



# Empire State Supportive Housing Initiative

## Inter-Agency Service and Operating Funding Opportunity Request for Proposals

2019

Department  
of Health

Homes and  
Community  
Renewal

Office of Alcoholism  
and Substance Abuse  
Services

Office of Children  
and Family  
Services

Office of Mental  
Health

Office for the  
Prevention of  
Domestic Violence

Office of Temporary  
and Disability  
Assistance

Office for People With  
Developmental  
Disabilities

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# **Empire State Supportive Housing Initiative (ESSHI)**

## **Inter-Agency Service and Operating Funding Opportunity**

### **Request for Proposals**

## **SECTION 1: Introduction**

New York has led the nation in affordable housing preservation and construction. The State Fiscal Year 2019-20 Enacted Budget continues funding to advance Governor Cuomo's \$20 billion comprehensive, five-year plan for affordable and supportive housing to ensure New Yorkers have access to safe and secure housing. The State has committed this funding in order to create or preserve over 100,000 affordable and at least 6,000 supportive housing units.

New York will invest a portion of these resources to specifically address vulnerable populations experiencing homelessness. To ensure the maximum benefit of this investment, the State will utilize the existing federal Department of Housing and Urban Development (HUD) Continuum of Care (CoC) model that engages localities and not-for-profit (NFP) providers in developing and implementing data-driven strategies to address homelessness in specific populations such as victims of domestic violence, runaway and homeless youth and formerly incarcerated individuals (see Section 1.4 for full list of eligible target populations). The State intends to develop a total of 20,000 units over the next 15 years. As such, the State is issuing this Request for Proposals (RFP) to advance the five-year goal of developing at least 6,000 units of supportive housing over five years for persons identified as homeless with special needs, conditions or other life challenges.

Each applicant will be required to demonstrate that their proposal is consistent with their most recent HUD CoC data or other local data and have the support of their local CoC or local planning entity. Support from the local CoC or local planning entity does not need to be site specific. However, the support letter should indicate the need for and support of a project serving the proposed population within the CoC's jurisdiction. CoCs or local planning entities are not expected to prioritize proposals.

Applicants should demonstrate how the proposal meets the gap that is identified in the CoC report or other local data, where available. For those populations not typically included in the CoC, the proposal should demonstrate involvement with local levels of planning to ensure that necessary local engagement processes have been completed, and may include supplemental local, state, and/or federal data.

Sixty percent of the scoring of this RFP will be assigned based upon how the proposal addresses locally specific needs. Cost effectiveness and readiness comprise the balance of the elements on which the scoring will be based.

The State has continuously assessed the breakdown of units awarded by region of the state and special needs group they are serving to ensure that awards are being disbursed according to areas and groups with greatest need. Based on this assessment, this year's RFP will introduce a system of categories of populations to best meet the objectives outlined in this RFP and the State's overall supportive housing goals.

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## **Supportive Housing**

Part of New York State's Housing Plan includes an investment of new supportive housing resources and services to address vulnerable populations experiencing homelessness. Therefore, the availability of and access to various support services such as employment and training opportunities, parenting education, counseling, independent living skills training, primary healthcare, substance use disorder treatment and mental health care, child care, and benefits advocacy are critical components of any project funded under this plan. The support services provided should be tailored and appropriate to the specific population to be served (e.g., safety planning for victims of domestic violence, treatment for a substance use disorder, etc.).

Services should be appropriate to a supportive housing model. A policy of harm-reduction is expected. All services should be voluntary and there should be no requirements that a tenant be drug or alcohol free before renting, or while renting, a unit. Drug/alcohol testing is not acceptable. ESSHI projects are expected to follow a Housing First model (see glossary), which has been shown to be an effective approach to reducing chronic homelessness, as well as reducing barriers to permanent supportive housing.

Staff should have the skills, qualifications and experience necessary to help the head of household set meaningful goals and make progress toward achieving them. The services can be provided on- or off-site (or a combination of both), and either directly by the applicant or through partnerships with other community-based agencies (or a combination of both).

Note that this initiative focuses only on permanent supportive housing as defined in the attached glossary. Transitional and emergency housing beds are not eligible.

## **Service and Operating Funding Process**

The following describes the focused, transparent and accountable approach that the State will take in allocating the services and operating funds so that the State's health and human services providers receive the assistance they need to house the vulnerable populations they serve.

The New York State Office of Mental Health (OMH) will serve as the lead procurement agency for this RFP under the guidance of the ESSHI Interagency Workgroup (the "Workgroup"). Although the OMH is the lead, proposals accepted through this RFP opportunity do not have to be for services to persons with mental illness but should address the range of needs of the populations served by the following agencies. The Workgroup includes representatives from several State agencies including:

- Department of Health (DOH) including the AIDS Institute;
- New York State Homes and Community Renewal (HCR);
- Office of Alcoholism and Substance Abuse Services (OASAS);
- Office of Children and Family Services (OCFS);
- Office of Mental Health (OMH);
- Office for the Prevention of Domestic Violence (OPDV);
- Office of Temporary and Disability Assistance (OTDA); and
- Office for People with Developmental Disabilities (OPWDD).

Funding for at least 1,200 qualifying individuals will be awarded through this fourth-round RFP. There is no minimum or maximum number of units that applicants may apply for.

For purposes of the ESSHI RFP, “qualifying individual” has the same meaning as “unit,” as in unit of cost. Projects may receive up to \$25,000 per qualifying individual/unit. For example, a two-bedroom apartment may serve one “qualifying individual” living with a partner or children. For certain populations, a two-bedroom apartment may serve two “qualifying individuals”. In either scenario, \$25,000 is the maximum request for each qualifying individual. So, the first example would qualify for up to \$25,000 of ESSHI funds and the second example, up to \$50,000. Note that the term “unit” with respect to permanent supportive housing funded under NYS capital programs continues to refer to a distinct, physical dwelling unit. Note further that certain agencies, such as OASAS and OPDV do not allow multiple qualifying individuals in the same dwelling unit. Similarly, it is the expectation of HCR that each qualifying individual would occupy a single housing unit. The terms “application(s)” and “proposal(s)” are used interchangeably throughout this RFP

### **Time Frame for Securing Capital Financing:**

Linking capital projects with the needed service and operating funding is a stated objective of this RFP. Therefore, applicants are expected to secure capital funding sufficient to fully finance the housing project for which they are requesting ESSHI funding through this RFP within 12 months from the date of the ESSHI conditional funding award. “Securing” of a capital award can be demonstrated by submission of an award letter or evidence of a decision by a granting agency (e.g. HHAC, HTFC, HFA). If after 12 months from the date of the conditional service and operating funding award, the applicant has not successfully secured commitments for the capital financing necessary for the project, the conditional ESSHI award will expire. Any uncommitted award amounts may be added to the pool of available funding and made available in accordance with the terms of this RFP.

Applicants who received a conditional award in 2018 and are unable to secure 100% of the capital for the project by September 2019 should consider reapplying if ESSHI funds are still contemplated for the project. Please note a prior conditional award does not guarantee a new conditional award resulting from this solicitation.

In the event a capital award is rescinded, any ESSHI award made available through this RFP would also then be rescinded. If the ESSHI award is rescinded, the applicant will be notified in writing of this decision and informed of the ability to reapply during the next RFP opportunity. Any applicant that fails to obtain capital within the 12-month time frame, resulting in the expiration of its conditional ESSHI award, will also be eligible to re-apply for service and operating funding during subsequent RFP opportunities.

### **Extensions of Conditional Awards:**

The Workgroup has the option to provide extensions beyond 12 months from the date of the conditional service and operating funding award. Upon request, extensions may be granted under the following circumstances:

- If the opportunity for application to an uncommitted capital financing source was not available during the 12-month period, or
- If the application is still pending consideration by the capital funder at the time the

conditional award would otherwise expire.

The Workgroup reserves the right to establish the time frame for such extensions, and to grant extensions for other unforeseen reasons at its discretion to achieve the objectives of the State's overall Housing Plan for supportive housing.

### **Capital Funding**

No capital funds are available through this RFP. The intent of this RFP is to provide the service and operating funding needed to operate the permanent supportive housing units in an integrated setting that will be developed through capital funding made available through capital funding mechanisms. For those projects that may need capital resources, the separate funding mechanisms include, but are not limited to: Homeless Housing and Assistance Program (HHAP), New York State Homes and Community Renewal (HCR), other acceptable governmental agencies, private sources, or partnering, whenever possible, with a project developer that has secured or is in the process of securing capital funding. The applicant should clearly state the status and sources of any capital funding that the applicant or the project developer is in the process of securing. Separate capital funding mechanisms from New York State agencies that are available at this time or are anticipated to support this RFP are described below for your information. Note that if capital funding has already been secured for the proposed project in the ESSHI application, the ESSHI applicant is expected to notify capital funding agencies of their intention to apply for ESSHI. Failure to properly notify capital funding agencies of the intention to apply for ESSHI may result in the rescinding of the ESSHI award.

Any modification from the original awarded proposal is subject to review and approval of the Workgroup.

### **Capital Funding Available from HCR**

Applicants that plan on applying to HCR for capital financing will have opportunities to do so after receiving a conditional award under this RFP. Applicants seeking NYS Housing Finance Agency (HFA) bond financing will be able to apply for capital funding through HFA at the same time. Applicants seeking HCR 9% Low Income Housing Tax Credit (LIHTC) financing will be able to apply for capital funding through the 2019 Unified Funding Round. Information and application instructions are available at <http://www.nyshcr.org/Funding/>.

All HCR funding is subject to various requirements associated with financing including but, not limited to, the State Environmental Quality Review Act (SEQRA); State and Federal Fair Housing laws; relevant board approvals; program requirements; applicable provisions of the Federal and State Tax Code, such as income requirements, the limitation of one qualifying individual to the same dwelling unit, occupancy and lease requirements; and satisfaction of all conditions of NYS HCR.

### **Capital Funding Available from OTDA**

Applicants to this RFP may also be eligible to apply for capital funding through HHAP. HHAP is administered through an open-ended RFP, meaning proposals are accepted for consideration on a

continuous basis until it is determined that funds are no longer available for award. The HHAP RFP specifically prioritizes projects to be developed in conjunction with ESSHI. Applicants considering applying for funding through HHAP should visit <https://otda.ny.gov/contracts/> for additional information and to verify that OTDA is accepting applications. Applicants are encouraged to submit a concept paper for feedback prior to submitting a full application. Note that projects that have received an HHAP award reservation, but have not closed on financing, are eligible to apply under this RFP.

### **Capital Funding Available from OPWDD**

For ESSHI applicants proposing to serve people with an intellectual/developmental disability and intending to seek capital funding through HCR (i.e., Unified Funding or Tax Exempt Bond Financing) an OPWDD capital award is required. Applicants interested in applying for OPWDD capital funding should contact OPWDD's Office of Home and Community Living at 518-473-1973 with any questions, or to request a copy of the OPWDD capital award application.

### **Predevelopment and Program Development Grant Funding Available from OMH**

For NFP providers/developers that are proposing to serve individuals with a Serious Mental Illness it is anticipated that there will be predevelopment capital funds available through OMH. Applicants who have received a conditional service and operating award and are in need of predevelopment funds will be eligible to apply to OMH for the predevelopment capital funding as available. This funding will be in the form of a construction grant that will need to be repaid as part of the permanent financing structure contingent upon availability of these resources as identified in Governor Cuomo's Enacted Budget. A separate contract for predevelopment funds would be required with OMH. The start date would be determined based on the timing of the earliest conditional ESSHI award for the project.

In addition, OMH will provide Program Development Grant ("PDG") funds to projects that are proposing to serve individuals with a Serious Mental Illness ("SMI"). PDG provides funding for start-up costs such as furniture, essentials, and staff training. Only ESSHI units specifically designated within an application for individuals with an SMI are eligible to receive PDG funding.

### **Predevelopment Funding Available from OASAS**

For providers/developers that are proposing to serve individuals with a Substance Use Disorder ("SUD"), OASAS seeks to assist the New York provider pool interested in participating in the ESSHI supportive housing initiative by making available one-time funding to support applicants' pre-development costs (e.g., consultant development fees, property deposits, architectural fees, etc.).

