



Request for Proposals

**Shelter Exit Services
for Office of Refugee Resettlement
Eligible Populations (SES)**

Release Date: 10/03/2024
Submission Deadline: 11/18/2024

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PART A. Summary Information

I. Introduction

The Bureau of Refugee Services (BRS) of the New York State Office of Temporary and Disability Assistance (OTDA, or collectively OTDA/BRS), issues this Request for Proposals (RFP) to solicit applications from eligible grant applicants to administer the Shelter Exit Services for Office of Refugee Resettlement (ORR) Eligible Populations (SES) program. SES is a program focused on assisting ORR eligible households currently residing in the public shelter systems in New York State, to locate and retain permanent, affordable housing.

OTDA anticipates distributing up to \$10,000,000 in ORR Refugee Support Services (RSS) funds for 18-month contracts under this procurement. All program funds are subject to continued availability and state appropriation thereof. All funds allocated for the administration of the program are received from ORR. Use of these funds must relate to the provision of activities that provide for the effective resettlement of refugees and to assist them to achieve economic stability without SES as quickly as possible.

Other costs, such as construction and renovation costs, are not allowable under this program.

Part A, section VIII. Eligible Participants contains information about eligible participants, including appropriate immigration statuses and other eligibility information.

If selected, the proposal and all parts submitted in response to this RFP may become part of a contract with OTDA, subject to approval by the New York State Attorney General (AG) and the Office of the New York State Comptroller (OSC). At the time of contract development, awardees may be required to submit revised budgets, program information and any revised forms and documents for the final contract. Successful awardees will be required to submit all final contract documents, narratives, and budgets in the Statewide Financial System (SFS). OTDA reserves the right to:

- Negotiate any aspect of a proposal other than rates of payment in order to ensure that the final agreement meets OTDA objectives and requirements;
- Waive procedural technicalities, or modify minor irregularities, in proposals received, after notification to the bidder involved; and/or
- Correct arithmetic errors in any proposal, or make typographical corrections to a proposal, with concurrence of the bidder.

II. Registration and Prequalification Requirements

Pursuant to the New York State Division of Budget Bulletin H-1032 (revised), dated January 9, 2024, New York State has instituted key reform initiatives to the grant contract process which require not-for-profits to register in the Statewide Financial System (SFS) and complete the Vendor Prequalification process in order for proposals to be evaluated. Information on these initiatives can be found [here](#).

Below is a summary of the steps that must be completed to meet registration and prequalification requirements. Additional information on prequalification can be found on the [Grants Management website](#).

Register for the Statewide Financial System

Eligible grant applicants must be registered in SFS to compete for New York State grants. Eligible grant applicants are strongly encouraged to begin the process as soon as possible in order to participate in this opportunity.

Complete instructions on how to register are found [here](#).

In addition to the support resources available to SFS users on the [SFS website](#) in the SFS Coach Training section, such as manuals, videos, webinars, and FAQs, SFS provides live help desk support for SFS users.

- Hours: Monday – Friday 8:00 a.m. to 5:00 p.m.
- Phone: (518) 457-7737 or (877) 737-4185
- Email: helpdesk@sfs.ny.gov

Not-for-profit organizations must prequalify to do business with New York State agencies before they can compete for State grants. The process allows not-for-profit organizations to address questions and concerns prior to entering a competitive bid process. Not-for-profit organizations are strongly encouraged to begin the prequalification process as soon as possible.

To become prequalified, a not-for-profit organization must first register in SFS. Once registered, not-for-profit organizations complete an online prequalification application. This includes completing a series of forms by answering basic questions regarding the organization and uploading key organizational documents. Complete instructions on how to prequalify are found [here](#).

Grant proposals received from not-for-profit applicants that are not prequalified in SFS at the application due date and time will not be evaluated. Such proposals will be disqualified from further consideration.

Specific questions about the prequalification process should be referred to your or to the SFS help desk at helpdesk@sfs.ny.gov.

III. Procurement Schedule/Submission Guidelines

OTDA reserves the right to change any of the scheduled dates in this RFP.

- Release Date of the Request for Proposals: 10/03/2024
- Deadline for Written Questions: 10/17/2024
- Anticipated response to Questions: 11/04/2024
- Due Date and Time for Proposals: 2:00pm on 11/18/2024
- Anticipated Notification of Awards: 2/14/2025
- Anticipated Contract Start Date: 5/1/2025

Questions and Answers Regarding this RFP

Prospective applicants may submit questions via email to BRS.RFP@otda.ny.gov. Questions must be submitted no later than 10/17/2024.

Questions and answers will be posted on OTDA's website on the [Contracts and Grants Opportunities](#) web page by 11/04/2024.

OTDA reserves the right to respond to questions submitted after the deadline.

Proposal Submittal

Applications must be submitted electronically via [SFS](#) by 2:00pm on 11/18/2024. Once the deadline has passed, [SFS](#) will no longer accept applications. Applicants are strongly encouraged to complete the electronic application submission process several days before the application due date to ensure the application is successfully accepted by [SFS](#).

IV. Federal Authority

Per [ORR Policy Letter 18-04, Refugee Support Services](#), ORR is authorized to grant funds to states under the RSS program which funds SES pursuant to § 412(c)(1) of the Immigration and Nationality Act (INA). Furthermore, the regulations at 45 C.F.R. Part 400 Subpart I Refugee Social Services state that the funding must be used for the purpose of providing employment services and other needed services to enable refugees and other eligible persons and their families in achieving economic and social self-sufficiency.

V. Program Description

The purpose of the SES program is to relocate eligible individuals and families from the public shelter system in New York State into permanent, affordable housing, provide rental assistance for up to one year, and make referrals for case management and employment services as needed.

The SES program has the following key objectives:

- Facilitate the relocation of eligible individuals and their families from public shelter to permanent affordable housing.

- Provide rental assistance and financial assistance for up to one year in order to enable eligible individuals and their families in achieving economic and social stability.
- Ensure eligible individuals are connected to case management and employment services to assist families in gaining stability and employment or better employment in order to gain economic stability and contribute to their household expenses as soon as they have stable income.

To accomplish these specific objectives, SES contractors will:

- Secure appropriate permanent housing opportunities.
- Develop landlord relationships.
- Ensure housing units meet basic habitability standards.
- Provide multi-lingual and culturally appropriate services.
- Determine eligibility for households screened and manage referrals.
- Provide referrals for transitional support services from initial intake through housing placement and follow-up services.
- Coordinate transportation and logistics for occupancy.
- Consider mechanisms for teleconference/video conference for households.
- Facilitate post-relocation community orientations.
- Determine appropriate rental subsidy amounts and client contributions.
- Provide data reporting to the OTDA/BRS.

VI. Eligible Grant Applicants

Only proposals submitted by eligible grant applicants, as defined below, will be accepted for review. Proposals submitted by ineligible applicants will not be reviewed.

Eligible grant applicants include non-governmental organizations: nonprofit corporations, including charitable organizations incorporated, registered and in good standing with the Charities Bureau of the Attorney General in the State of New York; faith-based organizations, tribal organizations, local governmental organizations and educational institutions.

Eligible non-profit applicants must be prequalified in SFS as outlined in Section II.

Eligible grant applicants must be located in and do business in New York State.

VII. Service Strategy

In accordance with 45 CFR § 400.147, contractors must plan their program and allocate RSS funds in such a manner that services are provided to refugees (eligible participants) in the following order of priority, except in certain individual extreme circumstances:

- Newly arrived refugees who apply for services during their first year in the U.S;
- Refugees (eligible participants) who are receiving cash assistance;
- Unemployed refugees (eligible participants) who are not receiving cash assistance; and
- Employed refugees (eligible participants) in need of services to retain employment or to attain economic independence.

Successful proposals will demonstrate the need in the community for the SES program, including an estimated number of eligible individuals and families currently residing in the public shelter system. Additionally, successful proposals must demonstrate the applicant's ability to address those needs by providing comprehensive relocation and referrals to case management, employment and transitional support services to assist program participants and their families in accessing and maintaining permanent housing and achieving economic and social stability as soon as possible upon their arrival in the U.S. The services outlined in this RFP address both the needs and the barriers to permanent housing that eligible participants may face. Effective delivery of these services will result in a more substantial integration of eligible participants into the community.

