

Local Government Performance and Efficiency Program (LGPEP)

Request for Applications RFA # 12-LGPEP-01 Award Application and Instructions

KEY DATES

RFA Release Date: May 17, 2012

Questions Due Dates: July 3, 2012

RFA Updates & Responses to Questions Posted Date: July 11, 2012

Application Due Date: **4:00pm, Wednesday, July 25, 2012**

Resolution Due Date: **4:00pm, Wednesday, August 29, 2012**

Contact: Kyle Wilber, Program Manager
New York State Department of State
Division of Local Government Services, RFA # 12-LGPEP-01
One Commerce Plaza
99 Washington Avenue, Suite 1015
Albany, New York 12231

Application Submission: LuAnn Hart, Contract Administration Unit
Attention: Local Government Efficiency Grants, RFA# 12-LGPEP-01
New York State Department of State, Bureau of Fiscal Management
One Commerce Plaza, 11th Floor, Suite 1110
99 Washington Avenue, Albany, NY 12231

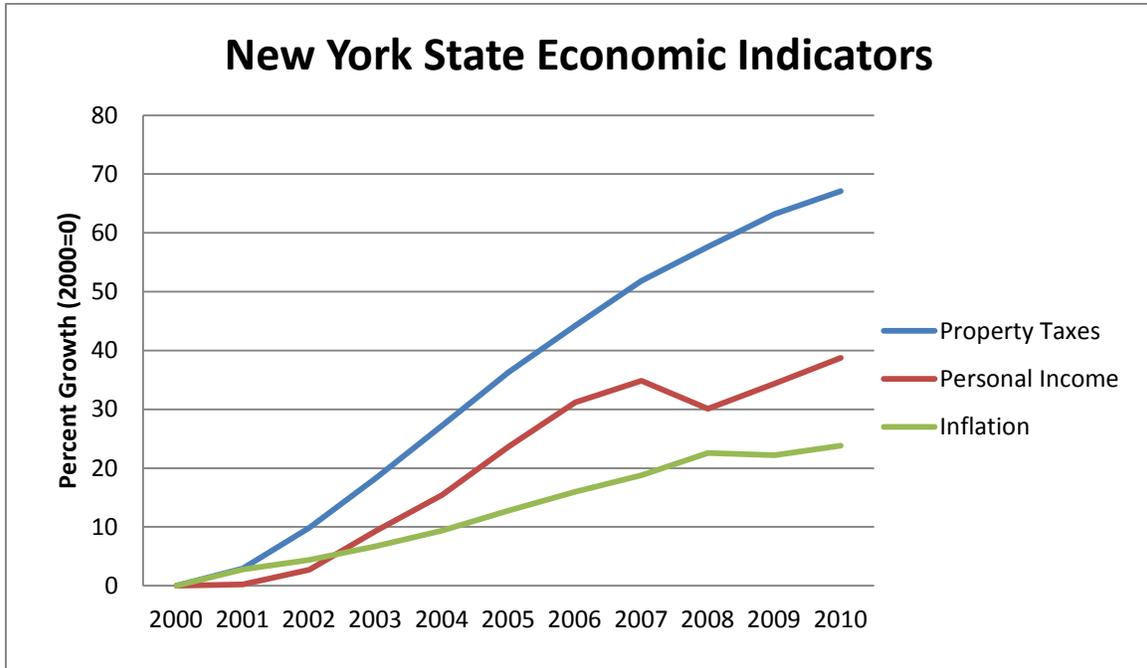
Applications received after the deadline will be returned to the applicant.

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I. Driving Forces

Over the last decade, the growth in property taxes has consistently outpaced both personal income and inflation in New York State. This is a pattern that continues to put New York State at a competitive disadvantage in keeping citizens in local communities and in attracting new investment. Today more than ever New York State governments must re-think and remake how they deliver public services if they want to increase community competitiveness by lowering the expenses borne by taxpayers.



However, New York State local government officials are working hard to identify opportunities to reduce the local expenses that have an impact on the growth of property tax rates. Under the Local Government Performance and Efficiency Program, advanced by Governor Andrew Cuomo, the Department of State will be able to recognize these local efforts by providing performance awards for existing cost savings actions that are substantial, measurable and transformative.

II. Local Government Performance and Efficiency Program

This year the Local Government Performance and Efficiency Program (LGPEP) has been included within the Local Government Efficiency (LGe) program portfolio. The LGPEP will provide direct financial awards to local governments in recognition of actions that are producing recurring financial savings, and having a positive impact on reducing the growth in local property taxes. These actions must have been implemented on or after January 1, 2010, and their impact must be quantifiable and identified as a reduction in municipal expenditures for the corresponding budget years. For this award solicitation, there will be \$40 million available in assistance from the Department of State. LGPEP awards will be made available to successful applicants as general aid for municipal purposes.

If a municipality intends to use an LGPEP award for a subsequent physical infrastructure investment, the application will be reviewed under the New York State Smart Growth Public Infrastructure Policy Act found in Article 6 of the Environmental Conservation Law. Under this statute “no state infrastructure agency shall approve, undertake, support or finance a public infrastructure project, including providing grants, awards, loans or assistance programs, unless, to the extent practicable, it is consistent with the smart growth principles.” The Department of State is listed as an “infrastructure agency.” Smart Growth encourages community planning and development in priority economic growth areas where water and sewer infrastructure is available, encourages redevelopment of existing community centers, and protects important natural and historic resources, including water quality. Applicants are required to describe how any public infrastructure project that will be funded by these state funds, to the extent practicable, meets the Smart Growth criteria listed in Part 4 of the application.

Additional information may be found on the Department of State website at: www.dos.ny.gov/LG

III. Application Information

Local Government Performance and Efficiency Award

Please review all instructions carefully and address all relevant requirements. A well-organized application, showing how the implemented action has resulted in quantifiable and recurring savings, will demonstrate to the reviewers that the applicant has a clear understanding of how the action meets the goals of the LGPEP. Additional information may be found on the Department of State website at: www.dos.ny.gov/LG.