OASAS is allocating up to \$50,000 per applicant, as available for pre-development funding. Providers awarded this funding will have no obligation to repay OASAS for the capital pre-development funds provided. This funding will only be available after the provider has received a 'Conditional ESSHI Award,' has indicated a commitment to housing homeless persons with diagnosed histories of SUD, and has OASAS as their contracting agency.

OASAS' pre-development information and application forms can be found at the Housing Bureau website: <http://www.oasas.ny.gov/housing/initiatives/Pre-DevelopmentFunding.cfm>

Note that the pre-development funding made available by OMH and OASAS are separate from this ESSHI procurement. ESSHI, itself, does not provide separate pre-development/start-up funds in addition to the five- year service and operating contract.

### **1.1. Services and Operating Funding Parameters**

The State will award service and operating funding for housing developed with capital funding to support the needs of the qualifying individuals residing in the housing units. Up to \$25,000 in services and operating funding is available annually for each qualifying individual. The State anticipates providing a two-percent inflationary adjustment in subsequent years, subject to available appropriations for and/or statutory authorization of such increases.

Funding must be linked to a housing development project that will create new housing units through new construction, the adaptive reuse of non-residential space, or the repurposing of vacant residential units. A development project is permitted to occur on multiple properties. For example, construction of infill homes on multiple sites throughout a neighborhood is allowed. However, ESSHI funds may not be utilized for a scattered site apartment housing model owned and operated by a private landlord. For example, an agency leasing several units of housing from an existing apartment complex does not meet the eligibility requirements set forth by ESSHI.

Funding through this RFP is available to support the services and operating needs of projects, which may be in various stages of capital development. However, funding will not be made available to existing projects, which have already secured service and operating funds through other sources, as a means to enhance their existing subsidies; or projects specifically wherein tenants are already residing. For example, if a project has closed on construction financing and already has identified units of supportive housing as part of the original capital funding request, the original supportive housing units would not be eligible for ESSHI funding. However, additional units in the project could be requested, provided the total number of units do not create an issue with the *Olmstead* decision, MRT, or Home and Community Based Services (HCBS) settings requirements. Applicants are encouraged to seek additional funding to leverage the resources made available through this RFP opportunity.

The applicant should identify the eligible target population(s) that will be served both by population and breakdown of housing units, and explain how and why the population(s) were chosen, citing documented need for housing and services for that specific population(s) within the local community as cited by the local CoC, local planning entity, or through other supplemental local, state and federal data, and demonstrate how these needs will be met. The applicant should also state in the proposal how much annual funding is being requested per qualifying individual, as well as the number of qualifying individuals the requested funding will support. Proposals are expected to distinguish the proportion of the amount requested intended for rental subsidies from projected services and other eligible operating expenses. At a minimum, applicants should propose an operating subsidy sufficient to cover the projected operating costs of the assisted units minus the amount of rent that will be paid by the assisted households.

Projects must comply with the *Olmstead* decision of the United States Supreme Court. Therefore,

projects must provide integrated settings for individuals with disabilities (see glossary for definition). Integrated settings are required for any homeless population that falls under the Americans with Disabilities Act (ADA), such as individuals with SMI, SUD; intellectual or developmental disabilities (I/DD); or persons living with HIV or AIDS. Generally, mixed-use projects that integrate affordable housing with supportive housing are considered integrated, provided that no more than 50% of the total units are reserved for individuals with disabilities (60% in New York City). Certain State Contracting Agencies (“SCAs”) may have additional restrictions or considerations. For example, OPWDD requires that the total number of units serving individuals with I/DD may not exceed 25% within a project, and that the total percentage of all individuals with disabilities in the project may not exceed 30%. For projects assigned to OASAS as the SCA and consisting of 31 or more dwelling units, are expected to comply with the above stated *Olmstead* requirements.

It is expected that projects comply with the State’s Olmstead Plan (<https://www.ny.gov/programs/olmstead-community-integration-every-new-yorker>). Failure to comply, if applicable, may result in the disqualification of the proposal.

### **Projects Involving Capital Funding from New York City Department of Housing Preservation and Development (HPD)**

Applicants that intend apply to HPD for capital financing following receipt of a conditional ESSHI award must clearly specify the intended referral source in the ESSHI application. Prior to obtaining a committed ESSHI award, conditional awardees utilizing capital funding from HPD may be required to obtain written confirmation (e.g. soft commitment letter) from each agency administering the capital funding source applicable to the project that acknowledges and specifies the referral source(s) for the project.

Projects located within NYC that will serve the chronically homeless population must use the US Department of Housing and Urban Development (HUD) definition of “chronically homeless” for tenant eligibility. Referrals for this population in NYC will come from the Department of Homeless Services (DHS).

## **1.2 Term of Contract**

The contracts awarded in response to this RFP will be for five-year terms. If it’s anticipated that ESSHI eligible expenses will be incurred prior to tenants moving in, such as expenses to ‘start-up’ the program, the five-year contract start date may begin up to three (3) months before the move in date. Subject to the availability of State funding, once awarded, ESSHI funding is anticipated to continue for renewable five-year terms for eligible projects. The contract will be executed between the State agency(s) responsible for providing oversight of the permanent supportive housing services to the population(s) to be served and the NFP service provider that received the ESSHI award. In the event there is more than one population to be served through any single application in response to this RFP, a lead SCA will be determined, and will assist the selected project to comply with any requirements of applicable State agencies that serve such populations. Under this RFP, not for profit (“NFP”) service providers must adhere to all applicable statutes, laws and regulations with respect to serving the eligible target population(s) Additional information regarding the SCA assignment, see Section 2.9 “Interagency Workgroup and State Contracting Agency Rights”.

### 1.3 Eligible Applicants

The submitting organization must be eligible to apply. This funding opportunity is only open to NFPs that are properly incorporated or organized under the laws of New York, and Tribal Organizations, with demonstrated experience in one or more of the following areas:

- Housing for homeless families, individuals, and/or young adults;
- Housing for families, individuals, and/or young adults with an unstable housing history;
- Housing for families, individuals, and/or young adults who are at risk of homelessness;
- Housing for families, individuals, and/or young adults that have health, mental health, intellectual or developmental disability, and/or substance use disorders;
- Housing for youth/young adults with significant histories of mental health, foster care or criminal/juvenile justice involvement; and
- Providing services and supports to help families, individuals, and/or youth/young adults that have disabling conditions or life challenges as identified in Section 1.4 that require specialized support services to become and remain stably housed.

Service and operating funds are linked to integrated apartment buildings that are developed with capital funding sources that will be made available through separate capital initiatives and other capital funding mechanisms. These buildings may be constructed by the same entity applying for the service and operating funding made available through this RFP and/or in partnership with a private or NFP housing developer. The housing developed must be affordable to the homeless population it intends to serve. For most projects, this means that applicants should plan to provide rental subsidies in an amount that ensures full rental payment that does not exceed HUD Fair Market Rents for the area. In calculating rental subsidies, it is expected that 30% of a tenant household's adjusted income (exclusive of rental subsidy payment) will be used. When a tenant has no reportable income, the tenant should apply for all available third-party entitlements that they may be eligible to receive.

It is important to note that although a partnership with a housing developer may exist, the official applicant of this RFP must be the NFP organization that will manage the service and operating contract funds, not the housing development partner. Eligible applicants partnering with a housing developer should identify the capital project team (if known). The ESSHI contract will be between the NFP awardee and SCA responsible for providing oversight of the permanent supportive housing services to the population(s) to be served. Applicants proposing to serve multiple populations may enter into partnerships to ensure that the required experience serving the proposed populations is demonstrated, and that appropriate services are offered. All such relationships should be described in the application. For additional information regarding the State Agency assignment, see Section 2.9 "Interagency Workgroup and State Contracting Agency Rights".

### 1.4 Eligible Target Population

The eligible target populations to be served under this program are families with a qualifying

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individual, individuals and/or young adults who are both homeless (see glossary for definition) and who are identified as having an unmet housing need as determined by the CoC or local planning entity or through other supplemental local, state and federal data, **AND** have one or more disabling conditions or other life challenges, including:

- SMI;
- SUD;
- Persons living with HIV or AIDS;
- Victims/Survivors of domestic violence (DV);
- Military service with disabilities (including veterans with other than honorable discharge);
- Chronic homelessness as defined by HUD (including families, and individuals experiencing street homelessness or long-term shelter stays);
- Youth/young adults who left foster care within the prior five years and who were in foster care at or over age 16;
- Homeless young adults between 18 and 25 years old;
- Adults, youth or young adults reentering the community from incarceration or juvenile justice placement, particularly those with disabling conditions;
- Frail Elderly/Senior: Any person who is age 55 and older, who is enrolled in Medicaid, and requires assistance with one or more activities of daily living or instrumental activities of daily living. Eligible persons are referred from a Skilled Nursing Facility (SNF), or identified as homeless by a Health Home, hospital, Managed Care Organization (MCO), medical respite, Managed Long-Term Care (MLTC), Performing Provider System (PPS), or shelter; and
- Individuals with I/DD.

Multiple eligible target populations may be located within a singular housing project. There is no competitive advantage or disadvantage to serving multiple populations. Applicants must demonstrate how the services needs of each population proposed to be served will be met. Applicants will be evaluated based on their demonstrated strength in serving the selected eligible populations.

### **Living Situations at Time of Referral**

Acceptable living situations at time of referral include unsheltered homeless; sheltered homeless; prison; institutions (State Psychiatric Center or Developmental Center); hospital or nursing home\*; medical respite; and OPWDD-eligible individuals who have been determined to meet the level of emergency need through the Certified Residential Opportunities review process.

*\*Persons referred must have been homeless prior to placement in hospitals or nursing homes.*

#### **1.4.1 Medicaid Redesign Team (MRT) High-Cost, High-Need Medicaid Users**

Projects of 15 or more ESSHI qualifying individuals, with 30 or more dwelling units in total, serving the applicable populations listed below will be required to set aside 25 percent of designated ESSHI units for high-cost, high-need Medicaid users (see the Glossary for “MRT eligible individuals” definition). MRT eligible individuals includes those who are both homeless and have one or more of

the following disabling conditions or life challenges (as well as meet the definition in the Glossary):

- SMI;
- SUD;
- HIV/ AIDS;
- Chronic homelessness;
- Frail elderly/ seniors (see the Glossary for definition);
- I/DD

Projects can be cross-disability and contain more than one population. Only proposed projects that are applying to specifically serve MRT eligible qualifying individuals are required to fill out and attach Appendix A (MRT Project Questionnaire). Applicants with proposals that meet the 25 percent requirement will be requested to fill out the MRT Project Questionnaire at the time that a conditional award is given.

The qualifying individuals referred to the 25% MRT qualifying units must meet the identified eligibility categories as identified in the definition of MRT Eligible Individuals (see Glossary) through discussion with DOH or the SCA. DOH or the SCA can assist in identifying these prioritized populations to meet the 25% requirement.

### **1.5 Award Allocations by Population Categories**

For purposes of this RFP, eligible populations are grouped into the following:

- Category One - (Chronic homelessness, SMI, SUD);
- Category Two - (Reentry, HIV, Youth/ Young Adult);
- Category Three - (DV, Military Service, Frail Elderly/ Seniors, I/DD)

A minimum of 50% of the number of awards that will be issued pursuant to this RFP will be allocated to Category One; no more than 25% to Category Two; and no more than 25% to Category Three.

For applications with a passing score that propose to serve populations that fall within multiple categories, the application will be assigned to the category served by the majority of units. The Workgroup and/or State Contracting Agency reserve the right to adjust the number of units awarded between populations.

Awards will be made in rank score order from all passing scores, subject to the allocations by categories. These categories are intended solely as a method to allocate ESSHI funding.

