

Local Government
Efficiency Grant Program
Request for Applications
RFA # 13-CREG-03
Grant Application and Instructions

Local Government Citizens Re-Organization
Empowerment Grant (CREG) Program

KEY DATES, See Appendix E for dates.

RFA Release Date:	August 9, 2013
Questions Due Dates:	Every Third Wednesday of every month
RFA Updates & Responses to Questions Posted Dates:	Every Fourth Wednesday of every month
Application Due Dates:	Due dates for Local Government Citizens Re-Organization Empowerment Grants are the first Wednesday of every month, at 4:00pm.

Contact: Kyle Wilber, Program Manager
New York State Department of State
Division of Local Government Services, RFA #13-CREG-03
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# 13-CREG-03
New York State Department of State, Bureau of Fiscal Management
One Commerce Plaza, 11th Floor, Suite 1110
99 Washington Avenue, Albany, NY 12231

Review of these applications will occur each month.

Local Government Citizens Re-Organization Empowerment Grants requesting expedited assistance will be reviewed as they are received.

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I. Citizens Re-organization and Empowerment Grant Information

The delivery of local government services in the 21st Century is impacted by many factors. These include the increased costs of supplies, equipment and capital, limited financial resources, limited citizen participation in the government process, and a general desire to reduce the overall cost of services in order to enhance economic and community competitiveness. To most effectively sustain local services and address issues impacting local governance, residents and local officials must consider all available options, including local government re-organization. Effective re-organization can result in the streamlining of programs, improvements to the delivery of services, and lowering expenses borne by local taxpayers.

The Local Government Efficiency (LGe) program, administered by the New York Department of State Division of Local Government Services, provides financial and technical assistance to assist local governments with planning and implementing the re-organization of municipal government. The Local Government Citizens Re-Organization Empowerment Grant (CREG) program (State Finance Law (SFL), section 54(10)(q)) is one of three funding programs under LGe available to local governments to assist them with meeting today's management challenges.

The CREG program assists local government entities that are studying or implementing a "local government re-organization," which includes 1) the dissolution or consolidation of a local government entity in accordance with General Municipal Law (GML), Article 17-A; or 2) the establishment of a new town-village, which operates principally as either a town or a village (but not as both) in former place of a town and a village. The term "local government entities" includes most general purpose local governments and special improvement districts (SFL section 54(10)(q)(i)). The goal of the Local Government Citizen's Re-Organization Empowerment Grant Program is to reduce municipal expenses and property taxes through local government re-organization or through alternative actions if re-organization is not feasible.

It should also be noted that, pursuant to State Finance Law, section 54(10)(p), the Citizen's Empowerment Tax Credit (CETC) is a separate source of additional **annual** aid provided to certain local governments that complete a reorganization of a municipality, or establish a coterminous town-village in the former place of a town and a village that commenced sharing a coterminous boundary after July 1, 2012, and operates principally as either a town or as a village, but not as both a town and a village. CETCs are awarded in amounts equal to 15% of the combined amount of real property taxes levied by all of the cities, with a population less than one million, towns and villages that participated in the reorganization. The additional annual aid provided by a CETC shall not exceed one million dollars. A municipality receiving CETC aid must use at least 70% of such aid for property tax relief, and the balance of such aid for general municipal purposes.

Smart Growth Impacts

The Department of State is considered an “infrastructure agency” for the purposes of Article 6 of the Environmental Conservation Law, the State Smart Growth Public Infrastructure Policy Act. Under this legislation, 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, the project is consistent with the smart growth principles. Smart Growth encourages community planning and development in priority economic growth areas where water and sewer infrastructure are available; encourages redevelopment of existing community centers; and protects important natural and historic resources, including water quality. If any funds received from a CREG would be used to support any public infrastructure project, applicants are required to describe how such project would meet the Smart Growth criteria listed in the application.

Applicants are also required to demonstrate familiarity with the Regional Economic Development Council’s strategic plan for their region. Applicants must describe how their proposal would be consistent with the goals of, or is otherwise complementary to, the appropriate regional strategic plan. Strategic plans are available at: <http://regionalcouncils.ny.gov/>.

II. CREG Application Information

Eligible Applicants

“Local government entities,” as defined by the State Finance Law Article 4-A and General Municipal Law Article 17-A, are eligible to apply for assistance under CREG. These include towns, villages, districts, special improvement districts or other improvement districts, including, but not limited to, special districts created pursuant to Articles 11, 12, 12-A or 13 of Town Law, library districts, and other districts created by law. For this grant program, local government entities shall not include school districts, cities, city districts or special purpose districts created by counties under county law.

Eligible Projects

"Local government re-organization," pursuant to State Finance Law Article 4-A means the consolidation or dissolution of a local government entity in accordance with Article 17-A of the General Municipal Law; or the making of the boundaries of a town and village coterminous, anytime after July 1, 2012, where such coterminous town-village operates principally as a town or as a village but not as both a town and a village. A CREG application may include one or all of the following:

1) Re-Organization Planning

Developing consolidation agreements or dissolution plans requires considerable data gathering, analysis, and discussion to understand the current services and responsibilities of each involved local government entity. A re-organization planning project shall include an examination of the potential financial savings, management improvements, and service delivery changes that would result from a local government re-organization, the legal issues and impediments surrounding the re-organization, the recommended steps to complete the re-organization and the recommended options for cost-savings if the re-organization is not completed. A re-organization plan or agreement provides the blueprint for the disposition of a local government entity's property, services, and obligations. A sample re-organization work plan is provided in Appendix C.

2) Expedited Re-Organization Assistance

A referendum on the question of local government re-organization is required when the electors of a local government entity file a petition pursuant to Article 17-A of the General Municipal Law. Local government entities that receive such a petition are eligible to apply for Expedited Re-Organization Assistance to cover costs associated with the development and dissemination of information to the electors prior to the required referendum.

3) Re-Organization Implementation

Implementation of the dissolution plan or consolidation agreement will proceed if it is determined, either by the governing board or by referendum, that re-organization is in the best interests of the local government entity. Implementation activities pursuant to the plan are eligible for funding.

Municipal Resolutions

To be eligible for a CREG award, all involved municipalities are required to include a resolution confirming the governing board's support for the application. Resolutions should be included with the application, but will be accepted no later than the last day of the month following the application due date. 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 B or the Department of State website at: www.dos.ny.gov/LG.

Note: If the local government entity has been petitioned and is applying for Expedited Re-Organization Assistance, the resolution does not need to be provided with the application, but will be required prior to contract execution.

Project Funding

The maximum cumulative grant award for a Local Government Re-Organization shall not exceed \$100,000. Available funding may be awarded as follows:

- Awards for a re-organization **study and/or plan** shall not exceed \$50,000 per application, of which, up to \$25,000 may be used for Expedited Re-Organization Assistance.
- Awards for re-organization **implementation** shall not exceed \$50,000.

All grants are reimbursement grants. In order for awardees to receive full funding, the findings from any re-organization studies/plans must be presented to the public and such re-organization studies/plans must be adopted by the governing board(s).

Project Match

Applicants are required to provide matching funds for all projects.

- For a re-organization **planning or study** grant, matching funds equal to at least 50% of the total project cost shall be required. However, upon subsequent implementation of such a re-organization **plan or study**, the original required local matching funds for developing the plan or study will be refunded, except for 10% of the total cost of activities under the previously approved and completed grant work-plan for the plan or study.
- For a re-organization **planning** grant that receives **expedited** assistance, matching funds equal to at least 10% of the total project cost shall be required.
- For a re-organization **implementation** project, matching funds equal to at least 10% of the total project cost shall be required.

Eligible Expenses

Local Government Citizens Re-Organization Empowerment Grants may be used to cover direct costs including, but not limited to:

- legal and professional consultant services;
- capital improvements, where such expenses are integral to the implementation of a local government re-organization;

- expenses for certain transitional personnel for a period not to exceed three years and only where such expenses are essential to the implementation of a local government re-organization, and where such costs are integral to such an implementation; and
- equipment purchases that are integral to the implementation of a local government re-organization.

All expenses (including match) must be incurred within the term of the contract.

Ineligible Expenses

No part of the grant shall be used for recurring expenses such as salaries and overhead, outside of appropriate transitional personnel. Any expenses not fully justified by the applicant may be deemed ineligible and removed from the budget.

