

**Request for Applications  
and  
Program Requirements for the Delivery of:  
Community Dispute Resolution Services**

Issued by:

Union County Board of Commissioners

**Deadline for Applications:**

April 30, 2019

5:00 p.m.

A. Background Information

This Request for Applications is issued by Union County for the purpose of identifying eligible applicants to provide community dispute resolution services for Union County, pursuant to ORS 36.155. These services are funded in part by a grant from the Grantor.

Grantor is charged with the responsibility of administering a Community Dispute Resolution Program (CDRP) grant fund pursuant to ORS 36.150 and 36.155 and UO Policy I.03.02. The focus of this grant program is to support the development and maintenance of community dispute resolution programs that assist citizens in resolving disputes and developing conflict resolution skills.

Assuming funding for 2019-2021 is reauthorized by the 2019 Legislature at the same level as the prior biennium, grant funds for your County will be approximately \$ 52,000 for the period July 1, 2019 - June 30, 2021.

B. Process Summary

1. Dates for the RFA process are set by Grantor.
2. An applicant submits the original application to the County and a copy to Grantor.
3. Grantor determines applicant eligibility under UO Policy and notifies the County and the applicant.
4. The County selects one or more eligible applicants to receive the funds.
5. Grantor executes grant agreements directly with the selected applicants.

C. Timeline (Subject to Change)

March 29, 2019	County Commission adopts a resolution confirming its desire to participate in the process (sample attached).
April 1, 2019	County advertises a notice of availability of grant funds and announces the application process (sample of notice included). The County and Grantor make RFA packet available to interested applicants.
April 30, 2019	Applications must be <b>received</b> by 5:00 p.m. at the County and the offices of Grantor. <u>Late applications may not be considered.</u>
May 17, 2019	Additional information requested by Dean due in at the County and the offices of Grantor.
May 31, 2019	Grantor issues notices of eligibility to applicants and County.
June 5, 2019	Any appeals from applicants determined ineligible by Grantor must be <b>received</b> by 5:00 pm.
June 14, 2019	County Commission selects grantee(s) and notifies Grantor of selection.
June 28, 2019	Grantor enters into Grant Agreement with the grantee(s).

D. Entities Eligible for Funding

1. To be eligible, a CDRP must be one of the following (see UO Policy CDRP – §C):

- a. *Government program*: A governmental entity with a separate dispute resolution program budget and a dispute resolution program advisory committee of at least five representative members of the community in which the governmental agency is located, which advisory committee meets at least quarterly;
  - b. *Nonprofit organization*: A nonprofit organization registered in Oregon with a board of directors of at least five representative members of the community or communities in which the organization does business, which board of directors meets at least quarterly. If an applicant is a nonprofit organization established for purposes other than dispute resolution, it shall have a separate dispute resolution program budget and a separate advisory committee of at least five representative members of the community in which the organization does business, which advisory committee shall meet at least quarterly.
  - c. The Oregon Judicial Department is not eligible for funding under ORS 36.100 et seq. and UO Policy CDRP et seq.
  - d. Municipal, county, and justice courts are not eligible for funding under ORS 36.100 et seq. and UO Policy CDRP et seq.
2. A CDRP must provide at a **minimum** the following services (see UO Policy CDRP – §C):
    - a. Citizen education in conflict resolution skills to assist citizens in resolving their own disputes peacefully; and
    - b. Community mediation services provided at least in part by volunteer mediators.
  3. In addition to these essential services, programs *may* elect to provide other services in order to respond to local identified needs. Such services may include but are not limited to: (a) Methods for addressing the interests of crime victims in criminal cases when those cases are either not prosecuted for lack of funds or could be more effectively handled outside the courts; (b) Arbitration; and (c) Training for individuals who resolve disputes.
  4. Grantees that participated in previous grant cycles must have complied with previous grant requirements before being considered eligible for 2019-2021 grant funds.

**E. Requirements for Grantees (CDRPs)**

**NOTE: Failure to comply with any Grantor requirement may result in loss of grant funding.**

1. *Participating Funds*: Grantees are required to match the funding granted to them pursuant to ORS 36.155:
  - a. First grant year – 10%
  - b. Second grant year – 25%
  - c. Third grant year – 50%
  - d. Fourth grant year – 75%
  - e. Fifth grant year and beyond – 100% (see UO Policy CDRP – §E).
2. *Fees for service*: If grantee charges fees for service, grantee must offer a sliding fee scale or waiver or deferment based on income. Fees may not be charged on the basis of outcome or amount in controversy (see UO Policy CDRP – §D).
3. *Voluntariness*: All Grantees, even those that accept mandatory referrals, must provide written notice to participants specifying that participation in the mediation session is voluntary (see UO Policy CDRP – §F).
4. *Confidentiality*: All Grantees must have an appropriate mechanism for ensuring that participants are advised of the importance of confidentiality in mediation and that participants are offered an opportunity to execute a written confidentiality agreement (see UO Policy CDRP – §F).
5. *Qualified mediators*: All Grantees must have qualified mediators trained by qualified trainers (see UO Policy CDRP – §Q for specific training requirements).

