



Department of
Homeless Services
Department of
Social Services

DEPARTMENT OF HOMELESS SERVICES

MAINTENANCE POLICY MANUAL

DHS-PB-2018-010 06/29/2018

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Overview

The purpose of this maintenance policy manual (Manual) is to inform providers of DHS' expectations for the proper facility maintenance of DHS-funded facilities. The Manual outlines the roles and responsibilities of the provider and DHS as they relate to maintenance, repair and construction. Focusing on the safety of the clients and staff, daily maintenance and repair will be necessary and is the primary responsibility of the provider. For larger repairs and construction related items, DHS will work with the provider on the most effective method to complete the repair. Our goal is to work collaboratively to ensure that each facility is in the best condition to provide a safe and healthy environment.

SECTION I: Operation and Maintenance**1. OPERATION AND MAINTENANCE:**

The provider must adhere to the following maintenance provisions for all housing contracts with the Department of Homeless Services (DHS).

The provider must ensure that each location containing designated shelter units, which may be in one entire building, in multiple buildings, or in a portion of a facility, is in compliance with all applicable laws, codes and regulations governing environmental standards at locations used as shelter, including but not limited to, DHS policies and procedures and the New York State Office of Temporary and Disability Assistance's (OTDA) regulations, including, but not limited to, Part 491 and Part 900 of Title 18 of the New York Codes, Rules and Regulations.¹

- An appropriate unit must be provided to each client household referred to each facility. The provider must supply minimum furnishings for each Unit in accordance with § 900.12 of the Part 900 Regulations for families and §491.10 of the Part 491 Regulations for singles. Minimum furnishings include one (1) bed per person, cribs (as necessary), lamps, bureau, locker or similar secured container, table and chairs.
- Staff must conduct health and safety inspections of all family units on a bi-weekly basis. Staff shall conduct weekly inspections of the units of families with newborns and/ or open Administration for Children's Services (ACS) cases. Staff must maintain documentation indicating their compliance with this requirement, including findings and corrective action taken, subject to inspection by DHS.

2. STAFFING:

The provider must operate and maintain each facility in accordance with all applicable provisions set forth here, DHS policies, Part 491 and Part 900 of Title 18 of the New York Codes, Rules and Regulations, and all other applicable Laws.

Hiring of Superintendent/Maintenance Staff:

The provider must hire a qualified superintendent and maintenance staff for each facility who have a satisfactory knowledge of building maintenance and meet DHS's experience requirements.

Superintendent:

- The superintendent hired by the provider must have five (5) years of experience working at buildings of similar size to the facilities. In certain circumstances, a superintendent may oversee more than one (1) building, subject to DHS approval.
- Applicants' and/or subcontractor credentials shall be presented to the DHS for

¹ <https://otda.ny.gov/programs/shelter/documents/PART-900.pdf>
<http://otda.ny.gov/programs/shelter/documents/NYCRR-491.pdf>

review. This includes, but is not limited to, boilers, electrical, plumbing, and fire suppression systems.

- DHS will notify the provider if the proposed candidates for superintendent are acceptable within two (2) weeks of the submission. In the event DHS does not notify the provider within this two (2) week period that the proposed employee is not acceptable, the employee is considered approved by DHS.

General Maintenance Staff:

- Each individual hired by the provider as part of its maintenance staff must possess a general knowledge of building repair and maintenance, including, but not limited to, maintenance and repair of building systems (e.g. plumbing, electric, HVAC, and fire safety) and the maintenance and repair of interior building components (e.g. carpentry, masonry, and tile repair). DHS reserves the right to approve the Providers employees that are engaged in the maintenance of the Facility.
- The provider must ensure that all building maintenance staff (including the superintendent), maintain all applicable licenses and certificates.² The provider must retain copies of all licenses and certificates for superintendent and maintenance staff and make these records available for DHS to review.

3. PROPERTY MANAGEMENT PLAN:

The provider must submit a draft property management plan to DHS within 30 days after registration of its contract with DHS. The plan must outline the provider's strategy for handling routine maintenance and emergency repairs, set forth a schedule for inspections and preventive maintenance, and describe how the provider will meet its responsibilities and obligations described in this section.

The plan must describe:

- Procedures for inspection and maintenance of all areas of each Facility on a regular basis.
- How the provider will comply with the applicable legal standards for inspections and maintenance of the various building systems, along with any additional standards as may be issued by DHS.
- How the provider will handle client complaints made directly to facility staff.
- How the provider will handle client complaints made to the City's shelter resident complaint hotline.
- If any facility is in a leased building, the provider shall describe how it will coordinate maintenance and repair obligations with the landlord.
- The provider, no later than thirty (30) days from the execution of its contract with DHS, must develop and submit to DHS a tracking mechanism, such as records, forms, etc. for recording and tracking all maintenance and repair functions that will be subject to DHS audits.

² <http://www1.nyc.gov/site/buildings/industry/licensing.page>

Upon receiving the property management plan, DHS will identify a time to meet with the provider to review the plan and address any necessary revisions. Upon approval from DHS, but not later than sixty (60) days from the execution of the provider's DHS contract, DHS will deem the plan to be in full force and effect. DHS reserves the right to require the provider to revise the plan at any time during the contract term.

The Provider must submit on an annual basis to DHS either: 1) an updated version of the plan; or 2) a letter stating that no changes have been made to the plan.

The plan will serve as the binding procedure for the provider's maintenance of each facility. The provider's compliance with the plan will be a factor in evaluating the provider's performance under its contract with DHS. Any changes to the plan must conform to all requirements as set forth in this section, including resubmission and approval of the plan by the DHS. Invoices related to the maintenance and repair of the facility will not be processed without an approved plan. The provider's failure to submit or adhere to an approved property management plan within the prescribed deadline constitutes a Category 2 Deficiency (defined below) for which the provider may be subject to enforcement pursuant to the DHS' Shelter Inspection Procedure³ and Shelter Compliance Procedure (Appendix G), and all remedies enumerated in the provider's contract with DHS and permitted under the governing law.

4. MAINTENANCE AND REPAIR OBLIGATIONS:

The provisions of this subsection apply to all units under the provider's DHS contract, whether or not they have been converted to Tier II Shelters.