III. Preparing a CREG Application

Getting Started

Please review all instructions and give careful consideration to the General Municipal Law, Article 17-A process required to complete the project.

Questions

Submit all substantive questions in writing to:

Kyle Wilber, Program Manager
Local Government Efficiency Grants, RFA# 13-CREG-03
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 substantive question should cite the RFA section and paragraph to which it refers. Responses to written questions received prior to the third Wednesday of every month will be posted on the fourth Wednesday of every month.

Questions of a procedural nature may be submitted in writing or via telephone by calling the Local Government Efficiency Program at (518) 473-3355 or (800) 367-8488. **Questions of a procedural nature are those limited to the processes of preparing the application (e.g., formatting) and applying for the grant, and do not include questions related to the substance of the application.**

This RFA can be found 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 the dates identified on the cover of this RFA.

Assembling the LGe Grant Application

- **Send one original application, two copies and one compact disc or USB drive containing one copy of the application in a single file, Adobe Acrobat Portable Document Format (PDF).**
 - **Note:** If the local government entity has been petitioned and is applying for Expedited Re-Organization Assistance, please write **EXPEDITED ASSISTANCE** on the submission package and the front of Part 1 of the application form. When submitting this type of application, please complete and send at least Part 1 and Part 2 of the application. Department of State staff will expedite the grant application process by assisting with creating a work plan and budget for the state contract after an award is made. The applicant should also contact the Department of State to inform us of the intent to apply for expedited assistance.
- 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, properly referenced and highlighted.

- **Include a Part 1, Part 2, Part 3 and Part 4.** Assemble the grant application in the order indicated on the application submission checklist, Part H, of the application form. Sign the original copy in ink and number the pages of the completed application before making copies.
- It is the lead applicant's responsibility to ensure that applications are delivered to the address below prior to the date and time specified.

Grant Due dates

Due dates for Local Government Citizens Re-Organization Empowerment Grants are the first Wednesday of every month at 4:00pm, See Appendix E. Review of these applications will occur each month.

Local Government Citizens Re-Organization Empowerment Grants requesting expedited assistance will be reviewed as they are received.

Local Government Citizens Re-Organization Empowerment Grant applications received after the due date will be held until the next month's due date. Grant applications must be received in their entirety. Applicants who submit incomplete or incorrect applications will be notified. Such applicants may then submit complete and/or correct applications to the appropriate program by the established deadline for such program.

Submit Applications to:

LuAnn Hart, Contract Administration Unit
Attention: Local Government Efficiency Grants, RFA# 13-CREG-03
New York State Department of State
Bureau of Fiscal Management
One Commerce Plaza, 11th Floor, Suite 1110
99 Washington Avenue
Albany, NY 12231

IV. Application Review

Evaluation Criteria

The Local Government Citizens Re-Organization Empowerment Grant program makes recommendations for funding based on a pass/fail basis. All applications must pass all of the following criteria:

1. An application must be complete.
2. An eligible applicant must be a “local government entity” or “entities,” as defined by General Municipal Law Article 17-A. See page 3 of this RFA.
3. An eligible application may be submitted for a local government re-organization consistent with Article 17-A of the General Municipal Law, or for making the boundaries of a town and village coterminous where the resulting coterminous town-village operates principally as either a town or a village. (See pages 3 and 4 of this RFA.)
4. An application must contain a completed work plan as described on pages 13 and 14 of this RFA.
5. Budget items shown in an application must be eligible expenditures as described on pages 4 and 5 of this RFA.

Review Process

Initial Review

Within one week of the receipt of an application, the Department of State will review the application for the purposes of determining whether the appropriate application has been filed and whether any required sections of the application contain no information. If an applicant files an incorrect application (wrong application for this program) or an incomplete application (application contains no information in a section that is required to contain information), the Department of State will promptly notify the applicant. An applicant may amend an application that is missing information, if complete by the application due date. If such date has passed, the application will be considered for the next funding due date that follows the Department’s receipt of the information. If an applicant submits an incorrect application, the applicant may submit the correct application to the appropriate LGE grant program, but the applicant is responsible for submitting the correct application to the correct program no later than the established due date for such application.

Expedited Assistance

If a local government entity has been petitioned by the electorate, pursuant to General Municipal Law Article 17-A, the entity must proceed to a referendum within a limited period of time. In such case, the work plan, resolution and budget information does not need to be provided in the application. The Department of State will expedite the grant application process by negotiating a work plan and budget for the state contract after making an expedited assistance award. The applicant should also contact the Department of State to inform us of the intent to apply for expedited assistance: Kyle Wilber, Program Manager, LGEprogram@dos.state.ny.us (518) 473-3355. The application package and the front of Part 1 of the application form should be marked “**EXPEDITED**”

ASSISTANCE.” The Department of State will review applications marked “**EXPEDITED ASSISTANCE**” as they are received.

Smart Growth Impact

Prior to making any commitment of state funds to a public infrastructure project, the Department of State must determine that the project, to the extent practicable, meets the smart growth criteria listed under Article 6 of the Environmental Conservation Law, “The New York State Smart Growth Public Infrastructure Act.” These criteria are also provided in Part 4 of this application. Failure to meet such criteria may result in a project being deemed ineligible for funding.

V. Awards and Grant Administration

Awards

Applicants will receive written notice of a decision regarding the grant or denial of an award within thirty days after a final award decision. Award decisions are final and are not subject to appeal. Award announcements for the Local Government Citizens Re-Organization Empowerment Grants will be released periodically throughout the year.

Contracts

The Department of State requires that all successful applicants enter into a contract with the State of New York. The state contract details the obligations of the applicant/contractor. Contracts will be dated at the start of the current state fiscal year and continue for two years. State contracts must be signed by the awardee and promptly returned to the Department of State. To ensure that funds are awarded to applicants that are ready to move forward, the Department of State reserves the right to rescind an award if the state contract is not returned within sixty (60) days of its receipt by the awardee.

Contract Administration

If an applicant is awarded a grant, the project must be managed in accordance with the terms and conditions of the state contract. In addition, contractors must follow state and local procurement policies. Failure to maintain satisfactory progress or to complete the project to the satisfaction of the state may be deemed an abandonment of the project and may cause the suspension or termination of any financial obligation of the state. Satisfactory progress includes, but is not limited to, execution of the state contract and submission of all necessary documents for execution by the state, submitting timely payment requests in accordance with the payment schedule in the state contract, completing satisfactory work products, and other tasks identified in the approved state contract.

Schedule of Payments

The Local Government Citizens Re-Organization Empowerment Grant program is a reimbursable program. Expenses incurred prior to the start date of the state contract cannot be reimbursed. At least one request for reimbursement must be submitted every six months. Such a request may be submitted no more frequently than every three months.

Required Reports

Each project must achieve results that substantially meet the objectives outlined in the contract's work plan. Recipients of grants must submit project status reports along with every request for payment. Project close-out requires completion of terms and activities outlined in the state contract, and including all deliverables identified in the work plan.

The Division of Local Government Services staff monitors each grant-funded project, and will make site visits during the course of project completion to determine the rate and quality of progress. Awardees must notify the Division of meeting schedules, and submit photographs and other required media to the Division. Some projects may be selected for more extensive review and inclusion in the Local Government Efficiency Annual Report submitted to the Governor and Legislature, and may be used as a resource for providing technical assistance.

Reserved Rights

The Department of State reserves rights including, but not limited to, the right to:

1. Reject any or all applications received in response to this RFA.
2. Withdraw the RFA at any time, at the agency's sole discretion.
3. Make an award under the RFA in whole or in part.
4. Disqualify any applicant whose conduct and/or proposal fails to conform to the requirements of the RFA.
5. Seek clarifications and revisions of proposals.
6. Use proposal information obtained through site visits, management interviews and the state's investigation of an applicant's qualifications, experience, ability or financial standing, and any material or information submitted by the applicant in response to the agency's request for clarifying information in the course of evaluation and/or selection under the RFA.
7. Prior to the application due date, amend the RFA specifications to correct errors or oversights, or to supply additional information, as it becomes available.
8. Prior to the application due date, direct applicants to submit proposal modifications addressing subsequent RFA amendments.
9. Change any of the scheduled dates.
10. Eliminate any mandatory, non-material specifications that cannot be complied with by all of the prospective bidders.
11. Waive any requirements that are not material.
12. Negotiate with applicants responding to this RFA within the scope of the RFA to serve the best interests of the state.
13. If unsuccessful in negotiating a state contract with the selected applicant within an acceptable time frame, the Department may begin state contract negotiations with the next ranked qualified applicant(s) in order to serve and realize the best interests of the state.
14. Utilize any and all ideas submitted in the proposals received from applicants.
15. Unless otherwise specified in the RFA, deem every offer to be firm and irrevocable for a period of 60 days from the date of bid opening.
16. Require clarification at any time during the procurement process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of an applicant's proposal and/or to determine an applicant's compliance with the requirements of the solicitation.
17. Waive or modify minor irregularities in applications received from applicants.

