



**Office of Alcoholism and  
Substance Abuse Services**

## **Request for Proposals**

# **New York / New York III Permanent Supportive Housing for Homeless Families Round Four**

**June 2015**

[www.oasas.ny.gov](http://www.oasas.ny.gov)

**OASAS 2015 Request for Proposals  
NEW YORK/NEW YORK III  
PERMANENT SUPPORTIVE HOUSING FOR  
HOMELESS FAMILIES  
ROUND FOUR  
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**NEW YORK STATE  
OFFICE OF ALCOHOLISM AND SUBSTANCE ABUSE SERVICES**

**2015 Request for Proposals  
New York/New York III  
Permanent Supportive Housing for  
Homeless Families  
Round Four**

- **FUNDING AVAILABLE:** Up to \$2,000,000 is currently available annually. This amount may increase or decrease based on future State appropriations.
- **TARGET POPULATION:** This RFP is targeted to provide permanent supportive housing for chronically homeless families, or families at serious risk of becoming chronically homeless in which the head-of-household has a substance use disorder.
- **GRANT PARAMETERS:** Up to \$25,000 per unit for Operating and Supportive Services.
- **FUNDING GOAL:** Up to 80 apartment units, located in the five boroughs of New York City, with no fewer than 10 as the minimum award and no more than 20 as the maximum. Bidders may submit no more than two proposals and only one proposal per borough. It is expected that all apartment units will eventually be located in congregate settings. Apartments may be located in scatter-sites or congregate settings at the start of an award.
- **GEOGRAPHIC PREFERENCE:** Preference will be given to applicants who submit proposals for housing in Richmond (Staten Island) and Queens Counties, both of which are significantly underserved areas for housing.
- **ELIGIBLE BIDDERS:** OASAS-certified agencies and Local Governmental Units **in good standing** that have completed the not-for-profit prequalification process and operate OASAS-certified chemical dependence programs in any of the five boroughs of New York City.



## I. INTRODUCTION AND BACKGROUND

### A. Purpose of Request for Proposals

The New York State Office of Alcoholism and Substance Abuse Services (OASAS) announces the availability of funds for operating and support services costs of congregate/single-site housing to be developed under the New York/New York III (NY/NY III) Agreement within the five boroughs of New York City (NYC) with preference given to applicants who submit proposals for housing in Richmond (Staten Island) and Queens Counties. Operational funding provided by this RFP will only be available to NY/NY III Population G housing units developed with capital funding from the New York State Office of Temporary and Disability Assistance (OTDA), New York State Homes and Community Renewal (HCR) and/or other governmental agencies acceptable to OASAS. This operational funding is available for up to 80 units of housing for families that meet the eligibility criteria for NY/NY III Population G housing as outlined within this RFP.

### B. Funding

#### Capital Funding

OASAS is making no capital funds available through this RFP. Bidders may apply for capital funding directly with OTDA, HCR, or other acceptable governmental agency, or may partner, whenever possible, with a project developer that has secured or is in the process of securing capital funding. The Bidder must clearly state whether the project developer has secured capital funding, or clearly describe the status of any capital funding applications that have or will be submitted to the capital funding agency.

For questions regarding how to apply for capital funding, or who to partner with as a project developer, contact by email:

OTDA: Brett Hebner, Assistant Director Bureau of Housing and Support Services  
[Brett.Hebner@otda.ny.gov](mailto:Brett.Hebner@otda.ny.gov)

HCR: John Serio, Special Needs Manager -- [John.Serio@nyshcr.org](mailto:John.Serio@nyshcr.org) OR  
Earnest Langhorne, Downstate Director of Development --  
[Earnest.Langhorne@nyshcr.org](mailto:Earnest.Langhorne@nyshcr.org)

#### Operating Funding

A total of \$2,000,000 is available for this initiative to support up to 80 apartment units. Bidders may request up to \$25,000 per unit in OASAS State aid funding. Each family will be required to contribute either 30% of their gross household income or 100% of the Public Assistance shelter allowance, whichever is higher.

### C. Availability of the RFP

The full RFP will be available on the OASAS website. An announcement regarding the RFP will be e-mailed to all potential eligible agencies and will be advertised in the



NYS Contract Reporter. The RFP will also be available on New York State Grants Gateway Grant Opportunity Portal at:

[https://grantsgateway.ny.gov/Intelligrants\\_NYSGG/module/nysgg/goportal.aspx](https://grantsgateway.ny.gov/Intelligrants_NYSGG/module/nysgg/goportal.aspx)

## II. PROPOSALS AND SUBMISSIONS

### A. Letters of Intent -- MANDATORY

**Bidders interested in responding to the Request for Proposals are required to submit a non-binding Letter of Intent to OASAS by June 23, 2015. Proposals will only be accepted from those who submit a Letter of Intent.** See Appendix B for a Letter of Intent form. Please mail the Letter of Intent to:

Judy Monson  
New York State Office of Alcoholism  
and Substance Abuse Services  
1450 Western Avenue, Room 202  
Albany, New York 12203-3526  
**Attn: Letter of Intent**

### B. Bidders' Conference

**A non-mandatory Bidders' Conference will be held on June 30, 2015 from 1:30 PM until 3:30 PM at OASAS' office located at 501 7<sup>th</sup> Avenue, New York, New York 10018. Only those Bidders that submit a Letter of Intent by the deadline may attend the Bidders' Conference.** During this meeting, OASAS staff will provide an overview of the RFP and will be available to answer questions related directly to this RFP. If a Bidder is unable to attend the meeting in person, OASAS will make arrangements for participation via conference call. Such Bidders should contact the Designated Contact Agent in Section D for details.

### C. Prequalification Requirement for Not-for-profit Applicants – MANDATORY (See Appendix C for important information on Maintaining Prequalification Status)

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 not-for-profits to register in the 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 Reform Website](#).