The provider shall be responsible for the preventative, daily, corrective, and emergency maintenance of the Facility. The provider's obligations hereunder include, but are not limited to: the maintenance of the interior and exterior building components, (including boiler and elevator inspections, general plumbing, carpentry, electric, window screens, window glass, non-capital masonry, tile repair, door alarms, locks, grounds, equipment, and furnishings). The provider is responsible for all repairs, major or minor, that is the result of the provider's negligence or is the result of vandalism by the provider's staff or clients. The provider shall only be responsible for repairs necessitated by client vandalism to the extent funds are available in its budget for this purpose and the vandalism was not the result of the provider's negligence to supervise the clients. The provider shall consult with, and receive written approval from the DHS before initiating any structural changes, including renovations and room reconfigurations, divisions or change in use.

Leasing Facility Space:

- In the event the provider leases any facility space, the provider shall be responsible for all of the above maintenance and repair obligations to the extent responsibility is so allocated under its lease. The provider must exercise all remedies available under the

³ <https://intranet.dhs.nycnet/Divisions/Policy/Shared%20Documents/FY15/15-210.PDF>

lease for each facility to ensure its landlord complies with all landlord repair and maintenance obligations.

- In the event the provider leases any facility space, the provider must comply with and correct any deficiency, as defined in the DHS's Shelter Inspection Procedure within the specified deadlines.

SECTION II: Inspections and Violations

1. VIOLATIONS:

- The provider is responsible to engage with the landlord to cure all pre-existing violations at the building prior to the commencement of the contract. The facility must comply with all applicable federal, state, and local laws governing the operation of the building.
- The provider is responsible for curing all violations and deficiencies issued against the property after the commencement of its contract with DHS. The provider must immediately notify DHS if any violations are issued against the Facility. The provider is responsible for all costs incurred to cure any code violation issued subsequent to the commencement of the provider's DHS contract.
- The provider shall prepare and submit a corrective action plan (CAP) for curing capital and non-capital violations, including time frames for curing violations, and written notice once these violations have been cured, in accordance with all applicable laws and Shelter Inspection Procedure. The CAP must be submitted to DHS in a time and manner to be determined by DHS. The provider must comply with DHS' violation protocol, a copy of which is given to the provider prior to the commencement of its contract with DHS.
- The provider must consult with, and receive written approval from DHS before initiating any structural changes, including renovations and room reconfigurations, divisions or change in use.
- Violations are considered severe deficiencies for purposes of enforcement in accordance with the Shelter Inspection Procedure and Shelter Compliance Procedure.

Department of Homeless Services Responsibilities for City-Owned Buildings:

- DHS is only responsible for major structural repairs to the facility, and capital improvements to the major building systems, including HVAC, boilers, plumbing systems, electrical systems, elevators, roofing and exterior portions of the facility.
- DHS is not responsible for said repairs if they are the result of the provider's or its agents' negligence or willful acts or are the provider's responsibility pursuant to paragraph two under Maintenance/Repair Obligations above.
- DHS will coordinate with the provider before undertaking any structural repairs or capital improvements.
- DHS will also ensure that at the commencement of its contract with the provider, the facility complies with all applicable federal, state and local laws governing the operation of the facility.
- DHS will correct any code violations issued prior to the commencement of its contract with the provider or that are the DHS' responsibility pursuant to the first and second bullets in this sub-section, unless such violations are the result of the provider's or its

- agents' acts of omission or commission.
- The City must indemnify, defend and hold harmless the providers and its officers, directors, employees and agents from and against any and all losses, costs, liabilities, expenses (but not including legal fees), claims, fines, penalties and damages incurred by any indemnified party that result from DHS' failure to perform or comply with any of the terms or conditions contained in this section.
 - In the event a replacement reserve account is created, the provider shall use the replacement reserve account to fund capital items. DHS' written approval will be required prior to the use of replacement account reserve funds.
 - DHS reserves the right to undertake the curing of any code violation that is either the provider's responsibility pursuant to paragraph two under the Maintenance/Repair Obligations above or the result of the provider's or its agents' acts of omission or commission AND where the provider fails to cure the code violation. DHS will chargeback and/or withhold all expenses incurred by the Department in correcting such violations(s) (including, but not limited to, labor and materials) from funds due or scheduled to become due to the provider under its contract with DHS or other DHS-funding arrangement. Any such chargeback and/or withholding will be in accordance with Subsection Seven of Section Two of this Manual and DHS' Shelter Inspection Procedure. This remedy is in addition to, and not in lieu of, any other remedies the Department may have under its contract with the Provider or law.

2. **INSPECTIONS:**

Callahan

As part of a settlement reached between the City of New York v. Callahan, it is required that the adult shelter system be inspected by the Coalition for the Homeless twice per year. These inspections are in addition to the DHS RSRI Inspections. In general, these inspections take place starting in January and June of each calendar year. The majority of this inspection focuses on facility conditions ranging from general cleanliness to ensuring that the facility is in good operating condition.

Routine Site Review Inspections (RSRI) and Shelter Repair Squad (SRS)

With its providers, DHS provides Temporary Housing Assistance (THA) to homeless individuals and families, when needed. The applicable law requires DHS to provide THA in a setting that is safe, habitable and in compliance with all governing laws, codes, regulations and rules. The City's Shelter Repair Squad (SRS) oversees the inspection process of buildings that DHS and its providers use to provide THA to homeless individuals and families. The SRS is a multi-Agency initiative consisting of representatives from the Mayor's Office of Operation, the Department of Homeless Services, Department of Buildings, Fire Department, Housing Preservation and Development and the Department of Health and Mental Hygiene. At least 2 times per year, each Agency will inspect the facility for deficiencies and inform each provider of the results. Specifically, the RSRI (Appendix A) is DHS' primary tool to determine whether a shelter's physical environment is in compliance with the laws, codes, regulations and rules governing THA. Additionally, the RSRI helps DHS evaluate the appropriateness and efficiency of the provider's use of City funds budgeted for the maintenance of a

shelter. Moreover, the RSRI assists DHS and the providers with identifying problematic building conditions (i.e. roofs, plumbing, HVAC) to prevent their premature failure. Finally, the RSRI maximizes the utility of preventative maintenance to minimize the number of units being placed off-line. The RSRI Inspection Process is outlined in DHS' Shelter Inspection Procedure.

3. LEAD PAINT REMEDIATION:

The City's Childhood Lead Poisoning Prevention Act (Local Law 1 of 2004, see Appendix C) requires landlords to identify and remediate lead-based paint hazards in buildings likely to have lead paint and in apartments of young children, using trained workers and safe work practices

Providers must follow the below procedures regarding lead paint remediation.