18. Not fund an application that fails to submit a clear and concise work plan or budget.
19. 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.
20. Award grants based on geographic or regional considerations to serve the best interests of the state.
21. Award more than one contract resulting from this RFA.

VI. CREG Application Materials

A complete application includes the following:

- Part 1 - *Applicant Information*;
- Part 2 – *Work Plan and Signature Page*;
- Part 3 – *Budget Information*; and
- Part 4 – *State Smart Growth Infrastructure Policy Act: Applicant Impact Statement*. **Include only when the project includes a public infrastructure component.**

Expedited assistance: If a local government entity has been petitioned by the electorate, pursuant to General Municipal Law Article 17-A, the work plan, resolution and budget information does not need to be provided in the application. The Department of State will expedite the grant application process by negotiating a work plan and budget for the state contract after an award is made. An applicant should contact the Department of State to inform us of the intent to apply for such expedited assistance, and mark “**EXPEDITED ASSISTANCE**” on the application package and on the front of Part 1 of the application form.

Part 1 – General Information

- **Grant Category:** Local Government Citizens Re-Organization Empowerment Grant Program

A. Lead Applicant:

- **Name of Applicant:** Name of the local government entity applying for the grant.
- **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., superintendent, mayor, county executive) of the chief administrative or authorizing officer.
- **Type of Applicant:** Town, Village, Fire District or Special District.
- **County:** 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. Lead Applicant Contact Person:

- **Lead Applicant Contact Person:** Name and title of the person who will oversee the project.

C. General Project Information:

- **Total Project Cost:** The total estimated cost of activities eligible for funding under this grant program, including costs expected to be funded with both grant money and any other funds.

- **Amount of Grant Requested:** Local Government Efficiency assistance may be provided for up to 90% of the total project cost or the maximum amount permitted per local government entity, whichever is less.
 - For a re-organization **planning** grant, matching funds equal to at least 50% of the total project cost shall be required. Upon implementation of a re-organization **plan**, the original matching funds required will be refunded up to 90% of the total project costs.
 - For a re-organization **implementation** project, matching funds equal to at least 10% of the total project cost shall be required.

Example: The following chart shows what the state and local shares would be for different sized projects

Total Project Cost	Implementation Project		Re-organization Planning Project		
	10% Local Share	90% State Share	50% Local Share	50% State Share	Refund upon Implementation
\$20,000	\$2,000	\$18,000	\$10,000	\$10,000	\$8,000
\$50,000	\$5,000	\$45,000	\$25,000	\$25,000	\$20,000
\$100,000	\$10,000	\$90,000	\$50,000	\$50,000	\$40,000

- **Project Title:** Provide a specific title for the project.
- **Project Description:** Provide a brief summary of the proposed project.
- **Funding:** If the project is receiving funding from other grants or other public funds please check the box and note it here. This is for informational purposes only.
- **Previous Plan or Planning Grant:** If this project received prior funding from the Department of State's Shared Municipal Service Incentive or Local Government Efficiency Programs, please check the box and note it here.

D. Co-Applicants: Other Participants in the Grant Application

- **Name of Co-applicant:** Name of an eligible Co-applicant (if applicable).
- **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., mayor, supervisor, commissioner, director) of the chief administrative or authorizing officer.
- **Type of Applicant:** Town, Village, Fire District or Special District.
- **County:** Counties where the proposed 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 application.

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

1	NYS Department of State		DO NOT WRITE IN THIS SPACE	
	2013-2014		Application Number	Date Received
RFA# 13-CREG-03		CREG-13-		
Grant Category: Local Government Citizens Re-Organization Empowerment Grant 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:		Amount of Grant Requested:		Amount of Local Share:
Project Title: (Not more than 10 words)				
Project Description: Provide a brief summary statement that describes the project (Not more than 3 sentences)				
<input type="checkbox"/> Project is receiving other grant funding or other public funds. (Please list)				
<input type="checkbox"/> Project has received DOS grant funding for a plan in the past. (Please list)				

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 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 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):
Copy sheet as necessary to include information on additional Co-Applicants.	

Part 2 - Local Government Citizens Re-Organization Empowerment Grant

Each part of an application is described below in the order in which each must appear in the application.

E. Local Government Citizens Re-Organization Empowerment Project Information:

Grant Type: Choose the project type from the categories on the list that best describes the project. Check all that apply: Re-Organization Plan, Expedited Re-Organization Assistance, and/or Re-Organization Implementation.

F. Memoranda of Understanding or Intermunicipal Agreements:

While not required in determining the completeness of an application, applicants may provide copies of any existing Memoranda of Understanding (MOU) or Intermunicipal Agreements (IMA) that have been entered into for completion of the project. If an intermunicipal agreement is in the process of being developed for the proposed activity, provide either a draft or a description of the issues that will be addressed.

G. Project Information and Work Plan:

Attach a narrative which includes detailed project information that describes the project and work plan. A sample work plan is provided in Appendix C. At a minimum, the following information shall be included in a work plan:

1. Description of the proposed project.
2. Listing and discussion of the project partners and roles.
3. Discussion of the project goals and objectives.

A re-organization planning project shall include an examination of:

- a. The potential financial savings, management improvements, and service delivery changes resulting from a local government re-organization,
 - b. Legal issues and impediments surrounding the re-organization,
 - c. Recommended steps to complete the re-organization, as well as options for cost-savings if the re-organization is not completed.
4. Review of the project history.
 5. Description of anticipated outcomes to be achieved by the project.
 6. Analysis of how the plan will meet the objectives and lead to implementation.
 7. Review of the issues or opportunities to be addressed by the proposed project.
 8. Challenges associated with the implementation of the project.
 9. Estimate of the sustainable tax impact of the proposed project on each local government entity, expressed in dollars per \$1,000 of equalized assessed value.
 10. Tasks and budgeted costs to be funded by this grant.
 11. Description of a public participation process, including public hearings or public meetings and any public comment received to date.

12. Description of project deliverables by task(s).

13. Schedule and time line, including the proposed start date, a schedule for the completion of each component task, and the time required to complete the project. Note: Tasks funded by this program must be completed within 24 months of the start date.

Please note, the Citizens Re-Organization Empowerment Grant will not fund re-organization options that are not addressed under Article 17-A of the General Municipal Law, or do not involve a coterminous town-village, established in the former place of a town and a village, which commenced sharing a coterminous boundary after July 1, 2012 and which operates principally as a town or as a village but not as both a town and a village.

H. Application Submission Checklist

Please review the application submission checklist to verify that the required information has been included in the application package. The original application with all required information attached, must be signed in ink.

I. Resolution and Certification

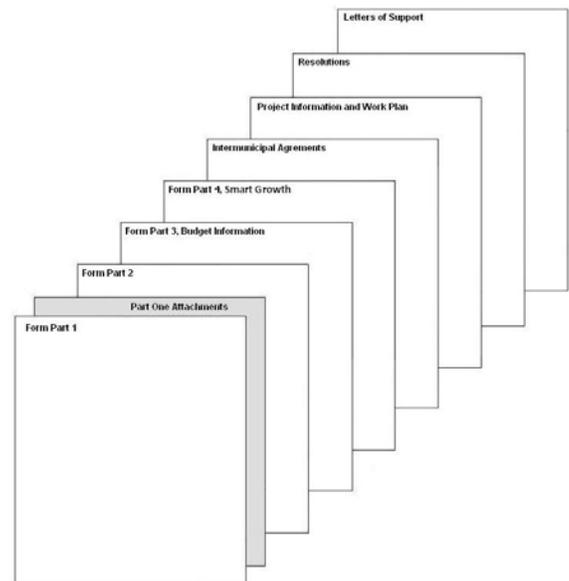
Board initiated: The lead applicant and all co-applicants shall submit with the application a formal resolution of each governing board authorizing this grant application. The resolution shows the official support of the governing board for the application and the proposed project, or acknowledges the need to conduct a re-organization plan in the case where a local government entity has received a valid citizen petition for local government re-organization. Resolutions from all involved local government entities are required to be submitted for the application to be deemed complete and eligible for consideration for current due date period.

