications for all personnel assigned to OCA's account.

Bidders shall have at least five (5) years experience in delivering similar services to other government or state agencies.

Bidder shall describe their location and offices, and the facilities and equipment that they will use to fulfill their contractual obligations under these Specifications.

Bidder's responses must document their ongoing experience in providing the full range of services contained in this RFP's specifications or their responses may be rejected.

**References:**

Bidders must provide at least three references including company/agency name, complete address, contact name, title and telephone number, for whom bidders have provided similar services for the past five (5) years.

**OCA/LB-111  
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**Changes:**

Under no circumstances should vendor act on any verbal communications of ordering court/agency with respect to purchase orders, samples or proofs. Any and all communications or changes are to be in writing. **Vendor assumes all risks in acting otherwise.**

**Invoices:**

Awarded contractor shall submit invoices for each examination or multiple examinations at the conclusion of each filing period. Invoices shall indicate a cumulative total of the number of applications processed.

**Questions:**

Questions may be addressed in **writing only, by email or fax**, to

Marie-Claude Ceppi  
NYS Office of Court Administration  
25 Beaver Street, R-840  
New York, NY 10004  
Fax: 212-428-2819 Email: [Mceppi@courts.state.ny.us](mailto:Mceppi@courts.state.ny.us)

**The deadline to submit questions is Monday, December 12, 2005 at 5:00 p.m.** All questions will be answered in writing and posted online at [www.nycourts.gov/admin/bids](http://www.nycourts.gov/admin/bids) under "Current Solicitation" and this RFB Number.

**Bid Response - Original and Copies:**

Bidders shall submit all **required original RFB documents: Proposal, executed RFB Form, Attachment I , pages 3, and 4 of 10 only, Attachment II - Form ST-220, Attachment III - Vendor Responsibility Questionnaire, and any other required documentation, brochures, etc. as listed on the Document Enclosure Checklist.**

Failure to provide all original documents and the requested number of copies may result in disqualification of bidder's response.

**Please note:** original and copies of the solicitation should not be submitted in a three-ring binder, or in any other bound fashion. Please submit the original and copies bound only by rubber bands, clips or similar devices.

All proposals shall remain binding on bidders until such time as OCA provides written notification of intent to award contract, or bidders withdraw their proposals in writing, whichever occurs first.

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**Packaging, Identifying and Delivery of Proposals:**

Bidders may not submit their bid responses online.

All bid submissions must be securely contained in a sealed package or carton and **clearly labeled** in large block letters on two sides as follows:

**“DELIVER IMMEDIATELY TO MARIE-CLAUDE CEPPI R-840” “SEALED BID DO NOT OPEN” “OCA/LB-111 DUE DECEMBER 21, 2005 AT 3:00 P.M.”.**

Failure to seal and mark as prescribed may result in non-delivery and/or rejection of proposal. **Please note that bids must be received by Marie-Claude Ceppi on December 21, 05 at 3:00 pm at the latest, or bids will be declared “late bids”. It is recommended that bidders allow several extra days for shipping in order to meet the deadline.**

**Bids must be clearly addressed and submitted to:**

**MARIE-CLAUDE CEPPI  
PRINCIPAL COURT ANALYST  
NYS OFFICE OF COURT ADMINISTRATION  
25 BEAVER STREET, R-840  
NEW YORK, NY 10004**

The OCA reserves the right to reject any and all proposals or bids submitted in response to this solicitation.

**No-Bid:**

Bidders are **requested to send a no-bid letter** to OCA, attn: Marie-Claude Ceppi, at the above address, should they decide not to answer this solicitation. The **envelope shall be clearly marked** in the lower left corner as follows: **OCA/LB-111**.

**Unacceptable Proposals:**

OCA may reject any proposals from bidders who are in arrears to the State of New York upon any debt or contract; who previously defaulted on contract obligations, as surety or otherwise, upon any obligation to the State of New York; who have been declared not responsible, or disqualified, by any agency of the State of New York; or have any proceeding pending relating to the responsibility or qualification of the bidders to receive public contracts.

**Compliance with laws:**

Contractors shall be compliant with all applicable federal, state and local laws, rules and regulations.

**Work Site Location and Visits:**

Work site shall be located within the states of New York, New Jersey and Connecticut. The UCS may request bidders to schedule a site visit, as part of the bid responses' evaluation. The UCS reserves the right to periodically visit and inspect the awarded vendor's place of business, equipment, software and/or number of employees, to verify the timely and quality performance of the services described in this RFB, including the security and confidentiality of the UCS records.

**Subcontracting:**

**No subcontracting or outsourcing is permitted.** Awarded vendor shall use its own qualified personnel to perform the work and services described herein. The work to be performed pursuant to this RFB's specifications shall be performed at the awarded vendor's place of business and shall not be assigned, transferred or subcontracted.