Lead-based paint hazards must be tested for and remediated if:

- The building was built before 1960
- Or 1978 if the owner knows that there is lead-based paint) *and* a child under the age of six (6) lives in the apartment (or has access to the common areas).

Upon notification of potential lead based paint hazards (LBP), the provider is considered to be put on notice to test for and remediate those hazards in conformance with local law.

- Contract with U.S. Environmental Protection Agency (EPA)-certified trained workers in lead remediation;
- Providers must maintain accurate records of any work performed related to the remediation; and
- Providers must submit proper documentation that condition has been abated; this includes but not limited to invoices, work orders, other records, etc.

Please refer to the following source for latest update:
<http://www1.nyc.gov/site/hpd/owners/Lead-Based-Paint.page>

4. NEW NEED REQUEST:

A Provider New Need Request is a request for additional funding to enhance the current program or to add a new program component. The New Need Request can be for a one-time need or a recurring need (baseline). New Need Requests can be submitted to DHS at any time using the DHS Contracted Facilities and/or Programs Serving Homeless Families or Individuals New Need Request Form (Fiscal Manual Appendix B). The request should be submitted to the Budget Office and should clearly define the reason for the request and how the amount of funding being requested was calculated. Please note that all submissions must be accompanied by a written justification, scope of work and three (3) bids when appropriate. New needs will be reviewed on a first-come basis and prioritized based on criticality and availability of funds. Highest priority will be given to emergency needs, such as health and safety and/or regulatory compliance issues.

DHS has revised the process for submitting New Need Requests to ensure proper tracking of the providers' requests. The New Need form will no longer be submitted to the Program Analyst; providers will now submit the form to the Budget Office as outlined in the Fiscal Manual

5. CONSTRUCTION REQUESTS

If the intended use of the shelter needs to be altered, the proposed changes need to be analyzed for both Life Safety and code requirements. These types of changes may include adding or removing walls, changing the use of a room, replacing or upgrading facility systems such as bathrooms, roofs, electrical and plumbing services and other long-term solutions.

6. SUB-CONTRACTS:

- For guidelines regarding budget approval for subcontract work, please refer to the DHS Fiscal Manual
- Prior to the execution of any sub-contract(s), the provider must submit to DHS the following information for each proposed subcontract: a scope of work; the name of the contractor; a copy of the contract; and the provider's written request for approval that clearly identifies the source of budget funds for the contract(s).
- The provider is responsible for ensuring that all sub-contractors are licensed and have the appropriate certification(s) to perform the scope of work and file all appropriate permits and applications with the required NYC Departments (i.e, Department of Buildings, FDNY, etc.)
- All scopes of work must be performed in a competent fashion.
- DHS will notify the provider if the proposed sub-contract is acceptable within two (2) weeks of the submission of the sub-contract and such other information, as reasonably required by DHS. In the event that DHS does not notify the provider within such two (2) week period that the sub-contract is or is not acceptable, the sub-contract should be considered approved by DHS.
- Such sub-contractors are required to (a) insure DHS and the City of New York in the same manner and to the same extent as the provider is required given their contract with the DHS, and (b) post performance and payment bonds in the form to be prescribed by DHS.

7. WITHHOLDING AND CHARGEBACK :

- DHS reserves the right to chargeback and/or withhold all expenses incurred by the Department in correcting a Deficiency (including, but not limited to, labor and materials) from funds due or scheduled to become due to the Provider under its contract with DHS or other DHS-funding arrangement.
- In the event DHS chargebacks and/or withholds funds, such chargeback and/or withholding will come from funds allocated in the Budget for Administrative Overhead where the deficiency is the Provider's responsibility either under its lease for the facility or due to the Provider's ownership of the facility. Where the deficiency is the responsibility of the landlord under the lease, the chargeback and/or withholding shall come from funds allocated in the budget for Rent.
- The Provider is prohibited from using funds in the budget designated for a purpose other than administrative overhead or rent to pay for or offset any chargeback and/or withholding by DHS.

Withholding of Funds

For deficiencies requiring long-term remediation, DHS expects the Provider to adhere to the timeframes described in the scope of work or CAP. Where DHS determines that the Provider's progress towards completing the remediation of a deficiency is not adhering to the agreed upon timeframes, DHS may withhold any funding in the Provider's budget designated for such work.

Withholding of funds may be surrendered at DHS's discretions or as follows:

1. 50% of the withheld amount to be released once the Providers submits a plan that shows they have engaged with its consultants, subcontractors, etc. to resolve the deficiencies (show proof of documents, i.e. contracts, letters of intent, etc.)
2. The remaining 50% (total 100%) to be released once the deficiency has been properly addressed.

The provider is able to request the release of the above funds in cases of extenuating circumstances or proof of hardship.

Chargeback to Contract

- The Department reserves its right to correct any deficiency through the use of its contractors, subcontractors, other entities or staff to resolve any outstanding deficiency. This remedy is in addition to, and not in lieu of, any other remedies the Department may have under its contract with the Provider or law.
- Where the Provider fails to correct any deficiency within the designated timeframe(s), as described in the RSRI Report, and the Department determines to use its resources to

correct the deficiency, the Facilities and Logistics Division will issue a Notice to the Provider no less than 24 hours of the expected date of the Department's work to correct the deficiency. The Notice will inform the Provider of the deficiency to be corrected, the expected scope of work to be undertaken by the Department or its agents and the expected date and time of the work. The Notice will also serve as the Department's official notice to the Provider of its intent to chargeback all expenses incurred by DHS in correcting the deficiency, in accordance with the Procedure and the Department's contract with the Provider, where applicable.

- The amount of the chargeback will be based on the prevailing wage(s)/labor costs and costs of material(s) that the Department used to correct the deficiency(ies), as determined by the Facilities and Logistics Division. Where DHS has corrected any deficiency through the use of its staff, contractors, subcontractors, other entities or staff, the Facilities and Logistics Division will calculate the amount of the chargeback and submit a detailed written determination to the Department's Office of Legal Affairs ("OLA") and Finance Division ("Finance") for review and approval.
- Upon approval of the Facilities and Logistics Division's determination of the amount of the chargeback from funds due or scheduled to become due to the Provider, OLA and Finance will issue a written notification to the Provider describing the bases for such action(s) to be taken.