**Proposals received from not-for-profit applicants that have not Registered and are not Prequalified in the Grants Gateway on the proposal due date of 5:00 PM on August 4, 2015 cannot be evaluated. Such proposals will be disqualified from further consideration.**

Below is a summary of the steps that must be completed to meet registration and prequalification requirements. The [Vendor Prequalification Manual](#) on the Grants Reform Website details the requirements and an [online tutorial](#) are available to walk users through the process.



### 1) Register for the Grants Gateway.

- On the Grants Reform Website, download a copy of the [Registration Form for Administrator](#). A signed, notarized original form must be sent to the Division of Budget 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 [grantsreform@budget.ny.gov](mailto:grantsreform@budget.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) 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 Request for Proposal.
- Specific questions about the prequalification process should be referred to your agency representative or to the Grants Reform Team at: [grantsreform@budget.ny.gov](mailto:grantsreform@budget.ny.gov).

### 3) Submit Your Prequalification Application

- After completing your Prequalification Application, click the **Submit Document Vault Link** located below the Required Documents section 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.
- 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.

**Bidders are strongly encouraged to begin the process as soon as possible in order to participate in this opportunity.**



If you have any questions about prequalification, please go to the Grants Reform website or contact the OASAS prequalification specialist, Karen Stackrow at [procurements@oasas.ny.gov](mailto:procurements@oasas.ny.gov).

#### **D. Designated Contact Agent**

OASAS has designated a Contact Agent who shall be the exclusive OASAS contact from the time of issuance of the RFP until the issuance of the Notice of Award (restricted time period). Bidders may not communicate with any other personnel of OASAS regarding this RFP during the restricted time period. The designated contact agent is:

Judy Monson  
New York State Office of Alcoholism  
and Substance Abuse Services  
1450 Western Avenue, Room 202  
Albany, New York 12203-3526  
[Judy.Monson@oasas.ny.gov](mailto:Judy.Monson@oasas.ny.gov)  
Phone: (518) 485-2145  
Fax: (518) 485-1332

#### **E. Inquiries Related to the RFP**

Any questions or requests for clarification about this RFP must be received in writing by 5:00 PM on July 7, 2015 and must be directed to the designated contact agent referenced above. All inquiries must be typed and include your name, organization, mailing address, email address, and fax number. Please reference the New York/New York III Permanent Supportive Housing for Homeless Families RFP. To the degree possible, each inquiry should cite the RFP section to which it refers. Inquiries may be submitted only by mail, e-mail or facsimile. OASAS will not entertain inquiries via telephone, made to anyone other than the designated contact agent, or received after the deadline date. Inquiries will not be answered on an individual basis. On or about July 21, 2015, written responses to inquiries submitted by the deadline date and all questions asked at the Bidders' Conference will be e-mailed to all potential Bidders that submitted a Letter of Intent.

#### **F. Addenda to the RFP**

In the event that it becomes necessary to revise any part of this RFP, an addendum will be posted on the OASAS website.

#### **G. Key Events/Timeline**

RFP Release Date	June 12, 2015
Mandatory Letter of Intent Due	June 23, 2015
Non-Mandatory Bidders' Conference Date	June 30, 2015
Questions Due	July 7, 2015
Questions & Answers E-mailed to Potential Bidders	July 21, 2015 (on or about)
Proposals Due	August 4, 2015



## H. Eligible Bidders

OASAS is seeking funding proposals from voluntary agencies and Local Governmental Units (LGUs) that are **in good standing**, have completed the not-for-profit prequalification process and that operate OASAS-certified chemical dependence programs in NYC as follows:

<b><u>Program Type</u></b>	<b><u>OASAS Certification</u></b>
Chemical Dependence Withdrawal and Stabilization Services	Part 816
Chemical Dependence Inpatient Rehabilitation Services	Part 818
Chemical Dependence Residential Services	Part 819
Chemical Dependence Outpatient Treatment Programs	Part 822-4
Opioid Treatment Programs	Part 822-5

The agency receiving an allocation of funding pursuant to this RFP (the operating entity) may be a separate entity from the agency receiving capital funding (the developer). However, the two entities must enter into a Memorandum of Understanding (MOU) demonstrating how collaboration will be achieved. If the Bidder is proposing to place families directly into the congregate facility, the MOU **must** accompany the proposal at the time of submission. MOUs that are submitted will be subject to review by OASAS after awards are made. Successful Bidders agree to obtain any modifications to MOUs deemed necessary by OASAS prior to the funding of any award. For Bidders proposing the Alternative Two-Phase Approach (described on Page 14), the MOU may be submitted for review and approval after the award is made. The MOU should include an estimated time frame as to when the developer will complete the building.

For purposes of this solicitation the following definitions apply:

**Voluntary Agencies:** As defined in New York State Mental Hygiene Law, section 41.03 paragraph 11, a voluntary agency “*means a corporation organized or existing pursuant to the not-for-profit corporation law for the purpose of providing local services.*” Accordingly, for profit or proprietary entities are **not eligible** to apply for funding.

**Local Governmental Unit:** As defined in New York State Mental Hygiene Law, section 41.03 paragraph 5, local governmental unit “*means the unit of local government given authority in accordance with this chapter by local government to provide local services.*”

**OASAS Certified:** Pursuant to Article 32 of the New York State Mental Hygiene Law, eligible Bidders must possess operating certificates issued by the OASAS Commissioner to engage in the provision of *Chemical Dependence Withdrawal and Stabilization Services* as defined in Part 816, *Chemical Dependence Inpatient Rehabilitation Services* as defined in Part 818, *Chemical Dependence Residential Services* as defined in Part 819, *Chemical Dependence Outpatient Services* as defined in Part 822-4, or *Opioid Treatment Programs* as defined in Part 822-5 of the *Official Compilation of Rules and Regulations* of the State of New York.