Contractors will be expected to provide a comprehensive SES program which will:

- Perform targeted outreach, in coordination with the local social services agency, to identify potential participants currently residing in the public shelter system;
- Screen participants to confirm eligibility;
- Secure safe, sanitary, and affordable living quarters to each household;
- Transport the household, if needed, to the housing, provide culturally appropriate, ready-to-eat food and seasonal clothing as necessary to meet immediate needs;
- Provide material needs, support, and services within 30 days, including the provision of: essential furnishings; appropriate food, food allowances and other necessities, transportation, and necessary clothing;
- Provide referrals for case management; employment services; health and mental health services; assistance in obtaining appropriate benefits and other social services; English language instruction; assistance registering children in school;
- Provide a housing subsidy for up to one year, unless otherwise authorized in writing by OTDA. The contractor must complete a housing needs assessment every 30 days to adjust the housing subsidy as appropriate upon a household's receipt of public benefits or household members' employment.
- Complete 6 and 12-month follow-up reports on participant progress;
- Maintain case files that demonstrate service provision, achievements, subsidy amounts, habitability reports and eligibility documentation and such information must be reported to OTDA upon request.

The grant may be allocated for costs directly associated with the provision of personal services (salary and fringe) to eligible participants.

The grant may also be allocated for direct non-personal services. These are costs that are associated with the provision of services to eligible participants. Examples include, but are not limited to:

- Direct client assistance for eligible families - payments must be made in accordance with guidelines provided by OTDA
- Contractual Services
- Travel
- Equipment
- Space/Property & Utilities
- Operating Expenses
- Administrative or Indirect Costs

Required SES Elements

Assessment and Enrollment

Each individual who receives services under SES must complete all enrollment steps, including:

- Assessment of immigration documentation to determine eligibility;
- Completion of an OTDA/BRS Application for Services and;
- Completion of an OTDA/BRS Family Self-Sufficiency Plan (FSSP) in conjunction with the eligible individuals and family members, including children.

The FSSP serves as the foundation and outline for all proposed services and:

- Compares the household's current monthly income to expenses and determines a projected income goal of no less than 125% of the federal poverty guidelines;
- Assesses the eligible participant's educational background, employment history, strengths, skills, barriers to employment, immediate steps, and long-term goals to obtain employment; and
- Assesses English ability, education level, employment status and goals for all members of the participant's household, including children.

More information about FSSP requirements can be located in [ORR Policy Letter 21-06, Family Self-Sufficiency Plan Requirements to Promote Self-Sufficiency and Integration](#). A blank FSSP and Application for Services can be downloaded via the Events Comments and Attachments screen in SFS.

Deliverables

- **Locate Affordable Housing**
 - Secure safe, sanitary, and affordable permanent housing unit of an appropriate housing size for program participants based on household composition and future affordability.
 - Permanent housing is defined as community-based dwellings, typically apartment/houses, for which a lease is established not less than 6 months.
- **Coordinate lease signing and payments to landlords**
 - Confirming participation from identified landlords and/or property managers.
 - Confirming lease terms, affordability and that the rental cost approximates local Fair Market Rent (FMR). FMR is regularly published by the Department of Housing and Urban Development (HUD) and represents the cost to rent a moderately-priced dwelling in the housing market.
- **Conduct habitability inspections**
 - The standard for which housing units must be inspected to ensure the safety or health of participating tenants put forth by HUD for participants with children under 6 years old or have an agreement with the landlord to comply with habitability standards before housing is occupied. The standards for inspections can be found under the HUD Housing Choice Voucher (HCV) program regulations at 24 CFR Part 982, which sets forth basic housing quality standards (HQS) that all units must meet before assistance can be paid on behalf of a family and at least annually throughout the term of the assisted tenancy. HQS define “standard housing” and establish the minimum criteria for the health and safety of program participants. Current HQS regulations consist of 13 key aspects of housing quality, performance requirements, and acceptability criteria to meet each performance requirement. HQS includes requirements for all housing types, including single and multi-family dwelling units, as well as specific requirements for special housing types such as manufactured homes, congregate housing, single room occupancy, shared housing, and group residences.
- **Coordinating the physical relocation of the household including**
 - Coordinating transportation from shelter residence to the permanent housing, provide culturally appropriate services as necessary.
 - Coordinating furniture delivery, assembly and apartment set-up, as needed.
 - Confirming the activation of utility services not included in the lease agreement (electricity, water, sewage, etc.)
 - Coordinating the move of household belongings.
- **Rental assistance**
 - Providing rental and utility assistance to eligible participants for the term of the lease, up to 12 months as needed. Supporting documentation must be provided for payment to be made for these pass-through costs.
 - Rental payments are made to landlords or property management and utility payments to utility companies.
 - Completing a housing needs assessment every 30 days to adjust the housing subsidy as appropriate.
 - Coordinating participant’s contribution of 30% of their income toward rental payments after the first 30-days of relocation.
- **Financial assistance**
 - Providing assistance for basic needs other than rent and utilities that are not otherwise covered by public benefits. Assistance should be provided in a manner that will not impact participants public benefit eligibility, such as providing store gift cards instead of cash or debit cards.
- **Relocation Assistance**
 - Upon enrollment, contractor must provide essential furnishings; appropriate food, food allowances and other necessities; necessary clothing;
 - Contractor must make referrals as necessary for on-going supports for things like assistance with applying for social security cards; assistance in obtaining health screenings as necessary and assistance accessing other necessary health and mental health services; assistance in obtaining appropriate benefits, other social services, English language instruction; assistance with enrollment in employment services; assistance registering children in school; and transportation to job interviews and job training.
- **6 and 12-month Follow-up Reports**

- Contractors are also required to complete follow-up assessments at 6 and 12 months from the date of enrollment in SES. Follow-up assessments of participant progress ensure that a family is actively engaged and working toward meeting their goals.

Program Administration

BRS requires SES contractors to do the following:

- Proactively monitor program goals on a regular basis;
- Hold regular internal meetings with staff to review refugee needs and the SES contractor's capacity to meet them so that service delivery remains current and effective;
- Perform data entry of all participant services into the BRS Information Network (BIN) system and also document them in client case files;
- Use the BIN-generated reports to review quarterly, annual and overall program performance;
- Submit quarterly vouchers on a timely basis; and
- Review participant files on a timely basis.

VIII. Eligible Participants

In the event of federal regulation changes that affect the program eligibility, SES contractors will be notified by OTDA/BRS of the change and be required to comply with the new criteria for participant eligibility.

Eligible Immigration Status

1. Individuals paroled as refugees or asylees under § 212(d)(5) of the INA
2. Refugees admitted under § 207 of the INA
3. Asylees whose status was granted under § 208 of the INA
4. Cuban and Haitian entrants, in accordance with the requirements in 45 CFR § 401.2
 - a. Any individual granted parole status as a Cuban/Haitian Entrant (Status Pending) or granted any other special status subsequently established under the immigration laws for nationals of Cuba or Haiti, regardless of the status of the individual at the time assistance or services are provided;
 - b. A national of Cuba or Haiti who was paroled into the United States and has not acquired any other status under the INA and with respect to whom a final, non-appealable, and legally enforceable order of removal, deportation or exclusion has not been entered;
 - c. A national of Cuba or Haiti who is the subject of removal, deportation or exclusion proceedings under the INA and with respect to whom a final, non-appealable, and legally enforceable order of removal, deportation or exclusion has not been entered;
 - d. A national of Cuba or Haiti who has an application for asylum pending with DHS/USCIS or Department of Justice (DOJ)/EOIR and with respect to whom a final, non-appealable, and legally enforceable order of removal, deportation or exclusion has not been entered;
5. Certain Amerasians from Vietnam who are admitted to the United States as immigrants pursuant to § 584 of the Foreign Operations, Export Financing, and Related Programs Appropriations Act, 1988 (as contained in § 101(e) of Public Law 100-202), as amended (8 U.S.C. § 1101 note).
6. Iraqi and Afghan Special Immigrants per section 1244(g) of Div. A of Pub. L. 110-181, as amended (8 U.S.C. § 1157 note) and § 602(b) (8) of Div. F of Pub. L. 111-8, as amended (8 U.S.C. § 1101 note).
7. Victims of a severe form of trafficking in persons per the Victims of Trafficking and Violence Protection Act of 2000, Pub. L. No. 106-386, as amended, 22 U.S.C. § 7105(b) (1) (A) and (C).
8. Lawful permanent residents provided the individuals previously held one of the statuses identified above (Note that this does not refer to Amerasians who are admitted as lawful permanent residents, or to Iraqi and Afghan Special Immigrants. See #5 and #6).
9. Non-refugee children, including children who are United States citizens, per [45 CFR §§ 400.208 \(a\) and \(b\)](#).
10. Citizens or nationals of Afghanistan paroled into the United States under § 212(d)(5) of the INA between July 31, 2021 and September 30, 2023.
11. A spouse or child, as defined in § 101(b) of the INA (8 U.S.C. § 1101(b)), of any Afghan humanitarian parolee described in number 10, who is paroled into the United States after September 30, 2023.