Eligible Applicants

For the purpose of this grant, a municipality is defined as a county, city, town, or village. However an eligible county does not include the individual counties contained within the City of New York. **For actions that involved multiple municipalities, every eligible municipality that was a party to the project must be a party to a joint application.**

Municipalities may submit applications for more than one action provided that each is submitted separately. Each application must include a Part 1, Part 2 and Part 3 along with all required attachments. Electronic copies of the application forms may be found on the Department of State website at www.dos.ny.gov/LG. **Fax and e-mail transmissions of applications or completed forms will not be accepted.**

Eligible Projects

Eligible municipalities may apply for an LGPEP award to recognize significant and innovative actions that are producing quantifiable and recurring financial savings and having a positive impact on reducing the property tax burden confronting residents. Additional emphasis will be placed on projects that have improved the overall efficiency of governmental operations. To qualify for an award, actions must have commenced on or after January 1, 2010, and must be fully implemented at the time of application.

Municipal Resolutions

To be eligible for an LGPEP award, each involved municipality is required to include a resolution passed by its governing board demonstrating its support of the application. The resolution is required to provide confirmation that the involved municipalities are committed to sustaining the project and measuring the future impacts of its savings and service efficiencies. When possible, resolutions should be included with the application submission. They may be submitted at a later date, but no later than August 29, 2012. After August 29, 2012, applications without resolutions will be deemed incomplete and will not be considered for funding. For information regarding the content of resolutions, you may refer to Appendix C or the Department of State website www.dos.ny.gov/LG.

Determining Award Amount

The intent of the program is to reward municipalities for actions or projects that are producing recurring savings (fiscal impact) and using such savings to provide taxpayer relief. The amount of an award will be based upon a municipality's population and the percentage of fiscal impact on the total expenditures of a municipality. The greater the fiscal impact as a percentage of the total expenditures, the greater the amount of the incentive award for which a municipality is eligible. The fiscal impact of the project means the **annual** recurring savings as a percentage of total municipal expenditures, calculated by dividing a municipality's recurring savings into its total municipal expenditures.

If an application is selected for an award, funds will be distributed in three (3) equal payments over three (3) years, with the first installment payable at the time of execution of the contract between the applicant and the Department of State. The remaining two installments will be paid subject to contract terms and conditions as agreed to between the municipality and the Department of State, and will be based on financial thresholds that measure the municipality's annual commitment to the action or project and the maintenance of project savings over time.

An LGPEP Award shall not exceed the lesser of \$25.00 per resident of applicant municipalities or \$5 million. Awards shall be calculated by multiplying the Per Capital Award amount, as listed in the schedule below, and a municipality's population, as determined by the 2010 federal decennial census.

The maximum award shall not exceed five times the annual recurring savings.

Fiscal Impact on Total Annual Expenditures	Per Capita Award
Up to 0.25%	\$0.00 - \$5.00
Greater than 0.25% up to 0.50%	\$5.01 - \$10.00
Greater than 0.50% up to 0.75%	\$10.01 - \$15.00
Greater than 0.75% up to 1.00 %	\$15.01 - \$20.00
Greater than 1.00% up to 1.25%	\$20.01 - \$25.00
Greater than 1.25%	\$25.00
Per Capita Award amounts, within each range, shall be pro-rated to the actual % fiscal impact within three decimal points.	

When individual municipalities apply, an LGPEP award will be based upon that municipality's expenditures and population. However, if an action or project was undertaken jointly, all involved eligible municipalities must apply together.

- When multiple municipalities apply:
 - The aggregate of all municipalities' total expenditures, recurring savings and populations will be used to calculate the total award amount. Individual awards will be apportioned based upon each municipality's percentage of the combined population.
 - When overlapping municipalities apply (e.g. village and town; town and county):
 - the residents in the overlapping areas shall only be counted once; and
 - the award will be distributed based on population; however within the area(s) that overlap, the award will be split equally among the overlapping municipalities involved with the project.

Example: Assume that a village and town apply jointly, the village has a population of 5,000 and is completely within the town that has a population of 10,000 (inclusive of the village's population), and the applicants demonstrate a fiscal impact on total expenditures of 0.25%, which qualifies them for funding at \$5 per capita. The total award would be \$50,000 ($\$5 \times 10,000$). For the population of the town outside of the village, the town would receive \$25,000 ($\$5 \times 5,000$). For the population within the village, the town would receive an additional \$12,500 and the village would receive \$12,500 ($(\$5 \times 5,000) / 2$). Thus, the total award to the town would be \$37,500, and the total award to the village would be \$12,500.

- When a county is involved:
 - The award will be based upon the combined population of the municipalities applying with the county, exclusive of the county's remaining population if:
 - only some of the municipalities within the county are involved with the project; or
 - the project has little or no impact outside of the municipalities applying with the county.
 - The award will be based on the population of the **entire** county if:
 - all municipalities within the county are involved with the project; or
 - the applicants demonstrate that the project has county-wide impact.

Example: Assume that a county has a population of 100,000 and within the county are four towns, each with a population of 25,000, one with a village with a population of 12,500, and that the applicants demonstrate a fiscal impact on total expenditures of 0.25%, which qualifies them for funding at \$5 per capita.

- If a county and no other municipalities are involved, the county would receive the full award of \$500,000.
- If a county and one town are involved and the project has little or no impact outside of the town, the total award would be \$125,000 – the town would receive \$62,500 and the county would receive \$62,500.
- If a county and one town are involved and the project has county-wide impact, the total award would be \$500,000 – the town would receive \$62,500 and the county would receive \$437,500.
- If a county and two towns are involved and the project has little or no impact outside of the towns, the total award would be \$250,000 – each town would receive \$62,500 and the county would receive \$125,000.
- If a county and two towns are involved and the project has county-wide impact, the total award would be \$500,000 – each town would receive \$62,500 and the county would receive \$375,000.
- If a county, two towns and a village within one of the towns are involved and the project has little or no impact outside of the towns and village, the total award would be \$250,000 – one town would receive

\$62,500, the village would receive \$20,833, the town with the village would receive \$52,083 and the county would receive \$114,584.