***In good standing:*** all of a provider's operating certificates which are subject to a compliance rating have a current compliance rating of partial (two year) or substantial (three year) compliance.

Bidders are advised that only proposals submitted by agencies that are in good standing with OASAS will be accepted. Bidders must maintain their in good standing status in order to be considered for an award through this RFP.

## **I. Format of Proposal and Instructions for Submission**

### **Format**

Bidders may submit no more than two proposals and only one proposal per borough. Each proposal should be typed double-spaced on single sides of 8 ½" x 11" paper. Pages should be paginated. The proposal will be evaluated on the basis of its content, not length.

Each proposal should contain:

#### **1. Proposal Cover Letter**

A Proposal Cover Letter will transmit the Bidder's Proposal Package to OASAS. It should be completed, signed, and dated by an authorized representative of the Bidder's agency. The letter should include a designated agency contact name, phone number and e-mail address.

#### **2. Proposal Narrative**

The Proposal Narrative should be concise (no more than 15 pages, not including attachments).

#### **3. Resumes and/or Job Descriptions that detail qualifications for key staff as well as proposed salaries.**

#### **4. Organizational Chart indicating where the proposed program will function within the agency's structure.**

#### **5. MOU(s) and/or Linkage Agreement(s) with a community-based prevention program AND with agencies that will provide supportive services.**

#### **6. MOU between the operating entity and the developer, if applicable.**

#### **7. Letter of Support from either NYC Department of Homeless Services, or NYC Continuum of Care.**

#### **8. Documentation establishing how the Bidder intends to comply with the NYS Mandated Reporter of child abuse/maltreatment (New York Social Service Law §413) staffing requirements detailed in this RFP.**

9. Documentation (e.g., policies and procedures) regarding the Bidder's compliance with criminal background check provisions of the Justice Center Legislation and Part 805 of the OASAS regulations.
10. Documentation demonstrating not-for-profit status.
11. Agency's Conflict of Interest Policy.
12. Initiative Funding Request Form – Appendix A
  - a. The funding request should include a line item budget, as referenced in the Appendix A of this RFP.
  - b. Complete the Initiative Funding Request (IFR) form to itemize the one-time only expenses. This is the start-up budget.
  - c. Complete the IFR form for the full annual operating budget and include cost per unit data.
  - d. If a proposal identifies a funding commitment for some of the support service costs of the NY/NY III Program, please list the source, the amount of operating monies and the services that will be supported by these additional monies.
13. Budget Narratives for Start-up and Fully Annualized Budgets
14. Latest Independently Audited Financial Statements AND a current Pro Forma Balance Sheet

### **Submission Process**

Interested Bidders should submit, in a sealed envelope, **ONE ORIGINAL AND FOUR COPIES** of a completed proposal to the following address:

Karen C. Stackrow  
Bureau of Financial Management – 5<sup>th</sup> Floor  
Office of Alcoholism and Substance Abuse Services  
1450 Western Avenue  
Albany NY 12203-3526

The cover of the sealed envelope should be labeled “**OASAS 2015 Request for Proposals – New York / New York III Permanent Supportive Housing for Homeless Families Round Four**”.

All proposals must be received by 5 PM **on August 4, 2015**.

## **III. Administrative Information**

### **A. Vendor Responsibility**

Pursuant to New York State Finance Law section 163(3) (a) (ii), State agencies are required to ensure that contracts are awarded to responsible vendors. A determination



of responsibility includes, but is not limited to, an affirmative review of a Bidder's qualifications, legal authority, financial stability, integrity and past contract performance. A vendor responsibility review, including completion of a vendor responsibility questionnaire, will be required of any successful Bidder. OASAS requires a successful Bidder to formally communicate any changes in its responsibility disclosure. Failure to disclose any changes provides OASAS with the right to terminate the contract for cause.

OASAS recommends that Bidders file the required Vendor Responsibility Questionnaire online via the New York State VendRep System. To enroll in and use the New York State VendRep System, see the VendRep System Instructions available at [http://www.osc.state.ny.us/vendrep/vendor\\_index.htm](http://www.osc.state.ny.us/vendrep/vendor_index.htm) or go directly to the VendRep System online at <http://portal.osc.state.ny.us>.

Bidders must provide their New York State Vendor Identification Number when enrolling. To request assignment of a Vendor ID or for VendRep System assistance, contact the Office of the State Comptroller's Help Desk at (866) 370-4672 or (518) 408-4672 or email at [ciohelpdesk@osc.state.ny.us](mailto:ciohelpdesk@osc.state.ny.us).

Bidders opting to complete and submit a paper questionnaire can obtain the appropriate questionnaire from the VendRep website at [www.osc.state.ny.us/vendrep](http://www.osc.state.ny.us/vendrep) or via contacting OASAS or the Office of the State Comptroller's Help Desk for a copy of the paper form.

## **B. Reserved Rights**

OASAS reserves the right to:

- Reject any or all proposals received in response to this RFP;
- Not make an award to any Bidder who is not in Good Standing at the time a contract is awarded;
- Withdraw the RFP at any time, at the agency's sole discretion;
- Make an award under this RFP in whole or in part;
- Make awards based on geographical or regional consideration to best serve the interests of the State;
- Negotiate with the successful Bidder within the scope of the RFP in the best interests of the state;
- Disqualify any Bidder whose conduct and/or proposal fails to conform to the requirements of this RFP;
- Seek clarifications and revisions of proposals;
- Use proposal information obtained through site visits, management interviews and the state's investigation of a Bidder's qualifications, experience, ability or financial

standing, and any material or information submitted by the Bidder in response to the agency's request for clarifying information in the course of evaluation and/or selection under the RFP;