8. CERTIFICATE OF OCCUPANCY:

Except for buildings that have a close down plan, DHS will not make any payments for units that do not possess a valid certificate of occupancy, letter of no objection, or equivalent. In the event changes are made to the facility that would require an amended Certificate of Occupancy to conform to the new use, payments may be suspended until such time that proper documentation is presented to DHS.

9. LIQUIDATED DAMAGES

The Department may assess liquidated damages where the Provider fails to properly address a deficiency(ies) within the prescribed timeframe(s) described in the RSRI Report AND the Department finds the Provider to be in noncompliance, in accordance with the Shelter Compliance Procedure (Appendix G). The amount of the assessed liquidated damages will be as follows:

- i. For each day that the Provider fails to address a Category 1 Deficiency within the prescribed 24-hour deadline, DHS may assess liquidated damages in the amount of one hundred twenty-five dollars (\$125.00) per day until the deficiency is properly addressed or corrected.
- ii. For each day after the 30-day deadline that the Provider fails to address a Category 2 Deficiency, DHS may assess liquidated damages in the amount of fifty dollars (\$50.00) per day until the deficiency is properly addressed or corrected.
- iii. For each day after the 60-day deadline that the Provider fails to address a Category 3 Deficiency, DHS may assess liquidated damages in the amount of twenty-five dollars (\$25.00) per day until the deficiency is properly addressed or corrected.

SECTION III: Budget

1. BUDGET REALLOCATION MAINTENANCE OR CAPITAL REPAIRS:

The re-allocation of funds designated for maintenance and/or capital repairs is prohibited without the explicit written authorization of the Deputy Commissioners for Fiscal and Administration and the General Counsel.

2. HUMAN SERVICES PROVIDERS FISCAL MANUAL:

For other budget related questions, please refer to the DHS Fiscal manual (appendix B).

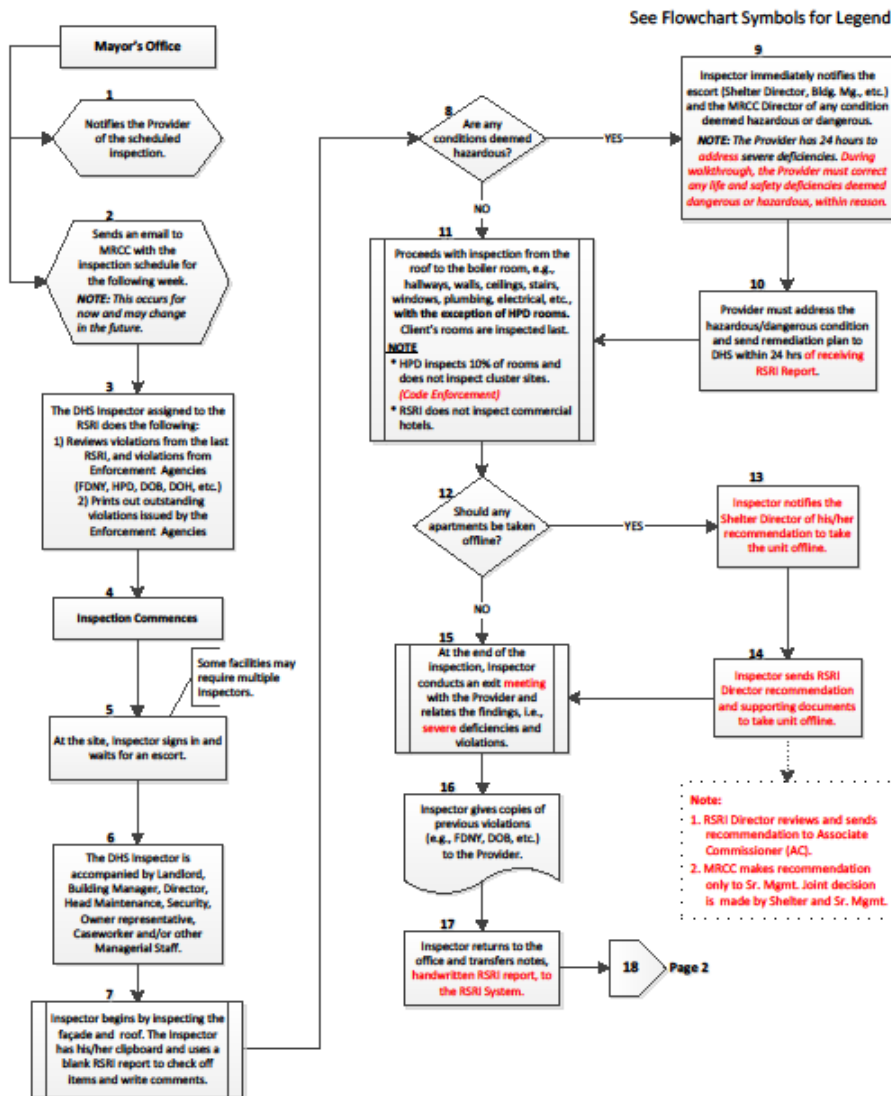
**Appendix A: DHS Inspection Policy 15-210
Shelter Inspection Procedures**

