New York State Office of Children & Family Services (OCFS) announces a Solicitation of Interest (SOI) for qualified organizations that meet the criteria of a Settlement House, as defined herein. A Settlement House is an independent, voluntary, not-for-profit organization engaged in community work and social services delivery in a defined neighborhood, in a municipality of the State of New York.

The Settlement House Statewide Funding opportunity will award grants for the purpose of enhancing and coordinating activities and programs, expanding programs to serve more individuals and families, and/or promoting inter-agency coordination with other neighborhood organizations offering complementary services.

Eligible organizations must provide comprehensive, coordinated, family-focused, multi-generational human services such as childcare if for family employment, employment training, housing assistance counseling, youth development, educational services, counseling, senior services and arts and cultural activities, based on the needs of the neighborhood. Please see the Eligibility Criteria section for the definition of a Settlement House and mandatory application requirements.

The grants provided under the terms of this Solicitation of Interest will provide support to children, youth, adults and families, across generations, in a manner that supports the overall wellbeing of the community served by the Settlement House. The Settlement House Program provides OCFS and localities an opportunity to provide services and supports to vulnerable children and families, and to implement activities to address the needs of communities being served in an equitable manner. Please see the Activities/Work to be Performed section for additional information.

The purpose of this SOI is to invite all eligible and interested entities who believe that their organization can satisfy the requirements of this program, to so inform OCFS by a Letter of Interest (LOI). To be considered responsive, your organization’s LOI must be received no later than the deadline specified on the first page of this announcement. Please see the Eligibility Criteria and How to Apply sections for additional information and submission requirements.
Activities/Work to be Performed

Funded applicants must provide the following service delivery required elements through the Settlement House Program.

As part of this procurement, OCFS encourages all agencies that are currently not members of the United Neighborhood Houses to consider applying for membership, where practicable, during the course of this project.

A. Program Descriptions

A comprehensive range of services to residents of neighborhoods served by Settlement Houses. Funding may be used to provide or enhance existing services which include, but are not limited to: outreach, providing or directing individuals and family members to appropriate community-based resources, monitoring the progress of these individuals, and coordinating intra-agency and community services so that community residents have easy access to a range of services. OCFS requires applications to include linkages and collaborations with other neighborhood service providers. These collaborations must be signed, formal written agreements.

Program services may include, but are not limited to, the following services:

(a) early childhood services that serve the emotional, social, cognitive and physical development needs of children,
(b) youth services that focus on attendance improvement, drop-out prevention, college and career development, homelessness prevention, substance abuse prevention including teen centers and school-age programs, which provide recreational activities, preparation for employment, counseling and meals,
(c) education programs including remedial education, tutoring, homework assistance and English language training,
(d) family programs, including home management, homemaker services, parenting skills training, and teen parent services; programs that address the needs of two generations simultaneously (2-generation programs),
(e) employment programs, including youth employment apprentice programs, job training programs, and displaced homemaker programs,
(f) housing assistance,
(g) child welfare services including preventive services,
(h) non-medical mental health services and counseling, and/or
(i) programs for seniors.

B. Racial Equity and Cultural Competence

OCFS has invested significantly in Racial Equity and Cultural Competence (RECC) work. Efforts to address RECC include examination of the issues related to the overrepresentation of black, Latino and Native American children and their families in the state’s child welfare and juvenile justice systems.

Current OCFS statewide data indicates that black and Latino children and families comprise 72 percent of the state’s children in foster care and about 73 percent of the juvenile justice placements. OCFS views this SOI as an opportunity to heighten public awareness of the issue of disproportionality, and to promote policies and practices to reduce it. Specific areas to consider in the program design and scope of services identified in the Letter of Interest include, but are not limited to:
• Providing service strategies, approaches, and linguistic capacities that promote the delivery of services that are culturally competent and reflective of the population and community to be served;

• Collecting and analyzing data relevant to disproportionality and service provision where relevant to services provided;

• Strategically locating services within communities, to promote better access to service delivery in high-need areas; and

• Promoting cross-agency dialogue and partnerships regarding service planning to address disproportionality including but not limited to: social services, mental health, health, education, housing, substance abuse, probation agencies, and community-based providers.