- Prior to the bid opening, amend the RFP to correct errors of oversights, or to supply additional information as it becomes available;
- Prior to the bid opening, direct Bidders to submit proposal modifications addressing subsequent RFP amendments;
- Change any of the scheduled dates;
- Eliminate any mandatory, non-material specification that cannot be met by all of the prospective Bidders;
- Waive any requirement that is not material;
- Accept proposals received after the due date, where in the sole discretion of OASAS, there is a reasonable excuse for the delay. Reasonable excuse may include, but is not limited to, carrier disruption and weather delay.
- Conduct contract negotiations with the next responsible Bidder, should the agency be unsuccessful in negotiating with the selected Bidder;
- Utilize any and all ideas submitted in the proposals received;
- Require correction of simple arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of a Bidder's proposal and/or to determine a Bidder's compliance with the requirements of the solicitation.
- Not make awards to any applicant that has not scored at least a 70; and
- Cancel or modify contracts due to the insufficiency of appropriations.

### **C. Debriefing**

A debriefing is available to any Bidder that submitted a proposal in response to this RFP. A Bidder will be accorded fair and equal treatment with respect to its opportunity for debriefing. A debriefing must be requested in writing by the unsuccessful Bidder within ten (10) business days from the date on the letter notifying the unsuccessful Bidder that another vendor was selected.

An unsuccessful Bidder's written request for a debriefing shall be submitted to the designated contact agent referenced above by electronic mail, facsimile or first class mail. The debriefing shall be scheduled within seven (7) business days of receipt of written request by OASAS or as soon after that time as practicable under the circumstances. The debriefing may be by telephone, videoconference or in person, at the sole discretion of OASAS.

## D. Funding Availability and Awards

OASAS will select each successful Bidder, in its sole discretion, based on consideration of a number of factors, including but not necessarily limited to the amount of available State appropriation authority. It is expected that awards will be made until the funds for this RFP are committed.

If an award is made pursuant to this RFP, only the acceptance in writing by the OASAS Associate Commissioner, Division of Fiscal Administration or a designated duly authorized representative, with the approval of the Attorney General and the Office of the State Comptroller, shall constitute a contract between a successful Bidder and the State of New York.

This RFP, all information submitted in each successful Bidder's proposal and any revisions thereto, any follow-up questions and answers, and any RFP addenda, amendments or clarification will be included as part of each successful Bidder's contract.

Neither OASAS nor the State of New York is liable for any expenditure incurred or made by a Bidder until a contract is signed and approved.

OASAS will provide written notification to each successful Bidder and all Bidders not selected to receive funding under the RFP.

OASAS intends to enter into multiyear agreements with the initial agreement being for a period of up to five (5) years, subject to funding availability and appropriations.

**OASAS expects the start-up period to be the first quarter of the new contract; and that providers will be at full capacity within six months of receiving the approved OASAS contract.**

## IV. Scope of Work

### A. Target Population

Under this RFP, Bidders shall develop permanent supportive housing for individuals meeting NY/NY III Population G eligibility criteria. Population G is defined as chronically homeless families or families at serious risk of becoming chronically homeless in which the head-of-household has a substance use disorder.

**Families living in the Department of Homeless Services (DHS) Family Shelter system will be the first priority.** Families living in other transitional housing settings are also considered to be a priority population, including those families who were at risk of chronic homelessness when they entered an OASAS-certified Intensive Residential facility designed to serve women and their children, and are now scheduled to complete that course of treatment, as long as providers follow the Client Eligibility and Placement criteria listed below.

## B. Client Eligibility and Placement

The eligibility of a family seeking housing under NY/NY III will be determined by Human Resources Administration (HRA) upon electronic submission of the supportive housing application (HRA Form 2010e) by the family or anyone acting on behalf of the family such as an outreach worker, case manager, shelter or drop-in center staff, etc. DHS will be responsible for placing approved applicants by sending NY/NY III housing providers a limited, but reasonable, number of eligible applicants from which they will be required to select tenants.

Documentation of addiction-related problems and documentation of head-of-household willingness to participate in a permanent supportive housing program, including development of an overall Family Recovery Plan, will be required. The Family Recovery Plan is to be developed with the family by the case manager.

The programming goals for these families are to ensure housing stability in a safe and supportive environment; to improve family functioning and stability; to promote family health and wellness; to enable families to achieve the maximum possible recovery and integration into the community; and to ensure family members enrollment in health exchanges, Medicaid and/or private insurance as per the guidelines under the Affordable Care Act (ACA), as well as enrollment in a Health Home. The Case Manager/Housing Counselor or Recovery Coach may be utilized to assist in the enrollment process.

## C. Description of Permanent Supportive Housing

OASAS believes that safe, affordable housing and stable living-wage employment are fundamental to successful long-term recovery. OASAS' Permanent Supportive Housing program provides support services necessary to assist families in gaining stability, daily life skills and marketable work skills. Supportive services which are geared to help families maintain physical and emotional health, assist with educational and employment opportunities for all household members, sustain healthy relationships and generally improve the quality of their lives must be provided either directly or through linkages.

The length of stay should be individualized and should be driven by the head of household and 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). Staff must have skills, qualifications and experience necessary to help the head of household set meaningful goals and make progress toward their own personal recovery.

The living units may be designed as two-bedroom and/or three-bedroom apartments. One-bedroom apartment units may also be considered in order to accommodate adult families with no children. Programs should consider no more than two units for this family sub-group. **Studio units and single room occupancy (SRO) units will not be considered for family housing.**

All apartments must meet federal Housing and Urban Development (HUD) Housing Quality Standards. Leases should be secured as close to the HUD 2015 Fair Market

Rental (FMR) Rates as possible -- \$1,249 per month for a one-bedroom apartment, \$1,481 per month for a two-bedroom apartment and \$1,904 per month for a three-bedroom apartment. Bidders may propose leasing costs that exceed the FMR, as long as they stay within the State aid funding request allowed for this program.