12. Parent(s) or legal guardian(s) of an unaccompanied Afghan child who entered the United States with parole between July 31, 2021 and September 30, 2023. An unaccompanied child is defined within 6 U.S.C. § 279(g)(2).
13. Afghan individuals who receive SI/SQ Parole.
14. Afghan individuals who receive Special Immigrant (SI) Conditional Permanent Residence.
15. Ukrainian Humanitarian Parolees:
 - a. Citizens or nationals of Ukraine who the Department of Homeland Security (DHS) has paroled into the United States between February 24, 2022, and September 30, 2024, due to urgent humanitarian reasons or for significant public benefit, known as Ukrainian Humanitarian Parolees (UHPs);
 - b. Non-Ukrainian individuals who last habitually resided in Ukraine, who DHS has paroled into the United States between February 24, 2022, and September 30, 2024, due to urgent humanitarian reasons or for significant public benefit;
 - c. A spouse or child of an individual described in section 14(a) or 14(b) of this paragraph who is paroled into the United States after September 30, 2023;
 - d. A parent, legal guardian, or primary caregiver of an unaccompanied refugee minor or an unaccompanied child described in section 14(a) or 14(b) of this paragraph who is paroled into the United States after September 30, 2023.

Households with Mixed Immigration Status

Households must consist of at least one adult household member who holds an eligible immigration status listed above in Section VIII. Eligible Immigration Status.

Eligibility Period

SES contractors should prioritize services to participants who have been in the United States for one year or less and those requiring additional social, academic, vocational, or emotional support. However, for participants with the eligible immigration statuses described in numbers 1 through 15 above, services may be provided to those who have been in the U.S. for up to 60 months (five years) from the date of arrival or from the date the eligible immigration status is granted. Eligibility for services will expire on the last day of the 60th month following:

- The refugee's date of arrival into the United States;
- The date that asylum status is granted to an asylee;
- The date that a trafficking victim is certified by the Office of Refugee Resettlement or the date that status is granted to the certain family members of the certified trafficking victim; or
- The date that a parolee was granted parole.

For participants with the eligible immigration statuses described in 12 and 13, please see [ORR Policy Letter PL 22-01](#) for information on the eligibility period for those statuses.

For participants with the eligible immigration statuses described in 14, please see [ORR Policy Letter PL 22-13](#) for information on the eligibility period for those statuses.

Residency Requirements

Eligible participants are required to be residents of the New York City Department of Homeless Services' (DHS) shelter system, the Humanitarian Emergency Response and Relief Centers (HERRC) or any department of social services' shelter system in NYS.

Matching Grant Restriction

In order to prevent duplication of services and reimbursement from federally funded programs, eligible participants enrolled in SES cannot be enrolled in the Matching Grant employment program. For more information on Matching Grant, see the ORR website:

<http://www.acf.hhs.gov/programs/orr/programs/matching-grants>

RSS Restriction

Eligible participants may only receive rental assistance from any RSS-funded program for a total of 12-months.

IX. Funding Limitations and Provisions

Available Funds

Awards for the SES 18-month contract term will be made from OTDA's federal fiscal year (FFY) 2023 RSS funding. OTDA/BRS does not anticipate SES funding to continue. As a result, applicants are strongly cautioned against viewing these funds as a potential ongoing revenue stream.

Distribution of Funds

The 18-month allocation is up to \$10,000,000 and will be divided among two regions of New York State as indicated below.

New York City (Bronx, Brooklyn, Manhattan, Staten Island, Queens)

Rest of State (all areas outside of New York City)

OTDA anticipates awarding approximately 70% of the total available funds to NYC based projects (within the 5 boroughs) and 30% of the total available funds to projects in the Rest of State (ROS). In the event OTDA does not receive sufficient fundable proposals in the anticipated regions, the balance of funds available may then be used for the other region. Based on State needs, OTDA reserves the right: (1) to change the projected use of funds from region to another; (2) to increase funding for this project should additional funding for certain activities become available; (3) where an underserved region is identified and/or should regulations change regarding the use of funds for activities. In that event, OTDA may redistribute funds at its discretion according to the methodologies described in the Selection Process and Award Procedure sections of this RFP.

Contract Term and Budget Periods

This RFP governs the provision of funds for the anticipated 18-month contract term starting on May 1, 2025, and ending on October 31, 2026.

X. Program Information

Reimbursement Structure

The contracts will utilize expenditure-based budgets that will reflect a hybrid of expenditure-based and performance-based reimbursement. This model allows for program cost reimbursement and also allows for contractors to submit claims for performing the mandatory 6 and 12-month follow-up assessments for each participant.

Performance-Based Reimbursement

Contractors are required to perform 6 and 12-month follow-ups. Applicants may receive reimbursement for performing 6 and 12-month assessments and may allocate a portion of their awards to that deliverable. Applicants will earn the performance-based portion of the awards after contractors complete 6 and 12-month follow-up assessments for each participant.

Payment Rates: The following chart provides the maximum rate OTDA will reimburse per deliverable achieved by contractors under this RFP. Applicants must propose rates that do not exceed the maximum rates listed.

Deliverable	Maximum Payment Rate
6 and 12-month follow-ups	\$300

Expenditure-Based Reimbursement

Contracts resulting from this procurement will be expenditure-based. Program costs will be reimbursed for approved expenditures associated with the delivery of program services such as direct client assistance, salary, fringe, administrative costs, equipment, travel, property, utilities, and operating expenses.

Budget Categories

The definitions for each allowable budget category are as follows:

- **Personal Services**

- **Personal Services – Salary** – The annual salaries of the staff that will be working on the project and corresponding Full Time Equivalent (FTE) value.
- **Personal Services – Fringe** – The fringe benefits associated with the staff salaries, including any social security, workers' compensation, unemployment insurance, disability insurance and other insurance programs the applicant organization provides.

- **Non-Personal Services**

- **Contractual Services** – Includes institutions, individuals, or organizations external to the contractor which have entered into an agreement with the contractor to provide any services outlined in or associated with the contract, and whose services are to be funded under the contract.
- **Travel** – Staff travel necessary to attend meetings or trainings associated with the implementation of SES.
- **Equipment** – This category includes purchase, rental, and leasing of equipment. Equipment is any non-consumable, tangible property having a useful life of more than one year.
- **Space/Property and Utilities** – Necessary and reasonable real estate rental and utilities costs required for the operation of the program.
- **Operating Expenses** – Other items not included under any of the categories listed above. Includes supplies, postage, printing/ photocopying, advertising and telephones.
- **Other Expenses** – Includes participant support services, participant payments and the performance component as explained below:
 - **Direct Client Assistance** – Expenses made on behalf of or for items that will be made available to program participants such as: transportation allowances, clothing allowances, food allowances, furniture allowances and employment/education/vocational supplies.
 - **Rental Assistance** – Expenses made on behalf of program participants which must be made directly to third parties such as landlords and utility companies for rental application fees, broker fees, security deposits, last month's rent, utility deposits, utility payments and ongoing monthly rental payments.
 - **Performance-Based Component** – The reimbursement schedule for the Performance-based portion of this contract.
 - 6 and 12-month follow-ups
 - Landlord Incentives:
 - Landlord bonus – up to 15% of the total rent for the lease term, payable upon signing the lease.
 - Security deposit and first three months paid upfront.

- \$5,000 multiple dwelling bonus for landlord commitments of 5 or more units
- Landlord guarantee: should the landlord be forced to evict the tenant for non-payment of the tenant share of rent, the landlord will be reimbursed for losses accrued prior to the date of eviction for the first year of the lease.
- **Administrative OR Indirect Costs** - Administrative expenses OR Indirect costs totaling up to 15% of the contract value may be allocated to this grant.
 - **Indirect costs**- Indirect costs of up to 15% of the grant award are permissible for agencies that have a federally approved indirect cost rate or that have an indirect cost rate established and documented by another method accepted by OTDA. Documentation must be uploaded to SFS. In the absence of documentation establishing an indirect cost rate, grantees must itemize Administrative Expenses (see below).

Any cost that is budgeted completely or partially in an itemized direct cost category may not be part of the budgeted indirect costs. Normally, indirect costs are those that may apply to several programs, areas or functions of the provider agency and are not readily or easily assigned to a specific program.