**Independent contractor status:**

It is expressly understood and agreed that 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. Contractor is 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 or corporations employed or engaged by 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, employment and worker's compensation insurance of contractor or any of its employees or subcontractors.

**Financial stability:**

Upon request, bidder shall provide a copy of financial filings as audited by a certified auditing firm for the past three consecutive years and a copy of its last three annual reports.

**Contractor's General Liability and Property Damage Insurance:**

Bidder must include with their submission proof of a minimum of \$1,000,000.00 per occurrence of professional liability insurance coverage. Such coverage shall be at no cost to the UCS and OCA and shall remain in force for any period a contractual agreement exists with OCA.

A certificate of coverage shall be acceptable.

Awarded contractor may be requested by each building managing agent or owner at his or her discretion to provide such a certificate of insurance before contractor may access the premises.

**Confidential/Proprietary Information:**

Bidders should specifically identify those portions of the proposal deemed to contain confidential or proprietary information or trade secrets, and must provide justification why such material, upon request, should not be disclosed to parties other than OCA. Such confidential/proprietary information must be easily separable from the non-confidential sections of the proposal. Note: Required financial data is not subject to the New York State Freedom of Information Law and will not be provided to any other party(s).

**Confidentiality:**

Bidders and awarded contractor are hereby advised that any and all information, records, files, documents or reports generated by, or contained in, any media format (e.g. print, electronic) provided to contractor by an individual or component of the UCS, or otherwise obtained by contractor in the performance of contractual services, shall be considered confidential and shall be treated and maintained accordingly at all times. Neither the contractor nor any of its employees, agents, subcontractors, representatives, interns or volunteers shall at any time be permitted to utilize any such information for any purpose outside the scope of awarded contract without the express written authorization of OCA. Further, any and all material and documents, records and any other data or information developed by contractor, or any person or entity acting on behalf of contractor, remains the sole property of the UCS/OCA. Contractor, or subcontractors, may not make use of such data or information without the express knowledge and written consent of the UCS/OCA.

**Bidder must provide a complete, notarized statement describing in details the procedures and steps bidder will follow to assure the complete confidentiality of the records.** This notarized description shall include the names and/or titles of the authorized officers within the company who will have access to these records and indicate how the computer records and physical media will be safeguarded. **Failure to submit such notarized statement shall disqualify bidder's proposal.**

**Termination:**

If awarded contractor fails to fulfill any terms of this agreement on time, OCA shall have the right to terminate said agreement, except that OCA shall allow bidder a period of thirty (30) days to rectify the problem(s). In the event that problems are not rectified to the satisfaction of OCA or any performance deemed unsatisfactory, OCA will notify contractor in writing of the contract termination.

Such a termination may result in a vendor being declared “non responsible” by the UCS/OCA, pursuant to the Office of the State Comptroller’s 2005 guidelines on vendors responsibility and in the vendor’s removal from the UCS/OCA’s bidders list.

**Appendices**

Appendix C Sample Examination Announcement

Appendix D Examination Application

Appendix E Examination Schedule for 2005-2006

Appendix F Guidelines for Processing Applications

\*\*\*\* DETAILED SPECIFICATIONS \*\*\*\*

**Statement of Work: Background:**

Of the approximately 18,000 positions in the Unified Court System, almost 10,000 are in the competitive class. Competitive class positions are those positions for which the merit and fitness of applicants are determined by competitive examinations. Typical titles found in the competitive class include Court Officer, Court Reporter and Court Clerk, as well as office clerical and administrative support titles.

Examinations to fill these competitive positions are scheduled on a periodic basis. Prior to the examination date, an examination announcement (sample, Appendix C) is distributed to all courts and court agencies throughout the Unified Court System, and to other agencies such as the New York State Department of Labor, and various county civil service commissions. The examination announcement is usually published approximately ninety (90) days before the date of the examination and contains such information as a brief description of the nature of the duties and responsibilities of the position, salary grade, minimum qualifications to compete, subject matter of the examination, fee requirements and other general information.

Depending on the title, the examination may be either open-competitive or promotional. An open-competitive examination is open to all qualified applicants, whether members of the general public or employees of the Unified court System. Promotional examinations, however, are limited to those qualified employees of the UCS who meet the requirements stated in the examination announcement. Promotion applications will be processed internally by the UCS. While there is no filing fee for promotional examinations, there is one for all open-competitive examinations. The amount - which is currently \$25 - is noted on the examination announcement. An exception to the fee is provided for all employees of the UCS, as well as individuals receiving various types of public support outlined in each examination announcement. Payment is required in the form of a money order; cash is not accepted and checks, although accepted, are discouraged. Applicants are advised to submit their applications (see Appendix D) and filing fee to a designated Post Office box. In some cases, more than one examination is held on the same day. On such occasions, applicants will be required to submit one fee and application for every examination in which they desire to participate.