### **1.6 Eligible Costs**

Any funds awarded to applicants under this RFP must be used to provide rental assistance and services to eligible target populations so that they remain stably housed. Permissible uses of funds awarded under this RFP that meet such purposes include, but are not limited to, providing support for:

- Rental subsidies and other occupancy costs. Funding requested for rental subsidies and other operating costs should be sufficient to cover real estate maintenance and operating

expenses attributable to the supportive housing units. Please note, applicants planning to seek capital funding from HCR should request rental subsidies under this RFP in an amount necessary to support underwritten rents of at least 50% AMI (noting that tenants will have significantly lower incomes). Housing developers with a commitment of an ESSHI services and operating award cannot access Project-Based Section 8 except in New York City where capital funding is provided by HCR;

- Costs associated with services and/or staff that help the eligible target population remain stably housed, including program supervision, housing counselors or specialists, and employment counseling;
- Services or staff to identify and locate the eligible individuals that need housing;
- Eligible services designed to assist eligible families, individuals and young adults to live independently and remain stably housed. They may include but are not limited to providing the following linkage and/or direct services which are not funded through other mechanisms, such as Medicaid:
  - primary health services;
  - behavioral health services;
  - housing case management, including eviction prevention services and skills building around tenant responsibilities;
  - counseling and crisis intervention;
  - risk assessment/reduction and safety planning;
  - legal system and court assistance;
  - coordinating access to civil legal services including immigration, family, matrimonial, consumer and housing;
  - trauma-informed assessment and services;
  - public benefits management and advocacy with multiple systems engagement (CPS/ACS, DSS/HRA/DHS, OVS, etc.);
  - employment and vocational training and/or assistance;
  - educational assistance, including GED support;
  - parenting skills development and support;
  - child care assistance;
  - direct provision of child care services;
  - children's services, including educational advocacy, support and counseling;
  - pregnancy prevention, including counseling;
  - family reunification and stabilization;
  - life skills training and support;
  - health education;
  - transportation assistance for needed services/entitlements;
  - building security services;
  - information on other available services to meet clients' needs and referral as appropriate;
  - social/recreational services;
  - Homeless Management Information System (HMIS) expenses;

- other like services defined by the applicant and approved by the SCA; and/or
- Services or staff to assist eligible families, individuals and young adults in navigating the range of available housing and social service resources, identifying available housing opportunities, and completing housing applications and documentation requirements.

Applicants are strongly encouraged to utilize broad categories in the budget format, such as salaries, fringe, and rent subsidies. A detailed breakdown of projected operating costs should be presented in the budget narrative.

### **1.7 Ineligible Expenses**

Funds awarded under this RFP may not be used for ineligible expenses. Ineligible expenses include but are not limited to the following:

- Administrative and overhead expenses budgeted at more than 15% based on the Consolidated Fiscal Reporting (CFR) requirements;
- Expenses considered as non-allowable per Appendix X of the CFR Manual [http://www.oms.nysed.gov/rsu/Manuals\\_Forms/Manuals/CFRManual/home.html](http://www.oms.nysed.gov/rsu/Manuals_Forms/Manuals/CFRManual/home.html);
- Any costs associated with capital development of the project (e.g. construction costs);
- Any costs determined to be duplicative or inappropriate by the State Contracting Agency; and
- Any costs associated with emergency housing or transitional supportive housing.

### **1.8 Reporting and Operating Requirements**

Applicants awarded funding through this RFP must conform to the reporting requirements established by the Workgroup, the SCAs, and when applicable, the Medicaid Redesign Team (“MRT”). SCAs may have different reporting requirements and operating guidelines for services and operating units developed through this RFP. All awardees are encouraged to familiarize themselves with the various reporting and operating requirements specific to the appropriate SCA and target population. All awarded MRT projects are subject to quarterly data reporting submissions to their SCA(s), or more frequently if required by the SCA. Non-MRT projects may also be required to report data on a quarterly basis.

### **1.9 Standard Contract Language**

All awards made under this RFP will require a standard NYS Master Contract. The terms and conditions for such projects will be specified this Master Contract and it must be signed by the awardee and the SCA, and approved by the Attorney General and OSC before any contract activity may begin and funds may be disbursed. A copy of the NYS Master Contract can be found here <https://grantsmanagement.ny.gov/system/files/documents/2018/09/sample-complete-nys-mcg.pdf>

Upon contract award, the SCA responsible for providing oversight of the permanent supportive housing services to the population to be served will send successful applicants all required forms for development and processing.

## 1.10 Executive Order Number 38 – Limits on State-funded Admin Costs and Executive Compensation

On January 18, 2012, Governor Andrew M. Cuomo issued Executive Order Number 38, “Limits on State-Funded Administrative Costs and Executive Compensation,” (“EO 38”) which required that certain State agencies, including those involved in this RFP, promulgate regulations limiting State reimbursement for administrative expenses and executive compensation of service providers. Any contract awarded through this RFP will be subject to the EO 38 regulations of the agency awarding the contract if the awardee is a “covered provider” within the meaning of those regulations.

**Important Legal Notice:** Based upon the April 8, 2014 decision in Agencies for Children’s Therapy Services, Inc. v. New York State Department of Health, et al. (“ACTS”), covered providers conducting business in Nassau County need not file EO 38 disclosures. For purposes of this notice, “conducting business” means having a place of business within Nassau County, providing program services or administrative services involving the use or receipt of State funds or State-authorized payments within Nassau County, or otherwise conducting business within Nassau County in relation to which executive compensation is paid. Please note that the ACTS decision is under appeal. Those affected by the ACTS decision should periodically check the EO 38 website for updates regarding any changes to this notice. <http://executiveorder38.ny.gov/>

## 1.11 Executive Order Number 190 - Incorporating Health Across All Policies into State Agency Activities

On November 14, 2018, Governor Andrew M. Cuomo issued Executive Order No. 190 (EO 190), entitled “Incorporating Health Across All Policies into State Agency Activities,” which requires that this RFP take into consideration the New York State Prevention Agenda priorities and the World Health Organization’s Eight Domains of Livability to help meet the needs of New York residents by promoting their health, safety, and well-being. For additional details, see <https://www.governor.ny.gov/news/no-190-incorporating-health-across-all-policies-state-agency-activities>.

Consistent with EO 190, applicants must state specifically in their responses to this RFP how the proposal will help address one or more of the following:

- Prevent chronic disease;
- Promote a healthy and safe environment;
- Promote healthy women, infants and children;
- Promote well-being and prevent mental health and substance use disorders;
- Prevent communicable diseases.
- Help residents continue to live in their communities in a manner consistent with their abilities and values;
- Approaches that build toward a future in which every New Yorker can enjoy wellness, longevity, and a quality of life in strong, healthy communities;
- Increase consumer access to health care and supportive services.

Please note that the EO 190 requirement will be incorporated into the application questions. Responses will be evaluated and scored as part of the review of all proposals.

## 1.12 Contract Readiness

The State's Prompt Contracting and Vendor Responsibility provisions require all State agencies to complete contract development and the signatory process in accordance with statutorily prescribed timeframes. It is expected that awardees will be available and prepared to respond within the statutorily required timeframes. Awardees who cannot meet the prescribed timeframes for contract development and/or signature may, at the SCA's sole discretion, be denied funds awarded to it under this RFP.

Prior to submitting an application for funding, applicants are responsible for various verifications which validate their capacity and organizational authority to receive public funding and operate as a NFP corporation in the State. Recipients of grants must be registered in the New York Statewide Financial System (SFS) Central Vendor Registry File and provide their Identification Number at the time of contracting. To register and for additional information on the Vendor File, visit: [https://www.osc.state.ny.us/vendor\\_management/index.htm](https://www.osc.state.ny.us/vendor_management/index.htm)

NFP vendors must be registered with the Attorney General's Office as a charitable organization, and the registration must be up to date at the time of contracting. Vendors should be sure all of their documents are up to date and comply with the Vendor Responsibility requirements outlined below.

To determine the status of your Charities Registration information, visit:  
[https://www.charitiesnys.com/RegistrySearch/search\\_charities.jsp](https://www.charitiesnys.com/RegistrySearch/search_charities.jsp)

Pursuant to the New York State Division of Budget Bulletin H-1032, dated June 7, 2013, New York State has instituted key reform initiatives to the grant contract process which require NFPs to register in Grants Gateway and complete the Vendor Prequalification process in order for proposals to be evaluated. Information on these initiatives can be found on the Grants Management Website, including *The Vendor Prequalification Manual* and an online tutorial to walk users through the process. All NFP vendors doing business with the State must be prequalified in order to submit a competitive bid in response to an RFP issued by the State. NFP contractors should go to the Grants Gateway, [https://grantsgateway.ny.gov/IntelliGrants\\_NYSGG/module/nysgg/goportal.aspx](https://grantsgateway.ny.gov/IntelliGrants_NYSGG/module/nysgg/goportal.aspx), for registration and <https://grantsmanagement.ny.gov/register-your-organization#how-to-register> to complete the online form. NFPs must first register their agency on the system if they have not yet done so, which requires a paper form being sent by mail.

Please note proposals received from eligible NFP applicants who are not in "Prequalified" status in the Grants Gateway at the time the proposal is due as indicated in Section 2.3 Proposal Submittal Process cannot be evaluated; therefore, such proposals will be disqualified from further consideration. **Please do not delay in beginning the prequalification process. The State reserves five (5) days to review submitted prequalification applications. Prequalification applications submitted to the State for review less than five (5) days prior to the RFP due date and time may not be considered. Applicants should not assume that their prequalification information will be reviewed if they do not adhere to this timeframe.**

Section 2.3 includes a summary of the steps that must be completed to meet registration and prequalification requirements in the Grants Gateway.

### **1.13 Minority and Women Owned Business Enterprises**

Pursuant to New York State Executive Law Article 15-A and 5 NYCRR 140-145, SCAs recognize their obligation under the law to promote opportunities for maximum feasible participation of certified minority-and women-owned business enterprises and the employment of minority group members and women in the performance of State contracts.

In 2006, the State commissioned a disparity study to evaluate whether minority and women-owned business enterprises had a full and fair opportunity to participate in state contracting. The findings of the study were published on April 29, 2010, under the title "The State of Minority and Women-Owned Business Enterprises: Evidence from New York" ("Disparity Study"). The report found evidence of statistically significant disparities between the level of participation of minority-and women-owned business enterprises in state procurement contracting versus the number of minority-and women-owned business enterprises that were ready, willing and able to participate in state procurements. As a result of these findings, the Disparity Study made recommendations concerning the implementation and operation of the statewide certified minority- and women-owned business enterprises program. The recommendations from the Disparity Study culminated in the enactment and the implementation of New York State Executive Law Article 15-A, which requires, among other things, that State agencies establish goals for maximum feasible participation of New York State Certified minority-and women-owned business enterprises ("MWBE") and the employment of minority groups members and women in the performance of New York State contracts.

#### **Business Participation Opportunities for MWBEs**

For purposes of this solicitation, State Agencies hereby establish an overall goal of 30% for MWBE participation. Goals for State certified minority-owned business enterprises ("MBE") and State certified women-owned business enterprises ("WBE") participation on each Contract shall be established based upon vendor availability. A contractor ("Contractor") on the subject contract ("Contract") must document its good faith efforts to provide meaningful participation by MWBEs as subcontractors or suppliers in the performance of the Contract and the Contractor agrees that State Agencies may withhold payment pending receipt of the required MWBE documentation. The directory of MWBEs can be viewed at: <https://ny.newnycontracts.com>. For guidance on how State Agencies will determine a Contractor's "good faith efforts," refer to 5 NYCRR §142.8.

In accordance with 5 NYCRR §142.13, the Contractor acknowledges that if it is found to have willfully and intentionally failed to comply with the MWBE participation goals set forth in the Contract, such finding constitutes a breach of Contract and the State Agency may withhold payment from the Contractor 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 bidder on the Contract ("Bidder") agrees to demonstrate its good faith efforts to achieve its goals for the utilization of MWBEs by submitting evidence thereof through the New York State Contract System ("NYSCS"), which can be viewed at <https://ny.newnycontracts.com>. However, a Bidder may arrange to provide such evidence via a non-electronic method by contacting the OMH Issuing Officer identified in this RFP. Please note

that the NYSCS is a one stop solution for all of your MWBE and Article 15-A contract requirements. For additional information on the use of the NYSCS to meet Bidder's MWBE requirements please see the attached MWBE guidance, "Your MWBE Utilization and Reporting Responsibilities Under Article 15-A."