- **Administrative expenses** - Contractors without an established indirect cost rate may charge administrative expenses of up to 15% of the grant award with an itemized listing of costs. Administrative costs are considered to be non-personal services. Allowable administrative costs are those costs directly related to administering SES. Some examples include the SES portion of associated payroll costs, preparing the program budget and schedule, monitoring program activities, and staff salary/fringe costs related to their percentage of time spent on these tasks. Administrative costs must be itemized.

XI. Selection process

Evaluation Process

Each proposal will be read and scored by at least two reviewers from OTDA. Proposals will be reviewed in accordance with the evaluation criteria referenced below. Scores will be averaged and the averaged scores will be ranked from highest score to lowest score. Proposals to provide services in NYC will be reviewed competitively only with other NYC applications and ROS with other ROS applications.

Regardless of score, OTDA reserves the right to fund or not fund an application based on other relevant information, such as the occurrence of SES funds supplanting existing funds, an applicant's financial position, an applicant's prequalification status in SFS, vendor responsibility determination and the status of the applicant's NYS Office of the Attorney General Charities Registration filing.

OTDA reserves the right to conduct site visits and solicit the opinion of applicants' other funding sources prior to making a funding decision.

Evaluation Criteria

- The responsiveness of the proposal to the RFP (meaning that all information and documentation required by this RFP are provided in a satisfactory manner to determine agency viability and project activities, goals and fundability);
- Evidence of the applicant's understanding of the needs of the ORR eligible homeless population and those at risk of homelessness;

- The programmatic and fiscal feasibility related to the overall management and operation of the project, including the project operating budget, revenue streams and the agency's financial position;
- The completeness of the application questions, required documents and budget portions of the application, through the provision of both statistical data and agency specific information regarding the experiences of the eligible grant applicant in serving the homeless population and the intersection of homelessness and ORR eligible individuals and families;
- The clarity of the measurable and quantifiable expected results and potential for their achievement;
- The overall cost reasonableness and effectiveness of the proposed project;
- Assurances that the requested funds will be expended in a timely manner once a contract has been executed between OTDA and the applicant;
- The applicant's contractual performance history with OTDA or other NYS funding sources (where applicable);
- The applicant's past experience with similar programs, if applicable, that demonstrates the benefits realized as a result of such funding and provides strong justification for the need for SES funding;
- The applicant's standing with NYS (such as compliance with the requirements of the AG Office, Worker's Compensation etc.);
- Assurances of the urgency of need for SES funds, and that duplication of services will be avoided in the geographic area in which the SES program will operate;
- A commitment to make all SES related records available to OTDA or its designee(s) as required by this RFP and any resultant contract;
- Clear and acceptable documentation of the applicant's operational readiness for the proposed project;
- The applicant's demonstrated coordination with the local social services district, the local public shelter system and other stakeholders that serve the ORR-eligible population.

Proposals will be prioritized based on the following criteria:

- Projects fully endorsed by the local social services district as evidenced by a letter of support.
- High priority will be awarded to applicants showing strong evidence of need and demonstrating a program appropriately responsive to the need.
- Projects that demonstrate a clear referral process to employment, case management and other needed services and strong method of outreach.

Regardless of score, OTDA reserves the right to disqualify an application based on other relevant information, such as the occurrence of SES funds supplanting existing funds; an agency's financial position; finding or issues raised by other Government funders; an agency's prequalification status in SFS; vendor responsibility determination and the status of the NYS Office of the Attorney General Charities Registration filing.

The following is provided as the relative weight for each section of the application:

Section of Application	Relative Weight
Application Questions, Required Documents and OTDA Priorities	68%
Budget and Financial Audit	32%

Award Methodology

Proposals will be evaluated on a comparative analysis among proposals received for both NYC and ROS. Proposals will be reviewed and assigned an overall competitive score. Proposals will be funded based upon the application's score and will be subject to the availability of funds. Awarded proposals may not receive the entire requested amount. Projects will be awarded SES funds in descending order, beginning with the highest ranked proposal, until the available funding is exhausted, with the following exceptions:

- Awards may be reduced during the application process or contract term if another source of funding for the activities becomes available, and is deemed appropriate, in which case OTDA may choose to dedicate those funds to other activities at its discretion.
- The lowest awarded proposal may not receive the entire requested amount if there are insufficient funds remaining.
- Awards may be proportionately reduced to ensure the availability of funds statewide.

- Awards may be made, regardless of score, to ensure all areas of the State with a demonstrated need are covered with funding priorities.
- OTDA may consider the applicant's contractual performance history.
- The requested amount of funding may be reduced by ineligible expenses.
- BRS reserves the right to increase an award in order to distribute the entire funding allocation.

Awards may be reduced or increased based on availability of funds, to provide statewide coverage and to address State priorities and needs. OTDA reserves the right to award funds by geographic region to reach underserved areas by funding lower scoring proposals to achieve greater geographic distribution. The geographic distribution of funds will be considered only in the event that an underserved region is identified by OTDA. An underserved region will be determined and substantiated by OTDA with reference to the public shelter system, relevant statistical evidence, and other anecdotal evidence, including the lack of SES-type funds in a geographical region. If awards are made to underserved areas, they will be made on a competitive basis and awards will be strictly based on the overall competitive score of all contractors identified as being able to provide SES services in the identified underserved region. Should this situation arise and OTDA is required to exercise this option, awards will be made to meet the underserved needs of the region without negatively impacting the overall ability of the SES program to provide statewide services.

In the event that two or more proposals are recommended for funding, but receive an overall score which is tied, and funding would be exhausted before an award could be made to each applicant at the requested amount, OTDA will award each applicant a pro-rated portion of the remaining funds based on requested amount and amount available.

Initial contract awards to successful applicants and the corresponding award for the first budget period are the result of this competitive procurement.

If applicable, subsequent budget period awards may be based on one or more of the following factors:

- Available funding;
- State needs and priorities;
- Demographic data; and
- Satisfactory contractor performance, as evidenced by voucher claims and program monitoring.

When making subsequent budget period awards, OTDA reserves the right to do any of the following:

- Reallocate funding from contractor to contractor
- Suspend a budget period award to an underperforming contractor;
- Award a lesser budget period award to an underperforming contractor and reallocate the funds to a satisfactory or over performing contractor(s); or
- Adjust budget period awards to further the State's priorities and needs.

Maintenance of Effort

Funds awarded through SES must be used by a contractor for a new service or a quantifiable increase in the level of service above that provided during the immediately previous 12-month period. This provision prohibits using SES funds to replace existing government or non-profit funding of services. However, once a new or increased level of service meets the above standards, SES funds may be used to continue funding that service in subsequent years.

XII. Award Procedures

It is the policy of OTDA to provide all program applicants with an opportunity to resolve complaints or inquiries related to bid solicitations or pending contract awards administratively. OTDA encourages all Applicants to seek resolution of complaints concerning the contract award process through consultation with OTDA. All such matters will be accorded impartial and timely consideration. Detailed procedures are provided on OTDA website at [Contracts & Grant Opportunities](#). OTDA continues to encourage all successful or unsuccessful applicants who desire a debriefing to contact OTDA directly.

An appeal may be requested by following the protest procedures established by the OSC. These procedures can be found in the [OSC Guide to Financial Operations](#). Go to Chapter XI Procurement and Contract Management, 17. Protest Procedures for further information.

Contract Development Process

OTDA will begin the contract development process with successful applicants when awards are announced. The successful applicants may be asked to provide updated work plans and expenditure-based budgets that specify the services to be delivered, project goals, deliverables, and the claiming process. Successful applicants will be asked to provide current proof of NYS Workers' Compensation and Disability Insurance before the contract is executed. The contract will include standard terms and conditions such as confidentiality of records, publications, and contract termination. The contract will constitute a legal agreement between the awardee and OTDA and will be in effect for the full period of the contract term.

The contracts will have a term of 18-months and will contain work plans reflecting goals for that period.

Payment

The contractor will be reimbursed for eligible expenses as outlined in their contract. For other Outcomes described herein, payment will be made only for Outcomes for which Outcomes are documented and for which vouchers are submitted by the required due date.

No payments will be made until the contract is fully executed and signed by the AG and OSC. Once the contract has been fully executed (signed and approved by OTDA, the AG and the OSC), OTDA may, at its discretion, advance up to 25 percent of the award amount, if requested and if deemed appropriate by OTDA. There will be no advances for subsequent budget periods. Contractors will work at their own risk if they conduct program activities before the contract is executed.

XIII. Reports and Record Keeping

Record Keeping

The contractor must maintain current and accurate fiscal and accounting controls to support the claims for deliverables claimed under the contract. Records must adequately identify revenue sources and expense items for all contract activities. Accounting records must be supported by clear documentation for all funds received and disbursed. Records must be retained and be accessible for a period of six years from the end of the contract or last payment or last contract transaction.