To be added after the Policy is finalized

Appendix B: MRCC RSRI Inspection Flow Chart

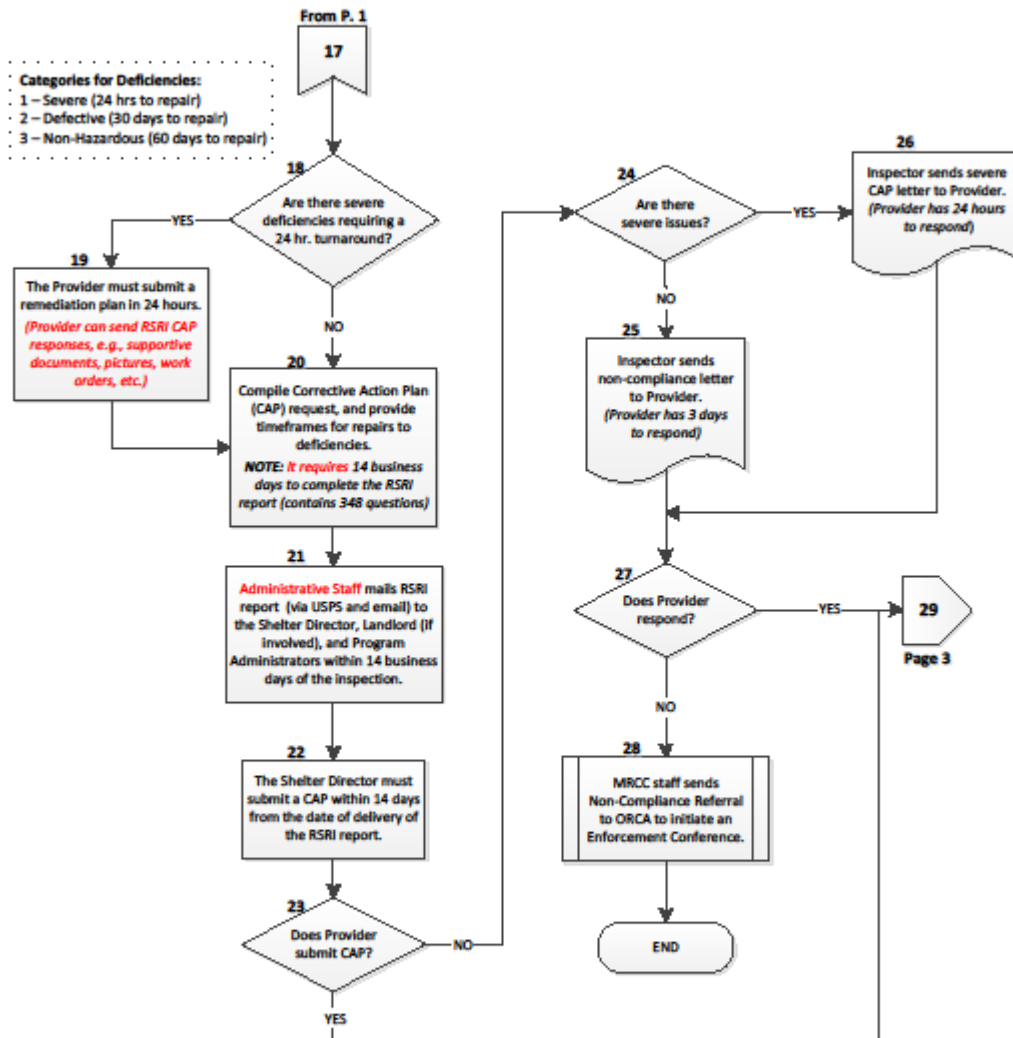
7/27/2017

MRCC - Routine Site Review Inspection (RSRI) Flowchart

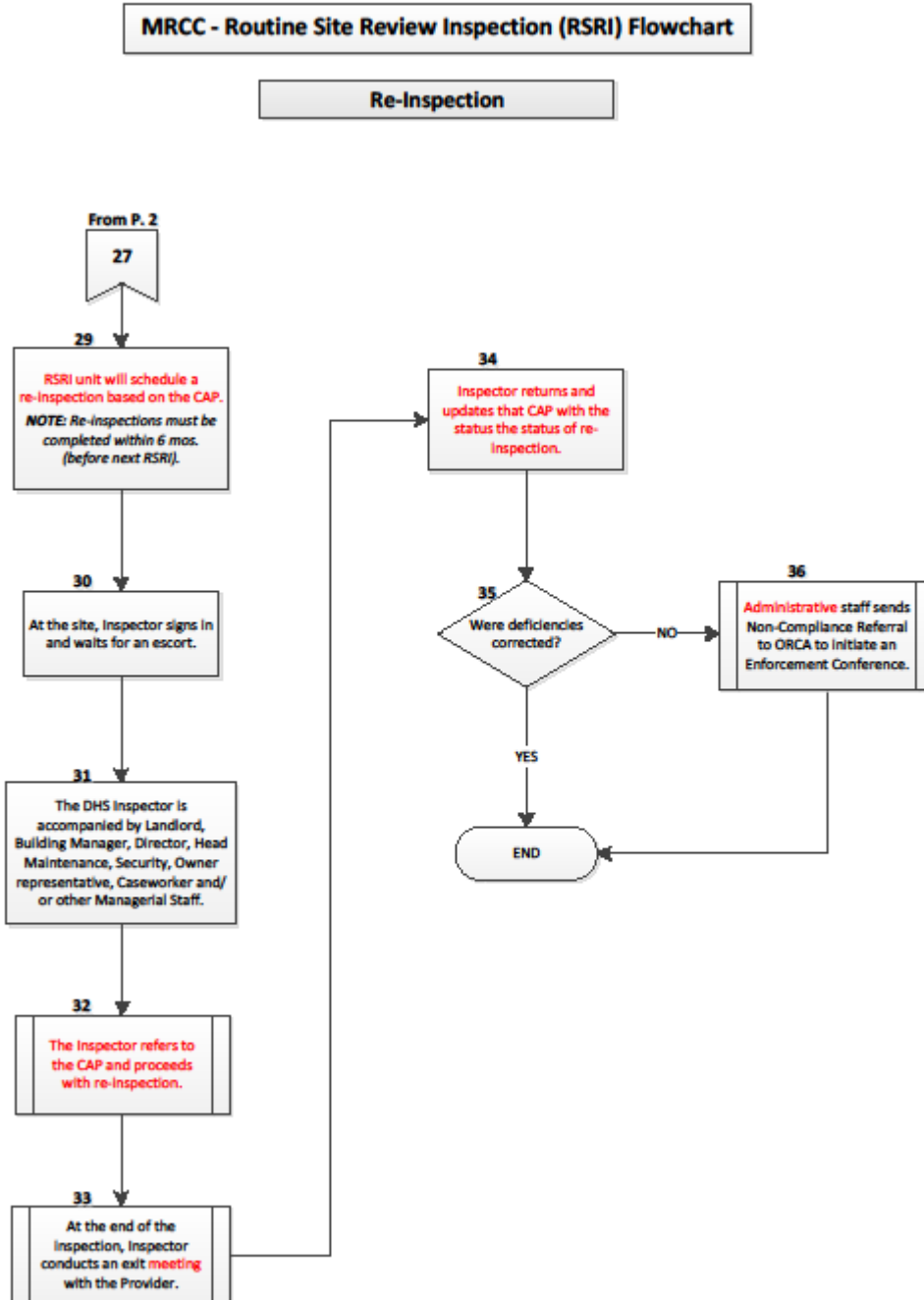


7/27/2017

MRCC - Routine Site Review Inspection (RSRI) Flowchart



7/27/2017



Appendix C: Human Resources Fiscal Manual

Subsection: New Needs

<https://www1.nyc.gov/assets/dhs/downloads/pdf/dss-fiscal-manual.pdf>

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Human Service Providers Fiscal Manual**

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3. New Needs

New Need requests are submitted and processed outside of the HHS Accelerator system. A New Need is a request to increase the Annual Contract Budget's total funding, or bottom-line. New Needs can be submitted to DSS-DHS for approval at any time using the online system ServiceNow (<https://nycdhs.service-now.com>). New Needs will be reviewed on a first come basis and prioritized based on criticality and availability of funds. Highest priority will be given to the emergency needs (such as health and safety and/or regulatory compliance issues). The Provider can expect to receive a full review of the request 60 days from the date of submission.