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

A. An MWBE Utilization Plan with completed contract documents. Any modifications or changes to the 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 the SCA. The SCA will review the submitted MWBE Utilization Plan and advise the Contractor of acceptance or issue a notice of deficiency within 30 days of receipt.

B. If a notice of deficiency is issued, the Contractor will be required to respond to the notice of deficiency within seven (7) business days of receipt by submitting to the SCA, a written remedy in response to the notice of deficiency. If the written remedy that is submitted is not timely or is found by the SCA to be inadequate, the SCA shall notify the Contractor and direct the Contractor 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 an executed contract.

The SCA may disqualify a Contractor as being non-responsive under the following circumstances:

- a) If a Contractor fails to submit a MWBE Utilization Plan;
- b) If a Contractor fails to submit a written remedy to a notice of deficiency;
- c) If a Contractor fails to submit a request for waiver; or
- d) If the State Agency determines that the Contractor has failed to document good faith efforts.

The Contractor 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 Execution may be made at any time during the term of the Contract to the SCA, but must be made no later than prior to the submission of a request for final payment on the Contract. The Contractor will be required to submit a Contractor's Quarterly MWBE Contractor Compliance & Payment Report to the SCA, by the 10th 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 Bidder/Contractor 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. The Contractor is required to ensure that it and any subcontractors awarded a subcontract over \$25,000 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 Contractor, 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 Bidder will be required to submit a Minority and Women-Owned Business Enterprises and Equal Employment Opportunity Policy Statement, Form # 4, to the SCA with their bid or proposal.

To ensure compliance with this Section, the Bidder will be required to submit with the bid or proposal an Equal Employment Opportunity Staffing Plan (Form # to be supplied during contracting process) identifying the anticipated work force to be utilized on the Contract. If awarded a Contract, Contractor shall submit a Workforce Utilization Report and shall require each of its Subcontractors to submit a Workforce Utilization Report, in such format as shall be required by the SCA on a monthly or quarterly basis during the term of the contract. Further, pursuant to Article 15 of the Executive Law (the "Human Rights Law") and all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor and sub-contractors 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.

#### **1.14 Participation by Service-Disabled Veterans with Respect to State Contracts Through Set Asides**

Article 17-B of the Executive Law, enacted in 2014, provides for more meaningful participation in public procurement by Service-Disabled Veteran-Owned Businesses (SDVOBs), thereby further integrating such businesses into New York State's economy. One tool authorized by the law is the use of set asides. Set asides permit the reservation in whole or in part of certain procurements by State agencies for SDVOBs. The process for managing set asides are the subject of these guidelines from the Commissioner of General Services.

Types of procurements that may use set asides include:

1. Construction
2. Construction Related Services
3. Non-Construction Related Services (including finance/bond management)
4. Technology
5. Commodities

Set asides will be administered subject to the laws, rules and procedures governing contracting for each type of procurement, including, but not limited to:

1. Competitive bidding with award based on adherence to specifications and lowest price

2. Competitive bidding with award based on technical responsiveness and best value
3. Award based on qualifications and best value (for architects, engineers, and land surveyors)
4. Emergency award
5. Single source award
6. Sole source award
7. Purchase based on exercise of discretionary authority subject to agency internal controls
8. Other authorized procurement method(s) for making acquisition

Accordingly, prior to making a “determination of need” for a procurement (within the meaning of the rules for procurement lobbying under State Finance Law §§ 139-j and 139-k), State agencies shall review the NYS Certified Service-Disabled Veteran-Owned Business Directory, available at <https://online.ogs.ny.gov/SDVOB/search>, to determine if there is a competitive field of certified SDVOBs that appear to be suitable in meeting agency needs and that have sufficient capacity and resources. If there is, the agency is strongly encouraged to reserve and conduct that procurement as a set aside for SDVOBs.

Each agency shall have in place an internal approval protocol for review of and finalizing the determination to proceed with a set aside procurement. It is recommended that at least two levels of approvals be included in the protocol. The approvals should be made part of the procurement record.

In order to determine that a competitive field of SDVOBs exists, an agency must review the certified SDVOB Directory and reasonably determine that at least two SDVOBs are able to respond to the procurement. During the agency review of the Directory and prior to the “determination of need” for the procurement, the potential SDVOBs may be contacted regarding their suitability to meet the agency need and whether the SDVOBs are likely to respond to the procurement.

The agency, in providing public notice of the procurement opportunity, shall include in its advertisement in the Contract Reporter the fact that the procurement is a set aside and the pool of bidders is limited to NYS certified SDVOBs. The agency shall then proceed with its procurement in accordance with the acquisition processes that are usually employed to secure the particular type of procurement. In making the contract award, the agency must assess and make a determination that the price offered by the vendor is reasonable and reflective of fair market value. Such finding should be made a part of the procurement record.

In the event that the set aside procurement does not result in a contract award, the agency may then open up the procurement and proceed with the acquisition with participation by all qualified vendors for the type of procurement.

Such procurements will continue to be subject to restrictions on communications during the procurement process governed by § 139-j and § 139-k of the State Finance Law. The agency, as part of the procurement process, must also evaluate the responsibility of the SDVOB based upon financial and organizational capacity, legal authority, business integrity and past performance history.

State agencies shall report the number of completed set asides and ongoing set asides to the Director of the Division of Service-Disabled Veterans’ Business Development, on a quarterly basis

commencing July 15, 2015 and thereafter October 15, 2015, January 15, 2016 and April 15, 2016. Report forms are available at <https://ogs.ny.gov/Veterans>. If there are no completed or ongoing set asides, the report should also indicate that status.

NOTE: Information about using SDVOB participation in public procurement can be found at <https://www.ogs.ny.gov/Core/SDVOBA.asp> which provides contract template language for Use of Service- Disabled Veteran-Owned Businesses in Contract Performance.

### **1.15 Sexual Harassment Prevention Certification**

State Finance Law §139-l requires bidders on state procurements to certify that they have a written policy addressing sexual harassment prevention in the workplace and provide annual sexual harassment training (that meets the Department of Labor's model policy and training standards) to all its employees.

Bids that do not contain the certification may not be considered for award; provided however, that if the bidder cannot make the certification, the bidder may provide a statement with their bid detailing the reasons why the certification cannot be made. A template certification document is being provided as part of this RFP. Applicants must complete and return the certification with their bid, or provide a statement detailing why the certification cannot be made.

## **SECTION 2: General Requirements**

### **2.1 Desired Goals and Program Requirements**

The rental subsidies and services provided under this initiative are intended to be a means to provide affordable and long-term stable housing as well as supportive services to families, individuals and youth/young adults who are homeless and have at least one or more disabling conditions or other life challenges. The intended goals for this RFP are to:

- Identify and locate eligible families, individuals, and/or youth/young adults who are homeless or at-risk of homelessness;
- Increase the availability of permanent supportive housing as a means to reduce homelessness;
- Provide services and supports to help eligible families, individuals and/or youth/young adults manage health and behavioral health conditions, address other disabling conditions or life challenges and become and remain stably housed;
- Provide service and operating funding for permanent supportive housing units developed with available private, federal, state, and/or local capital funding resources.
- Increase the availability of permanent supportive housing as a means to facilitate access to health services and improve the health status and quality of life experiences of families, individuals, and/or youth/young adults who are eligible for MRT funds;
- Provide housing stability for young adults between ages 18 and 25, in a supportive environment based on positive youth development principles that recognize and build on the young adults' strengths, and to maximize educational and employment opportunities to enable young adults to achieve self-sufficiency.

## 2.2 Key Events/Timeline

RFP Release Date	8/16/19
Bidder's Conferences	9/3/19 and 9/5/19
Questions Due (must be received by 2:00 pm)	9/11/19
Questions Posted on Website (Tentative Date)	9/18/19
Proposals Due (must be received by 2:00:00 pm)	9/25/19
Conditional Award Notifications (Tentative Date)	11/6/19
Contract Start-Date	TBD

Applications requesting ESSHI funding must be submitted by 2:00:00 pm on the date listed above. The application deadline is firm as to date and hour. **Applicants are advised to make early submission of their applications to avoid risks of ineligibility resulting from unanticipated delays or other computer problems.**

### 2.2.1 Bidder's Conferences

Two Bidder's Conferences indicated below have been scheduled to provide information regarding the RFP. Note that there will be a morning and afternoon session each day offering the same information.

Date	Times	Location	Address
Tuesday, September 3, 2019	10:00 a.m. - 12:00 p.m. and 1:00 p.m. - 3:00 p.m.	NYS OMH Central New York Field Office - Library	545 Cedar St., Syracuse, NY
Thursday, September 5, 2019	10:00 a.m. - 12:00 p.m. and 1:00 p.m. - 3:00 p.m.	NYS OMH New York City Field Office	330 Fifth Avenue, 9th Fl., New York, NY

Attendance at the Bidder's Conference is not required to apply for ESSHI. Attendance at more than one session is discouraged due to limited seating. Pre-registration is not necessary. These dates are subject to change. Any changes will be announced on the OMH website at: <https://omh.ny.gov/omhweb/rfp/>.

## 2.3 Proposal Submittal Process

Applications should be submitted electronically through Grants Gateway at <https://grantsgateway.ny.gov/>. See Section 6 for specific Grants Gateway instructions. Note that the Issuing Officer for this RFP is as follows:

Carol Swiderski  
Contract Management Specialist 2  
NYS Office of Mental Health  
Contracts and Claim Unit  
44 Holland Ave, 7th floor  
Albany, NY 12229

### **2.3.1 Register for the Grants Gateway**

On the Grants Management Website, download a copy of the Registration Form for Administrator. A signed, notarized original form must be sent to the Office of Information Technology Services (ITS) at the address provided in the instructions. You will be provided with a Username and Password allowing you to access the Grants Gateway.

If you have previously registered and do not know your Username please email [grantsgateway@its.ny.gov](mailto:grantsgateway@its.ny.gov). If you do not know your Password please click the Forgot Password link from the main log in page and follow the prompts.

### **2.3.2 Complete your Prequalification Application**

- Log in to the Grants Gateway. If this is your first time logging in, you will be prompted to change your password at the bottom of your Profile page. Enter a new password and click SAVE.
- Click the Organization(s) link at the top of the page and complete the required fields including selecting the State agency you have the most grants with. This page should be completed in its entirety before you SAVE. A Document Vault link will become available near the top of the page. Click this link to access the main Document Vault page.
- Answer the questions in the Required Forms and upload Required Documents. This constitutes your Prequalification Application. Optional Documents are not required unless specified in this RFP.
- Specific questions about the prequalification process should be referred to the Grants Management Team at [grantsgateway@its.ny.gov](mailto:grantsgateway@its.ny.gov).

### **2.3.3 Submit Your Prequalification Application**

1. After completing your Prequalification Application, click the Submit Document Vault link located below the Required Documents section in order to submit your Prequalification Application for State Agency review. Once submitted, the status of the Document Vault will change to In Review. If your Prequalification reviewer has questions or requests changes you will receive email notification from the Gateway system.
2. Once your Prequalification Application has been approved, you will receive a Gateway notification that you are now prequalified to do business with New York State.

## **2.4 Questions and Answers**

Written questions regarding this RFP will be accepted until the date indicated in Section 2.2. No telephone inquiries will be accepted. Answers to all questions will be tentatively posted on OMH's website by the date indicated in Section 2.2. Questions may be submitted via mail or email to:

Carol Swiderski  
 Contract Management Specialist 2  
 ESSHI Questions  
 NYS Office of Mental Health  
 Contract and Claim Unit 44 Holland Ave, 7th floor Albany, NY 12229  
[Carol.swiderski@omh.ny.gov](mailto:Carol.swiderski@omh.ny.gov)

All questions must be typed and include the RFP section the question is about. Along with the question(s), provide your name, organization, mailing address and email. To receive a hard copy of the Questions and Answers document, please contact Ms. Swiderski at the address above.

## 2.5 Selection Criteria

All proposals will be reviewed by the Workgroup including, but not limited to, representatives from any or all of the following state agencies: OMH; HCR; OTDA; OASAS; DOH including the AIDS Institute; OCFS; OPDV; and OPWDD.