Initiated by Citizen Petition: When the local government entity has been petitioned, the municipal resolution does not need to be provided with the application. However, it will be required prior to contract execution. For information regarding the content of resolutions please refer to Appendix B or the Department of State website at: 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 or USB drive containing one copy of the application in a single file, Adobe Acrobat Portable Document Format (PDF).**
- Printed materials should be bound in pressboard report covers or standard three-ring (maximum ring size of 2 inches) binders.
- 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.

- **Include a Part 1, Part 2, Part 3 and Part 4.**
- Assemble the grant application in the order indicated on the application checklist, Part H, of the Grant Project Application form. Sign the original copy in ink and number the pages of the completed application before making copies.
- It is the lead applicant's responsibility to ensure that applications are delivered to the correct address prior to the date and time specified as the application due date.

**Part
2**

**NYS Department of State
Local Government Efficiency Grant
Program 2013-2014
RFA# 13-CREG-03**

**LOCAL GOVERNMENT CITIZENS
RE-ORGANIZATION
EMPOWERMENT GRANT**

Name of Lead Applicant: _____ From the Part 1 application

E. Local Government Citizens Re-Organization Empowerment Project Information

Type of Grant: Choose all that apply

- Re-Organization Study/Plan Re-Organization Implementation
 Expedited Re-Organization Assistance

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

List and attach copies of any existing Memoranda of Understanding/Intermunicipal Agreements or draft agreements that have been entered into for this activity. If a Memorandum of Understanding/Intermunicipal Agreement does not exist, provide a description of the intermunicipal agreements that will be necessary to carry out the proposed activity. See grant application instructions for details.

Additional sheets attached as necessary.

G. Project Information and Work Plan

Provide detailed project information and a Work Plan, including time periods for achieving stated objectives, for the activity to be funded. Attach the information to the application forms. If the application is awarded, this Work Plan will provide the basis for the Work Plan in the State Contract. See the grant application instructions and Appendix C, for the information needed.

Proposed Start Date: _____

Length of Time Needed to Complete Project: _____

H. Application Submission Checklist

The application packet should include the original application form with Parts D through Part J completed, **two copies and 1 compact disc or USB drive** 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:

- Completed Part 1 Application**
- Extra sheets containing information on additional Co-Applicants, if applicable (Part D attachments)
- Local Government Citizens Re-Organization Empowerment Project Information (Part E)
- Memoranda of Understanding/Intermunicipal Agreements (Part F attachments)
- Project Information and Work Plan (Part G attachments)
- Municipal Resolutions and Application Certification (Part I attachments)
- Completed Part 3, Budget**
- Completed Part 4, State Smart Growth Infrastructure Policy Act: Applicant Impact Statement**
- Completed Appendix D, MWBE, Forms A & B**

I. 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 grant application. Resolutions not included with this application, or incomplete resolutions, may result in this application being deemed ineligible.

By submission of this application under the 2013-2014 Local Government Efficiency Grant Program, I hereby certify that all components of the requested Total Project Costs are reasonable and necessary for the conduct of the proposed project, and that prudent analysis has been undertaken to insure that all costs are consistent with current prevailing costs for such goods or services in the geographic area benefiting from the project.

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**

**NYS Department of State
Grant Program 2013-2014
RFA# 13-CREG-03**

Budget Information

Name of Lead Applicant: From the Part 1 Application

Proposed Start Date: Length of Time Needed to Complete Project:

Project Budget Detail

Personal Services

Salaries & Wages

Name/Title	Annual Salary	% Effort	Project Salary
Subtotal			
Fringe Rate			
Subtotal			
Indirect Rate			
Total Personal Services			

Non-Personal Services

Travel

Purpose	Destination	Mode	Estimated Trip Cost Calculation
Total Travel			

Supplies and Materials (Specify)

Total Supplies & Materials	

Other (Specify)

Total Other	
Total Non-Personal Services	

Contractual Services

Total Contractual Services	

Equipment List each item over \$200 and a useful life of more than one year

Total Equipment	

Budget Summary

Total Project Cost:	Amount of Grant Requested:	Amount of Local Share:
Total Personal Services:	Total Non-Personal Services:	
Total Contractual Services:	Total Equipment:	

Copy pages as necessary to include additional budget information.

Part 3 - Budget Information

Budget Detail

Clearly describe and justify all budget items. Indicate the estimated costs for each task in the work plan and discuss why such costs are considered reasonable. All purchases must comply with Article 5-A of the General Municipal Law. Describe steps taken to ensure the project budget makes the most efficient use of available resources.

- **Personal Services:** For each component task, pro rate each employee's time devoted to the project according to the total annual salary for that employee. For example, an employee who devotes 20% of time to the project and has an annual salary of \$40,000 would charge \$8,000 to the project. (This section represents the only potential exception the prohibition against using and part of the Local Government Citizens Reorganization Empowerment Grant for recurring expenses. This section may be used for certain eligible transitional personnel expenses for implementation projects only. See page 5 of this document, Eligible Expenses.)
- **Non-Personal Services:**
 - **Travel:** For each component task, describe the purpose, destination, mode of travel and costs. Rates cannot exceed the current Internal Revenue Service rates. <http://www.irs.gov/newsroom/article/0,,id=232017,00.html>
 - **Supplies and Materials:** For each component task, state the cost and describe briefly the supplies and materials to be purchased.
 - **Other:** Describe any other non-personal services and costs.
- **Contractual Services:** For each component task, state the cost and describe briefly the extent and purpose of contractual services.
- **Equipment:** Describe items with a value of more than \$200.00 and a useful life of more than one year.

Budget Summary

Summarize the information in the budget detail sheets.

- **Total Project Cost:** The total estimated cost of activities eligible for funding under this grant program, including costs expected to be funded with both grant money and other funds.
- **Amount of Grant Requested:** LGE assistance can provide up to 90% of the Total Project Cost or the maximum amount permitted per municipality, whichever is less.
- **Amount of Local Share:** A minimum of 10% (ten percent) of the amount of the Total Project Cost.
- Applicants must enter the relevant information for the following:
 - **Total Personal Services**
 - **Total Non-Personal Services**
 - **Total Contractual Services**
 - **Total Equipment**

Part 4 - State Smart Growth Public Infrastructure Policy Act:

Please note that this part of the application is reviewed by the Department of State's Smart Growth Advisory Committee. Any information requested by this part, which has already been provided in response to questions in earlier parts of this application, should be duplicated for this part.

- **Grant Category:** Local Government Citizens Re-Organization Empowerment Grant Program
- The project includes a public infrastructure component? *Not applicable for studies.* **Complete this form only if answered YES, but all applicants must sign the certification at the bottom of the form in all cases.**

A. Lead 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., superintendent, mayor, county executive) of the chief administrative or authorizing officer.
- **Type of Applicant:** Town, Village, Fire District or Special District.
- **County:** 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:

- **Total Project Cost:** The total estimated cost of activities eligible for funding under this grant program, including those expected to be funded with both grant money and any other funds.
- **Amount of Grant Requested:** Local Government Efficiency assistance may be provided for up to 90% of the total project cost or the maximum amount permitted per local government entity, whichever is less.
- **Amount of Local Share:** The local share requirement is a minimum of 10% of the total project cost. **This is not 10% (ten percent) of the grant requested.**
- **Type of Project:** Check the applicable box and provide a brief description of the project.
- **Project Title:** Provide a specific title for the project.
- **Project Description:** Provide a brief summary of the proposed project.
- **Funding:** If the 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 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 project for compliance with the Smart Growth Public Infrastructure Policy Act.

C. Applicant Impact Statement

The Department of State, designated as an “infrastructure agency” pursuant to the New York State Smart Growth Public Infrastructure Act, is required to review infrastructure projects for compliance with the Act. A project that proposes the development of physical community infrastructure may be denied funding by the Department of State unless the project, to the extent practicable, would be consistent with the criteria specified in the Smart Growth Act.