However, if any claim, audit, litigation, or State/Federal investigation is commenced before the expiration of the aforementioned record retention period, the records must be retained by the contractor until all claims or findings regarding the records are finally resolved. OTDA or its designee shall have access to any records relevant to the project (including but not limited to books, documents, photographs, correspondence, and records), for audits, examinations, transcripts, and excerpts. If OTDA determines that such records possess long-term or historic value, they must be transferred, upon request, to OTDA.

If the contractor expends \$750,000 or more in Federal funds during any one fiscal year, the contractor will be subject to the Audit Requirements and provisions of OMB Super Circular, found in Federal regulations at 2 CFR Part 200 (Subparts A – F) - Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards; and, all other audit requirements determined applicable by the OTDA. The audit shall be completed on an annual basis and the audit report submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine months after the end of the audit period, unless a longer period is agreed to in advance by the OTDA. The audit shall be conducted in accordance with generally accepted government auditing standards by an independent auditor and submitted in a form determined by the OTDA. The OTDA will report its findings and any recommendations to the contractor and may impose any sanctions as determined appropriate.

Reporting and Vouchering Requirements

BIN is the required method to be used by contractors to report individual participant data and contract performance, and to prepare claims for payment. The contractor must have sufficient equipment and a system environment to use the BIN system, as follows:

- Desktop or laptop computer(s) with internet access;
- Web browsers Microsoft Edge and Google Chrome. These are free and can be downloaded from their respective websites; and
- Internet service.

The contractor must use BIN and maintain the confidentiality and privacy of data submitted through BIN in conformity with the obligations more fully spelled out in the handbook which can be found [here](#).

An eligible participant's service history with any OTDA contractor will be made available to contractor/subcontractor intake staff to assist in data collection and in determining the potential for payment for service Deliverables for the participant. Individuals who will be authorized to access BIN, or who will otherwise have access to Protected Information, as that term is defined in contract Attachment A-1, will be required to sign the standard Non-Disclosure Agreement (NDA), which is available for review in SFS. Applicants are encouraged to review the Master Contract for Grants, all Attachments thereto, and the NDA prior to submitting a proposal.

Reports and vouchers must be submitted by the contractor on a quarterly basis during the contract term, unless otherwise specified. Payments will be based on vouchers and any necessary documents that support the Deliverables in the expenditure-based budget summary. Additional reporting, as may be determined by OTDA, may also be required.

Monthly, the contractor must generate from BIN voucher forms with the payment claims amount for contractor review and subsequent submission to OTDA for payment. In addition to BIN generated reports, backup documentation must be maintained on site by the contractor and must be accessible for review by OTDA at any time.

BIN generates the Claim for Payment, Financial Claim Report, and Client Roster Report, all of which must be submitted to OTDA on a monthly basis.

Final reports and vouchers, known as "close-out" vouchers, are due within 60 days after the completion of, or termination of, the contract.

BIN provides contractors and subcontractors access to individual participant Application for Services, Family Self-Sufficiency Plan, Individual Service Plan and 6 and 12-month Follow-up screens for the purposes of screening and enrolling applicants, establishing financial targets for employment Outcomes (if applicable), and developing service plans.

Dates of Service in BIN should be consistent with the actual service dates, as noted in the detailed case notes in client case files, as required.

The contractor must enter performance information into BIN as participant Deliverables are achieved. The contractor may review and approve subcontractor's performance information in the BIN system.

Case Files

The contractor must adhere to OTDA instructions regarding case files as stated in the contract and in related OTDA manuals, directives, and other forms of notification. The dates of service recorded in BIN must be consistent with the actual service dates recorded in the case file.

Monitoring

OTDA will monitor contractors on a regular basis throughout the life of the contract. Monitoring may include site visits, regular telephone and email contact, and/or discussions of monthly progress reports. The goals of project monitoring are to determine whether the terms of the contract are being met and to provide technical assistance, where necessary, to help the contractor meet these terms. OTDA reserves the right to conduct site visits and to contact subcontractors via telephone, email, and/or web conference as a means of monitoring the prime contractor's performance.

Monitoring activities will concentrate on proper documentation of claims in the contractor's case files for each participant or service claimed. Contractors are expected to provide services consistent with the goals of this program. OTDA will monitor services provided for enrolled participants to assess the extent to which services provided are necessary and appropriate.

Amendments to the Contract

Amendments and modifications of executed contracts are sometimes necessary to accommodate the needs of both the contractor and OTDA. These changes, which must be by mutual written agreement, may include modification to reimbursement schedules, time and money amendments, or no-cost extensions as necessary. Contract modifications, including amendments and no-cost time extensions, will be made at the discretion of OTDA with the approval of the AG and OSC.

XIV. General Terms and Conditions

This RFP does not commit OTDA to award any contracts or to pay the costs incurred in the preparation of a response to this RFP, or to amend any contract for services.

OTDA reserves the right to amend, modify or withdraw this RFP and to reject any proposals submitted, and may exercise such right at any time without notice and without liability to any applicant or other parties for any expenses incurred in the preparation of a proposal. OTDA reserves the right to accept or reject any or all proposals that do not completely conform to the requirements or instructions given in the RFP, including time frames for submission thereof.

OTDA reserves the right to award contract(s) to as many or as few applicants as it may select.

OTDA reserves the right to conduct contract negotiations with the next responsible bidder, should the agency be unsuccessful in negotiating with the selected bidder.

Submission of a proposal will be deemed to be the consent of the applicant to any inquiry made by OTDA of third parties with regard to the applicant's experience or other matters deemed by OTDA to be relevant to the proposal. OTDA reserves the right to request and consider additional information from any applicant beyond that presented in the initial proposal. The award of the contract, if any, may be made with reliance on additional information requested. Such information may include budget justification, program information, operation details, personnel information, or other funding source information.

OTDA reserves the right to seek clarifications and revisions of proposals and to require clarification at any time during the procurement process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of an offeror's proposal and/or to determine an offeror's compliance with the requirements of the solicitation.

OTDA reserves the right to use proposal information obtained through site visits, management interviews and the State's investigation of a bidder's qualifications, experience, ability or financial standing, and any material or information submitted by the bidder in response to the agency's request for clarifying information in the course of evaluation and/or selection under the RFP. OTDA reserves the right to use any and all ideas submitted in the proposals received. Funds awarded for this project shall be used only for the conduct of the project as approved.

If additional funding becomes available, OTDA reserves the right to redistribute among any or all of the contractors and/or subsequently reconsider eligible proposals submitted in response to this RFP at that time, using the same scoring criteria and award methodology in lieu of releasing a new RFP, if deemed to be in the best interest of the State. Updated information may be requested as deemed necessary by OTDA. OTDA also reserves the right to issue a new RFP to solicit new proposals.

OTDA reserves the right to terminate in whole or in part or modify the contract at its discretion or due to the unavailability of funds. Such termination shall not affect obligations incurred under the contract prior to the effective date of such termination.

When funds are advanced any unexpended balance or funds unaccounted for at the end of the approved period or at the time of termination must be returned.

Any contract awarded pursuant to this RFP will be subject to the Office's processing procedures for contracts of this type, including approval as to form by the State's Attorney General and by the OSC.

It is the policy of OTDA to encourage the employment of qualified applicants/recipients of public assistance by both public organizations and private enterprises that are under contractual agreement with OTDA for the provision of goods and services. OTDA may require the contractor to demonstrate how the contractor has complied or will comply with the aforesaid policy.

Subject to the availability of funds, the contract award will be made to the applicants whose proposals are determined to best meet the criteria for proposal evaluation and selection set forth in this RFP.

OTDA reserves the right to award contract(s) to as many or as few applicants as it may select, and to reject all proposals that do not conform to the requirements of the RFP.

OTDA reserves the right to reject any or all proposals received in response to the RFP. OTDA reserves the right to make an award under the RFP in whole or in part.

This RFP and any contract resulting from this RFP is subject to all applicable laws, rules, regulations, policies, guidance, and programmatic requirements promulgated by any Federal and State authority having jurisdiction over the subject matter thereof.

The contractor will be required to comply with all applicable Federal and State laws, regulations, policies, guidance and programmatic requirements. The contractor must also comply with applicable New York State Executive Orders.

The terms and conditions for all funded projects are specified in a detailed contract which must be signed by OTDA and approved by the AG and the OSC before any work is to begin or payments are made. The successful applicant will be sent the complete standard contract for execution. Before submitting the application, the Applicant is encouraged to review sections of the contract that are available to download from SFS.