Applicants must be prequalified in the Grants Gateway to be considered for review.

Designated staff will review each proposal to verify that all eligibility criteria are met. If a proposal does not meet the basic eligibility standards, the proposal will be eliminated from further review. The applicant will be notified of the rejection of the proposal within 15 business days from proposal opening.

Following the eligibility review, representatives from each of the agencies on the Workgroup will independently review and evaluate the proposals using an objective review process and compute a score based on the following criteria:

<b>Scoring Criteria Category</b>	<b>Maximum Number of Points Available</b>
<b>Need</b>	<b>30</b>
<b>Impact</b>	<b>30</b>
<b>Readiness</b>	<b>15</b>
<b>Cost Effectiveness/Budget</b>	<b>25</b>
<b>TOTAL</b>	<b>100</b>

- Need:** How does the proposal provide services/benefits to an eligible target population (i.e. those families, individuals or youth/young adults who are homeless or at-risk of homelessness and have at least one or more disabling conditions or other life challenges) whose health outcomes and/or housing stability may be improved through the provision of safe, affordable permanent supportive housing through the Program? Does the proposal utilize the most recent data to identify an eligible target population and the unmet needs of this population (relevant data includes CoC, local planning or other local, state and federal reports/data)? Does the CoC/local government/local planning entity support this proposal?

If multiple populations are served, is the above information included for all populations? (Maximum 30 points).

For counties covered by a CoC, a letter of support and data from the CoC, or another data source, should be provided regardless of the population. Applicants are encouraged to submit supplemental sources of data evidencing the need. For counties not covered by a CoC, alternative sources of data documenting the unmet need and a letter of support from a local planning entity or agency charged with serving the proposed homeless population should be included.

For youth or young adults who left foster care within the prior five years and who were at or over the age of 16 years, runaway and homeless youth, and youth who have left juvenile justice, supplemental sources of data that may be useful can be found here:

<https://ocfs.ny.gov/main/youth/rhy/directory.asp>

For victims or survivors of domestic violence, supplemental sources of data that may be useful can be found here: <https://ocfs.ny.gov/main/reports/dvpa.asp>

Any providers interested in serving individuals with intellectual/developmental disabilities (I/DD) under this RFP can obtain information regarding housing demand in the OPWDD service system through reports and data located at the following pages on the OPWDD website:

[https://opwdd.ny.gov/opwdd\\_community\\_connections/housing\\_initiatives/ish/empire-state-supportive-housing-initiative-data-region](https://opwdd.ny.gov/opwdd_community_connections/housing_initiatives/ish/empire-state-supportive-housing-initiative-data-region)

<https://opwdd.ny.gov/sites/default/files/documents/Oct-2016-OPWDD-Report-to-Legislature.pdf>

[https://opwdd.ny.gov/opwdd\\_resources/agency-data/all](https://opwdd.ny.gov/opwdd_resources/agency-data/all)

- **Impact:** To what extent will the proposal have a meaningful impact on addressing the identified needs of the eligible target population(s) identified in the proposal, including by demonstrating the appropriateness of the program's approach to meet the needs of the target population, including providing language accessible, culturally sensitive and trauma-informed services? (Maximum of 30 points)
- **Readiness:** To what extent is the applicant either independently or in conjunction with a housing developer working towards project-readiness? (i.e. does the applicant have site-control, does the applicant have a reasonable plan or expectation of securing capital funding sources within 12 months, realistic time-frame for project completion.) (Maximum 15 points)
- **Cost Effectiveness/Budget:** How cost effective is the proposal and is the budget complete, comprehensive and realistic? Does the applicant have additional funds to leverage the State funding that is being made available through this RFP? (Maximum 25 points)

## **For further information on selection criteria see Section 7: Application Instruction Requirements**

Following the independent review, evaluators will meet to discuss the application and provide clarity on questions an evaluator may have about a particular section of the proposal. Following such discussion, evaluators may independently revise their original score in any section, and will note changes on the evaluation tool scoring sheet.

Any proposal that receives less than a final average score of 70 will be ineligible to receive an award during the RFP round in which the applicant applied. These applicants will be encouraged to reapply during future RFP opportunities. Applications that meet the threshold score of 70 or above may be eligible to receive a conditional award, subject to the limitations in Section 1.5. Final awards will be made based on the ability to obtain capital funding to complete the project.

The Workgroup will continuously assess the breakdown of units awarded by region of the state and special need group they are serving to ensure that awards are being disbursed according to areas and groups with greatest need. The Workgroup reserves the right to award funds as determined by it in order to achieve the objectives of the State's overall Housing Plan, including by geographic region and population served, to reach areas with greatest need. An area of greatest need will be determined with reference to CoC data, relevant statistical evidence, and other anecdotal evidence. The regional awards made will be strictly based on the overall passing score of all applicants identified as being able to provide supportive services in the identified region. Should the Workgroup exercise this option, awards will be made sufficient to meet the needs of the identified region without negatively impacting the overall ability of the ESSHI program to provide statewide services.

### **2.6 Charities Registration**

NFP corporations that submit proposals must comply with Article 7-A of the State Executive law and the Estates, Powers, and Trusts Law, Solicitation and Collection of Funds for Charitable Purposes.

### **2.7 Vendor Responsibility Requirements**

New York State Finance Law requires that State agencies award contracts to responsible contractors, including but not limited to NFPs. Vendor Responsibility will be determined based on the information provided by the vendor on the Vendor Responsibility Questionnaire Form, and a review of the most recently issued independently audited annual financial reports, that must be included with each bid. The SCA will review the Questionnaire, the audited financial statements and other information provided in the applicant's Document Vault.

The SCA reserves the right to reject any proposal if in the sole discretion of the SCA; it determines the bidder is not a responsible vendor and/or a stable financial entity. All proposals are subject to vendor responsibility determination before the award is made and such determination can be revised at any point up to the final approval of the contract by the Office of the State Comptroller ("OSC").

Vendors are invited and encouraged to file the required Vendor Responsibility Questionnaire online through OSC's New York State VendRep System. The Online VendRep System offers an effective and time saving mechanism to maintain a current filing. To enroll in and use the OSC New York State VendRep System all vendors may view the VendRep System Instructions available at <http://www.osc.state.ny.us/vendrep/index.htm>. For direct VendRep System user assistance, the OSC Help Desk may be reached at 866-370-4672 or 518-408-4672 or by email at [helpdesk@osc.state.ny.us](mailto:helpdesk@osc.state.ny.us).

Vendors may also opt to file a paper questionnaire. There is a separate Vendor Responsibility questionnaire that is used by NFP organizations. Questionnaires in the VendRep System that have been completed in the last six months in response to contracts or bid announcements from the SCA or other State Agencies do not need to be updated. If the vendor is using the hardcopy notarized questionnaire, then it also has to be current within 6 months of the due date referenced above.

## **2.8 Interagency Workgroup and State Contracting Agency Rights**

Successful applicants will contract with OMH, OTDA including contracts on behalf of OCFS and (OPDV); OASAS; DOH including the AIDS Institute; or OPWDD. Initial determination of the SCA will be based primarily on the population to be served. The assignment of the SCA Agency may change at the discretion of the Workgroup.

The Workgroup and/or SCA reserves the right to:

1. Place a monetary cap on the funding amount made in each contract award, and/or make awards for less than the amount requested or greater than the amount requested, up to the maximum allowable amount per qualifying individual specified in the RFP.
2. Increase or decrease the number of units (qualifying individuals) conditionally awarded, in conformance with the capital financing secured, provided that any additional units are supported by the need presented in the application and that additional uncommitted ESSHI units are available.
3. Change any of the scheduled dates stated in the RFP.
4. Disqualify applications that do not meet the requirements stated in the RFP, including, but not limited to: exceeding the \$25,000 maximum allowable request per qualifying individual; proposals that do not expand the supply of supportive housing or do not otherwise qualify as a project; proposals that are determined to not provide integrated settings; proposals that do not identify an eligible population(s); proposals determined to have the effect of supplanting ESSHI funds for committed services and/or operating funding; proposals that fail to demonstrate community need.
5. Request all bidders who submitted proposals to present supplemental information clarifying their proposal either in writing or by formal presentation.
6. Require bidders demonstrate, to the satisfaction of the SCA, any feature(s) present as a part of their proposal which may include an oral presentation of their

proposal, and may be considered in the evaluation of the proposal.

7. Direct all bidders who submitted proposals to prepare modifications addressing RFP amendments and / or amend any part of this RFP with notification to all bidders. These actions are without liability to any bidder or other party, for expenses incurred in the preparation of any proposals or modifications submitted in response to this RFP.
8. Make funding decisions that maximize compliance with and address the goals identified in this RFP, including waiving the allocation minimum or maximums established in Section 1.5.
9. Fund only one portion, or selected activities, of a selected bidder's proposal; and/or adopt all or part of the selected bidder's proposal based on State requirements.
10. Eliminate any RFP requirements unmet by all bidders, upon notice to all parties that submitted proposals.
11. Waive procedural technicalities, or modify minor irregularities, in proposals received, after notification to the bidder involved.
12. Correct arithmetic errors in any proposal, or make typographical corrections to proposal, with concurrence of the bidder.
13. Award contracts to more than one bidder.
14. Fund any or all proposals received in response to this RFP. However, issuance of this RFP does not commit the any of the SCAs to fund any proposals. The OMH can reject any proposals submitted and reserves the right to withdraw or postpone this RFP, without notice, and without liability, to any bidder, or other party, for expenses incurred in the preparation of any proposals submitted in response to this RFP and may exercise these rights at any time.
15. Use the proposal submitted in response to this RFP as part of an approved contract. At the time of contract development, awardees may be requested to provide additional budget and program information for the final contract.
16. Make additional awards based on the remaining proposals submitted in response to this RFP and/or to provide additional funding to awardees if additional funds become available.
17. Make inquiries of third parties, including but not limited to bidders' references, with regard to the applicants' experience, or other matters deemed relevant to the proposal by the OMH. By submitting a proposal in response to this RFP the applicant gives its consent to any inquiry made by the OMH.
18. Negotiate with the selected bidder(s) prior to contract award.
19. Require that all proposals be held valid for a minimum of 180 days from the closing date for receipt of proposals, unless otherwise expressly provided for in writing.

20. Require contractors to participate in a formal evaluation of the program to be developed by the SCA. Contractors may be required to collect data for these purposes. The evaluation design will maintain confidentiality of participants and recognize practical constraints of collecting this kind of information.
21. Consider statewide distribution and regional distribution within New York City including borough distribution methodology, in evaluating proposals.
22. Approve conditional awards advancing to final award based on meeting the objectives outlined in this RFP and the State's overall supportive housing goals.

## **2.9 Iran Divestment Act**

By submitting a bid in response to this solicitation or by assuming the responsibility of a Contract awarded hereunder, Bidder/Contractor (or any assignee) certifies that it is not on the "Entities Determined To Be Non-Responsive Bidders/Offerers Pursuant to The New York State Iran Divestment Act of 2012" list ("Prohibited Entities List") posted on the OGS website at: <https://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf> and further certifies that it will not utilize on such Contract any subcontractor that is identified on the Prohibited Entities List. Additionally, Bidder/Contractor is advised that should it seek to renew or extend a Contract awarded in response to the solicitation, it must provide the same certification at the time the Contract is renewed or extended.

During the term of the Contract, should the SCA receive information that a person (as defined in State Finance Law §165 a) is in violation of the above-referenced certifications, the SCA will review such information and offer the person an opportunity to respond. If the person fails to demonstrate that it has ceased its engagement in the investment activity which is in violation of the Act within 90 days after the determination of such violation, then the SCA shall take such action as may be appropriate and provided for by law, rule, or contract, including, but not limited to, seeking compliance, recovering damages, or declaring the Contractor in default.

The SCA reserves the right to reject any bid, request for assignment, renewal or extension for an entity that appears on the Prohibited Entities List prior to the award, assignment, renewal or extension of a contract, and to pursue a responsibility review with respect to any entity that is awarded a contract and appears on the Prohibited Entities list after contract award.