C. Project Objectives

Project Objectives are the measurable improvements in the condition or behavior of the target population that the program activities intend to achieve by the end of the contract term and will result in the Project Outcome. For this Solicitation of interest, the Project Outcome is the effective delivery of comprehensive, culturally competent, neighborhood-based services, which meet the needs of the served community. Project Objectives are quantifiable and verifiable indicators of program performance. Attainment of several project objectives may be needed to indicate the achievement of a single outcome. Project Objectives can be either an increase in positive behavior or condition, or a reduction in a negative or destructive behavior or condition. A program’s success is measured by how well it achieves its Project Objectives. Project Objectives should be ambitious, but realistic.

Project Objectives must:

• address identified needs of the target population(s);

• address the linguistic and cultural needs of the community;

• be clearly defined and measurable; and

• be achievable with the resources available to the program.

D. TANF Eligibility

Federal Funds-TANF (Temporary Assistance to Needy Families)

By responding to this SOI, the applicant understands that OCFS may utilize federal funds or seek federal reimbursement for State costs OCFS paid out under the Contracts resulting from this SOI, therefore the federal assurances found in Attachment A-2 may apply to any resulting Contract. The federal funds directly charged or reimbursed to OCFS for the Contract are from the Catalog of Federal Domestic Assistance (CFDA) Number(s) found on the face page of any resulting Contract. The Contractor will be required to agree to follow all requirements under the CFDA number(s) listed on the face page of the Contract; and all applicable requirements included in the Attachment A-2 of the Contract.

Eligibility Criteria

Applicants who meet the following mandatory requirements are eligible to apply:

(a) Organizations must provide comprehensive, coordinated, family-focused, multi-generational human services such as: childcare if for family employment, employment training, housing assistance counseling, youth development, educational services, counseling, senior services and arts and cultural activities, based on the needs of the neighborhood;
(b) Organizations must be a **Settlement House** as defined herein. For this funding opportunity a Settlement House is defined as an independent, voluntary, not-for-profit organization engaged in community work and social services delivery in a defined neighborhood, in a municipality of the State of New York State that:

i. Demonstrates current affiliation with downstate membership organization of United Neighborhood Houses at [https://www.unhny.org/our-members](https://www.unhny.org/our-members); OR

ii. Demonstrates the current provision of community work and social services delivery in a defined neighborhood and its *certificate of incorporation, IRS 990, or other form of corporate papers include being a settlement house (i.e. corporate mission statement or public facing documents indicate compliance with all SOI eligibility requirements of a settlement house); AND*

**In addition to the above, an eligible applicant is one that:**

iii. has been incorporated for at least three (3) years and provide written documentation of such incorporation;

iv. qualifies as a tax-exempt organization pursuant to section 501(c)(3) of the Internal Revenue Code and provides a copy of the 2019 IRS Form 990;

v. provides services to all those who live in the neighborhood(s) served without regard to race, creed, religious practice, color, sex, age, national origin, economic status, disability, or affectional preference;

vi. has an independent, autonomous Board of Directors, which meets at regular intervals, has full authority over the policies and operations of the organization, and the membership of which includes community residents;

vii. employs appropriate staff including a position of chief executive officer;

viii. has a budget which is adopted on an annual basis by the Board of Directors, utilizes an accepted accounting system, and has an annual fiscal audit prepared by a Certified Public Accountant not connected with the organization; and

ix. demonstrates that one of its primary purposes is the improvement of the relationship among groups of different cultural, economic, religious, and social groups in the community through a variety of individual, group, and inter-group activities.