The proposal of the successful applicant will serve as the basis for the contract, the terms of which will be modified within the context of this RFP. The following will be incorporated into any contracts resulting from this RFP:

NYS Master Contract for Grants Face Page;

NYS Master Contract for Grants (Terms and Conditions);

Appendix A (Standard Clauses For New York State Contracts)

Attachment A-1 (Agency-specific Terms and Conditions);

Attachment A-2 (Program-specific Terms and Conditions);

Attachment A-3 (Federally Funded Grants and Requirements Mandated by Federal Laws);

Attachment B-1 (Expenditure-Based Budget);

Attachment C (Work Plan); and

Attachment D (Payment and Reporting Schedule).

Applicants must review the Attachments, as successful applicants will be expected to comply with the terms and conditions specified therein. These Attachments will become a part of any contract that is developed with successful applicants as a result of this RFP.

All plans and working documents prepared by the applicant under the contract to be awarded will become the property of the State of New York. OTDA reserves the right to use any and all ideas submitted in the proposals received.

All products, deliverable items and working papers resulting from this contract will be the sole property of OTDA and the applicant is prohibited from releasing these documents to any persons other than the

Commissioner of the Office of Temporary and Disability Assistance or their designee unless authorized by OTDA to do so.

All reports of investigations, studies and publications made as a result of this proposal must acknowledge the support provided by OTDA.

All protected information, as that term is defined in Attachment A-1, concerning eligible participants served or studies conducted under the project are confidential and such information may not be disclosed to unauthorized persons, corporations, or agencies.

OTDA reserves a royalty free non-exclusive license to use and to authorize others to use all copyrighted material resulting from this project.

Successful applicants will be subject to the State's prompt contracting law.

The proposal shall be signed by an official authorized to bind the applicant and shall contain a statement to the effect that the proposal is a firm offer for a 180-day period. The proposal shall also provide the name, title, address, telephone number and area code of individuals with authority to negotiate and contractually bind the corporation or municipality and who may be contacted during the period of proposal evaluation.

XV. Participation Opportunities For New York State Certified Service-Disabled Veteran-Owned Businesses

Article 17-B of the New York State Executive Law provides for more meaningful participation in public procurement by certified Service-Disabled Veteran-Owned Businesses ("SDVOBs"), thereby further integrating such businesses into New York State's economy. The OTDA recognizes the need to promote the employment of service-disabled veterans and to ensure that certified service-disabled veteran-owned businesses have opportunities for maximum feasible participation in the performance of OTDA contracts.

In recognition of the service and sacrifices made by service-disabled veterans and in recognition of their economic activity in doing business in New York State, bidders/contractors are strongly encouraged and expected to consider SDVOBs in the fulfillment of the requirements of the contract. Such participation may be as subcontractors or suppliers, as protégés, or in other partnering or supporting roles.

For purposes of this procurement, OTDA conducted a comprehensive search and determined that the contract does not offer sufficient opportunities to set specific goals for participation by SDVOBs as subcontractors, service providers, and suppliers to contractor. Nevertheless, bidder/contractor is encouraged to make good faith efforts to promote and assist in the participation of SDVOBs on the contract for the provision of services and materials. The directory of New York State Certified SDVOBs can be viewed [here](#).

Bidder/Contractor is encouraged to contact the Office of General Services' Division of Service-Disabled Veteran's Business Development at 518-474-2015 or VeteransDevelopment@ogs.ny.gov to discuss methods of maximizing participation by SDVOBs on the Contract.

XVI. Executive Order No. 190: Incorporating Health Across All Policies into State Agency Activities

Per Executive Order 190, this RFP incorporates the New York State Prevention Agenda and the World Health Organization (WHO) Eight Domains of Livability to further the Health Across All Policies initiative.

The New York State Prevention Agenda is the blueprint for action to improve the health of New Yorkers and become the healthiest state for people of all ages. The five priority areas of the New York State Prevention Agenda are:

- Preventing Chronic Diseases
- Promoting a Healthy and Safe Environment
- Promoting Healthy Women, Infants and Children
- Promoting Well-Being and Preventing Mental Health and Substance Use Disorders
- Preventing Communicable Diseases

The WHO Eight Domains of Livability include:

- Outdoor Spaces and Buildings
 - Providing safe, accessible places for the public to gather indoors and out. Ensuring that parks, sidewalks, safe streets, outdoor seating, and accessible buildings can be used and enjoyed by people of all ages.
- Transportation
 - Increasing the accessibility, availability, and affordability of public transit options, as well as ensuring safe roadways.
- Housing
 - Expanding affordable housing options for varying life stages, and enacting programs that help people remain in their homes longer to age in place.
- Social Participation
 - Increasing access to affordable and community-based social activities can help address loneliness and isolation.
- Respect and Social Inclusion
 - Increasing the availability of intergenerational activities and programs.
- Civic Participation and Employment
 - Provide ways that all people, including older people, can, if they choose to, work for pay, volunteer their skills, and be actively engaged in community life.
- Communication and Information
 - Providing information through a variety of means and in a culturally competent manner, recognizing that not everyone has a smartphone or internet access.
- Community and Health Services
 - Ensuring accessible and affordable health services in every community.

The Health Across All Policies initiative is a collaborative approach that integrates health considerations into policymaking across all sectors to improve community health and wellness. To successfully improve the health of all communities, health improvement strategies must target social determinants of health and other complex factors that are often the responsibility of non-health partners such as housing, transportation, education, environment, parks, and economic development.

Consistent with Executive Order 190, where requested in this RFP, applicants must describe how their proposals can improve community health and wellness through alignment and coordination with the New York State Prevention Agenda priorities and the WHO Eight Domains of Livability.

XVII. Contractor Requirements and Procedures for Business Participation Opportunities for New York State Certified Minority- and Women-Owned Business Enterprises and Equal Employment Opportunities for Minority Group Members and Women

Pursuant to New York State Executive Law Article 15-A and Parts 140-145 of Title 5 of the New York Codes, Rules and Regulations OTDA is required to promote opportunities for the maximum feasible participation of New York State-certified Minority and Women-owned Business Enterprises ("MWBEs") and the employment of minority group members and women in the performance of OTDA contracts.

Business Participation Opportunities for MWBEs

OTDA hereby establishes an overall 30% M/WBE participation goal, and specific participation goals for both New York State-certified Minority-owned Business Enterprises ("MBE") and New York State-certified Women-owned Business Enterprises ("WBE") will be assessed based on the nonprofit's discretionary spending budget and participation opportunities therein. A contractor ("contractor") on any contract resulting from this procurement ("Contract") must document its good faith efforts to provide meaningful participation by MWBEs as subcontractors and suppliers in the performance of the contract. To that end, by submitting a response to this RFP, the respondent agrees that OTDA may withhold payment pursuant to any contract awarded as a result of this RFP pending receipt of the required MWBE documentation. The directory of MWBEs can be viewed [here](#). For guidance on how OTDA will evaluate a contractor's "good faith efforts," refer to 5 NYCRR § 142.8.

The respondent understands that only sums paid to MWBEs for the performance of a commercially useful function, as that term is defined in 5 NYCRR § 140.1, may be applied towards the achievement of the applicable MWBE participation goal. [FOR CONSTRUCTION CONTRACTS – The portion of a contract with an MWBE serving as a supplier that shall be deemed to represent the commercially useful function performed by the MWBE shall be 60 percent of the total value of the contract. The portion of a contract with an MWBE serving as a broker that shall be deemed to represent the commercially useful function performed by the MWBE shall be the monetary value for fees, or the markup percentage, charged by the MWBE]. [FOR ALL OTHER CONTRACTS - The portion of a contract with an MWBE serving as a broker that shall be deemed to represent the commercially useful function performed by the MWBE shall be 25 percent of the total value of the contract]

In accordance with 5 NYCRR § 142.13, the respondent further acknowledges that if it is found to have willfully and intentionally failed to comply with the MWBE participation goals set forth in a Contract resulting from this RFP, such finding constitutes a breach of contract and OTDA may withhold payment as liquidated damages.

Such liquidated damages shall be calculated as an amount equaling the difference between: (1) all sums identified for payment to MWBEs had the Contractor achieved the contractual MWBE goals; and (2) all sums actually paid to MWBEs for work performed or materials supplied under the Contract.

By submitting a bid or proposal, a respondent agrees to demonstrate its good faith efforts to achieve the applicable MWBE participation goals by submitting evidence thereof through the New York State Contract System (“NYSCS”), which can be viewed [here](#), provided, however, that a respondent may arrange to provide such evidence via a non-electronic method by contacting the Contract’s program manager at OTDA.