In order to determine if this project adheres to the Smart Growth criteria, please check all that apply. For each **checked** box, please explain the project’s compliance with the Smart Growth Act. For each box **not checked**, please provide justification for the project’s non-compliance with the Smart Growth Act. The applicant must address whether any infrastructure component:

- 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 communities, and by 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 the application.

Part 4	STATE SMART GROWTH PUBLIC INFRASTRUCTURE POLICY ACT: APPLICANT IMPACT STATEMENT RFA# 13-CREG-03	DO NOT WRITE IN THIS SPACE	
		Application Number	Date Received

Grant Category: Local Government Citizens Re-Organization Empowerment Grant Program

The project includes a public infrastructure component? YES NO **Complete this form only if answered YES.
Sign the form in all cases.**

A. Lead 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

Total Project Cost:	Amount of Grant Requested:	Amount of Local Share:
----------------------------	-----------------------------------	-------------------------------

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

Project Title: (No more than 10 words)

Project Description: Provide a brief summary statement that describes the project (Not more than 3 sentences)

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

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

Project 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

This project 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 proposed project application has been assessed:

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

Signature

Date

Appendix A

Definitions

As used in this application, the following words and terms are defined as follows:

Consolidation means either (a) the combination of two or more local government entities resulting in the termination of the existence of each of the entities to be consolidated and the creation of a new local government entity which assumes jurisdiction over all of the terminated local government entities, or (b) the combination of two or more local government entities resulting in the termination of the existence of all but one of the local government entities which shall absorb the terminated local government entity or entities.

Cooperative Agreement means an agreement entered into by two or more local government entities pursuant to Article 5-G of the General Municipal Law, or other authorizing statute, for the performance among themselves or one for the other of their respective functions, powers and duties on a contract or cooperative basis.

Cost Savings means reductions in expenses that result directly from the implementation of a project and are expected to continue on an ongoing basis.

Coterminous means having the same or coincident boundaries.

Dissolution means the termination of the existence of a local government entity.

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

Implementation of a Re-organization Study and/or Plan means taking steps to implement the study or plan. This includes going to referendum for a re-organization, adopting a re-organization plan and the consolidation or dissolution of a local government entity in accordance with Article 17-A of the General Municipal Law.

Local Government Entity means a town, village, district, special improvement district or other improvement district, including, but not limited to, special districts created pursuant to Articles Eleven, Twelve, Twelve-A or Thirteen of the Town Law, library districts, and other districts created by law. For the purpose of this Re-Organization Empowerment Grant a local government entity shall not include school districts, cities, city districts or special purpose districts created by counties under county law.

Local Government Re-Organization means the consolidation or dissolution of a local government entity in accordance with Article 17-A of the General Municipal Law, or the making of the boundaries of a town and village coterminous after July 1, 2012, where such coterminous town-village operates principally as a town or as a village but not as both a town and a village. For a review of Article 17-A of the General Municipal Law please refer to the DOS publication titled "The New N.Y. Government Reorganization and Citizen Empowerment Act." <http://www.dos.ny.gov/lg/publications/ConsolidationDissolutionLaw.pdf>

Reasonableness of Cost is an assurance that the state is receiving good value for its investment. All purchases must follow Article 5-A of the General Municipal Law. Travel rates cannot exceed the current Internal Revenue Service rate or the current state rate and salaries must adhere to municipal bargaining rates.

Re-Organization Implementation means the execution of a local government re-organization pursuant to a Re-Organization Plan.

Re-Organization Plan means a plan to implement a local government re-organization pursuant to Article 17-A of the General Municipal Law (see sections 752, 760, 774, 782); or a plan to establish a coterminous town-village, which would share the boundaries of a former town and a village and which would operate principally as a town or as a village but not as both a town and a village.

Re-Organization Planning means an examination of the feasibility and impacts of a Local Government Re-Organization, required by the Department of State when a citizen petition has **not** been received, which shall include at least the following elements:

1. A re-organization planning project shall include an examination of the potential financial savings, legal issues and impediments surrounding the re-organization, recommended steps to complete the re-organization, as well as options for cost-savings if the re-organization is not completed.
2. An examination of the potential financial savings associated with the proposed local government re-organization;
3. An examination of the potential management improvements resulting from the proposed local government re-organization;
4. An analysis of any service delivery changes resulting from the proposed local government re-organization;
5. An analysis of legal issues and impediments surrounding the re-organization;
6. Recommended steps to complete the re-organization, as well as an analysis of options for cost savings if the local government re-organization is not completed. Such options may include, but are not limited to functional consolidations, cooperative agreements, and changes in the scope or level of services provided by the entity(ies). (The term functional consolidation as used herein means when one local government entity completely provides a service or function for another local government entity which no longer engages in that service or function.)
7. A draft Re-Organization Plan.

Smart Growth means sensible, planned, efficient growth that integrates economic development and job creation with community quality-of-life by preserving and enhancing the built and natural environments. Smart Growth encourages growth in developed areas with existing infrastructure to sustain it, particularly municipal centers, downtowns (“Main Streets”), urban cores, historic districts and older first-tier suburbs.

State Community and Infrastructure Development Programs means New York State programs provided by agencies defined by Article 6 of the Environmental Conservation Law “The New York State Smart Growth Public Infrastructure Act.

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

Tax Impact is the annual cost savings per \$1,000 of equalized assessed value, calculated by dividing cost savings by the result of equalized assessed value divided by 1,000.

Total Project Cost is the total estimated cost of activities that are eligible for funding under this grant program, including costs expected to be funded with both grant money and other funds.

Transitional Personnel means any additional employees required in order to implement the approved program work plan of the project. The employee(s) must be integral to the coordinated or consolidated service delivery. (*The Department of State reserves the right to approve the reasonableness of the need for the staff and the salary amount.*)

Appendix B

Resolution Tips

The following items are recommended to be included in the authorizing resolution. If the local government entity has been petitioned and is applying for Expedited Re-Organization Assistance, the resolution does not need to be provided with the application but will be required prior to contract execution.

- I. Authorization to apply for the Grant: The governing board (e.g. town board, village board of trustees, or district commissioners) shall designate a lead applicant contact person and authorize that person by name and title (and his/her designee) to submit an application. 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, each project's title and description must be unique to minimize the likelihood of confusion in the tracking of submissions.
- III. Funding Request: The resolution should indicate the amount of money being requested under this program. (This amount would correspond with the "Amount of Grant Requested" on the application form.)
- IV. Local Cost Share Information: The resolution shall state the local governments' commitment to contribute the required 10% or 50% local share of the project cost.
- V. Co-Applicant Information: The resolution should list the local government entities that are co-applicants. The information provided in the resolution does not need to provide the same level of detail that is more typically found in an intermunicipal agreement.
- VI. Other Actions: If relevant, include other activities related to the project that need the approval of the governing board.
- VII. Resolution: Record and certify the vote of the members of the governing body.

Appendix C

SAMPLE GOVERNMENT RE-ORGANIZATION WORK PLAN

Project Summary: The local government entity's(ies') governing board(s) will appoint a Re-Organization Study Committee (RSC) and charge it with developing a re-organization study and implementation plan. A re-organization study will form the foundation for developing a re-organization implementation plan, and alternatives to local government re-organization in the event such plan is not implemented. The RSC will transmit its final work to the governing board(s) for acceptance. The governing board(s) will accept or adjust the re-organization study and adopt the re-organization study, including a draft Re-Organization Plan and alternatives to local government re-organization. Nothing herein commits the governing board to implement the local government re-organization; rather all of this information is intended to provide residents with as much information as possible to make an informed decision. Successful completion of this project does require the governing board to formally adopt the project through its own action.

The New York State Department of State's assigned project manager for this project shall be notified in advance of all meetings, hearings or public information sessions to be held on this project. All deliverables shall be provided to the New York State Department of State in accordance with the New York State contract.

Task 1	Task: Project Initiation Schedule: Month 1 Deliverable: Kick-Off Meeting Summary
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The local government entity's(ies') governing board shall meet with the Department of State prior to initiating work on this project to discuss goals, objectives, state requirements and expectations.