- If a county, two towns and a village within one of the towns are involved and the project has county-wide impact, the total award would be \$500,000 – one town would receive \$62,500, the village would receive \$20,833, the town with the village would receive \$52,083 and the county would receive \$364,584.
- If a county, two towns and a village outside the towns are involved and the project has little or no impact outside of the towns and village, the total award would be \$312,500 – each town would receive \$62,500, the village would receive \$31,250, and the county would receive \$156,250.
- If a county, two towns and a village outside the towns are involved and the project has county-wide impact, the total award would be \$500,000 – each town would receive \$62,500, the village would receive \$31,250 and the county would receive \$343,750.
- If a county and three towns are involved and the project has little or no impact outside of the towns, the total award would be \$375,000 – each town would receive \$62,500 and the county would receive \$187,500.
- If a county and all four towns are involved and the project has county-wide impact, the total award would be \$500,000 – each town would receive \$62,500 and the county would receive \$250,000.

IV. Preparing an Application

Getting Started

Applicants should fully review eligibility and program criteria, and give careful consideration to how the implemented action is producing quantifiable recurring savings, efficiencies, and permanent improvements to municipal services.

Questions

Submit all substantive questions in writing to:

Kyle Wilber, Program Manager
Local Government Efficiency Grants, RFA# 12-LGPEP-01
New York State Department of State
One Commerce Plaza, 11th Floor, Suite 1015
99 Washington Avenue
Albany, NY 12231
LGEprogram@dos.ny.gov

To the extent possible, each inquiry should cite the RFA section and paragraph to which it refers. Written questions will be accepted until July 3, 2012.

Questions of a technical nature may be addressed in writing or via telephone by calling the Local Government Efficiency Program at (518) 473-3355 or (800) 367-8488. **Questions are of a technical nature if they are limited to how to prepare the application (e.g., formatting) rather than relating to the substance of the application.**

This RFA has been posted on the Department of State's website at: <http://www.dos.ny.gov/funding/>. Questions and answers, as well as any updates and/or modifications, will be posted by July 11, 2012.

Assembling the Application

- **Send one original application, three copies and one compact disc containing one copy of the application in Adobe Acrobat Portable Document Format (PDF).**
- Full application materials should be bound in pressboard report covers or standard three-ring (maximum ring size of 2 inches) binders.
- Maps must be: 8 ½" x 11"; 8 ½" x 14" or 11" x 17" folded down to an 8 ½" x 11" size. Rolled maps will not be accepted.
- Prior studies that are relevant to the implementation of the project may be included in the application as supplemental information and must be properly referenced and highlighted. Submission of pre-existing or stand-alone data and reports will not be accepted as substitutes for required information.
- **Include a Part 1, Part 2 and Part 3.** Assemble the application in the order indicated on the application checklist, Part M, of the Grant Project Application form. Sign the original copy in ink and number the pages of the completed application before making copies.

Grant Deadline

The deadline for the Local Government Performance and Efficiency Award is July 25, 2012, at 4:00pm.
Applications received after the deadline will be returned to the applicant.

Grant applications must be received in their entirety. Incomplete applications will not be reviewed.

Submit Applications to:

LuAnn Hart, Contract Administration Unit
Attention: Local Government Efficiency Grants, RFA# 12-LGPEP-01
New York State Department of State
Bureau of Fiscal Management
One Commerce Plaza, 11th Floor, Suite 1110
99 Washington Avenue
Albany, NY 12231

V. Application Review

Review Criteria

All projects will be rated against the following criteria found in LGPEP Application Sections G-K (pp. 13-16). Each application may receive up to a maximum of 100 base points and 10 additional bonus points.

1) Local Government and Taxpayer Savings (up to 55 points)

- Applications will be assessed based on actual savings generated by the implementation of the project and the use of those savings to reduce real property taxes.

2) Project Scale (up to 15 points)

- Applications will be assessed on the comprehensiveness of the project's impact across municipalities.

3) Project Scope (up to 10 points)

- Applications will be assessed on the scope of the project's impact across service delivery areas and municipal budget functions.

4) Project Sustainability (up to 10 points)

- Applications will be assessed on the specific actions undertaken that commit the involved municipalities to the particular project for which the award is requested, and how they will ensure the benefits of the project continue to be sustained over time.

5) Program Transformation (up to 10 points)

- Applications will be assessed on the transformative nature of the project and how it reorients the business practices associated with the services impacted.

6) Bonus Points (up to 10 points)

- Bonus points will be awarded to municipalities that commit to leveraging award funds to create future tax relief or enhance the ability of the applicant to increase economic competitiveness.

Evaluation Process

The Department of State will review all applications for eligibility and completeness. If an application is deemed ineligible or incomplete, the lead applicant will be informed of the reasons.

- Each application will receive 3 individual scores.
- The three individual scores will be averaged in order to assign a final score

Answer all questions. Any part of the application without an answer will receive zero (0) points. If a question does not appear to apply to the project, please explain why.

Depending on availability of funds, the Department of State may provide only partial funding to projects. **All applicants must meet eligibility requirements, and the lead applicant is responsible for submitting a complete application.**

Smart Growth Impact

As a State Infrastructure Agency pursuant to Article 6 of the Environmental Conservation Law, “The New York State Smart Growth Public Infrastructure Act,” the Department of State is required to determine whether or not public funds it awards are used for a public infrastructure project. For the purposes of the LGPEP program, if the applicant intends to use any of the funds received from an award for a public infrastructure project, the Department of State may deny funding, and/or require modification(s) to any such project not meeting the statutory criteria regarding Smart Growth.

VI. Awards and Contract Administration

Awards

Awards will be made based on an application's final score, with funding awarded to the highest scoring applications. Applicants will be notified directly of awards. All award decisions are final.

Contracts

The Department of State requires that all successful applicants enter into a contract with the State of New York. In the case of multiple applicants for an LGPEP award, the Department of State will enter into contract with each successful applicant and detail each municipality's obligations in order to receive full award funding. Contracts will be dated at the start of the current state fiscal year and continue for three years. It is the responsibility of each awardee to return a contract to the Department of State within sixty (60) days from their receipt. The Department of State may cancel an award if the state contract is not returned in a timely manner.

Contract Administration

The terms and conditions of the contract will outline the three-year payment schedule, cost savings milestones and future project impact. Failure to meet the requirements of the contract may be deemed an abandonment of the project and may cause the suspension or termination of any financial obligation of the state.