(c) **Agree to provide the required services in the neighborhoods, counties, or regions aligned with the definition of a Settlement House and the Solicitation of Interest and document their intention by providing a completed **Attachment 1 – Submission Checklist** and **Attachment 2 – Letter of Interest**;

(d) **Provide proof of linkages and collaborations with other neighborhood service providers. These collaborations must be documented by providing a completed and signed **Attachment 5 – Collaboration Commitment Agreement**;

(e) **Complete and provide an **Attachment 4 – Project Description and Objectives** (provide at least 2 objectives), that supports the Project Outcome. (See Project Objectives Section for additional information);
(f) Provide a **Certificate of Incorporation** (or other equivalent document) that demonstrates the applicant has been incorporated for at least three (3) years;

(g) Provide a current **Organization Chart** that depicts the entire organization’s structure, including a position of chief executive officer;

(h) Provide a copy of their **2019 IRS 990 filing** (or other suitable documentation). OCFS will consider the substitution of a 2019 Certified Financial Statement in lieu of the 2019 Form 990 or a prior year Form 990 if the applicant can demonstrate extenuating circumstances and has applied for a 2019 federal filing extension;

(i) If the Organization is eligible via (b)ii. above and that is not demonstrated through the certificate of incorporation or IRS 990 filing submitted as required above, applicant must provide the necessary versions of the certificate of incorporation, IRS 990 or other form of corporate papers (i.e. corporate mission statement or public facing documents that indicate compliance with all SOI eligibility requirements of a settlement house) to document that the organization meets (b)ii. above; and

(j) Be eligible to do business with New York State.

**Funding Details**

Funding for this project is contingent upon the availability of funds in the state and/or federal budget and the number of eligible applicants that respond to this SOI.

Funding will be based on an appropriation which may be included in the 2021-22 enacted budget, and any such appropriation may or may not be the same funding level included in the 2020-21 enacted budget. Federal Funding Requirements, as detailed in this SOI, may apply to all awardees of funding under this SOI. OCFS desires to invest in services that are responsive to the considerations for race equity and cultural competency as described in Activities/Work to be Performed Section. The award amounts available for each successful applicant will be determined by the expense information for the federal reporting year 2019 as reported on line 18 of the Department of the Treasury Internal Revenue Service Form 990. Applicants must submit a copy of the 2019 Form 990 with their application, the number of eligible grantees and the total appropriation.

Settlement House providers may receive only one award under this funding source.

The exact amount of each award will be determined based on the available funding, the number of successful applicants and their related 2019 expense category. OCFS reserves the right to negotiate the final award amount and contract with each successful applicant.

**Please Note:** OCFS will consider the substitution of a 2019 Certified Financial Statement in lieu of the 2019 Form 990 or a prior year Form 990 if the applicant can demonstrate extenuating circumstances and has applied for a 2019 federal filing extension.

These funds are designed to support low-income families and improve their long-term outcomes as they move towards self-sufficiency. All contracts are required to adhere to the TANF (Temporary Assistance to Needy Families) requirements, as advised by OCFS. Additional information on TANF requirements are located in:

- Activities/Work to be Performed Section;
• Exhibit A and Exhibit B provided as an attachment to this SOI.

Funding cannot be used to support medical services, general education services or on-going assistance. Funds may not be used for anything that is designed to meet a family’s ongoing basic needs including cash assistance, vouchers or similar benefits.

In addition to services described herein, non-recurrent, short-term benefits that are designed to address a specific crisis situation or episode of need are allowable. Short-term benefits, which might otherwise be considered “assistance,” are considered “non-assistance” if they are not intended to meet recurring needs and do not extend beyond (4) four months; e.g. respite services for up to four (4) months, if necessitated by a specific crisis situation, that is not expected to be repeated.

Federal regulations consider transportation and childcare as forms of assistance if the head of household is not employed. These expenses are not allowable and may not be charged to the grant unless they meet the criteria for “non-assistance”. If the costs are not allowable TANF costs, they cannot be included in the Settlement House Program funding request. The cost of such services must be funded by an alternative funding source and shown on the budget request as a Local Share cost. Administrative/Indirect Costs are allowable up to a maximum amount of 15% of the award amount. See Exhibit A, which provides a listing of allowable and non-allowable costs under TANF funding and can be found at the end of this SOI.

Funds received through this application process are not intended as a substitute for any funds currently available from federal, State or local sources for the provision of neighborhood-based service delivery programs provided by vendors that meet the definition of Settlement Houses. Funds awarded to settlement houses shall be used to supplement and not to supplant other federal, state or local funds.

Each awardee will be required to report outcomes in a manner prescribed by OCFS and will be required to make any financial records relevant to this award available to OCFS.