The governing board will appoint a Re-Organization Study Committee (RSC) which shall be charged with developing a re-organization study, including fiscal impacts, provision of services and other identified matters. The re-organization study will provide an examination of the potential financial savings, management improvements, and service delivery changes resulting from a local government re-organization, legal issues and impediments surrounding the re-organization, recommended steps to complete the re-organization, as well as options for cost-savings if the re-organization is not completed. The RSC will then develop a draft re-organization plan and identify alternatives to local government re-organization.

The governing board or RSC will develop a Request for Proposals (RFP) to aid in the selection of a qualified consultant to assist in the development of the re-organization study, plan and alternatives. The governing board will issue such RFP. The RSC will review submissions and may interview respondents. The RSC will then recommend to the governing board a qualified consultant. The governing board, considering the recommendation, will select a qualified consultant and enter into a contract for professional services.

The RSC and consultant will initiate the project with a kick-off meeting.

Task

2

Task: Re-Organization Study

Schedule: Months 2 – 4

Deliverable: Draft and Final Re-Organization Study, Meeting Summaries

The re-organization study is intended to provide a foundation for the project. The re-organization study will include a comprehensive list of services, including information on a per-service basis which shall include budget allocation, employment allocation, per-resident cost, inventory of equipment, complexities of delivery of services, specialized knowledge of personnel and necessary capital investments as well as the opportunity for cost savings and/or service enhancement. Associated with this, the consultants shall conduct a review of the services currently provided by other government entities to identify which entities would most appropriately deliver services in the future. The re-organization study shall also consider the general perception of the feasibility of possible options and the public's concerns and likely reactions to restructuring service delivery, as well as potential impacts on service quality. The consultants will also make assumptions about what would happen if the local government entity(ies) restructures service delivery, setting in motion the process to determine the potential cost and tax impacts. Major findings, including general fiscal impacts, will be presented to the RSC.

The re-organization study will contain at least the following elements:

1. The name(s) of the entity(ies) Consolidation and Dissolution;
2. The name of the proposed consolidated local government entity Consolidation only;
3. The rights, duties and obligations of the proposed consolidated local government entity Consolidation only;
4. The territorial boundaries of the entity(ies) Consolidation and Dissolution;
5. The type and/or class of the entity(ies) Consolidation and Dissolution;
6. A fiscal estimate of the cost of dissolution Dissolution only;
7. The governmental organization of the proposed consolidated local government entity Consolidation only;
8. A fiscal estimate of the cost and savings which may be realized from consolidation Consolidation only;
9. Any plan for the transfer or elimination of public employees Dissolution only;
10. The entity's(ies') assets, including but not limited to real and personal property, and the fair value thereof in current money of the United States Consolidation and Dissolution;
11. The entity's(ies') liabilities and indebtedness, bonded and otherwise, and the fair value thereof in current money of the United States Consolidation and Dissolution;

12. Any agreements entered into with other government entities in order to carry out the dissolution Dissolution only;
13. The manner and means by which the residents of the entity(ies) will continue to be furnished municipal services following the entity's dissolution Dissolution only;
14. Terms for the disposition of the entity's(ies') assets and the disposition of its liabilities and indebtedness Consolidation and Dissolution;
15. Terms for the levy and collection of the necessary taxes and assessments Dissolution only;
16. Findings related to whether any local laws, ordinances, rules or regulations of the entity(ies) shall remain in effect after the effective date of the local government re-organization or shall remain in effect for a period of time other than as provided by state law Dissolution only;
17. Terms for the common administration and uniform enforcement of local laws, ordinances, resolution, orders and the like, within the proposed consolidated local government entity Consolidation only;
18. A fiscal analysis of the effect of local government re-organization on the entity(ies) and other government entities;
19. Any other matters desirable or necessary to carry out the local government re-organization Consolidation and Dissolution;
20. The effective date of the local government re-organization Consolidation and Dissolution;
21. Time and place of the public hearings on such proposed local government re-organization Consolidation and Dissolution.

The consultant shall develop a draft re-organization study. The RSC will hold a public meeting to review the draft re-organization study. The RSC will adopt a final re-organization study with revisions if necessary.

Task
3

Task: Re-Organization Implementation Plan

Schedule: Months 4 – 6

Deliverable: Draft Re-Organization Plan

The RSC, using the information developed in the re-organization study, shall develop a best-case re-organization implementation plan. It should be noted that the RSC may believe that proposed local government re-organization is not in the entity's(ies') best interest; however, developing a re-organization plan will provide two advantages. First, the re-organization plan will make certain assumptions that will allow for a refined fiscal impact analysis of the affected entities. Second, if served with a dissolution or consolidation petition, the governing board will have a re-organization plan that may immediately be provided to residents for their consideration. The re-organization plan will contain provisions relating to the items identified in Task 2 above.

Task

Task: Alternatives to Local Government Re-Organization

4

Schedule: Months 6 – 8

Deliverable: Draft and Final Re-Organization Study

The RSC will develop possible alternatives to local government re-organization that achieve cost savings and/or efficiencies in the entity’s(ies’) operations. Possible alternatives may include but shall not be limited to cooperative agreements, functional consolidations, and reduction or elimination of services. These alternatives are intended for the entity(ies) to consider in the event that a decision is made to not complete a local government re-organization. These alternative scenarios will include a high-level cost and tax impact projections for the identified options. The Citizens Re-Organization Empowerment Grant will not fund re-organization options that are not addressed under Article 17-A of the General Municipal Law, or do not involve a coterminous town-village, established in the former place of a town and a village, which commenced sharing a coterminous boundary after July 1, 2012 and which operates principally as a town or as a village but not as both a town and a village.

Task
5

Task: Public Meeting

Schedule: Month 8

Deliverable: Meeting Summary Report

The RSC will hold a public meeting to review the final re-organization study and draft re-organization implementation plan and alternatives to local government re-organization.

Task
6

Task: Final re-organization study, including re-organization plan and alternatives local government re-organization

Schedule: Months 8 – 9

Deliverable: Draft and Final Re-Organization Study

The final report will compile the items identified in Tasks 2, 3 and 4 above.

Task

Task: Public Hearing

7

Schedule: Month 9

Deliverable: Minutes of Public Hearing

The RSC will hold a public hearing on the final re-organization study. The RSC will transmit the final deliverable to the governing board(s) along with a summary of the public hearing. Note that the final re-organization implementation plan shall also list the time and place of any public hearings by the governing board(s) on the proposed re-organization plan.

Task

8

Task: Project Close-Out

Schedule: Month 9

Deliverable: NYSDOS Project Close-Out Documents

The governing board(s) shall receive the final re-organization study, including re-organization plan and alternatives to local government re-organization, from the RSC. The governing board shall adopt the final re-organization study, including re-organization plan and alternatives to local government re-organization, and determine whether or not to move forward with the re-organization implementation plan. It will then complete the required close-out process with the New York State Department of State.

Appendix D

MINORITY-AND WOMEN-OWNED BUSINESS ENTERPRISES (MWBE)

CONTRACTOR REQUIREMENTS AND PROCEDURES FOR BUSINESS PARTICIPATION OPPORTUNITIES FOR NEW YORK STATE CERTIFIED MINORITY- AND WOMEN-OWNED BUSINESS ENTERPRISES AND EQUAL EMPLOYMENT OPPORTUNITIES FOR MINORITY GROUP MEMBERS AND WOMEN

NEW YORK STATE LAW

Pursuant to New York State Executive Law Article 15-A, the Department of State (hereinafter “DOS”) recognizes its obligation under the law to promote opportunities for maximum feasible participation of certified minority-and women-owned business enterprises and the employment of minority group members and women in the performance of DOS contracts.

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

Business Participation Opportunities for MWBEs

For purposes of this solicitation, DOS hereby establishes an overall goal of 20% for MWBE participation, 10% for Minority-Owned Business Enterprises (“MBE”) participation and 10% for Women-Owned Business Enterprises (“WBE”) participation (based on the current availability of qualified MBEs and WBEs). A contractor (“Contractor”) on the subject contract (“Contract”) must document good faith efforts to provide meaningful participation by MWBEs as subcontractors or suppliers in the performance of the Contract and Contractor agrees that DOS may withhold payment pending receipt of the required MWBE documentation. The directory of New York State Certified MWBEs can be viewed at: <http://www.esd.ny.gov/mwbe.html>.

For guidance on how DOS will determine a Contractor’s “good faith efforts,” refer to 5 NYCRR §142.8.