Schedule of Payments

The LGPEP awards will be distributed in three equal payments over three (3) years. The first installment shall be payable upon execution of the contract. The remaining two installments will be paid annually subject to terms and conditions as agreed to by the municipality and the Department of State based on the municipality's projected savings over time. Requests for payment may be submitted annually along with the annual fiscal impact on the total expenditures of a municipality.

Required Reports

Each award recipient must achieve results that substantially meet the objectives outlined in the approved State Contract. Recipients of awards must submit project status reports with every request for payment, and such other reports or information requested by the Department. Contract close-out requires completion of all required appendices and a final project summary report. This final report should demonstrate how the municipality or municipalities will continue to meet the goals of the LGPEP.

Reserved Rights

The Department of State reserves the right to:

1. Reject any or all applications received in response to this RFA.
2. Award more than one contract resulting from this RFA.
3. Waive or modify minor irregularities in applications received after prior notification to the applicant.
4. Adjust or correct cost figures with the concurrence of the applicant if errors exist and can be documented to the satisfaction of the Department of State and the State Comptroller.
5. Negotiate with applicants responding to this RFA within the requirements to serve the best interests of the state.
6. Eliminate mandatory requirements unmet by all applicants.
7. Make an award to the next highest scoring application if a successful applicant fails to negotiate a proper contract within an acceptable time frame.
8. Award grants based on geographic or regional considerations to serve the best interests of the state.
9. Not fund an application that fails to submit a clear and concise work plan or budget.
10. Partially fund award applications.
11. Deviate from the Payment Schedule based on availability of appropriations, discontinuance of the action or failure to meet targets.
12. Not fund applications that score below 60 points.

VII. LGPEP Application Forms and Questions

A complete application includes the following:

- Part 1 - *Applicant Information*;
- Part 2 – *Work Plan and Signature Page*; and
- Part 3 – *State Smart Growth Infrastructure Policy Act: Applicant Impact Statement*. **Each applicant must answer the first question and sign the form. Complete the entire form only when the award funds will be used for a public infrastructure component.**

Part 1 – General Information

- **Grant Category:** Local Government Performance and Efficiency Program

A. Lead Applicant information:

- **Name of Applicant:** Name of the Municipality applying for the award. Municipalities may apply individually or jointly.
- **Federal Tax ID Number:** 9 digit federal tax identification number.
- **Vendor ID Number:** 10 digit identification number assigned by the NYS Office of the State Comptroller.
- **Chief Administrative Officer and Title:** Name and title (e.g., Supervisor, Mayor, County Executive) of the chief administrative or authorizing officer.
- **Type of Applicant:** Municipality type (county, city, town, or village).
- **County:** County or counties where the project is located.
- **Senate/Assembly Districts:** Senate District Number(s) and the Assembly District Number(s) for the geographic area covered by the project.

B. Lead Applicant Contact Person:

- **Lead Applicant Contact Person:** Name and title of the person who will be responsible for management of the state contract.

C. General Project Information:

- **Total Project Cost:** Please include, as accurately as possible, the total costs associated with implementation of this project and the funding sources.
- **Project Title:** Provide a specific title for the project.
- **Project Description:** Provide a brief summary of the project implemented.

D. Co-Applicant Information:

- **Name of Co-applicant:** Name of the eligible municipality participating in the application.
- **Federal Tax ID Number:** 9 digit federal tax identification number.
- **Vendor ID Number:** 10 digit identification number assigned by the NYS Office of the State Comptroller.
- **Chief Administrative Officer and Title:** Name and title (e.g., Supervisor, Mayor, County Executive) of the chief administrative or authorizing officer.
- **Type of Applicant:** Municipality type (county, city, town, or village).
- **Co-Applicant Contact Person:** Name and title of the person who will be responsible for management of the state contract.
- **County:** County or counties where the project is located.
- **Senate/Assembly Districts:** Indicate the Senate District Number(s) and the Assembly District Number(s) for the geographic area covered by the project.

Complete a section for each co-applicant and add additional pages if necessary.

Part 1	NYS Department of State RFA# 12-LGPEP-01	DO NOT WRITE IN THIS SPACE	
		Application Number LGPEP-11-	Date Received
Grant Category: Local Government Performance and Efficiency Award Program			
A. Lead Applicant			
Name of Applicant:		Federal Tax ID Number:	
Name of Chief Administrative Official:		Vendor ID Number	
Title:		Telephone Number/Extension:	
Mailing Address:		Fax Number:	
		E-Mail Address:	
		County or Counties:	
		Senate District(s):	
Type of Applicant:		Assembly District(s):	
B. Lead Applicant Contact Person			
Name of Contact Person:		Telephone Number/Extension:	
Title:		Fax Number:	
Address:		E-Mail Address:	
C. General Project Information			
Total Project Cost:			
Project Title: (No more than 10 words)			
Project Description: Provide a brief summary statement that describes the project (Not more than 3 sentences)			

Name of Lead Applicant:	
D. Co-Applicants: Other Participants in the Grant Application	
Name of Applicant:	Federal Tax ID Number:
Name of Chief Administrative Official:	Vendor ID Number
Title:	Telephone Number/Extension:
Mailing Address:	Fax Number:
	E-Mail Address:
	County or Counties:
	Senate District(s):
Type of Applicant:	Assembly District(s):
Name of Contact Person:	Telephone Number/Extension:
Name of Applicant:	Federal Tax ID Number:
Name of Chief Administrative Official:	Vendor ID Number
Title:	Telephone Number/Extension:
Mailing Address:	Fax Number:
	E-Mail Address:
	County or Counties:
	Senate District(s):
Type of Applicant:	Assembly District(s):
Name of Contact Person:	Telephone Number/Extension:
Name of Applicant:	Federal Tax ID Number:
Name of Chief Administrative Official:	Vendor ID Number
Title:	Telephone Number/Extension:
Mailing Address:	Fax Number:
	E-Mail Address:
	County or Counties:
	Senate District(s):
Type of Applicant:	Assembly District(s):
Name of Contact Person:	Telephone Number/Extension:
Copy sheet as necessary to include information on additional Co-Applicants.	

Part 2 - Local Government Performance and Efficiency Award

E. Local Government Performance and Efficiency Application Information:

F. Memoranda of Understanding or Intermunicipal Agreements:

Provide copies of any existing Memoranda of Understanding (MOU) or Intermunicipal Agreements (IMA) that were entered into for the purposes of this activity.