**Term of Contract**

Contract(s) awarded in response to this SOI will be for **five (5) years**. The anticipated start date is **9/1/2021**, and the anticipated end date is **8/31/2026**. Funding is anticipated to be available for the first year of the contract. The award of a contract does not guarantee that funding will be available for subsequent years. Contractors may not begin providing services before the contract start date; OCFS has no obligation to pay for services rendered before the New York State Office of the State Comptroller and the Office of the Attorney General approve the contract.

**How to Apply**

To be considered eligible, interested parties must complete and submit all required documents to this SOI conforming with the format and content requirements as explained. A response that does not provide all the information requested may be subject to rejection. The response should contain sufficient information to assure OCFS of its accuracy. The information provided should, wherever possible, verify that your organization meets the requirements in the **Eligibility Criteria** section of this SOI.
Each applicant is required to complete and provide the following documents:

- Attachment 1 – Submission Checklist
- Attachment 2 – Letter of Interest
- Attachment 4 – Project Description and Objectives (provide at least two (2) objectives)
- Attachment 5 – Collaboration Commitment (for each collaboration with other neighborhood service providers)
- Certificate of Incorporation (or other equivalent document, demonstrating the organization has been incorporated for at least three (3) years)
- Organizational Chart (that depicts the entire organization’s structure, inclusive of a chief executive officer)
- Copy of their 2019 IRS Form 990 filing (or other suitable documentation - See Eligibility Criteria for details.
- If applicable, an additional certificate of incorporation, IRS 990 filing or other form of corporate papers (i.e. corporate mission statement) to verify the entity meets eligibility criteria (b)ii.

Additionally, to expedite contracting process, the following documents should be provided at the time of application:

- OCFS-2647, EO 177 Certification
- OCFS-4821, CMS User Authorization

Applicants must submit these documents via email to RFP@ocfs.ny.gov no later than the deadline specified on the first page of this announcement.

Please enter “SOI # 1005 Settlement House” in the subject line of the email submission of your application and identify the name of the applicant in the body of the email and in the filenames of attached documents to ensure your submission is processed efficiently. Early submissions are encouraged as late responses may be subject to rejection.

Please limit your Letter of Interest to a maximum of five (5) page(s), Arial 12-point font, single line spacing and one-inch margins. Please see the Attachment 2 – Sample Letter of Interest provided for your reference. If applicable, Letters of Interest should attempt to conform to the guidance outlined in Attachment 3 – Guidelines for Preparing Letters of Interest.

Questions

Questions must be submitted via e-mail to RFP@ocfs.ny.gov before the due date and time of this SOI. Please submit your question with adequate time for response. OCFS recommends allowing at least five (5) business days. Be sure to put “SOI # 1005 Settlement House” in the subject line. Late questions may not be addressed.

Evaluation Process

An internal review by OCFS will confirm eligibility. This SOI is not a guarantee or promise of funding. Available funding to support this initiative will be limited to the amount(s) appropriated in the enacted budget for this purpose and will be awarded among those interested organizations who are deemed to meet the eligibility requirements.

OCFS may require additional information from an organization before deciding whether the interested organization is eligible and can supply the requested commodities or services. If OCFS requests additional information, it must be provided within five business days from request.
Upon determination of eligibility, OCFS will notify eligible organizations of their status and the proposed award amount (if any).

**OCFS Reserved Rights**

OCFS reserves the right to withdraw, amend or postpone this SOI, without notice, and without liability, to any applicant, or other party, and may exercise these rights at any time. In addition, OCFS reserves the right to