I. MWBE Utilization

By submitting a bid or proposal, a bidder on the Contract (“Bidder”) agrees to submit the following documents and information as evidence of compliance with 5 NYCRR §142.8:

- A. Bidders are required to submit a MWBE Utilization Plan on Form A with their bid or proposal. Any modifications or changes to the MWBE Utilization Plan after the Contract award and during the term of the Contract must be reported on a revised MWBE Utilization Plan and submitted to DOS.

- B. DOS will review the submitted MWBE Utilization Plan and advise the Bidder of DOS acceptance or issue a notice of deficiency within 30 days of receipt.
- C. If a notice of deficiency is issued, Bidder agrees that it shall respond to the notice of deficiency within seven (7) business days of receipt by submitting to the DOS:

Office of Affirmative Action Programs
99 Washington Avenue, Albany, New York 12231
Phone: (518) 473-2507; Fax (518) 473-9211

A written remedy in response to the notice of deficiency. If the written remedy that is submitted is not timely or is found by DOS to be inadequate, DOS shall notify the Bidder and direct the Bidder to submit, within five (5) business days, a request for a partial or total waiver of MWBE participation goals. Failure to file the waiver form in a timely manner may be grounds for disqualification of the bid or proposal.

- D. DOS may disqualify a Bidder as being non-responsive under the following circumstances:
 - a) If a Bidder fails to submit a MWBE Utilization Plan;
 - b) If a Bidder fails to submit a written remedy to a notice of deficiency;
 - c) If a Bidder fails to submit a request for waiver; or
 - d) If DOS determines that the Bidder has failed to document good faith efforts.

Contractors shall attempt to utilize, in good faith, any MBE or WBE identified within its MWBE Utilization Plan, during the performance of the Contract. Requests for a partial or total waiver of established goal requirements made subsequent to Contract Award may be made at any time during the term of the Contract to DOS, but must be made no later than prior to the submission of a request for final payment on the Contract.

II. Non-Compliance

A. In accordance with 5 NYCRR §142.13, Contractor acknowledges that if it is found to have willfully and intentionally failed to make good faith efforts to meet the MWBE participation goals set forth in the Contract, such finding constitutes a breach of Contract and DOS may withhold payment from the Contractor as liquidated damages. Such liquidated damages shall be calculated as an amount equaling the difference between: (1) all sums identified for payment to MWBEs had the Contractor achieved the contractual MWBE goals; and (2) all sums actually paid to MWBEs for work performed or materials supplied under the Contract.

B. In addition, failure to comply with the foregoing requirements may result in a finding of non-responsiveness, non-responsibility and/or a breach of the Contract, leading to the withholding of funds, suspension or termination of the Contract or such other actions or enforcement proceedings as allowed by the Contract.

Equal Employment Opportunity Requirements

By submission of a bid or proposal in response to this solicitation, the Bidder/Contractor agrees with all of the terms and conditions of Appendix A including Clause 12 - Equal Employment Opportunities for Minorities and Women. The Contractor is required to ensure that it and any subcontractors awarded a subcontract over \$25,000 for the construction, demolition, replacement, major repair, renovation, planning or design of real property and improvements thereon (the "Work") except where the Work is for the beneficial use of the Contractor, shall undertake or continue programs to ensure that minority group members and women are afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status. For these purposes, equal opportunity shall apply in the areas of recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff, termination, and rates of pay or other forms of

compensation. This requirement does not apply to: (i) work, goods, or services unrelated to the Contract; or (ii) employment outside New York State.

Bidder further agrees, where applicable, to submit with the bid a staffing plan (Form B) identifying the anticipated work force to be utilized on the Contract and if awarded a Contract, will, upon request, submit to the DOS, a workforce utilization report identifying the workforce actually utilized on the Contract if known.

Further, pursuant to Article 15 of the Executive Law (the "Human Rights Law"), all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor and sub-contractors will not discriminate against any employee or applicant for employment because of race, creed (religion), color, sex, national origin, sexual orientation, military status, age, disability, predisposing genetic characteristic, marital status or domestic violence victim status, and shall also follow the requirements of the Human Rights Law with regard to non-discrimination on the basis of prior criminal conviction and prior arrest.

For questions on filling out the forms required with this application, please contact:

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99 Washington Avenue, Albany, New York 12231
Phone: (518) 473-2507; Fax (518) 473-9211

FORM A M/WBE UTILIZATION PLAN

INSTRUCTIONS: This form must be submitted with any bid, proposal, or proposed negotiated contract or within a reasonable time thereafter, but prior to contract award. This Utilization Plan represents the anticipated M/WBE usage for the contract and must contain a detailed description of the supplies and/or services to be provided by each certified Minority and Women-owned Business Enterprise (M/WBE) under the contract. Attach additional sheets if necessary.

Offeror's Name:

Federal Identification No.:

Address:

Project/Contract No.:

City, State, Zip Code:

M/WBE Goals in the Contract: MBE 10% WBE 10%

Telephone No.:

Region/Location of Work:

1. Projected Certified M/WBE Subcontractors/Suppliers Name, Address, Email Address, Telephone No.	2. Classification	3. Federal ID No.	4. Detailed Description of Work (Attach additional sheets, if necessary)	5. Dollar Value of Subcontracts/ Supplies/Services and intended performance dates of each component of the contract.
A.	NYS ESD CERTIFIED <input type="checkbox"/> MBE <input type="checkbox"/> WBE			
B.	NYS ESD CERTIFIED <input type="checkbox"/> MBE <input type="checkbox"/> WBE			

6. IF UNABLE TO FULLY MEET THE MBE AND WBE GOALS SET FORTH IN THE CONTRACT, OFFEROR MUST SUBMIT A REQUEST FOR WAIVER.

<p>My firm proposes to use the M/WBEs listed above.</p> <p>PREPARED BY (Signature): DATE:</p> <p>NAME AND TITLE OF PREPARER (Print or Type):</p>	<p>TELEPHONE NO.:</p> <hr/> <p>FOR M/WBE USE ONLY</p> <p>REVIEWED BY: _____ DATE: _____</p>	<p>EMAIL ADDRESS:</p> <hr/> <p>UTILIZATION PLAN APPROVED: <input type="checkbox"/> YES <input type="checkbox"/> NO Date: _____ Contract No.: _____ Project No. (if applicable): _____</p> <p>Contract Award Date: Estimated Date of Completion: Amount Obligated Under the Contract: Description of Work: NOTICE OF DEFICIENCY ISSUED: <input type="checkbox"/> YES <input type="checkbox"/> NO Date: _____ NOTICE OF ACCEPTANCE ISSUED: <input type="checkbox"/> YES <input type="checkbox"/> NO Date: _____</p>
SUBMISSION OF THIS FORM CONSTITUTES THE OFFEROR'S ACKNOWLEDGEMENT AND AGREEMENT TO COMPLY WITH THE M/WBE REQUIREMENTS SET FORTH UNDER NYS EXECUTIVE LAW, ARTICLE 15-A, 5 NYCRR PART 143, AND THE ABOVE-REFERENCED SOLICITATION. FAILURE TO SUBMIT COMPLETE AND ACCURATE INFORMATION MAY RESULT IN A FINDING OF NONCOMPLIANCE AND POSSIBLE TERMINATION OF YOUR CONTRACT.		

FORM B

STAFFING PLAN

Submit with Bid or Proposal – Instructions on page 2

Complete this form only for the anticipated work force to be utilized on the State contract.

Solicitation No.:	Reporting Entity:	Report includes Contractor's/Subcontractor's: <input type="checkbox"/> Work force to be utilized on this contract <input type="checkbox"/> Total work force
Offeror's Name:		<input type="checkbox"/> Offeror <input type="checkbox"/> Subcontractor Subcontractor's name _____
Offeror's Address:		

Enter the total number of employees for each classification in each of the EEO-Job Categories identified.