**Basic Services Required:**

1. Maintain Post Office Box on behalf of UCS which will be used for the receipt of applications and fees.
2. Establish a bank account in the name of UCS for the deposit of receipts.
3. Provide for a pick-up of mail from the Post Office Box at least once a day, and provide for the pick-up of work from UCS at 25 Beaver Street, New York City, as occasionally required by the UCS.
4. Open mail, remove all contents and:
  1. Examine checks and money orders for bankability (e.g. signature, amount, proper payee, etc.) and applications for completeness, in accordance with Appendix F, Guidelines for Processing Applications.
  2. Batch checks, money orders and applications.
  3. Assign identical numbers in sequence to both the application and fee for reconciliation purposes.
  4. Key-enter application information for the purpose of compiling a roster of applicants and delivering such information to the Department of Technology (DOT) once a week during the filing period. Specific information concerning required application data can be found in Section F below.
  5. Prepare deposit tickets, which include batch numbers and money totals for each batch, and deposit all checks and money orders to the credit of the UCS.
  6. Provide routine back functions as required with regard to the monies deposited (e.g. monthly statements, deposit tickets, etc.)
  7. Deliver all completed applications and related documents to the UCS.

**Roster of Applicants File:**

The bidder will provide a Roster of Applicants file which shall include the following data for each application in a clear text file with fixed length fields and fixed length records of 260 characters containing the following information:

CYCLE NUMBER	Numeric	3
EXAM TYPE - will be either 45 or 55	Numeric	2
EXAM NUMBER	Numeric	3
SABBATH - will be either Y or N	Alpha/Numeric	1
SPECIAL - will be either Y or N	Alpha/Numeric	1
TEST CENTER - if no center is entered, make it 99	Alpha/Numeric	2
SPECIAL VETERANS - either V or D	Alpha/Numeric	1
SSN	Alpha/Numeric	9
LAST NAME	Alpha/Numeric	25
FIRST NAME	Alpha/Numeric	15
MIDDLE INITIAL	Alpha/Numeric	1
STREET ADDRESS	Alpha/Numeric	40
FILLER (Note: street address field 64 for cleansing)	Alpha/Numeric	24
FILLER (Note: second street address line is not used)	Alpha/Numeric	64
CITY	Alpha/Numeric	25
FILLER (Note: makes city field 30 for cleansing)	Alpha/Numeric	5
STATE	Alpha/Numeric	2
ZIP1	Alpha/Numeric	5
ZIP2	Alpha/Numeric	4
FEE - should be either P or U or W	Alpha/Numeric	1
BATCH - numbering method is contractor's prerogative	Numeric	4
FILLER (Check Digit will be added by UCS)	Alpha/Numeric	1
FILLER (Delivery Point will be added by UCS)	Alpha/Numeric	2
FILLER (LACS will be added by UCS)	Alpha/Numeric	1
FILLER (Result Code will be added by UCS)	Alpha/Numeric	10
FILLER (Note: makes record length 260)	Alpha/Numeric	9

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The noted file will be sent, at least once per week, either by File Transfer Protocol (FTP) or electronic mail (e-mail) from the contractor to the Unified Court System (UCS) Division of Technology at 125 Jordan Road, Troy, NY 12180 attn: I/O control Unit with a cc to the UCS Personnel Examination Unit, 25 Beaver Street, NY, NY 10004 attn: Supervisor.

If the preferred method, FTP'ing the file, is used, DoT will provide the contractor with the site address and file name and the contractor shall add the following header information to the file:

cycle  
exam type  
exam number  
total number of records

If the file is sent via e-mail, DoT will provide the file name and the contractor will attach the file to e-mail noting in the e-mail the following information regarding the file:

cycle number  
exam type  
exam number  
batch numbers  
number of applications with fee code of P (paid)  
number of applications with fee code of U (Unified Court System Employee)  
number of applications with fee code of W (waived)  
total number of records in file  
This e-mail will be sent to:

[IOCONTROL@COURTS.STATE.NY.US](mailto:IOCONTROL@COURTS.STATE.NY.US)

and copy to:

UCS Personnel Examination Unit, 25 Beaver Street, NY, NY 10004 whose e-mail address will be supplied at a future date.

**Contractor's Responsibilities:**

Awarded contractor shall be solely responsible for:

- Receiving mailed open-competitive applications and filing fees
- Key entering the essential candidate information
- Processing and depositing receipts in a designated account
- Providing the UCS with periodic and summary activity reports, and a final roster of examination applicants
- Being available to begin processing all applications at least six (6) weeks prior to the date upon which applicants begin filing for an examination.