1. place a monetary cap on the funding amount made in each contract award;
2. change any of the schedule date stated in the SOI;
3. make an award under the SOI in whole or in part;
4. disqualify any applicant whose conduct and/or LOI fails to conform to the requirements of the SOI;
5. reject any LOI if, in the sole discretion of OCFS, it determines the applicant is not a responsible vendor;
6. request all applicants who submitted LOI to present supplemental information clarifying their proposals either in writing or by formal presentation;
7. direct all organizations who submitted LOIs to prepare modifications addressing SOI amendments;
8. make funding decisions that maximize compliance with and address the outcomes identified in this SOI;
9. fund only one portion, or selected activities, of the selected applicant’s LOI and/or adopt all or part of the selected applicant’s LOI based on federal and state requirements;
10. eliminate any SOI requirements unmet by all applicants, upon notice to all parties that submitted LOIs;
11. waive procedural technicalities, or modify minor irregularities, in LOI received, after notification to the applicant involved;
12. correct any arithmetic errors in any proposal, or make typographical corrections to LOIs, with the concurrence of the applicant;
13. negotiate with the eligible applicant(s) prior to contract award;
14. require that all LOIs be held valid for a minimum of 180 days from the closing date for receipt of applications, unless otherwise expressly provided for in writing;
15. fund any or all of the LOI received in response to this SOI. However, issuance of this SOI does not commit OCFS to fund any proposals. OCFS can reject any proposals submitted;
16. use the LOI submitted in response to this SOI as part of an approved contract. At the time of contract development, awardees may be asked to provide additional budget and program information for the final contract;
17. utilize any and all ideas submitted in the LOI received where an award is ultimately made;
18. make inquiries of third parties, including but not limited to applicant’s references, regarding the applicant’s experience or other matters deemed relevant by OCFS. By submitting an LOI in response to this SOI, the applicant gives its consent to any inquiry made by OCFS;
19. where applicable, require contractors to participate in a formal evaluation of the program to be developed by OCFS. Contractors may be required to collect data for these purposes. The evaluation design will maintain participants’ confidentiality and recognize practical constraints of collecting this kind of information;
20. when applicable, consider statewide distribution and regional distribution within New York City, including borough distribution methodology, in evaluating proposals; and
21. reject any extraneous terms, alternate activities/work to be performed, added conditions, or exceptions stated by applicants within their LOI. This includes, but is not limited to, proposed changes to the standard terms and conditions of the resulting contract(s).
Contract Documents

The applicant must review the contract terms and conditions of the contract template provided below.

The contract documents consist of the following:

1. Face Page
2. Signatory Page
3. NYS Standard Terms and Conditions (State of New York Master Contract for Grants)
5. Master Contract Attachment A-2 (Federally Funded Grants)
6. Master Contract Attachment B: Budget and Instructions
7. Master Contract Attachment C: Work Plan
8. Master Contract Attachment D: Payment and Reporting Schedule
9. Attachment MWBE: Minority and Women-Owned Business Enterprises


In addition, the following documents will be required prior to contracting:

- **Vendor Responsibility Questionnaire** (if applicable)
- **Proof of Workers Compensation Insurance** (if applicable)
- **Proof of Disability Benefits Coverage** (if applicable)
- **Attachment A-2, Federal Assurance and Certifications** (if applicable)
- **OCFS-4631, MWBE Utilization Plan Form** (if applicable)
- **OCFS-4629, Project Staffing Plan Form**
- **OCFS-3460, Equal Employment Opportunity (EEO) Policy Statement**

State Finance Law §139-l; Statement on Sexual Harassment in Bids

New York State Finance Law §139-l, effective January 1, 2019, requires, in relevant part, that “[e]very bid . . . made to the state or any public department or agency thereof, where competitive bidding is required by statute, rule or regulation, for work or services performed or to be performed or goods sold or to be sold, shall contain [a] statement subscribed by the bidder and affirmed by such bidder as true under the penalty of perjury . . . [that] ‘[b]y submission of this bid, each bidder and each person signing on behalf of any bidder certifies, and in the case of a joint bid each party thereto certifies as to its own organization, under penalty of perjury, that the bidder has and has implemented a written policy addressing sexual harassment prevention in the workplace and provides annual sexual harassment prevention training to all of its employees. Such policy shall, at a minimum, meet the requirements of section two hundred one-g of the labor law.’” The contractor must provide the foregoing certification before any award being made by OCFS. For additional guidance on drafting an appropriate sexual harassment policy and developing appropriate training, please refer to State Finance Law §139-l and https://www.ny.gov/combating-sexual-harassment-workplace/employers#top

Other Contracting Requirements

2. Executive Order 177, signed on February 3, 2019, by Governor Andrew M. Cuomo, directs New York State agencies and authorities not to enter into any contracts with entities that have institutional policies or practices that fail to address the harassment and discrimination of individuals on the basis of their age, race, creed, color, national origin, sex, sexual orientation, gender identity, disability, marital status, military status, or other protected basis. The contractor must provide the EO 177 certification statement before any award being made by OCFS.