## **2.10 Addenda to Request for Proposals**

In the event that it becomes necessary to revise any part of the RFP during the application submission period, an addendum will be posted on the OMH website, the Grants Gateway and the NYS Contract Reporter.

It is the applicant's responsibility to periodically review the OMH website, the NYS Contract Reporter and Grants Gateway to learn of revisions or addendums to this RFP. No other notification will be given.

## **SECTION 3: Debriefing**

OMH will issue award and non-award notifications to all applicants. Non-awarded applicants may request a debriefing in writing regarding the reasons that their own proposal was not selected and/or disqualified within 15 business days of the dated letter. OMH will not offer scoring, statistical, or cost information of other proposals until after OSC has approved all awards under this RFP. Debriefing requests must be made in writing (fax and/or e-mail is acceptable) and sent to the Designated Contact identified in Section 2.2 of this RFP.

## SECTION 4: Formal Protest Procedure

Protests of an award decision must be filed within fifteen (15) business days after the notice of conditional award or five (5) business days from the date of the debriefing. The Commissioner or her designee will review the matter and issue a written decision within twenty (20) business days of receipt of protest. All protests must be in writing and must clearly and fully state the legal and factual grounds for the protest and include all relevant documentation. The written documentation should clearly reference the RFP title and due date.

Such protests must be submitted to:

NYS Office of Mental Health  
Commissioner Ann Marie T. Sullivan, M.D.  
44 Holland Avenue  
Albany, New York 12229

## SECTION 5: Glossary

**Applicant:** The NFP agency submitting the RFP Application or proposal. The term “bidder” is also used in this RFP to mean applicant.

**Behavioral Health:** Refers to a state of mental/emotional being and/or choices and actions that affect wellness and refers to both mental health and substance use disorders.

**Continuum of Care (CoC):** The CoC is a program designed to promote community-wide commitment to the goal of ending homelessness; provide funding for efforts by NFP providers and State and local governments to quickly rehouse homeless individuals and families while minimizing the trauma and dislocation caused to homeless individuals, families, and communities by homelessness; promote access to and effect utilization of mainstream programs by homeless individuals and families; and optimize self-sufficiency among individuals and families experiencing homelessness.

**State Contracting Agency:** The State agency with which the awarded applicant will enter into a contract for the provision of service and operating of supportive housing units awarded through this request for proposal.

**Frail Elderly/ Senior:** Frail Elderly/ Senior: Any person who is age 55 and older, who is enrolled in Medicaid, and requires assistance with one or more activities of daily living or instrumental activities of daily living. Eligible persons are referred from a Skilled Nursing Facility (SNF), or identified as homeless by a Health Home, hospital, Managed Care Organization (MCO), medical respite, Managed Long-Term Care (MLTC), Performing Provider System (PPS), or shelter. Individuals referred from

Nursing Homes must have been homeless prior to admission to the nursing home to be ESSHI-eligible.

**Homeless Management Information System:** HMIS is local information technology system used to collect client-level data and data on the provision of housing and services to homeless individuals and families and persons at risk of homelessness. Each Continuum of Care is responsible for selecting an HMIS software solution that complies with HUD's data collection, management, and reporting standards.

**Homeless:** In order to be considered homeless for the purposes of this RFP, an individual must meet one of the following criteria:

- (1) be an un-domiciled person (whether alone or as a member of a family) who is unable to secure permanent and stable housing without special assistance. This includes those who are inappropriately housed in an institutional facility and can safely live in the community and those young adults, survivors of domestic violence, and individuals with I/DD who are at risk of homelessness;
- (2) be a youth or young adult who left foster care within the prior five years and who was in foster care at or over age 16, and who is without permanent and stable housing;
- (3) be an adult or young adult reentering the community from incarceration or juvenile justice placement, who was released or discharged, and who is without permanent and stable housing; or
- (4) be a young adult between the ages of 18 and 25 years of age without a permanent residence, including those aging out of a residential school for individuals with an intellectual or developmental disability.

**Housing First:** A homeless assistance approach that prioritizes providing people experiencing homelessness with permanent housing as quickly as possible and then providing supportive services as needed.

**Integrated Setting:** Integrated settings are those that provide individuals with disabilities opportunities to live, work, and receive services in the greater community, like individuals without disabilities. Integrated settings are located in mainstream society; offer access to community activities and opportunities at times, frequencies and with persons of an individual's choosing; afford individuals choice in their daily life activities; and, provide individuals with disabilities the opportunity to interact with non-disabled persons to the fullest extent possible.

**Intellectual / Developmental Disability (I/DD):** OPWDD is responsible for determining whether an individual is eligible for services based upon the definition of "Developmental Disability" established through NYS Mental Hygiene Law §1.03(22) and in accordance with OPWDD's eligibility advisory guidelines. For the purpose of this RFP, a person must be determined eligible for services by OPWDD and be at least 18 years old.

**Lead Agency:** For the purposes of this RFP this term means the Office of Mental Health.

**Life Challenges:** Life Challenges refers to something that needs a lot of skill, energy, and determination to deal with or achieve, especially something someone has never done before. Some examples may include obtaining employment, living independently, budgeting own finances, learning public transportation, overcoming past trauma and abuse, and developing trusting, healthy adult relationships.

**Medicaid Redesign Team (MRT) Eligible Individuals:** Individual who is enrolled in Medicaid, or has used Medicaid in the last 12 months and is Medicaid eligible, and meets at least one of the following:

- Qualify as a Medicaid high utilizer by meeting one of the following over the past 12 months:
  - Have two or more inpatient stays;
  - Have five or more emergency department visits; or
  - Have four or more emergency department visits and one or more inpatient stay;
- Qualify as a Medicaid high utilizer by being within the top 20% of adult Medicaid recipients' spending relative to the county where the capital project is located and the project's target population parameters (e.g., an applicant for housing targeting individuals with Serious Mental Illness (SMI) in Westchester County would need base period spending in excess of 80% of the adult SMI Medicaid population in that county);
- Skilled nursing facility (SNF) resident;
- State psychiatric center, state/voluntary Community Residence (CR), or Community Residence/Single Room Occupancy (CR/SRO) resident;
- Enrolled or enrolling in a Health Home; or
- Enrolled in a Health and Recovery Plan (HARP) or an HIV Special Needs Plan (SNP).

The qualifying individuals must meet the identified eligibility categories as identified in the definition of MRT Eligible Individuals through discussion with DOH or the SCA. DOH or the SCA can assist in identifying these prioritized populations to meet the 25% requirement.

**Permanent Supportive Housing:** Non-time-limited affordable housing located in newly developed apartment settings, combined with wrap-around supportive services for people experiencing homelessness, as well as other disabilities or life challenges. Services are individualized and driven by family members' needs, interests, and development of strengths necessary for successful economic self-sufficiency and full independent living (including establishment of positive family and social supports in the community). This does not include State certified/licensed apartments residences.

**Persons with serious mental illness (SMI):** Individuals who meet criteria established by the Commissioner of the Office of Mental Health, which shall include persons who are in psychiatric crisis, or persons who have a designated diagnosis of mental illness under the most recent edition of the Diagnostic and Statistical Manual of Mental Disorders and whose severity and duration of mental illness results in substantial functional disability. Persons with serious mental illness shall include children and adolescents with serious emotional disturbances.

**Project-Based Rental Assistance:** Refers to rental assistance that is tied to a residential property with a specific location and remains with that particular location throughout the term of the assistance.

**Qualifying Individuals:** For purposes of the ESSHI RFP, "qualifying individual" has the same meaning as "unit," as in unit of cost. Projects may receive up to \$25,000 per qualifying individual/unit. For example, a two-bedroom apartment may serve one "qualifying individual" living with a partner or children. For certain populations, a two-bedroom apartment may serve two "qualifying individuals". In either scenario, \$25,000 is the maximum request for each qualifying individual. So the first example would qualify for up to \$25,000 of ESSHI funds and the second example, up to \$50,000. Note that the term "unit" with respect to permanent supportive housing funded under NYS capital programs continues to refer to a distinct, physical dwelling unit. Note further that certain agencies, such as OASAS, do not allow multiple qualifying individuals in the same dwelling unit.

**Sheltered Homeless:** Individuals who are residing in an emergency shelter, transitional, or other housing that is not permanent or secure, who would otherwise be homeless. This includes homeless youth who are “doubled up”, a situation where individuals are unable to maintain their housing situation and are forced to stay with a series of friends and/or extended family members (also referred to as “couch surfing”).

**Site Control:** Enforceable right to use or acquire specific real property through ownership, long-term lease, purchase agreement, or purchase option agreement.

**Substance Use Disorder (SUD):** Substance use disorders are disorders that can occur when recurrent use of alcohol and/or drugs causes clinically and functionally significant impairment, such as health problems, disability, and failure to meet major responsibilities at work, school, or home. According to the DSM-5, a diagnosis of substance use disorder is based on evidence of impaired control, social impairment, risky use, and pharmacological criteria.

**Supportive Housing Services:** Supportive housing services are services that are tailored and appropriate to the specific population to be served (e.g., safety planning for victims of domestic violence, substance abuse treatment, etc.). Supportive services are geared to help families, individuals, or young adults maintain physical and emotional health, assist with educational and employment opportunities for all household members, sustain healthy relationships and generally improve the quality of individuals’ lives.

**Trauma-informed assessment and services:** Recognizes the impact of trauma on individuals and families, including the lasting adverse effects trauma may have on a person’s functioning. This understanding is integrated into an organization’s policies, procedures, and practices. This includes screening for/recognizing the signs and symptoms of trauma, responding with best practices and avoiding re-traumatization.

**Unsheltered Homeless:** Individuals who are residing in a place not meant for human habitation, such as cars, parks, sidewalks, subways, abandoned buildings (also referred to as “street homeless”)

**Victim or survivor of domestic violence:** Refers to any person over the age of sixteen or any parent accompanied by his or her minor child or children in situations in which the person or their child is a victim of an act which would constitute a violation of the penal law and has resulted in physical or emotional injury, or has created a substantial risk of physical or emotional harm, where the act was committed by a family or household member, which includes individuals related by consanguinity or affinity, married or formerly married, having a child in common or are currently, or have been, in an intimate relationship.

## **SECTION 6: Application Instruction Requirements**

The entire ESSHI application should be submitted in Grants Gateway. Applications submitted outside of the Grants Gateway system may not be reviewed.

Eligible entities are NFPs subject to Prequalification Requirements, with available document vaults in Grants Gateway. Read and follow all instructions while completing the screens in Grants Gateway.

Listed below are some general guidelines for navigating the Grants Gateway system:

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- Log into Grants Gateway as a Grantee, Grantee Contract Signatory or Grantee System Administrator.
- Click the “Available Opportunities” button.
- From the “search by funding agency” drop-down menu, select Office of Mental Health. Click “search”.
- Locate Empire State Supportive Housing Initiative and click on the blue link.
- Click the “Apply for Opportunity” button.
- From the FORMS MENU, complete the forms as described on the next page. Sections from the Forms Menu do not have to be completed in any particular order. Certain forms may be left blank if they do not apply to your application, such as budget items not requested. There will be a “global warning” error if you try to submit an application without completing required forms.
- You must SAVE YOUR WORK before moving onto a new screen.
- To check if an upload was successful, click “View File” after uploading a document.
- If you do not complete the application in one session, it will be in your “tasks” box labeled “application in process”. Another way to find an application in process is to click the “applications” tab at the top of the screen.
- Please note: those logged in as Grantees may work on the application, only those logged in as a Grantee Signatory or a Grantee System Administrator can submit the application to the State. When the application is ready for submission, click the Status Changes tab, then click the “apply status” button under “application submitted”.
- To check the status of your application, click on the “Details” link. After submitting your application, the status will say “Assignment of Reviewers.” This means you have successfully submitted the application.