Sections, G through L, must be answered in narrative form.

To facilitate accurate scoring of the grant criteria, applicants are encouraged to address all criteria in the order in which they appear in the application. Sections G through K must be answered for every grant application, section L is optional. An application's score is based on the information provided in this narrative. Be as detailed as possible.

G. Local Government and Taxpayers Savings (55 points):

The present and future impact of the project savings and the impact on property taxes is the major component of the review. Applications will be assessed on both the actual savings and applicant's narrative explaining what the municipalities are doing with the savings generated by the implementation of the project.

1. **Project Savings.** Use the worksheet included in the application packet, Appendix A, to determine the annual savings realized from the action or project. (A total of 30 possible points)

Examples include:

- A town and a village with total municipal expenditures of \$3,000,000 have consolidated highway services and have combined savings of \$50,000, or 1.67% of total annual expenditures of both local governments.
- A town with annual expenditures of \$1,000,000 has implemented the use of remote monitoring equipment for the municipal sewer system, which has allowed them to re-focus personnel towards other services, and is saving \$20,000 annually or a 2.0% reduction in municipal expenses.
- A county, 2 towns and a village with total municipal expenditures of \$50,600,000 have combined record storage resulting in a combined annual savings of \$66,000 or 0.13% of the total annual expenditures.

Fiscal Impact on Total Annual Expenditures	Score
Up to 0.25%	5
Greater than 0.25% up to 0.50%	10
Greater than 0.50% up to 0.75%	15
Greater than 0.75% up to 1.00%	20
Greater than 1.00% up to 1.25%	25
Greater than 1.25%	30

2. **Taxpayer and Financial Benefit.** The narrative should explain how the savings generated by the action has benefited the residents of each municipality, specify how the savings were directed, and detail the rationale behind those decisions. (A total of 25 possible points)

Examples include:

- *Description of how the savings from the action have been used to lower property taxes or fees and/or reduce their growth rate.*
- *Description of how the savings from an action have funded other municipal services.*
- *Description of how the cost savings have allowed for investments in other cost saving measures or capital investment planning actions that have the capacity to stabilize future finances.*

Taxpayer and Financial	Score
Investments in other cost savings actions	Up to 5
Reduction in property tax growth rate	Up to 15
Actual reduction in property taxes	Up to 25

An application may receive a score from zero to the maximum score for each action shown, for a maximum possible score of 25 points.

H. Project Scale (15 Points):

The scale of the action measures the comprehensiveness of the action’s impact on the municipal budgets across municipalities. The application should describe the number of municipalities that are benefiting from the project and their roles in completion of the action. (A total of 15 possible points)

Examples include:

- *Description of how a project has produced an innovative service delivery change that resulted in savings in just one village.*
- *Description of how a single county is now providing a service to some or all of the municipalities within its borders or to municipalities within multiple counties.*
- *Description of how cost saving actions has focused on an initiative that provides regional benefits to all participating municipalities.*

Scale	Score
Single municipality	5
Multiple municipalities	9
Single county involvement	12
Multiple county, regional project	15

I. Project Scope (10 Points):

The scope of the action is intended to measure its impact across service delivery areas and functions. The application should provide a review of the municipal services that have been affected and the scope of such impact on the resulting structure of service delivery. The applicant should provide information on the scope of the project

by describing which parts of the municipal budget are affected, and to explain how extensive the impact was on the services and departments of each involved municipality. (A total of 10 possible points)

Examples include:

- *Description of how a municipality has made changes within a single service delivery area, such as building inspection and code enforcement*
- *Description of how a municipality has implemented actions that affect multiple service areas to provide cost savings and more efficient service delivery.*
- *Description of how a municipality has instituted a department-level consolidation of its police force with an adjacent municipality.*

Scope	Score
A single service	3
Multiple services	6
Department-level or functional consolidation	10

J. Project Sustainability (10 Points):

The sustainability measure is intended to assess the specific actions undertaken that commit the involved municipalities to the particular project for which the award is requested, and the actions that have been taken to ensure that the benefits of the project continue to be sustained over time. The applicant needs to clearly articulate the performance measures established to monitor the project’s long term sustainability and impact. This would include the analysis of future cost impacts, return on investment and service delivery efficiencies, as well as the establishment of processes to institutionalize these new approaches. (A total of 10 possible points)

Examples include:

- *Description of how a municipality has institutionalized the project through advanced technical measures, intermunicipal agreements or local laws.*
- *Description of how a municipality has created performance measurements to verify recurring savings.*
- *Description of how a municipality has created a capital investment plan to indicate a municipality’s sustained commitment to the project.*

Sustainability	Score
Unclear how performance will be sustained	0
Informal actions help to sustain the program	5
Formal actions help to sustain the program	10

K. Program Transformation (10 Points):

A transformative action or project is one that reorients the business practices associated with the services impacted. This category is intended to assess whether or not the project has pushed the applicant(s) towards new service delivery methods or technologies that have resulted in higher levels of efficiencies, economies of scale and taxpayer savings. The application should also indicate how the municipality is “working smarter” to provide efficiencies and cost savings. (A total of 10 possible points)

Examples include:

- Description of how a municipality has improved existing highway operations by instituting changes that save money, without re-assessing the use of new technology to increase efficiencies.
- Description of how a municipality, or group of municipalities, has created a new operations model by changing the way highway services are provided and in doing so have used new technologies to provide efficiencies and cost savings.

Service Operational Change	Score
No change to business processes or operations	0
Changes or improvements to existing processes or operations	2
Changes or improvements to existing processes or operations using new technology	4
Creation of a new operations model without investment in new technology	7
Creation of a new operations model that uses new technology	10

L. Bonus Points (up to 10 points)

In addition, as applicable, applicants may include in the narrative a discussion of how the LGPEP award would be utilized if it is awarded, including details on how it might be leveraged to create future tax relief or enhance the ability of the applicant to increase economic competitiveness. Applicants are encouraged to describe their plans, if any, for use of a potential award to achieve additional savings or increase economic competitiveness. Note: this explanation is not required, but must be completed to be eligible for bonus points.