3. Sections 57 and 220 of the Workers’ Compensation Law (WCL) and section 142 of the State Finance Law require that businesses contracting with New York State have and maintain and provide evidence of appropriate workers’ compensation and disability benefits insurance coverage. If an award is made from this SOI, updated proof of coverage must be provided during contract development. Failure to submit the proof will delay the contract development process and may result in the award being rescinded. Municipalities are not required to show proof of coverage.

4. Section 163(9)(f) of the NY State Finance Law requires that a state agency determine that a bidder is responsible before awarding that bidder a state contract. Vendor responsibility will be determined based on the information provided by the bidder, on-line, through the New York State VendRep System Questionnaire or through a paper copy of the Vendor Responsibility Questionnaire. OCFS will review the information provided before making an award.

5. By submitting an LOI 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 “Prohibited Entities List,” as defined by the Entities Determined To Be Non-Responsive Bidders/Offerers Pursuant to The New York State Iran Divestment Act of 2012 (the Act), which is posted on the OGS website at http://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.” 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.

6. All offerers and their employees must be aware of and comply with the requirements of the New York State Public Officers Law, and all other appropriate provisions of New York State law and all resultant codes, rules and regulations from state laws establishing the standards for business and professional activities of state employees and governing the conduct of employees of firms, associations and corporations in business with the state. In signing the proposal, each offerer guarantees knowledge and full compliance with those provisions for any dealings, transactions, sales, contracts, services, offers, relationships, etc. involving the state and/or state employees. Failure to comply with those provisions may result in disqualification from the bidding process and in other civil or criminal proceedings as required by law: https://www.nysenate.gov/legislation/laws/PBO

7. Pursuant to New York State Executive Law Article 15-A and Parts 140-145 of Title 5 of the New York Codes, Rules and Regulations, OCFS is required to promote opportunities for the maximum feasible participation of New York State-certified Minority- and Women-owned Business Enterprises (MWBE) and the employment of minority group members and women in the performance of OCFS contracts. If applicable, a contractor on any contract resulting from this procurement must document its good faith efforts to provide meaningful participation by MWBE as subcontractors and suppliers in the performance of the contract. To that end, by submitting a response to this opportunity, the respondent agrees that OCFS may withhold payment pursuant to any contract awarded as a result of this announcement pending receipt
of the required MWBE documentation. The directory of MWBE can be viewed at: https://ny.newnycontracts.com. OCFS will request any necessary completed MWBE documents from the contractor during the contract development process.

8. Not-for-profit vendors must be registered with the New York State Office of the Attorney General as a charitable organization, and the registration must be up-to-date at the time of contracting. Vendors must be sure all their documents are up-to-date and comply with the vendor responsibility requirements as outlined below. To determine the status of your charity’s registration information, contact: https://www.charitiesnys.com/RegistrySearch/search_charities.jsp

Contact Information

Primary contact:

Director of Contracts
Office of Children & Family Services
52 Washington Street
Room 202S – Procurement Unit
Rensselaer, NY 12144
RFP@ocfs.ny.gov

Submit to contact:

Director of Contracts
Office of Children & Family Services
52 Washington Street
Room 202S – Procurement Unit
Rensselaer, NY 12144
RFP@ocfs.ny.gov

Attachments

Please see the following attachments to this announcement, which are available on both the NYS Contract Reporter website at https://www.nyscr.ny.gov and the OCFS funding opportunities website at https://ocfs.ny.gov/main/contracts/funding/.

Attachment 1 – Submission Checklist*
Attachment 2 – Sample Letter of Interest*
Attachment 3 – Guidelines for Preparing Letters of Interest (reference only)
Attachment 4 – Project Description and Objectives*
Attachment 5 – Collaboration Commitment Template*
Exhibit A – Specific Terms & Conditions Authorization to Use TANF Funding (reference only)
Exhibit B – Description of Cost Allocation Methodology (reference only)

* Attachments marked with an asterisk must be completed and provided with your proposal.