#### **D. Program Development Strategies**

**In accord with the NY/NY III Agreement, the units for the Category G population “...shall be congregate (single-site) housing in which a site will be acquired and a building constructed or renovated for the purpose of providing apartments of a size and character that conform to applicable State and City laws and regulations. The supportive housing units developed in this fashion may be a part of a larger building. Supportive services will be provided by a qualified provider.”**

The single-site building may be owned by the service agency, the housing agency, or the housing developer. If the single-site units for this program are part of a larger building, then it is required that the OASAS service agency have a Memorandum of Understanding or contract with the housing developer that commits the program apartment units for at least a 30 year lease. Bidders are reminded that operational funding provided by this RFP will only be available to NY/NY III Population G housing units developed with capital funding from OTDA, HCR and/or other governmental agency acceptable to OASAS.

##### **Direct Approach**

Bidders that already own a single site building which is ready for occupancy, or will be ready for occupancy within six months of a grant award should plan to place families directly into its building.

##### **Alternative, Two-Phase Approach**

It is critical to move families from Family Homeless Shelters as soon as possible. A Bidder is not required to have site control in order to submit a proposal. In cases where the single-site building is not ready for occupancy, OASAS will encourage Bidders to use a two-phase program development approach as described below.

1. **Phase I** – Agencies will lease scatter-site or small cluster rental apartments based on the HUD Fair Market Rental rates from private landlords in the neighborhood where the agency has control of an appropriate site for the capital development of a single site.
2. **Phase II** – Upon the single-site building’s opening for occupancy, agencies will relocate tenants from the scatter-site units to the new single-site building. The single-site building should include 24-hour security or front desk coverage.

Bidders that use the Two-Phase approach must demonstrate their intent to move tenants to the single-site building by entering into a MOU with a developer. Bidders must also clearly explain the Two-Phase process to the families so that they are fully aware of the plan to relocate from the scatter-site unit to the single-site building. The head of household should sign an agreement with the provider,

which acknowledges their understanding of the Two-Phase approach. In addition, it is important to ensure that the scatter-site units are located in close proximity to the projected single-site location, such as in the same elementary school district as the single-site building. Proposed staffing and anticipated costs should be described for Phase I and Phase II.

## E. Reporting Requirements

Bidders which receive an allocation of housing resources under this RFP must agree to comply with the referral process for NY/NY III. Successful Bidders must report all admissions and discharges in the NYC Human Resources Administration's (HRA's) Turn Around Document (TAD). All successful Bidders will be subject to OASAS monitoring visits and must operate according to all applicable OASAS regulations and guidelines. Pursuant to the NY/NY III Agreement, New York State and New York City will implement evaluation protocols to ensure the quality and effectiveness of the services developed. Successful Bidders must agree to participate in this evaluation and provide additional data, as needed.

## V. Evaluation Factors for Awards

### A. Threshold Review Criteria

Following the opening of bids, a preliminary review of all proposals will be conducted by the Issuing Officer or a designee to determine whether the proposal meets specific threshold.

The following "threshold review criteria" will be rated either *yes* or *no*. **If any of the criteria are rated *no*, the proposal will be immediately disqualified from further consideration without exception.**

1. Was the proposal received by OASAS by the submission deadline date as set forth in the *OASAS 2015 Request for Proposals -- New York/New York III Permanent Supportive Housing for Homeless Families Round Four*?
2. Is the Bidder eligible to apply as set forth in *Section II H. Eligible Bidders* of this RFP?
3. Is the Initiative Funding Request Form completed, signed, and dated?
4. Did the Bidder include documentation of having a designated staff that is a NYS Mandated Reporter of child abuse/maltreatment (New York Social Service Law §413)?
5. Did the Bidder include documentation of having a process in place for complying with the criminal background check provisions of the Justice Center legislation and Part 805 of the OASAS regulations?
6. Did the Bidder include a Letter of Support from the NYC Department of Homeless Services or the NYC Continuum of Care?
7. If applicable, did the Bidder include a Memorandum of Understanding (MOU) with a developer?
8. Was the mandatory Letter of Intent received by OASAS by the stated deadline?



## B. Geographic Preference

Award preference will be given to applicants who submit proposals for housing in Richmond County and Queens County. Currently, there are only 43 units of OASAS permanent supportive housing in Richmond, and only 48 units in Queens. Very few of these units are targeted to serve families. In an effort to help meet the need for housing in these underserved areas, OASAS will make awards to agencies who submit successful applications to develop housing in these two counties, before considering awards for housing in other boroughs. Once all successful applications in Richmond and Queens County have been awarded, OASAS will make awards to the other counties, if any funding remains.

## C. Evaluation Criteria

Proposals passing the Threshold Review will be reviewed, rated and ranked in order of highest score based on an evaluation of each Bidder's written submission.

The evaluation will apply points in the following categories:

Demonstrated Successful Relevant Experience	10 points
Organizational Capability	10 points
Program Approach, Services and Supports	30 points
Outcomes and Goals	25 points
Agency Performance	5 points
Program Budget	20 points
<b>TOTAL POSSIBLE POINTS</b>	<b>100 POINTS</b>

## D. Method for Evaluating Proposals and Making Awards

Evaluation of proposals will be conducted in two parts: Program Evaluation and Fiscal Assessment.

Proposals will be separated into two groups: Richmond and Queens Counties and all other counties. The Richmond and Queens County proposals will be evaluated first and awards will be made to the highest successful applications in these two counties. If 80 units are awarded in these two counties, the evaluation of proposals will end. If there are less than 80 units awarded in Richmond and Queens Counties, the remaining proposals will be reviewed, scored and ranked. Awards will then be made in the remaining boroughs until 80 units have been awarded.