Bonus	Score
Planned investment in other cost saving measures/actions that have the potential to provide additional property tax savings	Up to 3
Planned reduction in the growth rate of property taxes	Up to 7
Planned reduction in property taxes	Up to 10

An application may receive a score from zero to the maximum score for each potential award utilization shown, for a maximum possible bonus of 10 points.

M. Application Submission Checklist

Please review the application submission checklist to verify that all required information has been included in the application package. The original application with signatures in ink must include all required forms and other materials as listed above.

N. Resolution and Certification

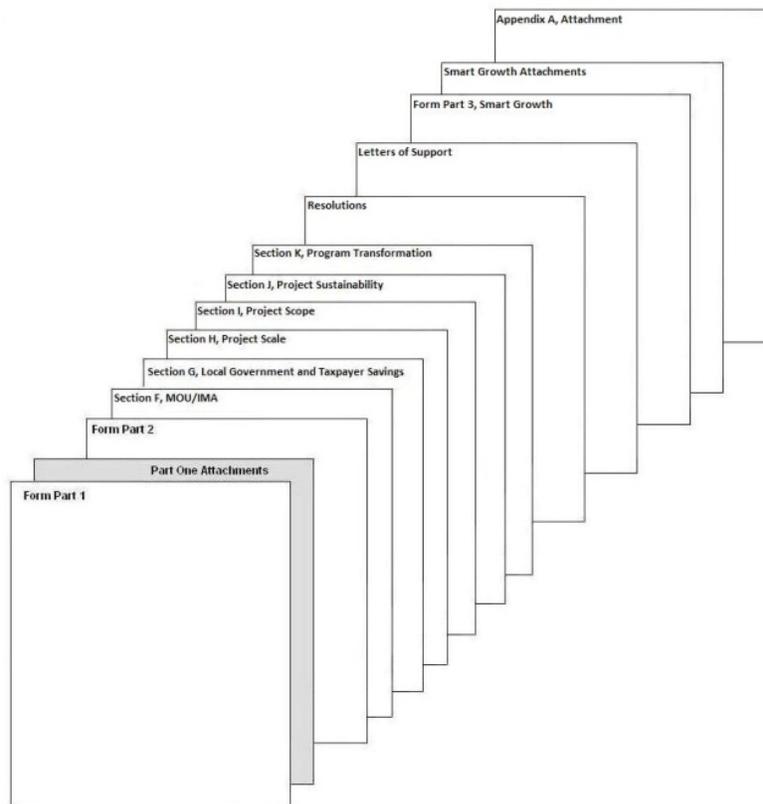
The lead applicant and all co-applicants shall submit with the application a formal resolution of each governing board authorizing the application. The resolution shows the official support of the governing board for the application. Resolutions from all involved local government entities are required to be submitted for the

application to be deemed complete and eligible for consideration. For information regarding the content of resolutions please refer to Appendix C or the Department of State website www.dos.ny.gov/LG.

The lead applicant's representative shall sign the Certification of the information contained in the application.

Assembly of Final Application

- **Three sets of materials (an original and two copies) and one compact disc containing one copy of the application in Adobe Acrobat Portable Document Format.**
- Printed materials should be bound in pressboard report covers or standard three-ring (maximum ring size of 2 inches) binders.
- Maps included in the application must be: 8 ½" x 11"; 8 ½" x 14" or 11" x 17" folded down to an 8 ½" x 11" size. Rolled maps will not be accepted.
- Prior studies relevant to the application may be included in the application as supplemental information and must be properly referenced and highlighted. Submission of pre-existing or stand-alone data and reports will not be accepted as substitutes for information required in the application.
- **Include a Part 1, Part 2 and the Part 3 for each applicant.** Assemble the application in the order indicated on the application checklist, Part L, of the Grant Project Application form. Sign the original copy in ink and number the pages of the completed application before making copies.



**Part
2**

**NYS Department of State
Local Government Performance
and Efficiency Program
RFA# 12-LGPEP-01**

**LOCAL GOVERNMENT
PERFORMANCE AND
EFFICIENCY PROGRAM**

Name of Lead Applicant: From the Part 1 Application

E. Local Government Performance and Efficiency Application Information

F. Memoranda of Understanding/Intermunicipal Agreements (MOU/IMA)

List and attach copies of any Memoranda of Understanding/Intermunicipal Agreements or other agreements that have been entered into for this activity. Additional sheets attached as necessary.

G. Local Government and Taxpayer Savings (55 points):

The present and future impact of the project savings and the impact on property taxes is the major component of the review. Applications will be assessed on both the actual savings and applicant's narrative explaining what the municipalities are doing with the savings generated by the implementation of the project. The worksheet included with the application, Appendix A, will determine the amount cost savings for evaluation and rating.

H. Project Scale (15 Points):

The scale of the action measures the comprehensiveness of the action's impact across municipalities. The application should describe the number of municipalities that are benefitting from the project.

I. Project Scope (10 Points):

The scope of the action will measure the action's impact across municipal service delivery areas and municipal budget functions.

J. Project Sustainability (10 Points):

The sustainability measure will assess the specific actions undertaken that commit the involved municipalities to the particular action or project for which the award is requested, and the actions that have been taken to ensure that the benefits of the project continue to be sustained over time.

K. Program Transformation (10 Points):

A transformative action or project is one that reorients the business practices associated with the services impacted. The narrative should also indicate how the municipality is "working smarter" to provide efficiencies and cost savings

L. Bonus (up to 10 Points):

Applicants may include a discussion of how the LGPEP award would be utilized if it is awarded, including details on how they might be leveraged to create future tax relief or enhance the ability of the applicant to increase economic competitiveness

M. Application Submission Checklist

The application packet shall include the original application forms with **three copies** and 1 compact disc and shall be submitted to Department of State. This application shall be used as the original application (*a fill-able form is available on the Department of State website*); additional sheets and attachments should be added in the order outlined below:

- | | |
|---|---|
| <ul style="list-style-type: none"> <input type="checkbox"/> Completed Part 1 Application <input type="checkbox"/> Extra sheets containing information on additional Co-Applicants, if applicable (Part D attachments) <input type="checkbox"/> Local Government Efficiency Project Information <input type="checkbox"/> MOUs or IMAs (Part F attachments) <input type="checkbox"/> Savings and Project Impact (Part G attachments) <input type="checkbox"/> Scale (Part H attachments) | <ul style="list-style-type: none"> <input type="checkbox"/> Scope (Part I attachments) <input type="checkbox"/> Sustainability (Part J attachments) <input type="checkbox"/> Transformation (Part K attachments) <input type="checkbox"/> Bonus (Part L attachments) <input type="checkbox"/> Municipal Resolutions (Part N attachments) <input type="checkbox"/> Part 3 for each applicant, completed if applicable |
|---|---|

N. Municipal Resolutions and Application Certification

The Lead Applicant and **all** Co-applicants **shall** submit, with this application, original copies of the resolutions in direct support of this application. Resolutions not included with this application, or that are incomplete, may result in this application being deemed ineligible.