Additionally, a respondent will be required to submit the following documents and information as evidence of compliance with the foregoing:

- An MWBE Utilization Plan with their bid or proposal. Any modifications or changes to an accepted MWBE Utilization Plan after the Contract award and during the term of the Contract must be reported on a revised MWBE Utilization Plan and submitted to OTDA for review and approval. OTDA will review the submitted MWBE Utilization Plan and advise the respondent of OTDA acceptance or issue a notice of deficiency within 30 days of receipt.
- If a notice of deficiency is issued, the respondent will be required to respond to the notice of deficiency within seven (7) business days of receipt by submitting to the OTDA a written remedy in response to the notice of deficiency. If the written remedy that is submitted is not timely or is found by OTDA to be inadequate, OTDA shall notify the respondent and direct the respondent to submit, within five (5) business days, a request for a partial or total waiver of MWBE participation goals. Failure to file the waiver form in a timely manner may be grounds for disqualification of the bid or proposal.

OTDA may disqualify a respondent as being non-responsive under the following circumstances:

- If a respondent fails to submit an MWBE Utilization Plan;
- If a respondent fails to submit a written remedy to a notice of deficiency;
- If a respondent fails to submit a request for waiver; or
- If OTDA determines that the respondent has failed to document good faith efforts.

The successful respondent will be required to attempt to utilize, in good faith, any MBE or WBE identified within its MWBE Utilization Plan, during the performance of the Contract. Requests for a partial or total waiver of established goal requirements made subsequent to Contract Award may be made at any time during the term of the Contract to OTDA, but must be made no later than prior to the submission of a request for final payment on the Contract.

The successful respondent will be required to submit a quarterly M/WBE Contractor Compliance & Payment Report to OTDA, by the 8th day following each end of quarter over the term of the Contract documenting the progress made toward achievement of the MWBE goals of the Contract.

Equal Employment Opportunity Requirements

By submission of a bid or proposal in response to this solicitation, the respondent agrees with all of the terms and conditions of [Appendix A – Standard Clauses for All New York State Contracts including Clause 12 - Equal Employment Opportunities for Minorities and Women OR Authority equivalent to Appendix A]. The respondent is required to ensure that it and any subcontractors awarded a subcontract for the construction, demolition, replacement, major repair, renovation, planning or design of real property and improvements thereon (the "Work"), except where the Work is for the beneficial use of the respondent, undertake or continue programs to ensure that minority group members and women are afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status. For these purposes, equal opportunity shall apply in the areas of recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff, termination, and rates of pay or other forms of compensation. This requirement does not apply to: (i) work, goods, or services unrelated to the Contract; or (ii) employment outside New York State.

The respondent will be required to submit a Minority and Women-owned Business Enterprise and Equal Employment Opportunity Policy Statement, Form OTDA-4970, to OTDA with its bid or proposal.

If awarded a Contract, respondent shall submit a Workforce Utilization Report, Form OTDA-4971, and shall require each of its Subcontractors to submit a Workforce Utilization Report, in such format as shall be required by OTDA on a QUARTERLY basis during the term of the Contract.

Further, pursuant to Article 15 of the Executive Law (the "Human Rights Law"), all other State and Federal statutory and constitutional non-discrimination provisions, the contractor and subcontractors will not discriminate against any employee or applicant for employment because of race, creed (religion), color, sex, national origin, sexual orientation, military status, age, disability, predisposing genetic characteristic, marital status or domestic violence victim status, and shall also follow the requirements of the Human Rights Law with regard to non-discrimination on the basis of prior criminal conviction and prior arrest.

Please Note: Failure to comply with the foregoing requirements may result in a finding of non-responsiveness, non-responsibility and/or a breach of the Contract, leading to the withholding of funds, suspension or termination of the Contract or such other actions or enforcement proceedings as allowed by the Contract.

PART B – Instructions for Completing the Application in the Statewide Financial System

Please read Part A of the Request for Proposals carefully before completing the application. The entire Shelter Exit Services application must be submitted in SFS. Read and follow all instructions while completing the screens in SFS. In SFS, the application is often referred to as the “bid response.”

I. Searching for the Bid Event in SFS

For more detailed instructions please refer to the section Respond to Bid Event Expenditure Budget Types in the [SFS Handbook: Grantee Processing in SFS \(Grantee User Manual\)](#) for additional detailed instructions on responding to bid events and completing the application:

- Log into the [SFS Vendor Portal](#).
- Click the “Grant Management” tile.
- Click the “Bid Event Search” tile.
- Select the “Search by Status” field drop-down list, click “Available” from the list and click the “Search” button.
- Select the appropriate Grant Opportunity and then click the “Bid on Event” button.
- From the Event Details page you may review the Event Start, Event End Date, Estimated Award Date and Anticipated Contract Date fields.
- Click the “Additional Bid Info” link and review the Additional Bid Info, then click “OK” to return to the Event Details page.
- Select the “Events Comments and Attachments” link, located at the bottom of the page to view any instructions, attachments and/or comments. You may need to scroll to see this link.

II. Attachments

***Be sure to download, complete and upload all of the required attachments. SFS will not alert you if you forget an upload. All uploads must be in a non-fillable Adobe PDF file format.**

- Click on the “Events Comments and Attachments” link at the bottom of the screen and you will then see a list of all the required attachments. The list of required attachments is also in Part C of this RFP. Click the “View” button to view and download attachments as necessary.
- Click the “OK” button after finishing viewing/downloading the instructions, attachments and comments.

III. Questions

- Use the scrollbar to navigate to the Step 1: Answer General Event Questions section and enter the appropriate information for each question.
- Click the “Site/Project Address” link and enter the appropriate address details. When you have finished entering address details click the “OK” button. The Site/Project Address is where the grant will be used, or funds will be spent.
- Next you will review and respond to Event Questions and upload appropriate documents where prompted. Those that are flagged as Required (*) must be responded to in order to submit a bid response. The ability to add a Comment/Attachment will vary based on the question.

- Click the “Save for Later” button.
- In the resulting popup, click the “OK” button to save your progress.

IV. Budget

Complete the budget screens based on your previously completed Expenditure-Based Budget Worksheet. The total grant funds requested should be for the 18-month contract term. Only use whole dollar amounts for funds requested.

- Scroll to the bottom of the page. Under the Lines section, click the “Period Details - 1” link under the Period column to access budget and work plan information.
- Click the “Budget Properties” link.
- Review the Budget Header Information. This section was completed by OTDA/BRS.
- Review the Budget Category Properties section (including Narrative), noting which rows have “Available in Grant” checked. This section was completed by OTDA/BRS to help the applicant understand which Budget Category requires a response.
- Scroll down to the Period Budget Summary section and click on the “Category Details” icon on the right side to enter details for each budget category. Complete all text boxes except Match Funds and Other Funds. The Total Funds will appear automatically based on your entry in the Grant Funds column. To add another expenditure row, click the ‘+’ on the right side of the screen. In the Narrative field provide additional details about each expenditure row.
- For Salary, include the Position/Title for all employees that will be paid in full or in part from contract funds.
- Click ‘Ok’ and then click ‘Save’ to ensure that your changes are saved.
- Click on the “Category Details” icon for each additional budget category (Fringe, Contractual, Travel, Equipment, Space/Property and Utilities, Operating Expenses, Other Expenses) and repeat the previous steps as needed.
- The Other Expenses category should include the following budget lines, if applicable:
 - 6 and 12-month follow-ups
 - Direct Client Assistance
 - Rental Assistance
 - Landlord Incentives – Landlord Bonus
 - Landlord Incentives – Security Deposit and First Three Months’ Rent
 - Landlord Incentives – \$5000 Multiple Dwelling Bonus
 - Landlord Incentives – Landlord Guarantee
 - Administrative OR Indirect Costs.
- Click ‘Ok’ and then click ‘Save’ to ensure that your changes are saved.
- Click the “Back” button.
- Click the “Work Plan Properties” link.

V. Work Plan

All tasks an applicant proposes to provide must be described in the Work Plan. The Work Plan is composed of the Project Summary section and the Objectives >> Tasks >> Performance Measures section.

- The Project Summary should describe Organizational Capacity and be a High-level Overview of the project.
- After completing the Project Summary scroll down and click save.