6. *Internal Controls:* Grantees must establish and maintain an effective internal control structure. This should include policies, procedures, and processes to both prevent misuse of program assets and detect any misuse should it occur. Documentation of these policies, procedures, and process may be requested by and provided to the Grantor at any time. Resources to assist with the development of an Internal Control structure are available from the Oregon State Controller's Division (<http://www.oregon.gov/DAS/Financial/Acctng/pages/index.aspx>).
7. *Reporting requirements:* Grantees shall provide Grantor with the following reports:
  - a. Progress Reports, using Grantor's forms, including data for the prior six-month period, on: operating budgets, number and kinds of educational programs, staff and volunteer qualifications, training activities, number and source of referrals, types of disputes referred, dispute resolution services provided, number of persons served, case outcomes, and other information as Grantor may require (see UO Policy CDRP – §O);
  - b. Annual reports and annual financial statements, using Grantor's forms, including data described above for the previous twelve-month period;
  - c. An independent audit, financial compilation or review every two years; and
  - d. A final financial report of revenues and expenses on Grantor's forms in accordance with the budget categories shown in Exhibit A and Exhibit B within ninety days of the close of the grant period (see UO Policy CDRP – §O).

**NOTE: Failure to submit reports on time will result in delay or loss of funding.**

8. *Record keeping:* Grantees must maintain accurate financial records, including accounting for matching funds (see UO Policy CDRP – §O) that conform to generally accepted accounting principles and be in compliance with all county and state audit accounting procedures and requirements. Grantee must maintain all required records for at least 3 years after Grantor's final payment and make program records available to Grantor when requested (*note:* Grantees are subject to audit by the Secretary of State, pursuant to ORS Chapter 297).
9. *Evaluation:* Grantees shall cooperate with Grantor to facilitate the collection of data to measure the effectiveness, integrity, and applicability of dispute resolution services provided by the Grantee. In addition, Grantees shall, per UO Policy CDRP – §N.
  - a. perform a biennial **evaluation to measure program effectiveness.**
  - b. measure **client satisfaction.**
  - c. conduct annual **board and director performance evaluations.**
  - d. cooperate with Grantor in providing aggregate data to analyze the effectiveness of community dispute resolution efforts and to track trends throughout the state.
10. *The Law:* Grantees must comply with applicable federal, state, county and local statutes, and rules governing services, facilities, and operations. Grantees shall agree to satisfy all federal and state contract requirements concerning the provision of Workers' Compensation coverage. Grantees must comply with all applicable rules, regulations, statutes and guidelines for maintaining client confidentiality.
11. *The Rules:* Grantees must comply with the standards and guidelines set forth in UO Policy - Community Dispute Resolution Center (CDRP).

### **PART III: Application**

**(Must be typed; may be submitted manually or electronically; manual submissions must be bound only with upper left-hand corner staple)**

All applications must include:

- A. Program Information Sheet: See Appendix 1. Use as page one (1) of application.
- B. Statement of Assurances: See Appendix 2. Use as page two (2) of application.
- C. Narrative: Applicants shall include the following in narrative form (see UO Policy CDRP – §J), and attach the narrative to the rest of the application forms found in the Appendix.
  1. *Mission Statement and Goals*. Provide the program's mission statement and an explanation of the program's goals and objectives, including objectives related to citizen education in conflict resolution skills and community mediation services.
  2. *Description of Services*. Describe how the program will provide citizen education and community mediation services as stated in UO Policy CDRP – §C & see UO Policy CDRP – §J, and provide benchmarks for the upcoming biennium for the following:
    - i) number and type of conflict resolution trainings (including basic and advanced mediation trainings, peer mediation, specialized trainings such as victim offender, etc.) that will be offered each year;
    - ii) community mediation services;
    - iii) mediation trainings,
    - iv) publicity and outreach, and
    - v) other areas determined by the Dean.
  3. *ADA facilities*. Information regarding the ADA accessibility of program facilities
  4. *Mediator Recruitment*. Describe applicant's specific plan for recruiting, selecting, training, and using volunteer mediators. Include current number of active volunteers.
  5. *Mediator Training*. Describe mediator training activities, including the mediation curriculum and apprenticeship. Include a description of the curriculum and a curriculum outline to be used in the basic mediation training as well as a statement of whether the training activities and supervision plans meet the requirements for community mediators in UO Policy CDRP – §Q. Provide description of continuing education trainings to be offered to volunteer mediators each year. Also provide documentation showing the lead basic mediation trainer is qualified under UO Policy CDRP – §Q.
5. *Evaluation*.
  - a. Describe annual **program evaluation** plans (e.g. use of community needs assessments, program effectiveness surveys, etc.)
  - b. Describe how the applicant determines **client satisfaction** with the dispute resolution services, including a description of any follow-up done with the client. Include:
    - i. sample copies of current exit surveys, client satisfaction surveys, or other assessment instruments used;
    - ii. a brief statement indicating how grantee will conduct evaluations;
    - iii. a statement of the way that the survey process has been coordinated with Grantor; and
    - iv. an annual compilation of aggregate responses, submitted to Grantor (to preserve confidentiality, Grantees must not send evaluation data to Grantor that includes any individual client information).
  - c. Describe specific plans for annual **board and director performance evaluation**.