I hereby affirm under penalty of perjury that information provided on this form and attached statements and exhibits is true to the best of my knowledge and belief. False statements made herein are punishable as a Class A misdemeanor pursuant to Section 210.45 of the Penal law.

(Print Name)

(Print Title)

(Signature)

(Date)

Part 3 - State Smart Growth Public Infrastructure Policy Act:

Since each applicant may use an LGPEP award to finance different public infrastructure projects, each applicant must complete a Part 3. This part of the application is reviewed by the Department of State's Smart Growth Advisory Committee, so copy any duplicate information from earlier application Parts.

- **Grant Category:** Local Government Performance and Efficiency Program Award.
- The performance award will be used to develop one or more physical infrastructure project? **Complete this form only if answered YES, but sign the certification on the back of the form in all cases.** Be aware that it is acceptable not to know how the funds will be used.

A. Applicant:

- **Name of Applicant:** Name of the local government entity applying for the grant.
- **Federal Tax ID Number:** 9 digit federal tax identification number.
- **Chief Administrative Officer and Title:** Name and title (e.g., Supervisor, Mayor, County Executive) of the chief administrative or authorizing officer.
- **Type of Applicant:** Municipality type (county, city, town, or village).
- **County:** County or counties where the proposed project is located.
- **Senate/Assembly Districts:** Senate District Number(s) and the Assembly District Number(s) for the geographic area covered by the application.

B. General Project Information:

- **Type of Project:** Check the applicable box and provide a brief description of the proposed use of the award.
- **Title:** Provide a specific title for the proposed use of the award.
- **Description:** Provide a brief summary of the proposed use of the award.
- **Funding:** If the proposed project is receiving funding from other grants or other public funds please check the box and list the funding source. This is for informational purposes only.
- **Previous Plan or Planning Grant:** If this proposed project received prior funding from the Department of State please note it here.
- **Project Review by other Agency:** Please list each State Infrastructure Agency that has reviewed or is reviewing this proposed project for compliance with the Smart Growth Public Infrastructure Policy Act.

C. Applicant Impact Statement

As a "State Infrastructure Agency" the Department of State is required to review infrastructure projects for compliance with the New York State Smart Growth Public Infrastructure Act. If the performance award will be used to develop one or more public infrastructure projects the Department of State may deny funding, and/or require modification(s) to any such project not meeting the standards described in the Infrastructure Act.

In order to determine if the funds received from this award program adheres to the Smart Growth criteria please check all that apply. For each **checked** box provide justification for compliance with the Smart Growth Act. For each box **not checked**, provide justification for non-compliance with the Smart Growth Act. The following are the criteria that need to be addressed:

- advances projects for the use, maintenance or improvement of existing infrastructure;
- advances projects located in municipal centers;
- advances projects in developed areas or areas designated for concentrated infill development in a municipally approved comprehensive land use plan, local waterfront revitalization plan and/or brownfield opportunity area plan;
- protects, preserves and enhances the state's resources, including agricultural land, forests, surface and groundwater, air quality, recreation and open space, scenic areas, and significant historic and archeological resources;
- fosters mixed land uses and compact development, downtown revitalization, brownfield redevelopment, the enhancement of beauty in public spaces, the diversity and affordability of housing in proximity to places of employment, recreation and commercial development and the integration of all income and age groups;
- provides mobility through transportation choices including improved public transportation and reduced automobile dependency;
- coordinates between state and local government and intermunicipal and regional planning;
- participates in community-based planning and collaboration;
- ensures predictability in building and land use codes; and
- promotes sustainability by strengthening existing, and creating new, communities that reduce greenhouse gas emissions and do not compromise the needs of future generations, by among other means encouraging broad-based public involvement in developing and implementing a community plan and ensuring the governance structure is adequate to sustain its implementation.

D. Certification

The lead applicant's representative shall sign the Certification of the information contained in this form.

Part 3	STATE SMART GROWTH PUBLIC INFRASTRUCTURE POLICY ACT: APPLICANT IMPACT STATEMENT RFA# 12-LGPEP-01	DO NOT WRITE IN THIS SPACE	
		Application Number	Date Received

Grant Category: Local Government Performance and Efficiency Program Award

The performance award will be used to develop one or more public infrastructure project? YES NO **Complete this form only if answered YES.
Sign the form in all cases.**

A. Applicant

Name of Applicant:	Federal Tax ID Number:
Name of Chief Administrative Official:	Telephone Number/Extension:
Title:	Fax Number:
Mailing Address:	E-Mail Address:
	County or Counties:
	Senate District(s):
	Assembly District(s):

Type of Applicant:

B. General Project Information

Type of Project. Please check one of the following:
 New Construction Improvements to Existing Structure Other:

Please provide a brief explanation:

Title: (No more than 10 words)

Description: Provide a brief summary statement that describes the proposed use of the award (Not more than 3 sentences)

Proposed project is receiving other grant funding or other public funds. (Please list)

Proposed project has received DOS grant funding for a plan in the past. (Please list)

Award Use Review by other Agency. Please list each State Infrastructure Agency that has reviewed or is reviewing this project for compliance with the Smart Growth Public Infrastructure Policy Act.