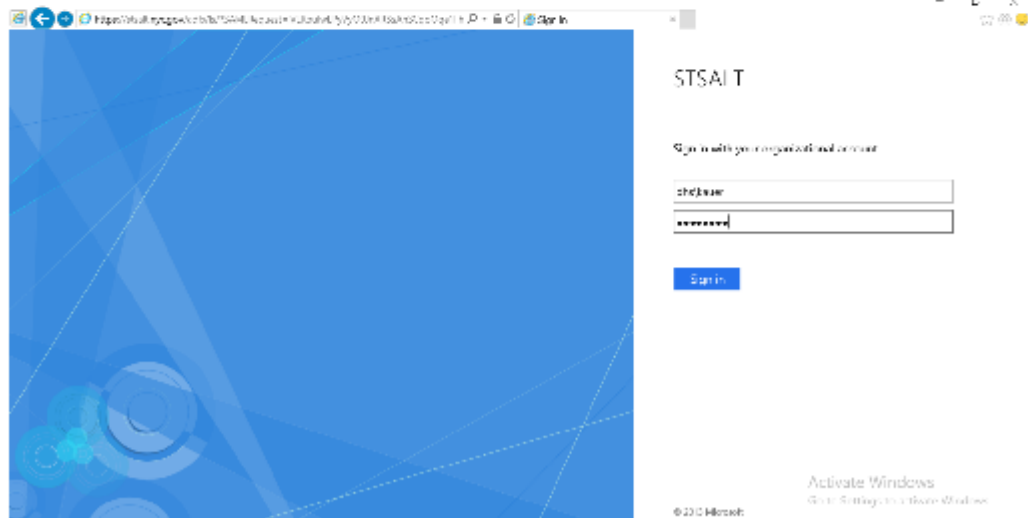
An updated Budget can only be submitted in HHS Accelerator for approved New Needs. To increase the Annual Contract Budget total funding, a contract amendment must be registered.

Please contact your Shelter Program Budget Analyst with any questions.

To submit a New Needs Request:

Before submitting a request, you will need to be provisioned. Please email ServiceNowSupport@dhs.nyc.gov with your full name, email address, and phone number to request access.

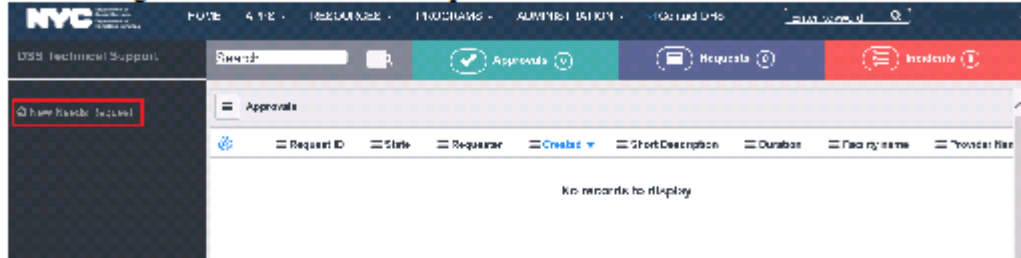
Access the URL <https://nycdhs.service-now.com>. You will be prompted to enter your user credentials (User Name: DHS\username, Password: DHS network password)



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You will be redirected to the landing screen as shown below. Click on the 'New Needs Request' link located on the left navigation to access the new needs request form.



NATURE OF REQUEST

Provider to complete:

Contact details are pre-populated and read only, based on requester log-in credentials. Requesters must select a type of New Need Request from the following list:

- General Budget (example: request due to increase property taxes, rent, utilities, etc.)
- IT (example: a request for new infrastructure project related to cabling at a shelter facility)
- Program (example: request for increase medical services, staffing, furniture, etc.)
- Facilities (example: request for maintenance/repair of fire alarm, elevator, etc.)
- Security (example: request to increase security guards, security equipment, etc.)

Individual requests must be submitted for each type of New Need. Requests cannot be bundled.

If the "Amount Requested-Current Year OTPS" entry is greater than \$5,000, the requester will be prompted to include a minimum of 3 bids with their request. Click OK on the prompt, and then click either on the paper clip or "Add Attachment" buttons under Bid #1, Bid #2 and Bid #3 to attach the bids. Choose the relevant files from your computer to add them to the request. Rename or delete files as needed.

Complete all required fields on the form. When all fields are filled, and any required attachments uploaded, the requester will click on "Submit Request" to submit their New Needs Budget Request for review.

It is crucial to justify why you are requesting the money. Specifically, state why you want to implement the New Need (for example, State mandate, new lease agreement, leaky roof) and justification, including current and potential impact (for example, State fines, longer stays by clients, or water leaking into rooms). DHS has limited available funding, so it is important to describe why your need is a top priority. Please attach additional documentation so we can review a comprehensive justification. **Please note that all OTPS submissions must be accompanied by three (3) bids if the request exceeds \$5,000. DHS may require the Provider to submit market research for comparable services and goods for New Needs requests between \$5,000 and \$25,000.**

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ACKNOWLEDGEMENT OF RECEIPT

Once submitted, the requestor will receive an email notification with details about the request. The RITM # is the unique ID used to track the request.

Request RITM0010104 has been submitted:

Requester: Sandra Hawker

Item: New Needs Request

Title of Request: HOT WATER TANK REPLACEMENT

Date of Request: 12/05/2016 00:53:44 EST

Click here for full details: [LINK](#)

Ref:MSG0024968

Please call your Shelter Program Budget Analyst with any questions.