OASAS' evaluation team, consisting of at least three evaluators, will review the program portion of each proposal and compute a program score. The Program Evaluation includes: Demonstrated Successful Relevant Experience, Organizational Capacity, Program Approach, Services and Support, Outcomes and Goals, and Agency Performance. All of the Program Evaluation scores will be added together and averaged to arrive at a final program score.

Evaluators of the Program Evaluation component may then meet to provide clarity or clear any questions an evaluator has about a particular section of a proposal. Following the discussion, evaluators may independently revise their original score in any section, and will note changes on the evaluation sheet. Once completed, final Program Evaluation scores will then be recalculated and averaged. A Fiscal

Assessment score will be computed separately based on the operating budget and budget narrative. The final Program Evaluation and Fiscal Assessment scores for each proposal will be added together, resulting in an overall final score.

In the event that two or more proposals have the same highest overall final score, the following tie breaker criteria will be applied to determine which proposal will be ranked highest:

- The proposal(s) with the highest total Program Evaluation score will be ranked highest.
- If the Program Evaluation scores are tied, the proposal(s) with the highest Program Approach, Services and Supports score will be ranked highest.

## VI. Application Proposal

### Narrative

When submitting proposals for funding under this RFP the narrative should be brief (no more than 15 pages, excluding attachments) and address all of the components listed below, in the following order:

### Project Description

Provide a brief narrative which describes in full detail the model proposed for the housing. Describe if you will follow the Direct Approach or the Two-Phase approach as outlined under **Program Development Strategies**. Include the phase of development and current status of the single-site building.

State the borough where you are proposing to develop the housing and the number of units to be developed.

Proposals will be evaluated based on the following areas:

### A. Experience (10 points)

1. Describe the Bidder's experience providing services to the target population – chronically homeless families or families at serious risk of becoming chronically homeless in which the head-of-household has a substance use disorder. If your agency's experience deals exclusively with another special needs homeless population (e.g. mental health), please describe your experience in providing services to that population. Include the number of years that your agency has been providing services to the population.
2. Describe the Bidder's experience in managing supportive housing (either transitional or permanent) for persons with substance use disorders. Include a description on experience developing residential housing in a single-site setting. If your agency's housing experience deals exclusively with another special needs population (e.g., mental health), please describe how the population differs from the substance abuse population and how your agency will manage permanent supportive housing for the substance abuse

population. Include the number of years that your agency has been managing supportive housing.

## **B. Organizational Capability (10 points)**

1. Describe the proposed staffing plan by shifts and by day, if it differs. For each key staff position, attach a resume and/or description of the qualifications and experience that will be required. Examples of staff positions may include Case Manager/Housing Counselor, Recovery Coach or Peer Advocate, Employment/Vocational Counselor, and Clinical Supervisor.
  - Staffing **must** include a staff member designated as a Mandated Reporter of child abuse/maltreatment (New York Social Service Law §413). Verification of certification of a Mandated Reporter should be made available to OASAS staff at the time of a programmatic site visit.
  - Describe the process by which the agency will comply with the criminal background check provisions of the Justice Center legislation and Part 805 of the OASAS regulations as they relate to the hiring of new employees.
2. Describe how staff will be trained and supervised to integrate rehabilitation and recovery principles in the operation of the program. Describe the support and professional development activities that will be made available to direct care staff, including trauma-informed training.
3. Describe the strategies the agency will employ to demonstrate respect for the experiences, beliefs, and values of the diverse cultural and linguistic groups in NYC. Bidders should ensure that all information provided to program participants will be in easily understandable language.
4. Describe and demonstrate a detailed emergency response plan including response to medical and psychiatric emergencies. Include in the program description an explanation of personnel training including assessing risk and safety; handling emergencies; coordinating with medical, mental health, law enforcement, and other professionals; and implementing health and safety procedures. The emergency plan should also address situations such as child safety, fire, sexual harassment, domestic violence, disaster, and other incidents that may jeopardize the health and safety of residents.
5. Describe tenant eviction policies that will ensure NYC's landlord/tenant law and due process procedures would be followed. Include strategies that will be used to assist residents to retain housing by observing/following the terms of their lease.

### **C. Program Approach, Services and Supports (30 points)**

**Describe your agency's program model and how it will serve the target population. Incorporate the following in your response:**

1. Describe your agency's approach to transitioning families into permanent supportive housing.
2. Describe how participants (and when applicable family members) will be assisted in developing individualized person-centered recovery plans and how the agency will handle relapses.
3. Describe the strategies that will be used to engage and motivate individuals toward recovery from substance abuse.
4. Describe the strategies that will be used to integrate families into the community of residence, to include school aged children and/or other family members participating in this program.
5. Describe how the program will address situations when the head of household must leave the home due to inpatient treatment, hospitalization, incarceration, etc. Specify where the children will be placed and supervised during the absence of the head of household. The program budget may be used to pay the tenant's portion of the rent for no more than 90 days.
6. Describe the services and supports that will be available on-site through the agency, as well as those services that will be provided by other agencies through service agreements and other linkages. Supports for individuals coping with a substance use disorder must be included. The Bidder should directly provide outpatient treatment services and medically assisted treatment services. If not, the Bidder should have the appropriate memorandum of understanding(s) in place for such services. The provision of outpatient treatment services to residents of the NY/NY III family units should be located as close as possible to the community where the families are living. In all cases the outpatient services should be accessible by public transportation.
7. Services that are unique to families, including services that will be available to children living in the household must also be addressed.
8. Explain how participants will be assisted in acquiring and utilizing the skills and supports necessary for independent living and achieving self-sufficiency (normal life roles). Describe the assessment and support planning process.

### **D. Outcomes and Goals (25 points)**

1. State and quantify each of the outcomes to be achieved by the families served, and demonstrate how the program would effectively assist families in achieving those outcomes.