In the Objectives >> Tasks >> Performance Measures section, Grant funds for personal and non-personal services may be used to permit staff to provide services within the following eligible categories:

- Assessment and Enrollment
 - Assess immigration documentation to determine eligibility
 - Complete an OTDA/BRS Application for Services
 - Complete an OTDA/BRS Family Self-Sufficiency Plan (FSSP)
- Locate affordable housing
- Coordinate lease signing and payments to landlords
- Conduct habitability inspections
- Coordinate the physical relocation of the household
- Provide Rental Assistance
- Provide Financial Assistance
- Provide Relocation Assistance
- 6 and 12-month Follow-up Reports

Each service category is an Objective and you may add Tasks to them as you see fit (the Assessment and Enrollment Objective has three pre-defined Tasks). To create a corresponding Task below an Objective, click on the green “+ Task” button at the bottom left of the screen. Once you have created the Task line, define in sufficient detail the method of service delivery (who, what, when, where, how). If you create a Performance Measure, be sure to click the More Details tab and select the Text/Comment option for Performance Measure Response Type.

- When you have added descriptions for all Tasks and Performance Measures click the “Save” button.
- Click the “Back” button.
- Click the “Return to Bid Response” link.
- Enter in the Your Unit Bid Price field the total Grant Funds Requested amount for the period in order to submit the bid response.
- When you are ready to submit your bid response, click the “Submit Bid” button.
- In the resulting popup, click the “Yes” button to confirm you would like to submit the bid.

PART C – List of Forms to Upload

Upload all required forms in the places designated throughout the application. All forms must be uploaded as a non-fillable PDF. OTDA will not accept other formats.

- **Expenditure-Based Budget Worksheet**
 - Fill in the appropriate budget values into the highlighted cells. Convert to a PDF and upload with the application.
- **General Information Form**
 - Complete all applicable sections and upload with the application.
- **Agency Organizational Chart**
 - Upload your agency's organizational chart to show where SES is located.
- **Key Personnel Profile**
 - Upload a chart that depicts the staff involved with the project. For each staff member listed, include the person's name and job title, the responsibilities of the person, the required qualification for the position, the name and title of the supervisor, and the full time equivalent (FTE) of the person's position.
- **Letter of Support from the local social services district**
 - The letter of support must indicate the district will facilitate identification and engagement of eligible individuals.
- **Documentation establishing agency's indirect cost rate (if applicable)**
 - Upload your agency's documentation of federally approved indirect cost rate or indirect cost rate established and documented by another method accepted by OTDA.
- **Agency Agreement Form**
 - Sign, complete and upload with the application.
- **Subcontractor and Supplier Identification Form**
 - Complete all applicable sections and upload with the application.
- **OTDA 4934 Equal Employment Opportunity Staffing Plan**
 - Complete all applicable sections and upload with the application.
- **OTDA 4937 MWBE Utilization Plan**
 - Complete all applicable sections and upload with the application.
- **OTDA 4938 M/WBE Letter of Intent to Participate**
 - Sign, complete all applicable sections and upload with the application
- **OTDA 4970 M/WBE and EEO Policy Statement**
 - Complete all applicable sections and upload with the application.
- **OTDA 4976 MWBE Certification of Good Faith Efforts**
 - Sign, complete and upload with the application.
- **EO 177 Certification**
 - Sign, complete and upload with the application.
- **EO 16 Certification**
 - Sign, complete and upload with application
- **Non-Collusive Bidding Certification**
 - Sign, complete and upload with the application.
- **Offeror's Acknowledgment of Understanding of Post-Employment Provisions**
 - Sign, complete and upload with the application.
- **Offeror's Assurance of No Conflict of Interest or Detrimental Effect**
 - Sign, complete and upload with the application.
- **Sexual Harassment Prevention Certification**
 - Sign, complete and upload with the application.

Applicants are required to complete the **New York State Vendor Responsibility Questionnaire Not-For-Profit Business Entity**, but it is not a required upload in SFS. Instructions on how to complete and file the Questionnaire can be found on the [VendRep website](#).

The [SFS Handbook: Grantee Processing in SFS \(Grantee User Manual\)](#) can also be found in the SFS Coach.

The **Confidentiality/Non-Disclosure Agreement** is not a required upload in SFS. Upon award and approval of a resulting contract, it will be required to be signed by each of the contractor's staff who have access to OTDA information. The contractor would keep the signed forms on file and would need to produce them upon request.

PART D – Printed Version of Program Specific Questions

Program Specific Questions

Instructions: Please answer all Program Specific Questions, convert to a PDF and upload with the application in SFS.

Project Title – Shelter Exit Services

1. Provide the service area, city(ies) and county(ies). If multiple counties are served, how much funding will be directed toward each county.
2. Provide a high-level overview of the project. Include target population(s), anticipated number of eligible participants to be served, and the SES services to be provided. Describe service delivery, general goals and outcomes of the project. Include hours of operation and location of services.
3. Provide a brief overview and history of your agency. Include your agency's experience in serving the target population(s) and how you will utilize your current expertise and capacity to implement and support the services required by SES.
4. Describe your agency's experience in locating available, affordable permanent housing units and working with landlords/property owners.
5. Describe your agency's established relationships with the local Resettlement Agency, local social services districts and other agencies or service providers in the community and detail what specific resources eligible participants will gain through these relationships.
6. Describe other programs or services that your agency operates and how they will be used to enhance the effectiveness of the proposed program.
7. Describe how your service strategy can improve community health and wellness and align or coordinate with applicable New York State Prevention Agenda Priorities and the World Health Organization Eight Domains of Livability, consistent with Executive Order 190.
8. Describe in detail your agency staff's language capacity and cultural competency, and detail how services will be provided by agency staff in a culturally and linguistically appropriate manner.
9. Describe how your staff will assist members of the eligible target population for this funding for whom the agency has no language capacity.
10. How will duplication of efforts for the same population and activities be avoided? How will you ensure participants are not enrolled in Match Grant or rental assistance from another RSS-funded program?
11. Describe barriers the target population faces which precipitate a need for SES assistance.
12. Describe in detail how the services provided by your agency will meet the special needs and unique circumstances of the eligible target population for this funding, including how your agency proposes to address barriers to accessing services and information.
13. Describe the intake and assessment process when a participant enters the program.
14. Discuss what supportive services will be available and how they will assist participants with housing stability and independent living? Describe the method for making referrals to those services.
15. Explain requirements or expectations you have for participants while in the program.
16. Describe discharge planning from the program. What strategies are used to ensure participants will remain in stable permanent housing?
17. How will it be determined that a potential participant is eligible for the program?
18. Discuss what supportive services will be available and the process for referrals. Discuss how the services will assist participants with housing stability and independent living?
19. Discuss the average length of engagement for program participants.

20. Under what circumstances would participants be terminated (asked to leave) from the program? Describe procedures for handling terminations.
21. Six and twelve-month follow-ups are required even if the participant has left the program. How will your program successfully perform the follow-ups?
22. What percentage of all participants do you estimate will still be in permanent housing at the six and twelve-month follow-ups and why?
23. What are the strengths of your program considering the eligible population(s)?
24. What challenges has your program been working to overcome and how? If this is a new program, what challenges do you anticipate and how will you work to overcome?
25. In the past five years, has your agency or program been audited or reviewed by government agencies? If so, which ones and what were the results? Describe how any negative findings were resolved.
26. Detail your service strategy for locating affordable housing for program participants, defining in sufficient detail the service delivery method (Who? What? When? Where? How?).
27. Detail your service strategy for coordinating lease signing and payments to landlords, defining in sufficient detail the service delivery method (Who? What? When? Where? How?).
28. Detail your service strategy for conducting habitability inspections, defining in sufficient detail the service delivery method (Who? What? When? Where? How?).
29. Detail your service strategy for coordinating the physical relocation of households, defining in sufficient detail the service delivery method (Who? What? When? Where? How?).
30. Detail your service strategy for providing rental assistance, defining in sufficient detail the service delivery method (Who? What? When? Where? How?).
31. Detail your service strategy for providing rental assistance, financial assistance and other relocation assistance services, defining in sufficient detail the service delivery method (Who? What? When? Where? How?).
32. Detail how your agency will proactively monitor program goals on a regular basis, defining in sufficient detail the service delivery method (Who? What? When? Where? How?).
33. Detail your agency's process for holding regular internal meetings with staff to review refugee needs and your agency's capacity to meet them so that service delivery remains current and effective, defining in sufficient detail the service delivery method (Who? What? When? Where? How?).
34. Detail how your agency will perform data entry of all participant services into the BRS Information Network (BIN) system and also document them in client case files, defining in sufficient detail the service delivery method (Who? What? When? Where? How?).
35. Detail how your agency will submit quarterly vouchers on a timely basis, defining in sufficient detail the service delivery method (Who? What? When? Where? How?).
36. Detail how your agency will review participant files on a timely basis to ensure proper documentation, defining in sufficient detail the service delivery method (Who? What? When? Where? How?).