6. **Affirmative Action Statement.** (g) The applicant must certify or agree that they will abide by the requirements of 41 CFR 60-1.4(a), 60-300.5(a) and 60-741.5(a). These regulations prohibit discrimination against qualified individuals based on their status as protected veterans or individuals with disabilities and prohibit discrimination against all individuals based on their race, color, religion, sex, sexual orientation, gender identify or national origin. Moreover, these regulations require that entities that receive grant funds take affirmative action to employ and advance in employment individuals without regard to race, color, religion, sex, sexual orientation, gender identify, national origin, disability or veteran status.
  10. Describe applicant's internal control structure, the requirements of which are contained in Part II, paragraph E6, above.
  11. Other Information Required by the County or Grantor.
- D. **Letters of Support:** Provide 3 to 6 letters of support from community organizations, judicial and legal system representatives, administrative agencies, or other appropriate public service organizations in the proposed area of service. Such letters should, if appropriate, attest to the organization's willingness to make referrals and/or provide funding to the applicant.
  - E. **Budget:** Use the budget forms in Exhibits A and B. Include a proposed biennial (2 year) budget, highlighting the amount and sources of participant (matching) funds (See UO Policy CDRP – §O). Clearly show how grant funds will be used, if awarded. If applicant charges fees, include fee schedule and clearly show sliding scale or waiver (See UO Policy CDRP – §N). If available, include financial reports from the previous two years of applicant's services.
  - F. **Written Agreement of Collaboration:** In counties where more than one community dispute resolution program receives funding from Grantor, include a brief written agreement of collaboration indicating how providers of dispute resolution services will work together to efficiently serve county needs (See UO Policy CDRP – §J).
  - G. **Consent to Mediate/Voluntary Nature of Mediation/Confidentiality Statements:** Attach a copy of:
    1. Applicant's written notice that mediation is voluntary (See UO Policy CDRP – §P);
    2. Applicant's "consent to mediate" or similar form or statement;
    3. Applicant's "confidentiality agreement" form or statement.

Any applicant that did not receive funding in the previous biennium, or any recurring applicant that is not in substantial compliance with the previous biennium's grant agreement must submit the below requirements in addition to the above requirements. In the event that a new applicant and a recurring applicant submit an application for the same county, Grantor will request a full application be submitted from the recurring applicant.

- H. **Narrative:** Applicants shall include the following in narrative form (see UO Policy CDRP – §J), and attach the narrative to the rest of the application forms found in the Appendix
  1. **Description of Services.** Describe how the program will provide citizen education and community mediation services as stated in UO Policy CDRP – §C & see UO Policy CDRP – §J. Include:
    - a. a statement of the program's goals, objectives, and activities, including citizen education in conflict resolution skills and community mediation services.
    - b. a description of the community problems that will be addressed;
    - d. proposed geographic area of service;
    - e. number of persons in the service area;
    - f. number of persons the applicant expects to serve each year;
    - g. types of disputes that will be handled;
    - h. number of cases that will be handled each year;
    - i. types of dispute resolution services that will be offered (e.g. mediation, phone conciliation, community boards, etc.);

- j. any case (access) restrictions to be imposed by the applicant (e.g. "CDRP does not take cases involving domestic violence");
2. *Organizational Structure.* Describe organization structure and provide a detailed flow chart of the applicant's organizational structure.
3. *Publicity and Outreach.* Provide applicant's plan for publicizing services and resources to potential referral agencies, individuals, civic groups, courts and justice system agencies. Include:
  - a. how many press releases or similar public notices will be issued each year;
  - b. how many presentations to public service organizations, agencies, schools, etc. will be offered each year, and
  - c. what other outreach activities are planned.
4. *Personnel.* Provide copy of applicant's personnel policies and resumes of staff members.
5. *Business plan.* Applicants that did not receive funding in the previous biennium must submit a business plan that contains a three-to-five (3-5) year projected budget of income and expenses.