2. Describe how the program will promote/encourage, foster, and support the family's ability to set and reach their educational/vocational and employment goals and objectives.
3. Describe the resources and supports that will be used to help families who desire to move into a more independent housing setting.

**E. Agency Performance (5 points)**

Giving due consideration to the requirements of HIPAA Laws and 42 CFR Part 2, describe an actual family with a history of homelessness (and possibly trauma as a result of their homelessness), where the head of household has a substance use disorder (or other special need), and was recently provided services in your housing or other service-type program. Illustrate the challenges posed and how your agency addressed those challenges. Describe in detail how your agency supported the head of household in their recovery (and/or addressed their special need), and provided trauma services including any collaboration with other providers. Also describe the services that were provided to other members in the family, including children. How did your agency's approach compare to services and interventions typically provided to other adults? In reviewing the work with this family was there anything that could have been done differently? Please limit your response to one page.

**F. Program Budget (20 points)**

1. Bidders must develop a full annual budget for the housing units using the "Initiative Funding Request Form" (Appendix A). The budget must include funding for leasing, tenant contribution, staffing (including salaries and fringe), and other than personal services (OTPS) costs. Bidders should also identify other sources of revenue in addition to OASAS funding, if applicable. The OASAS State aid funding request may not exceed \$25,000 per unit. Other factors to consider:
  - Leasing – Costs should be based on the HUD 2015 Fair Market Rental (FMR) rates: \$1,249 for a one-bedroom apartment, \$1,481 for a two-bedroom apartment and \$1,904 for a three-bedroom apartment. Bidders may propose leasing costs that exceed FMR, as long as they stay within the State aid funding request allowed for this program.
  - Tenant contribution -- Each family will be required to contribute either 30% of their gross household income, or 100% of the Public Assistance shelter allowance toward the rent, whichever is higher.
  - Staffing -- All staffing costs should be derived from Full Time Equivalent (FTE) annual costs (e.g., FTE = salary + fringe, 1 FTE \$60,000 (salary) + \$25,000 (fringe) = \$85,000; 0.5 FTE would be 50% of \$85,000).
  - Other than personal service costs – Identify such costs and provide an annual amount per unit.
2. Bidders must include a budget narrative for the proposed units. The budget narrative should include the following:

- Detailed expense components that make up the total operating expenses.
  - The calculation or justification that supports the budgeted value of each category.
  - Per unit costs for each budget category; requests for OASAS State Aid funding may not exceed \$25,000 per unit.
  - Description of duties for each staff position.
3. Bidders must include a start-up budget that covers one-time costs necessary to start the program. The amount of the start-up budget should be no more than three months or one-quarter of the annual budget.

**OASAS expects the start-up period to be the first quarter of the new contract; and that providers will be at full capacity within six months of receiving the approved OASAS contract.**

## Instructions for Completing the Initiative Funding Request Form (IFR) (Start-up and Annual Operating Budgets)

### PROVIDER INFORMATION

1. **Printed Legal Name of Applicant Entity** – Print the incorporated or legal name of the agency submitting the Initiative Funding Request on the IFR and on any additional pages that are attached. **Do not enter the common name or acronym.**
2. **Printed Name of Local Governmental Unit, if Applicable** – Print the complete name of the County or City of New York Local Governmental Unit (LGU) that administers the Applicant Entity's local State Aid contract agreement. **Applicants that have a direct contract with OASAS for State Aid funding should leave this blank.**
3. **Applicant's OASAS Provider Number** – Enter the unique five-digit number that identifies the agency and that is used for reporting purposes to OASAS. This number is the same as the **Agency Code** number used when submitting Consolidated Fiscal Report (CFR) documents.
- 4-6. **Applicant Address** – Enter the mailing address, including zip code, where the administrative office of the applicant entity is located.
7. **Date Prepared** – Enter the date the IFR was prepared.
- 8-10. **Applicant Contact Person** – Enter the printed name and title, and the telephone number (including area code) of the person who can answer questions concerning the information provided on the IFR.
11. **Borough of Proposed Housing Program** - Enter the name of the borough where the proposed housing program will be developed.

### PART II – OPERATIONAL FUNDING REQUEST

1. **Date Initiative Expected to be Operational** – Enter the date, in the xx/xx/xxxx format, that the proposed initiative is expected to be operational and will require State aid funding from OASAS. During the implementation of the initiative, OASAS reserves the right to establish and approve an operational start date later than proposed by the successful applicant to accommodate available funding and capacity needs.

#### Requested Operating Budget for Proposal

Requested operating budget amounts must represent:

Column A: the **start-up, part year costs**, net deficit and OASAS State aid funding requested for one-time costs necessary to start the program effort. Start-up costs include, but are not limited to the following: equipment; office supplies; furniture; rental deposits/securities; and staff recruitment.

Column B: the **12-month, full annual costs**, revenues, net deficit and OASAS State aid funding requested. Awards to the selected applicants will be prorated for the first fiscal



period based on the initiative start date identified above. The full annual budget may be pro-rated based on the approved start date of the initiative.

**ALL AMOUNTS REQUESTED FOR THE ADDITIONAL INITIATIVE FUNDING WILL BE ROUNDED TO THE NEAREST HUNDRED DOLLARS.**

2. **Gross Expense Budget:** Applicants should refer to the Consolidated Fiscal Reporting (CFR) Manual for a more detailed general description of the following expense items which should be entered in Columns A and B:

- Personal Services
- Fringe Benefits
- Non-Personal Services (i.e. Other than Personal Services (OTPS))
- Equipment
- Property/Space
- Agency Administration

3. **Revenue Budget:** Applicants should refer to the CFR Manual for an explanation of each revenue category, and enter applicable start-up and annual projected amounts that they anticipate receiving to offset costs attributable to the initiative in Columns A and B.