EEO-Job Category	Total Work force	Work force by Gender		Work force by Race/Ethnic Identification														
		Total Male (M)	Total Female (F)	White (M) (F)		Black (M) (F)		Hispanic (M) (F)		Asian (M) (F)		Native American (M) (F)		Disabled (M) (F)		Veteran (M) (F)		
Officials/Administrators																		
Professionals																		
Technicians																		
Sales Workers																		
Office/Clerical																		
Craft Workers																		
Laborers																		
Service Workers																		
Temporary /Apprentices																		
Totals																		

PREPARED BY (Signature):	TELEPHONE NO.: EMAIL ADDRESS:	DATE:
NAME AND TITLE OF PREPARER (Print or Type):		Submit completed with bid or proposal

General instructions: All Offerors and each subcontractor identified in the bid or proposal must complete an EEO Staffing Plan (FORM B) and submit it as part of the bid or proposal package. Where the work force to be utilized in the performance of the State contract can be separated out from the contractor's and/or subcontractor's total work force, the Offeror shall complete this form only for the anticipated work force to be utilized on the State contract. Where the work force to be utilized in the performance of the State contract cannot be separated out from the contractor's and/or subcontractor's total work force, the Offeror shall complete this form for the contractor's and/or subcontractor's total work force.

Instructions for completing:

1. Enter the Solicitation number that this report applies to along with the name and address of the Offeror.
2. Check off the appropriate box to indicate if the Offeror completing the report is the contractor or a subcontractor.
3. Check off the appropriate box to indicate work force to be utilized on the contract or the Offerors' total work force.
4. Enter the total work force by EEO job category.
5. Break down the anticipated total work force by gender and enter under the heading 'Work force by Gender'
6. Break down the anticipated total work force by race/ethnic identification and enter under the heading 'Work force by Race/Ethnic Identification'. Contact the DOS Permissible contact(s) for the solicitation if you have any questions.
7. Enter information on disabled or veterans included in the anticipated work force under the appropriate headings.
8. Enter the name, title, phone number and email address for the person completing the form. Sign and date the form in the designated boxes.

RACE/ETHNIC IDENTIFICATION

Race/ethnic designations as used by the Equal Employment Opportunity Commission do not denote scientific definitions of anthropological origins. For the purposes of this form, an employee may be included in the group to which he or she appears to belong, identifies with, or is regarded in the community as belonging. However, no person should be counted in more than one race/ethnic group. The race/ethnic categories for this survey are:

- **WHITE** (Not of Hispanic origin) All persons having origins in any of the original peoples of Europe, North Africa, or the Middle East.
- **BLACK** a person, not of Hispanic origin, who has origins in any of the black racial groups of the original peoples of Africa.
- **HISPANIC** a person of Mexican, Puerto Rican, Cuban, Central or South American or other Spanish culture or origin, regardless of race.
- **ASIAN & PACIFIC ISLANDER** a person having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent or the Pacific Islands.
- **NATIVE INDIAN (NATIVE AMERICAN/ ALASKAN NATIVE)** a person having origins in any of the original peoples of North America, and who maintains cultural identification through tribal affiliation or community recognition.

OTHER CATEGORIES

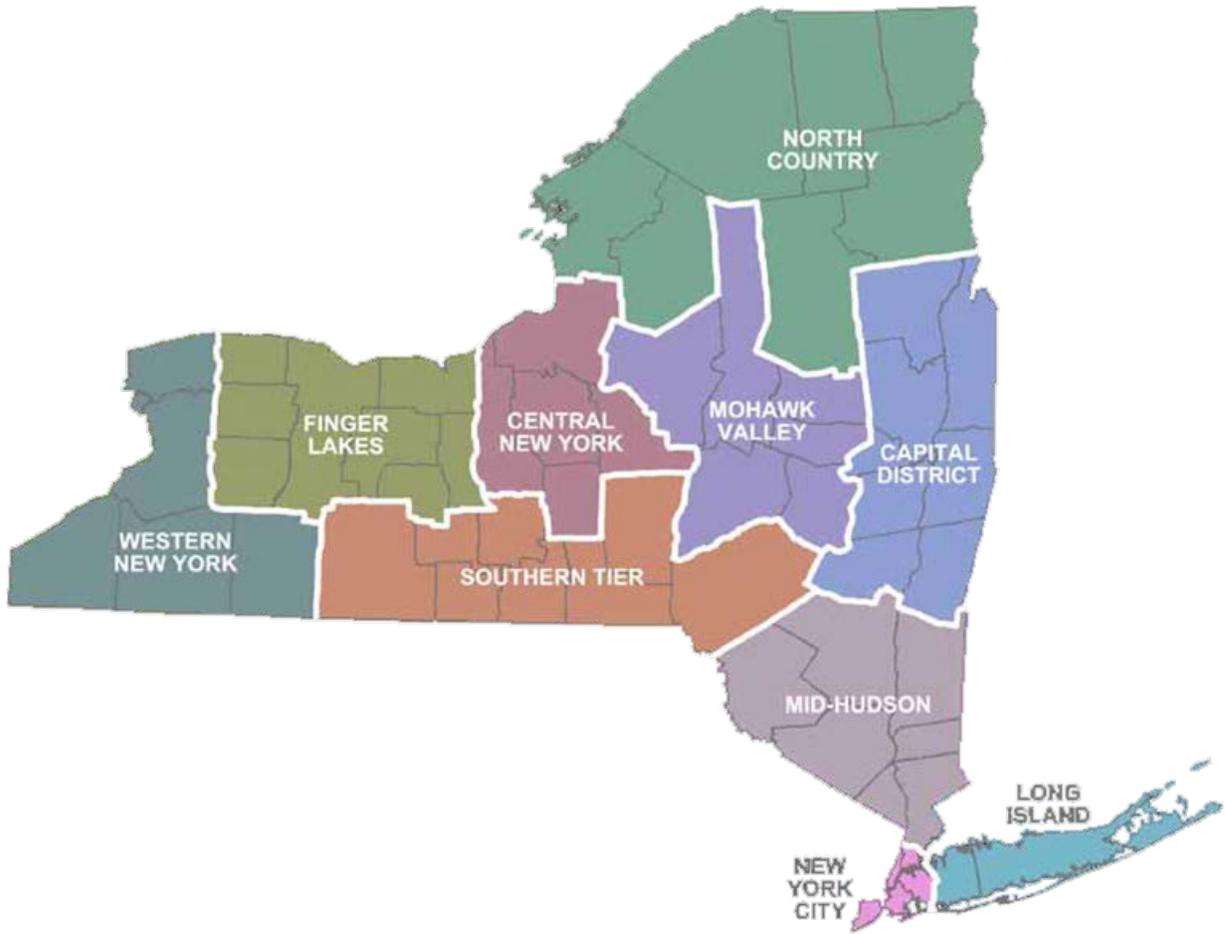
- **DISABLED INDIVIDUAL** any person who: - has a physical or mental impairment that substantially limits one or more major life activity(ies)
- has a record of such an impairment; or
- is regarded as having such an impairment.
- **VIETNAM ERA VETERAN** a veteran who served at any time between and including January 1, 1963 and May 7, 1975.
- **GENDER** Male or Female

Appendix E

Table of Due Dates

Questions Due Dates:	RFA Updates & Responses to Questions Posted Dates:	Application Due Dates:
Every Third Wednesday of every month <i>(except where noted)</i>	Every Fourth Wednesday of every month <i>(except where noted)</i>	Due dates for Local Government Citizens Re-Organization Empowerment Grants are the first Wednesday of every month <i>(except where noted)</i> , at 4:00pm.
August 21, 2013	August 28, 2013	September 4, 2013
September 18, 2013	September 25, 2013	October 2, 2013
October 16, 2013	October 23, 2013	November 6, 2013
November 20, 2013	November 27, 2013	December 4, 2013
December 18, 2013	Tuesday, December 24, 2013	Thursday January 2, 2014
January 15, 2014	January 22, 2014	February 5, 2014
February 19, 2014	February 26, 2014	March 5, 2014
March 19, 2014	March 26, 2014	April 2, 2014
April 16, 2014	April 23, 2014	May 7, 2014
May 21, 2014	May 28, 2014	June 4, 2014
June 18, 2014	June 25, 2014	July 2, 2014
July 16, 2014	July 23, 2014	August 6, 2014
August 20, 2014	August 27, 2014	September 3, 2014
September 17, 2014	September 24, 2014	October 1, 2014
October 15, 2014	October 22, 2014	November 5, 2014
November 19, 2014	November 26, 2014	December 3, 2014

New York State Regional Economic Development Council Regions



ANDREW M. CUOMO
GOVERNOR

CESAR A. PERALES
SECRETARY OF STATE