Additional helpful information:

- There is a Grantee Application Tutorial Video available. After logging into Grants Gateway, click the “training materials” tab at the top of the screen. You may also locate the video on YouTube at <http://www.youtube.com/channel/UCYnWskVc7B3ajjOVfOHL6UA>.
- Helpdesk information: Monday thru Friday 8am to 4pm
- Phone: 518-474-5595; Email: [grantsgateway@its.ny.gov/](mailto:grantsgateway@its.ny.gov)
- Online resources for applicants, including FAQs, vendor user manual, videos, and training webinars are available at <https://grantsmanagement.ny.gov/resources-grant-applicants>

The following underlined headings correspond to the screens that must be completed for your ESSHI Application in Grants Gateway. Each screen is listed as a link under the Forms Menu. Click a link, complete the screen as directed, save the screen, go back to the Forms Menu and click another link. Continue in this manner until you have completed all the links/screens. Remember to save your work often, as Grants Gateway times out. Be careful to answer the question in the appropriate response box. Responses that do not correspond to the correct question may not receive credit.

**Project Site Address screen:** Enter the address of the housing project site, if known. Otherwise, enter TBD.

**Program Specific Questions screen:** Provide the information requested. Narratives are limited to 4,000 characters. Some questions may request an upload, if applicable.

**Budget Section:** Complete the Budget section screens as directed below. Only use whole dollar amounts. Matching funds are not required under ESSHI. Use the “Other” column to denote any operating revenues other than ESSHI funds such as tenant contributions. ESSHI funding should principally be used for Personal Services (staff salaries and fringe) and rent subsidies. Any other expenses should be justified. Note that any duplicative line item may be disallowed by the State Contracting Agency.

Configuration of the rental subsidy should take into consideration all operational expenses including, but not limited to utilities, repairs and maintenance, insurance, fees, taxes, exterminating, reserve contributions, administration, legal and accounting.

**Personal Services - Salary screen:** List all positions that provide direct service to residents. Each position should be entered on a separate screen. Briefly describe the role/responsibility of the position in relation to the ESSHI program. Click Save. Click Add to open a new screen for listing the next position.

**Personal Services – Salary Narrative screen:** This screen should be used only if needed to describe or explain things out of the ordinary, exceptions in staffing patterns, unusual salary costs, justification of staff funded by more than one funding source and explanation of the percent time allocated to ESSHI, including the percentage of time allocated to administrative and program activities where necessary.

**Personal Services - Fringe screen:** Provide a brief explanation of the percentage and composition of your fringe benefit structure. Fringe should not exceed OSC's rate, currently at 61.48%. If fringe is not applicable, leave this section blank.

**Personal Services - Fringe Narrative screen:** This screen should be used only if needed to describe or explain things out of the ordinary, and/or unusual costs.

**Contractual Services screen:** List services that are provided under a formal or written agreement. Provide both a description of the services and justification for the services. Each type of contractual cost should be listed on its own screen and the cost justified. Only the pro-rated portion of the entire expenditure that is related to ESSHI is allowed. This line 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 ESSHI contract and whose services are to be funded under the ESSHI budget. This includes any other NFPs performing work under the proposed ESSHI contract. All such agreements are to be bona fide written contracts: The SCA reserves the right to request these documents at any time in the future. Requests in support of this grant category, if not with another not for profit or unit of local government, may be required by the SCA to demonstrate how they will use these purchases to meet MWBE goals.

**Travel screen:** This category includes travel costs for personnel listed under Personal Services Costs, participant travel and other travel expenses. Mileage costs may be reimbursed up to the State rate (currently the maximum rate is \$.545 per mile). In the justification field, explain which staff will be traveling in relation to the project, the destination, purpose and frequency of the travel. Out-of-state travel is discouraged, although a contractor may pursue such travel with justification and pre-approval from the SCA.

**Equipment screen:** 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. Substantial equipment purchases (costing more than \$5,000) should be avoided. Acquisition costs must be in accordance with NYS requirements and may be evaluated to determine if leasing is a practical and cost-effective alternative. If the only alternative is to purchase such equipment using contract funds, an applicant is required to obtain 3 competitive bids and should receive prior approval. All things being equal, the contractor should purchase equipment from the lowest bidder. Complete the Equipment form for requested equipment. Complete the Equipment Narrative form if there is any substantial equipment costing more than \$5,000 per item. Requests in support of this grant category, if not with another not for profit or unit of local government, may be required by the SCA to demonstrate how they will use these purchases to meet MWBE goals.

**Space/Property – Rent screen:** This section is used to itemize costs associated with

Space/Property Rent that the applicant uses to conduct business. Include justification of expenses in the field provided.

**Utilities screen:** Expenses related to utilities needed to operate the program such as phone, water, electricity, heating, etc.

**Operating Expenses screen:** Items necessary to operate the program such as food, insurance, postage, office, or program supplies.

**Other screen:** This category should include program items that do not fit in the other categories, such as rent subsidies, office supplies, and administrative costs. Each cost should be listed on its own screen. Allowable administrative costs are those costs directly related to administering the ESSHI program as detailed in Sections 1.6 of the RFP. If including administrative costs, please use the prefix ADM when completing the Type/Description section (i.e. ADM- Executive Director, or ADM- ExDir Fringe, or ADM- Audit Fee). The total combined administrative costs may not exceed 15% of the annual requested funds. Administrative costs should be itemized. Requests in support of this grant category for procuring goods or services, if not with another not for profit or unit of local government, may be required by the SCA to demonstrate how they will use these purchases to meet MWBE goals.

**Other Narrative screen:** Use this section to provide details for any staff/position listed as administrative (ADM) under "Other". List the title, the annual salary, and the percentage of time spent on ESSHI administrative activities; also include a brief description of those activities.

**Workplan Overview Form:** This section will be used to create the Work Plan portion of the contract. Some of the information requested will be duplicative of information provided earlier in the application. You may copy/paste previous responses where appropriate when developing your Project Summary and/or Organizational Capacity narratives. Be sure to follow the guidance provided below.

The Work Plan Period should state the annual award period. For year 1 the period will be projected based on your anticipated operational date.

The Project Summary section should include a high-level overview of the project as instructed. The narrative should also identify:

- Continuum of Care;
- Target population(s);
- Number of qualifying individuals;
- Eligibility guidelines for qualifying individuals;
- Onsite services offered;
- Offsite services offered;
- Description of the program and how grants funds will be utilized;
- How you determine/evaluate success of the program

The Organizational Capacity section should include the information requested and a brief description of any other services/programs offered by the organization.

**Objectives and Tasks:** This section will be used to set up quarterly reports and collect performance data. There are three pre-established Objectives-Tasks, they are listed below. From the Forms Menu, click on the Work Plan Properties link. Upon initially opening, all objective sets will be expanded. You can work on each set either in the order listed or collapse the full grid to see the overview of the entire Work Plan and expand each section as you complete it. Full objective sets, which include an objective, a task, and a performance measure are all listed on one page. Follow the progression of Objective, Task and Performance Measure(s) for each of the following. Please see Section 5.2.4 in the Grants Gateway User Manual for additional instructions regarding the Work Plan if needed:

<https://grantsmanagement.ny.gov/system/files/documents/2019/03/grantsgatewayvendorusermanual03-13-2019.pdf>.

Note that the total number of tasks and performance measures for the entire workplan is five (5) each. There is one mandatory tasks for each defined objective. This means that only two (2) additional tasks or a total of five (5) performance measures may be entered. If greater than two (2) additional tasks or five (5) performance measures are entered, they will need to be deleted to successfully complete the workplan properties page.

**Target Population:** Enter the target population(s) for the ESSHI project. The population(s) listed must correspond to one or more of the eligible populations indicated in Section 1.4 of the RFP. Performance Measure is Grantee Defined.

**Referral Sources:** Identify the referral source(s) for each target population in the project. Performance Measure is Grantee Defined.

**Anticipated Outcomes of the Project:** Describe anticipated benefits for the recipients of services of the ESSHI project. Applicants should respond to one defined outcome measure: to “describe how your agency will measure housing stability”. Applicants should also identify and describe two additional outcome measures and how they will be measured.

**Pre-Submission Uploads Screen:** This section contains forms for completion with recommended formats. You may download applicable forms by clicking on the appropriate link. Once a form is opened, click ‘Enable Editing’ at the top of the document to be able to enter data. Rename and save the completed form to your computer. Upload your completed form in the Pre-Submission Upload section and/or where indicated throughout the application. If required information is not available or cannot be produced, an explanation should be uploaded. If requesting ESSHI funds for supplies, contractual, and/or equipment categories, the State Contracting Agency will require submission of applicable MWBE forms prior to execution of a contract. However, if a contractual expense is with another NFP, MWBE forms are not applicable. The following is a list of the required forms:

- **Appendix A (MRT Project Questionnaire):** This form is required at the time of the ESSHI application **only** if the proposed ESSHI project will target a greater number of MRT eligible qualifying individuals than would be required by the 25% rule (explained in Section 1.4.1 of the RFP). Proposals that meet the 25% requirement will be requested to complete an Appendix A at the time a conditional award is given.
- **Sexual Harassment Prevention Certification.** This form is required per State Finance Law §139-l, as described more fully in Section 1.15 of the RFP.
- **Letter of support from CoC or local planning entity.**

## PREVIEW OF GRANTS GATEWAY APPLICATION

Below is a preview of the questions appearing in the application in the Grants Gateway. Remember to save your work often. The application may also be printed at any time during the process for your reference. Do not send a printed copy to OMH. Applications submitted outside of the Grants Gateway system may not be reviewed.



New York State  
Grants Gateway

## **PROGRAM SPECIFIC QUESTIONS**

### **Instructions:**

1. Please complete all the required fields.
2. Select the Save button above to save your work frequently.

### **Project Title**

1. Section: Basic Project Data. Provide the following basic information regarding the proposed project.
    - a. Continuum of Care
    - b. Total number of dwelling units in the project
    - c. Number of ESSHI-funded qualifying individuals. Note that this number should equal the sum of the responses to 1.d. – 1.o., below, specifying the number of individuals to be served in each eligible population (i.e. do not double-count individuals that may have multiple disabilities or life challenges).
    - d. (Number of qualifying individuals by population) individuals with a Serious Mental Illness (SMI)
    - e. (Number of qualifying individuals by population) individuals with a Substance Use Disorder (SUD)
    - f. (Number of qualifying individuals by population) individuals who are living with HIV/AIDS (HIV)
    - g. (Number of qualifying individuals by population) survivors of domestic violence (DV)
    - h. (Number of qualifying individuals by population) veterans
    - i. (Number of qualifying individuals by population) chronically homeless individuals
    - j. (Number of qualifying individuals by population) youth aging out of foster care
    - k. (Number of qualifying individuals by population) young adults 18-25
    - l. (Number of qualifying individuals by population) individuals reentering the community from incarceration
    - m. (Number of qualifying individuals by population) frail elderly/ seniors
    - n. (Number of qualifying individuals by population) MRT-eligible
    - o. (Number of qualifying individuals by population) Individuals with an Intellectual/Developmental Disability (I/DD)
    - p. Do you anticipate that your project will accept referrals from the Single Point of Access (SPOA/SPA)?
    - q. Do you anticipate that your project will accept referrals from the Coordinated Entry System?
    - r. Do you anticipate that your project will accept referrals from the Local Department of Social Services (LDSS)?
-

- s. Do you anticipate that your project will accept referrals from shelters (including medical respite and DV shelters)?
- t. Do you anticipate that your project will accept referrals from outreach teams/ drop-in centers?
- u. Do you anticipate that your project will accept referrals from transitional housing (including Community Residences, Halfway Houses, etc.)?
- v. Do you anticipate that your project will accept referrals from State Psychiatric Centers?
- w. Do you anticipate that your project will accept referrals from prisons?
- x. Do you anticipate that your project will accept referrals from hospitals?
- y. Do you anticipate that your project will accept referrals from nursing homes?
- z. Do you anticipate that your project will accept referrals from SUD outpatient programs?
- aa. Do you anticipate that your project will accept referrals from the HIV AIDS Services Administration (HASA)?
- ab. Do you anticipate that your project will accept referrals from non-residential or internal DV program referrals?
- ac. Do you anticipate that your project will accept referrals for OPWDD-eligible individuals who have been determined to meet the level of emergency need through the Certified Residential Opportunities review process?
- ad. Please enter the capital funding source(s) that are planned to be used to develop the project.
- ae. SHARS ID or HHAP ID, if applicable

2. Section: Need

- a. Provide an executive summary of the proposed project. Please include target population(s), total number of dwelling units, number of ESSHI qualifying individuals, total requested ESSHI funds, requested ESSHI funds per qualifying individual, a list of referral sources by population, location (or address, if known), building description (if known), and capital project team (if known).
- b. Provide an overview and history of your agency.
- c. Explain how the agency meets the eligibility requirements set forth in Section 1.3 the RFP.
- d. Describe any potential partnerships to be entered into in order to meet the experience requirements in Section 1.3. Describe the roles and responsibilities of any potential partners.
- e. Are you planning on partnering with a housing developer? If yes, identify the developer (if known).
- f. Describe the target population(s) the proposal would serve. If the proposal will serve MRT eligible individuals, greater than the 25% required in Section 1.4, Appendix A (MRT Project Questionnaire) must be completed and uploaded to the application in the pre-submission uploads section.