If the applicant does not anticipate receiving any additional revenue to offset costs of its proposal it should so indicate by entering \$0 for each category in Columns A and B.

4. **Net Operating Cost:** Enter the amount obtained by subtracting **Total Revenue Budget** from **Total Gross Expense Budget in Column A and B.**
5. **OASAS State Aid Funding Requested:** Enter the amount of OASAS State aid funding being requested for the initiative in Columns A and B. This amount **should equal** the **Operating Budget Net Deficit** amount.
6. **Full-Time Equivalent (FTE) Staff Requested:** Enter the number of FTE's requested as part of this initiative in Columns A and B.

**Applicant Official:** Enter the printed name and title of the applicant agency representative submitting the IFR proposal.

**Signature and Date:** **The IFR must be signed and dated by the applicant agency representative.**

**APPENDIX A - OASAS 2015 REQUEST FOR PROPOSALS –NEW YORK/NEW YORK III  
PERMANENT SUPPORTIVE HOUSING FOR HOMELESS FAMILIES ROUND FOUR  
INITIATIVE FUNDING REQUEST (IFR) FORM  
(Start-up and Annual Operating Budgets)**

1. Printed Legal Name of Applicant Entity:			
2. Printed Name of Local Governmental Unit, if Applicable:			
3. Applicant's OASAS Provider Number:		4. Applicant's Street Address/P.O. Box:	
5. Applicant's City/Town/Village:		6. Postal Zip Code:	7. Date Prepared:
8. Printed Name of Applicant Contact Person:		9. Printed Title of Contact:	
10. Contact Telephone #:		11. Borough of Proposed Housing Program:	

**PART II – OPERATIONAL FUNDING REQUEST**

	(Column A) PROPOSED START-UP OPERATING BUDGET	(Column B) ANNUAL OPERATING BUDGET
<b>1. Date Initiative expected to be operational:</b>		
<b>REQUESTED OPERATING BUDGET FOR PROPOSAL</b>		
<b>2. Gross Expense Budget</b> (see instructions for details): <b>Round Amounts to the nearest \$100.</b>		
Personal Services		
Fringe Benefits		
Non-Personal Services		
Equipment		
Property/Space		
Agency Administration		
<b>TOTAL GROSS EXPENSE BUDGET</b>		
<b>3. Revenue Budget</b> (see instructions for details): <b>Round Amounts to the nearest \$100.</b>		
Patient Fees		
SSI and SSA		
Public Assistance (Safety Net & TANF)		
Medicaid		
Medicare		
Third Party Insurance/Private Pay		
Food Stamps		
Closely Allied Entity Contributions		
Donations		
Other:                   Specify:		
Specify:		
Specify:		
<b>TOTAL REVENUE BUDGET</b>		
<b>4. NET OPERATING COST</b>		
<b>5. OASAS State Aid Funding Requested</b>		
<b>6. Full-Time Equivalent (FTE) Staff Requested:</b>		
Applicant Official:		
Printed Name:	Printed Title:	
Signature:	Date:	

**APPENDIX B**

**LETTER OF INTENT TO BID (To be completed by the Bidder)**

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

Judy Monson  
New York State Office of Alcoholism  
and Substance Abuse Services  
1450 Western Avenue, Room 202  
Albany, New York 12203-3526

RFP Reference:

OASAS 2015 Request for Proposals:  
NY / NY III Permanent Supportive Housing for Homeless Families Round Four

Dear Ms. Monson:

This is to notify you of our non-binding intent to submit a bid response on the above noted RFP.

Proposal(s) are expected to be submitted for the following borough(s):

- Bronx
- Kings
- Manhattan
- Richmond (Staten Island)
- Queens

The individual to whom all information regarding this RFP (e.g. addenda) should be transmitted is:

Sincerely,

\_\_\_\_\_  
Name Title

\_\_\_\_\_  
Organization, Street Address, City, State, and Zip Code

\_\_\_\_\_  
Phone # Fax # E-mail Address

## APPENDIX C

### Maintaining Grants Gateway Prequalification Status

Interested applicants should be aware that even after your organization becomes prequalified in the NYS Grants Gateway system, you still need to monitor the status of your document vault to ensure that your organization remains eligible to apply for this grant opportunity on the proposal submission due date.

**Expiring Documents that Effect Prequalification Status** – There are currently three required documents that expire on a yearly basis, and as such, require that your organization’s document vault be updated prior to each expiration in order to maintain a *Prequalified* status. These documents are:

- IRS990
- Audit
- CHAR500

It is strongly recommended that you update these required documents proactively (i.e.: before the annual expiration date.) The advantage of a proactive approach is as follows:

- If you proactively open your Document Vault to update required documents prior to expiration your document vault will be placed in *Document Vault Prequalified Open* status. Your organization will remain eligible to apply for grants while in this status.
- Once you have updated and submitted your document vault, your document vault status will change to *Document Vault Prequalified /In Review*. Likewise this is a *Prequalified* status and you are eligible to apply for grants.

However, **if you allow one or more required documents to expire**, your document vault will automatically move to *Document Vault Expired* status. Your organization is **not eligible** to apply for grants in this status. Once your document vault is in the *Document Vault Expired* status, the following must occur before *Prequalified* status can once again be achieved:

1. You must updated and submitted your document vault at which time your status will change to *Document Vault In Review*. (Note: this is not a prequalified status and you are not eligible to apply for grants.)
2. The State Agency assigned to your document vault must review the vault, determine that it meets the prequalification requirements, and change the vault status to *Prequalified*. (Note: This may take several days so you should ensure that you upload updated documents and submitted your document vault as soon as possible after expiration.)

Further details on expiring documents and their effect of your *Prequalification* status can be found at: <https://www.grantsreform.ny.gov/Grantees> under *Quick Links - Maintaining Prequalification*.