## **Appendices and Exhibits**



**Appendix 1: 2019-2021 Program Information Sheet**

**Program County:**

\_\_\_\_\_

**Program Name:**

\_\_\_\_\_

**Program Address:**

\_\_\_\_\_

\_\_\_\_\_

**Phone:**

\_\_\_\_\_

**Fax:**

\_\_\_\_\_

**Program Contact (name, title, and phone number):**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**Applicant Status:**

Governmental entity name: \_\_\_\_\_

Umbrella nonprofit organization name, if applicable: \_\_\_\_\_

Nonprofit organization name: \_\_\_\_\_

State registration number: \_\_\_\_\_

Federal tax exemption number: \_\_\_\_\_

**Program Budget Summary:**

Grant Funds Requested: \$ \_\_\_\_\_

If awarded, this grant will constitute what percentage of applicant's total budget? \_\_\_\_\_%

**Matching Funds Requirements:**

First grant year – 10% of the grant amount for that year; second year – 25%; third year – 50%; fourth year – 75%; and fifth year and beyond – 100% (See UO Policy CDRP – §E).

Applicant is current or former grantee?    Yes \_\_\_\_\_                      No \_\_\_\_\_

If yes, identify grant periods and amount of grant funds awarded:

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Identify matching percentage needed:

2019-2020: \_\_\_\_\_                      2020-2021: \_\_\_\_\_

**Appendix 2: Statement of Assurances**

The undersigned attests that the information provided to determine eligibility is true and accurate to the best of his/her knowledge. The undersigned further attests that he/she has the authority and/or responsibility to represent his/her organization in all phases of this Request for Application process. Finally, the undersigned understands that any false or substantially incorrect statement may disqualify this applicant from further consideration or be cause for termination of a resulting contract.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Typed Name and Title: \_\_\_\_\_

Typed Name of Organization: \_\_\_\_\_

**Exhibit A: Revenue Summary**

**For 2019-2021 Program Budget**

**Program Name:** \_\_\_\_\_

A. Grant amount requested:        \$ \_\_\_\_\_

B. Other revenue: Identify sources and amount of revenue received from sources other than Grantor including grant funds, contracts for services, fees, contributions, etc.

<b>OTHER REVENUE BEYOND GRANTOR FUNDS</b>				
	<b>Source</b>	<b>Pending Funding</b>	<b>Secured Funding</b>	<b>Total Proposed Funding</b>
1		\$	\$	\$
2		\$	\$	\$
3		\$	\$	\$
4		\$	\$	\$
5		\$	\$	\$
6		\$	\$	\$
7		\$	\$	\$
8		\$	\$	\$
9		\$	\$	\$
10		\$	\$	\$
	<b>SUBTOTAL OTHER REVENUE</b>	\$	\$	\$

C. In-kind contributions: List source, amount, and calculations (for example, volunteer mediator hours and valuation rates). If applicable, attach documentation.

IN-KIND CONTRIBUTIONS (NON-CASH)				
Source AND Valuation		Pending Funding	Secured Funding	Total Proposed Funding
1		\$	\$	\$
2		\$	\$	\$
3		\$	\$	\$
4		\$	\$	\$
5		\$	\$	\$
6		\$	\$	\$
7		\$	\$	\$
8		\$	\$	\$
9		\$	\$	\$
10		\$	\$	\$
<b>SUBTOTAL IN-KIND CONTRIBUTIONS</b>		\$	\$	\$

**TOTAL 2019-2021 REVENUES (A + B + C):** \$ \_\_\_\_\_

\_\_\_\_\_  
Signature of Board President authenticating information contained on this page

\_\_\_\_\_  
Signature of Director authenticating information contained on this page

**Exhibit B: Expenditure Summary  
For 2019-2021 Program Budget**

**Program Name:** \_\_\_\_\_

**A. Personnel**

Position Title	FTE	Salary/Year	Benefits/Year	Total/ Biennium	Grantor Funds Amount
<b>SUBTOTAL</b>					

**B. Services and Supplies**

Item	Biennium Expense	Grantor Funds Amount
Rent/space		
Rent/equipment		
Office Supplies		
Utilities		
Telephone		
Postage		
Printing and Copying		
Training		
Publicity		
Insurance		
Books, Periodicals, Subscriptions		
Memberships and Dues		
In-state travel		
Out-of-state travel		
Other (please specify)		
Program expenses (please specify)		
Contractual Services (please specify)		
<b>SUBTOTAL</b>		

**C. Other**

Item	Biennium Expense	Grantor Funds Amount
Capital Expenses		
Other (please specify)		
<b>SUBTOTAL</b>		

**TOTAL 2019-2021 BIENNIUM EXPENDITURES (A + B+ C):** \$ \_\_\_\_\_

\_\_\_\_\_  
Signature of Board President authenticating information contained on this page

\_\_\_\_\_  
Signature of Director authenticating information contained on this page