**New York City Department of Homeless Services
Human Service Providers Fiscal Manual**

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ASSIGNED DIVISION RECOMMENDATIONS

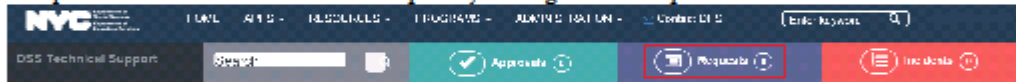
Based on the request type, a New Need Request the request will be assigned to a division for review. Once a requester’s submission is approved or returned, they will receive an email notification updating them of the status. The requester can click within the email to view their request in the system.

If the recommendation is "Approve," the request will be forwarded to the DHS Shelter Program Budget Office.

If the recommendation is "Return," the request will not be forwarded to the DHS Shelter Program Budget Office. All returned requests include comments as to why the request was returned.

Providers are able to re-submit a New Needs request that has been previously returned. The Catalog Task section is available once a request has been returned. This allows the requester to edit details of their request as required (i.e.: add or change information). By scrolling down to the Catalog Task section, the requester can click on a Catalog Task Number to update their request. This can be accessed in the notification email they receive or in the system itself by navigating to your "Request" tab.

Requesters can view the status of their request by clicking on the "Requests" tab on their dashboard.



Below are the screenshots for the workflows for the different type of requests.

IT:



**New York City Department of Homeless Services
Human Service Providers Fiscal Manual**

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General Budget:

<input type="checkbox"/>	RTM0010377	Edward Navitsky	06/30/2017 16:05:33	FY18 Rent Increase	<ul style="list-style-type: none"> <input checked="" type="checkbox"/> Request Submitted (Submitted) <input checked="" type="checkbox"/> Awaiting Budget Analyst Approval (Completed) <input checked="" type="checkbox"/> Awaiting Budget Director Approval (Completed) <input checked="" type="checkbox"/> Awaiting OMB Review (In progress) <input type="checkbox"/> Final Confirmation (Pending - has not started) <input type="checkbox"/> Request Closed (Pending - has not started)
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Program (i.e.: Families request):

<input type="checkbox"/>	RTM0610135		01/23/2017 17:57:59	Social Worker - Client Care Coordinator	<ul style="list-style-type: none"> <input checked="" type="checkbox"/> Request Submitted (Submitted) <input checked="" type="checkbox"/> Program Families Analyst Approval (Completed) <input checked="" type="checkbox"/> Program Families Administrator Approval (Completed) <input checked="" type="checkbox"/> Budget Analyst Approval (In progress) <input type="checkbox"/> Budget Director Approval (Pending - has not started) <input type="checkbox"/> OMB Review (Pending - has not started) <input type="checkbox"/> Final Confirmation (Pending - has not started) <input type="checkbox"/> Request Closed (Pending - has not started)
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Facilities:

<input type="checkbox"/>	RTM0010189		02/24/2017 15:13:10	Buildings	<ul style="list-style-type: none"> <input checked="" type="checkbox"/> Request Submitted (Submitted) <input checked="" type="checkbox"/> Program Facility Analyst Approval (Completed) <input checked="" type="checkbox"/> Program Facility Administrator Approval (Completed) <input checked="" type="checkbox"/> Budget Analyst Approval (Completed) <input checked="" type="checkbox"/> Budget Director Approval (Completed) <input checked="" type="checkbox"/> OMB Review (In progress) <input type="checkbox"/> Final Confirmation (Pending - has not started) <input type="checkbox"/> Request Closed (Pending - has not started)
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Security:

<input type="checkbox"/>	RTM0010147		01/26/2017 15:56:08	Security	<ul style="list-style-type: none"> <input checked="" type="checkbox"/> Request Submitted (Submitted) <input checked="" type="checkbox"/> Program Security Analyst Approval (Completed) <input checked="" type="checkbox"/> Program Security Administrator Approval (Completed) <input checked="" type="checkbox"/> Budget Analyst Approval (Completed) <input checked="" type="checkbox"/> Budget Director Approval (Completed) <input checked="" type="checkbox"/> OMB Review (In progress) <input type="checkbox"/> Final Confirmation (Pending - has not started) <input type="checkbox"/> Request Closed (Pending - has not started)
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**New York City Department of Homeless Services
Human Service Providers Fiscal Manual**

Revised 3/18

DHS Shelter Program Budget Office will review all requests. If DHS Shelter Program Budget Office funds an amount that differs from the request, it will include an explanation of the variance.

All recommendations are subject to OMB approval.

If the recommendation is "Request Approved," the DHS Shelter Program Budget Office will begin any necessary contract amendment processes. The "Attachment A" will be completed and sent to the Provider via email.

If the recommendation is "Request Approved, Revised Amount" the DHS Shelter Program Budget will inform the Provider and initiate any contract amendments that are necessary. The "Attachment A" will be completed and sent to the Provider via email.

CONTRACT AMENDMENT

Approved New Needs Requests which alter the total contract budget amount must be registered as a contract amendment. Amendments will be processed taking into consideration other actions and the stage of a contract within the fiscal year. Per City procurement rules, multiple New Needs may be bundled for processing post-approval.

4. Start-Up Funds

When a new facility or program is opened, the Provider may be given start-up funds in the Contract Budget to pay for personnel, materials and supplies which are necessary to make the facility or program operational.

According to State regulation, start-up costs in Tier II facilities are to be amortized over a five year period, which include principal and interest. The annual amount will be added to the budget under debt service. Start-up costs include payments for purchases or services prior to the facility opening.

The Start-up budget is negotiated as part of contract negotiations. Providers may request up to 2/12ths of the annual operating budget. Once established, the Start-up budget is submitted to DHS through the HHS Accelerator System.

A Start-up budget must be submitted along with a description of the items, quantity, unit cost and total cost for the materials and supplies needed to make the facility operational prior to the facility opening and providing the delivery of shelter services. This should be attached to the contract budget in Accelerator.

If the Provider wishes to spend the start-up funds in a matter which deviates from the start-up budget, a contract budget modification must be prepared.