- g. Highlight the applicant agency's experience with each of the targeted population(s) that will be served through your proposal; demonstrate your agency's ability to effectively serve the targeted population(s).
  - h. If the applicant intends to engage in partnerships with other agencies to provide services appropriate to the population(s) to be served, highlight the experience of any partnership agencies with each of the targeted population(s).
  - i. Describe the identified housing and services needs of the target population(s).
  - j. What factors have created and perpetuated homelessness among the target population(s) that your organization is proposing to serve?
  - k. Provide a thorough description of the community and the need for the project based on the agency's experience.
  - l. Attach and summarize the HUD CoC Homeless Assistance Programs Homeless Populations and Subpopulations report (point in time data) for your continuum, if this report is available to the applicant. For those areas without a Continuum or Care or where the CoC report is not available to the applicant, please substitute local data. Applicants may enhance CoC and local planning data with other relevant information.
  - m. Attach and summarize the HUD CoC Homeless Assistance Programs Housing Inventory chart for your continuum, if this chart is available to the applicant. For those areas without a Continuum of Care or where the CoC chart is not available to the applicant, please substitute local data. Please focus your response on the Permanent Housing beds in your area.
  - n. Describe how your proposal responds to the identified housing need for the populations to be served.
  - o. Explain how homeless services are currently coordinated and delivered in the proposed area. If there is a Continuum of Care (CoC), describe which organizations/individuals are represented and the entity charged with coordinating the planning.
  - p. Explain your agency's role in the CoC or local planning process. For those agencies that are not active in the CoC planning process or are not CoC participants, please describe what efforts will be undertaken to engage in or to seek an active role. For those areas without a CoC, please explain your agency's role in the local planning process.
  - q. Explain how the proposed program funded under this RFP will be coordinated with the existing programs in the CoC or local planning process, and how duplication of effort will be avoided with this project.
  - r. Describe your agency's efforts with regard to participating in the Homeless Management Information System if applicable.
  - s. Did you upload a letter of support for this project from the CoC or local planning entity in the Pre-Submission Uploads section?
3. Section: Impact.
- a. Describe the process of how the target population(s) will be identified and referred (e.g. SPOA, coordinated entry, etc.). Include your agency's understanding and commitment to working with the referral process appropriate to the population(s) served.
  - b. Provide a detailed description of outreach efforts, intake, and exit from the program.
  - c. Describe what supportive services will be provided to the targeted population(s) through this funding. Provide evidence of any relationships/ linkages with other community service providers

(letters of support, etc.) Clearly distinguish ESSHI-funded services to be provided directly by the applicant agency and those to be provided through ESSHI-funded agreements/partnerships with other community service providers.

- d. Describe any tenant eligibility requirements for the proposed project.
- e. Discuss in detail the staffing of the project. Include the roles and functions of each ESSHI-funded position.
- f. Identify appropriate safety and security measures for the target population as well as building security.
- g. Describe any rent collection, eviction, and turnover procedures.
- h. Provide an overview of the proposal's purpose and desired outcomes. (Include specific performance measures intended to improve the health status and/or self-sufficiency and /or safety of the individuals served through this project). Outcome measures should be quantifiable.
- i. Describe how your agency will monitor the effectiveness of the program.
- j. State specifically whether and how the proposal will address one or more of the goals of Executive Order 190 (Incorporating Health Across All Policies into State Agency Activities).
- k. How does your program integrate trauma knowledge into its policies, procedures and practices? How do you ensure that all staff are trained and providing trauma-responsive services that address tenants' needs resulting from various forms of childhood, adult or life-long trauma, including poverty, racism, victimization, physical or emotional injury, illness, etc.?
- l. Describe how your program addresses the needs of marginalized populations, including individuals of color, diverse cultural identities or ethnicities, people who identify as LGBTQ or gender non-conforming, etc. How does your program conduct outreach and provide welcoming, inclusive and culturally-sensitive services?
- m. How does your program provide language access for individuals with limited English proficiency? Describe to what extent the following are available to tenants: translated materials, multilingual staff and/or interpretation and translation services.

#### 4. Section: Readiness

- a. Is there an identified site for the proposed project?
- b. Do you have site control? If yes, describe the form of site control. If not, describe your plan to achieve site control.
- c. Describe what capital funding sources have already been secured. If capital funds have not been secured, discuss how your agency plans to secure capital funds within the 12-month time frame.
- d. Provide a realistic time frame for project completion. Be as specific as possible. Include typical milestones such as site acquisition, closing on financing, construction timeframe, and estimated project opening date. Address other items such as known zoning issues, community support, project development team readiness, etc.
- e. If this project is already in development, identify the status/stage of development, including the percentage of construction completion, if applicable.

#### 5. Section: Budget

- a. Describe the extent to which other viable sources of funding are available to provide operating and

support services costs. Include any applicable funding such as tenant contributions, foundation funds, other subsidies, etc. Please list these funds separately in the "Other" Column in the budget.

- b. Describe the fiscal viability and health of the applicant agency, including the history of successfully managing public grant funding.
- c. In the past three years, has the applicant agency been audited or reviewed by a government agency. If so, what was the result? Describe any negative findings and how they were resolved.
- d. Indicate if audited financial statements have been prepared for the applicant agency within the past twelve months and if the audit resulted in an unqualified, or "clean" opinion. If the audit resulted in a qualified opinion, please describe.
- e. Did the most recent audited financial statements of the applicant agency indicate that current assets were equal to or exceeded current liabilities (a positive working capital position)?
- f. Indicate the percentage of the total funding request attributable to rent subsidies.
- g. Describe how the amount of ESSHI funding requested per qualifying individual was determined. Explain the calculations regarding the services and other costs indicated in the budget. Each item should be justified.



# Appendix A

## MRT Project Questionnaire

### Medicaid Redesign Team Supportive Housing Project Questionnaire

The Medicaid Redesign Team (MRT) Supportive Housing Initiative serves homeless Medicaid high utilizers through capital funding, rental subsidies, and transitional and support services. In order to evaluate this application for the Empire State Supportive Housing Initiative, and capital funding, this questionnaire must be completed. Please do not refer to sections of your general application. Be aware that all aspects of marketing, management and implementation of the project must conform with all applicable sections of Title VIII of the Federal Civil Rights Act of 1968, also referred to as the “Fair Housing Act”, Section 504 of the Federal Rehabilitation Act of 1973, the Human Rights Laws of the State of NY, HIPAA (Health Insurance Portability and Accountability Act) and all other applicable laws and regulations.

A Medicaid high utilizer is defined as an individual who is enrolled in Medicaid, or has used Medicaid in the last 12 months and is Medicaid eligible, and meets at least **one** of the following:

- Qualify as a Medicaid high utilizer by meeting one of the following over the past 12 months: two or more inpatient stays, five or more emergency department visits **or** four or more emergency department visits and one or more inpatient stay;
- Qualify has a Medicaid high utilizer by being within the top 20% of adult Medicaid recipients’ spending relative to the county where the capital project is located and the project’s target population parameters (e.g., an applicant for housing targeting individuals with Serious Mental Illness (SMI) in Westchester County would need base period spending in excess of 80% of the adult SMI Medicaid population in that county);
- Skilled nursing facility (SNF) resident;
- State psychiatric center, state/voluntary Community Residence (CR) or Community Residence/Single Room Occupancy (CR/SRO) resident;
- Enrolled or enrolling in a Health Home;
- Enrolled in a Health and Recovery Plan (HARP) or an HIV Special Needs Plan (SNP)

Allowable referral sources for this population include: CR programs, CR/SRO programs, Health Home, hospitals, managed care organizations (MCO), Performing Provider Systems (PPS), shelters, SNFs, and state psychiatric centers.

**Project Name:** Click or tap here to enter text.

**Number of MRT units:** \_\_\_ of \_\_\_

**Location:** Click or tap here to enter text.

**Population:** Click or tap here to enter text.

1) Fully describe the Medicaid high utilizer population that will be served in the proposed project. Will your project serve multiple populations? If so, please specify the target populations and how you intend to serve them appropriately based on their needs.

Click or tap here to enter text.

2) Will the targeted Medicaid high utilizer population be chronically homeless/shelter, unstably housed, transitioning from a skilled nursing facility, congregate care or individuals currently residing in an inpatient care facility? Please specify the targeted referral source(s) as well as how many units.

Click or tap here to enter text.

3) How will you ensure that units will be targeted towards, and confirmed as being filled by, the Medicaid high utilizer

population who are currently enrolled in Medicaid, or have had Medicaid spending within the last 12 months and are Medicaid eligible?

Click or tap here to enter text.

4) Fully describe how the project sponsor will conduct outreach and screen prospective tenants to ensure that the targeted MRT units are rented to the intended Medicaid high utilizer population in compliance with all applicable fair housing requirements. Include any community or health system partners.

Click or tap here to enter text.

5) How has the need for supportive housing for the targeted Medicaid high utilizer population been documented within the primary market area?

Click or tap here to enter text.

6) Fully describe the range of services that will be made available to the targeted Medicaid high utilizer population (services provided cannot be Medicaid billable: [https://www.health.ny.gov/health\\_care/medicaid](https://www.health.ny.gov/health_care/medicaid)). Identify the service organization(s), if applicable, that will be responsible for providing those intended services. If you intend to be the service provider, please be sure to make that clear.

Click or tap here to enter text.

7) Identify, in detail, the funding sources for the services that will be provided to the Medicaid high utilizer population. Please identify the government agency(ies) that administer each of the funding sources for the services that will be made available.

Click or tap here to enter text.

8) Identify the funding source(s) for an ongoing rental subsidy or other form of subsidy that will be available to ensure that rents paid by the targeted Medicaid high utilizer population will remain affordable.

Click or tap here to enter text.

9) In relationship to the project, will licensing and/or certification by a government agency be required to provide the level and/or type of services that will be made available to the targeted population? If so, please identify the licensing and/or certifying agency(ies), and the specific license and/or certification that would be required. For additional information, please refer to: [https://www.health.ny.gov/facilities/adult\\_care](https://www.health.ny.gov/facilities/adult_care).

Click or tap here to enter text.

10) If the proposed project is receiving referrals from skilled nursing facilities (SNF), will any nursing home beds in the region close/downsize with the transition of the nursing home eligible population into these units? If so, please identify the name, location, and operator of the facility and the number of beds expected to be taken off line as a result of the project.

Click or tap here to enter text.

11) Is the proposed project subject to design guidelines and/or design approval by another governmental/capital agency? If so, please name the agency(ies) and identify the design requirements. Describe in detail the bedroom configuration and unit type serving the Medicaid high utilizer population.

([https://www.health.ny.gov/health\\_care/medicaid/redesign/home\\_community\\_based\\_settings.htm](https://www.health.ny.gov/health_care/medicaid/redesign/home_community_based_settings.htm))

Click or tap here to enter text.

12) Describe in detail how, and how much, Medicaid savings will be generated by the placement of the proposed Medicaid high utilizer population into this MRT supportive housing project.

Click or tap here to enter text.

## **Reporting and Placement Requirements**

The Department of Health will assist providers with the prioritization of potential tenants lists prior to placement in order to ensure that the tenants meet Medicaid high utilizer criteria. Prioritization can also be done by hospitals, the Human Resources Administration (HRA), MCOs, or PPSs that are referring Medicaid members to a project.