C. Project Evaluation for Consistency with Smart Growth Act

The use of the award adheres to the following Smart Growth criteria please check all that apply. For each **checked** box, please provide justification for compliance with the Smart Growth Act. For each box **not checked**, please provide justification for non-compliance with the Smart Growth Act (Please provide the narrative answers on additional sheets as necessary):

- The infrastructure component advances projects for the use, maintenance or improvement of existing infrastructure;
- The infrastructure component advances projects located in municipal centers;
- The infrastructure component advances projects in developed areas or areas designated for concentrated infill development in a municipally approved comprehensive land use plan, local waterfront revitalization plan and/or brownfield opportunity area plan;
- The infrastructure component protects, preserves, and enhances New York State's resources, including agricultural land, forests, surface and groundwater, air quality, recreation and open space, scenic areas, and significant historic and archeological resources;
- The infrastructure component fosters mixed land uses and compact development, downtown revitalization, brownfield redevelopment, the enhancement of beauty in public spaces, the diversity and affordability of housing in proximity to places of employment, recreation and commercial development and the integration of all income and age groups;
- The infrastructure component provides mobility through transportation choices including improved public transportation and reduced automobile dependency;
- The infrastructure component coordinates between state and local government and intermunicipal and regional planning;
- The infrastructure component participates in community-based planning and collaboration;
- The infrastructure component ensures predictability in building and land use codes; and
- The infrastructure component promotes sustainability by strengthening existing and creating new communities which reduces greenhouse gas emissions and does not compromise the needs of future generations, by among other means encouraging broad-based public involvement in developing and implementing a community plan and ensuring the governance structure is adequate to sustain its implementation.

D. Application Certification

In accordance with the Smart Growth Public Infrastructure Policy Act, Environmental Conservation Law Article 6, the applicant affirms that the Smart Growth Impact for the performance award use has been assessed:

Name of Authorized Representative (i.e., Executive, Mayor, Supervisor, Manager)

Signature

Date

Appendix A

Local Government Performance and Efficiency Program Award Instructions for Calculation of Performance and Efficiency Award Savings

1. Access the Excel spreadsheet from the funding opportunities website <http://www.dos.ny.gov/funding/>, to open the Excel spreadsheet.
2. Enter the name of the Lead Applicant into Cell B3 of the Lead Applicant worksheet and the Co-Applicant(s) into Cell B3 of the Co-Applicant worksheet(s).
3. Go to www.openbooknewyork.com.
4. Click on "Search Local Government Spending"
5. Click on "Comparison" under Type of Report.
6. Select: a) the Lead Applicant; b) all Co-Applicants; c) the year for which the most recent data are available; and d) "Select All" under Expenditures; then click "Submit" (*System will only allow a maximum of 4 municipalities at one time.*)
7. In the upper right hand corner of the Comparison Report click on "Download to Excel Spreadsheet".
8. Copy the data for the Lead Applicant from Cells B7 through B120 into Cells B8 through B122 of the Lead Applicant worksheet. Values should align with the headings in Column A.
9. In the Lead Applicant worksheet, enter Savings into Column C for expenditures in all relevant functional categories.
10. Repeat all steps for each Co-Applicant using the Co-Applicant worksheets. Copy the data for the Co-Applicants from Cells B7 through B120 into Cells B4 through B118 of the Co-Applicant worksheet. Values should align with the headings in Column A.
11. Aggregate expenditures, savings and Fiscal Impact will appear in Cells B4 through B6 of the Lead Applicant's worksheet.
12. The Department of State will use these numbers to calculate the awards.

Local Government Performance and Efficiency Program Award

Appendix B - Definitions

As used in this application, the following words and terms shall have the following meanings:

Cost Savings means reductions in expenses that result directly from the implementation of a project and are expected to continue on an ongoing basis, such as reductions in staffing or occupancy costs.

Fiscal Impact means the annual recurring savings as a percentage of total municipal expenditures, calculated by dividing a municipality's recurring savings into its total municipal expenditures.

Functional Consolidation means one local government entity completely providing a service or function for another local government entity that no longer engages in that service or function.

Governing Board means the body in which the general legislative, governmental and/or public powers of a municipality are vested and by authority of which the official business of such municipality is conducted.

Municipality means a county, city, town, or village, but shall not include the individual counties contained in the city of New York.

Municipal Function means the provision of multiple municipal services under one functional area, like highway or police. Within each function there are generally multiple services provided.

Payment Schedule means the amount of the Local Government Performance and Efficiency award that will be paid out in each of the three years as per the terms of the state contract.

Service means a service provided by a municipality that is included within a budget function as defined by the New York State Office of the State Comptroller.

State Contract means the agreement between the Department of State and the applicant(s)/contractor(s) that details the obligations of each party, including the approved budget and work plan.

Property Tax Levy means the annual revenue raised by a municipality through real property taxes and special assessments. Tax levies are reported annually to the New York State Office of the State Comptroller and may be found at www.openbooknewyork.com in the revenue data category "Real Property Taxes and Assessments".

Appendix C - Resolution Tips

The lead applicant and all co-applicants shall submit, with the application, a formal resolution from each governing body confirming support for the grant application and understanding the purpose of the award program. The resolution is required to provide confirmation that the involved municipalities are committed to sustaining the project and measuring the future impacts of its savings and service efficiencies. The following items are recommended to be included in the authorizing resolution.

- I. Authorization to Apply for the Grant: The governing board (e.g. county legislature, city council, town board, or village board of trustees) shall designate a lead applicant contact person and authorize that person by name and title (and his/her designee) to submit an application to the Local Government Performance and Efficiency Program. The resolution shall authorize the lead applicant contact person to execute all financial and/or administrative processes relating to the implementation of the program.
- II. Project Title and Description: The resolution should provide a title and include a brief description of the project. In the event that a local government entity is submitting more than one application, the project titles and descriptions need to be unique to avoid confusion tracking submissions.
- III. Co-Applicant Information: The resolution should list the local government entities that are co-applicants.
- IV. Other Actions: If relevant, include other activities related to the project that need the approval of the governing board.
- V. Resolution: Record and certify the vote of the members of the governing body.

The Lead Applicant's representative shall sign the Certification of the information contained in the application. Resolutions from all involved municipalities should be included with the application submission, but will be accepted until August 29, 2012.

New York State Regional Economic Development Council Regions



ANDREW M. CUOMO
GOVERNOR

CESAR A. PERALES
SECRETARY OF STATE