All non-profits holding contracts with one of the Health and Human Services agencies were required to enroll with Essensa. Providers are encouraged to use Essensa for purchasing items. If Essensa isn't

Appendix D: Lead Paint Guidelines

<http://www1.nyc.gov/assets/hpd/downloads/pdf/lead-local-local1-2004.pdf>

Appendix E: Violations at DHS City & Privately Owned Shelters



Facilities and Logistics

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Commissioner

Joslyn Carter
Administrator

James Russo
Deputy Commissioner

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33 Beaver St., 12th Floor
New York, NY 10004

212 381 8600 tel
917 637 6002 fax

MEMORANDUM

TO: Whom It May Concern

FROM: James R. Russo

DATE: July 28, 2017

SUBJECT: City Owned Buildings- Violation Protocol

All building violations such as, Fire Department, Environmental Control Board, Department of Environmental Protection, Buildings Department, Department of Transportation, and Department of Health violations should be sent to the Maintenance Repair & Capital Construction (MRCC) department to the attention of the Assistant Commissioner of Inspections and Compliance. Upon receipt of the violation notice, the following process will take place.

1. MRCC receives building violation
2. MRCC assesses if violation is DHS MRCC vs Provider Responsibility for remediating violation
 - A) Provider Responsibility –
 - a. MRCC notifies DHS Program Administrator’s via email on open building violations, including copies of the violations
 - b. MRCC Building Compliance Unit (BCU) sends out Field Assessors to follow up with Providers regarding the status of building violations.
 - c. MRCC BCU Field Assessors will collect back up documentation and/or certificate of correction on their outstanding building violations
 - d. Provider is responsible for filing certificate of corrections for remediation completed
 - i. ECB Violations
 1. Providers must submit to MRCC a letter on their letterhead clearly outlining the steps taken that remediated the violation with supporting documentation.

1. Provided must fill out DOB form AUE2 and submit for MRRC review
 2. MRCC will review AUE2, letter and supporting document. Once approve, we will provide DOB form AUE8 and submit back to provider
 3. Provided to clear out ECB violation at hearing
- b. MRCC closes out the violation within the Building Compliance Systems (BCS) and the Provider closes out the violation with the appropriate enforcement agency
- B) MRCC BCU Responsibility –
- a. MRCC Assigns Field Assessor to assess violation
 - b. MRCC assigns the violation to its internal units such as Trade Shops, Contract Unit or Capital Program, etc.
 - c. MRCC BCU sends out Field Assessors to ensure the remediation has taken place and for documentation purposes.
 - d. MRCC will close out the violation within BCS
 - e. MRRC will prepare and file certificate the corrections with the appropriate enforcement agency

MRCC BCU maintains a master tracking file on all violations RECEIVED regarding DHS Shelters at city owned sites.

Thank you.



Facilities and Logistics

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212 381 8600 tel
917 637 8002 fax

MEMORANDUM

TO: Whom It May Concern

FROM: James R. Russo

DATE: July 28, 2017

SUBJECT: Privately Owned Buildings- Violation Protocol

All building violations such as, Fire Department, Environmental Control Board, Department of Environmental Protection, Buildings Department, Department of Transportation, and Department of Health violations should be sent to the Maintenance Repair & Capital Construction (MRCC) department to the attention of the Assistant Commissioner of Inspections and Compliance. Upon receipt of the violation notice, the following process will take place.

1. MRCC receives a copy of the building violation
2. MRCC notifies DHS Program Administrator's via email on open building violations, including copies of the violations
3. MRCC Building Compliance Unit (BCU) sends out Field Assessors to follow up with the Landlord/Provider regarding the status of the violation.
4. MRCC will collect back up documentation and/or certificate on remediated violations
5. MRCC will close out violation within the Building Compliance Systems (BCS)
6. Landlord/Provider is responsible for filing certificate of corrections for remediation completed

MRCC BCU maintains a master tracking file on all violations RECEIVED regarding DHS Shelters at city and privately owned sites.

Thank you.

Appendix F: Other Useful Building Guidelines

Confidential: For Providers Only

Coordinated Inspections: Most Common Violations

- | | |
|-------|--|
| HPD | <ul style="list-style-type: none"> 1. Window Guards: Missing, defective or improperly installed (needed throughout the building if there is a child 11 or under) 2. Inoperable Ground Fault Circuit Interrupters (GFCI): Not working 3. Flooring: Floor tiles in need of replacement or repairs 4. <i>Peeling Paint/Deteriorated Surface: Broken plaster*</i> 5. <i>Evidence of rats, mice, or other vermin present: Exterminate the entire property</i> |
| FDNY | <ul style="list-style-type: none"> 6. Record Keeping: Missing or poorly maintained fire safety plan, log books, testing and maintenance reports, fire alarm systems letters of approval 7. Precaution Against Fires: Illegal storage within utility rooms, electrical rooms, elevator machine rooms; illegal storage of portable fueled equipment on premises; vegetation within 10 feet of the building; combustible rubbish within the premises; faulty fire extinguishers 8. Emergency Planning: Failure to provide annual fire safety plans or fire safety plan training to staff and residents 9. <i>Fire-Resistance-Rated Construction: Damaged fire-rated barrier walls and/or ceiling-floor assemblies; fire doors blocked with door stops; missing or damaged re-latching on fire doors</i> 10. <i>Obstructed Egress: Overcrowding (occupancy in multiple premises exceeds the maximum allowed by Certificate of Occupancy); storage of goods in hallway; access to stairwells impeded; locks on doors preventing exit; emergency power for emergency light missing</i> |
| DOB | <ul style="list-style-type: none"> 11. Doors: Doors not self-closing; doors not closing flush 12. Handrails: Loose or unsteady; must be able to stand 250lbs of horizontal/vertical force 13. Walking Surfaces: Excessive sloping 14. Inspection Reports: Missing Boiler, Elevator and other building systems inspections and/or reports 15. <i>Emergency Backup Lighting: Power source for emergency lighting must be in place</i> 16. <i>Leaks: Repair plaster and paint damage resulting from leaks</i> 17. <i>Obstructed Egress: Furniture, boxes or possessions blocking means of egress</i> 18. <i>Fire Stopping: Need to use fire-stopping materials</i> |
| DOHMH | <ul style="list-style-type: none"> 19. Exposed/Uncontained Garbage or Spilled Food Waste: Food waste that can attract and feed rats 20. Clutter and Debris Sufficient to Harbor Rats or other vermin |

**Italicized text indicates the violation is common amongst several agencies*

Appendix G: Shelter Compliance Procedure

To be inserted once final