



Division of Local Government Services

2016-2017 Local Government Efficiency Grant Program Request for Applications RFA # 16-LGE-11 Grant Application and Instructions

Local Government Efficiency Grant Program

KEY DATES

Release Date:	Monday, May 2, 2016
Questions Due Date:	June 22, & July 6, 2016
Updates & Responses to Questions Posted Date:	June 29, & July 13, 2016
Application Due Date:	4:00pm, Friday, July 29, 2016
Applications must be submitted through the web-based Consolidated Funding Application.	

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Application Submission: Applications are being solicited through the New York State Consolidated Funding Application (CFA).
Applications are available at:
<https://apps.cio.ny.gov/apps/cfa/>

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DEPARTMENT OF STATE

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I. Local Government Efficiency Grant Program (LGE)

Introduction

The Local Government Efficiency (LGE) Grant program assists local leaders identify best practices and implement actions focused on reducing municipal expenses and increasing efficiencies in service delivery. In the 2016-2017 program year, approximately \$4 million in LGE funds are available to local governments through the New York State Consolidated Funding Application (CFA).

All Local Government Efficiency projects must demonstrate new opportunities for financial savings and operational efficiencies. Studies and plans for a local government re-organization are also eligible for funding under the New York Department of State (DOS) Local Government Citizens Re-Organization Empowerment Grant (CREG). Information on that program can be found at <http://www.dos.ny.gov/funding/rfa-11-creg/index.html>.

Local Government Efficiency Program Overview

The evaluation of potential local government efficiency actions should include:

- Assessment of current services provided;
- Identification of future needs ;
- Development of a cost-benefit assessment of the value of services and their ultimate costs; and,
- Review of final impact of implementation.

Local Government Efficiency Program funding, as well as staff assistance, is available to support these efforts. Information on completed projects is available on the DOS website: <http://www.dos.ny.gov/lg/lge/index.html>.

II. LGE Application Information

Application Workshop

Application workshops will be held throughout the State. The workshop schedule and further information are available at <http://nyworks.ny.gov>.

Eligible Applicants

Eligible local government entities are counties, cities, towns, villages, special improvement districts, fire districts, public libraries, association libraries, public library systems - if they advance a joint application on behalf of member libraries, water authorities, sewer authorities, regional planning and development boards, school districts, and Boards of Cooperative Educational Services (BOCES) only to the extent they advance certain joint applications.

Applications shall have a minimum of two local government applicants with one exception. A single local government that has had an operating deficit in each of the last three fiscal years or a deficit of over 10% in the last fiscal year is eligible, provided that it applies for funding to implement internal reorganizations or service delivery modifications.

Applicants must have demonstrated responsible contracting in any past or current DOS contracts to be eligible for an award from this procurement.

Eligible Projects

Local governments may apply for both planning and implementation funding. Sample projects include:

- school district consolidations;
- functional consolidations of police services;
- city or county charter revisions to implement a functional consolidation;
- cooperative service agreements to share employees or facilities; or
- the regionalization of services.

Single local governments that have had an operating deficit in each of the last three fiscal years or a deficit of over 10% in the last fiscal year may also apply for funding to implement internal reorganizations or service delivery modifications.

Eligible projects are evaluated based on the potential municipal tax levy impact, project need, service delivery benefits, operational changes, comprehensiveness and specificity of work plan, appropriateness of the project budget, local linkages and capacity, and local and regional support. Consideration will also be given to proposals which advance the regional strategies developed by the Regional Economic Development Councils.

Project Funding

Approximately \$4 million is available for awards. The LGE program will award approximately \$3.6 million for implementation and approximately \$400,000 for implementation planning projects.

- The maximum funding for implementation planning is \$12,500 for each local government involved in the project, not to exceed \$100,000.

- The total maximum cumulative funding for an implementation project is \$200,000 for each local government involved in the project, not to exceed \$1,000,000.
- All grants are reimbursement grants.

Project Match

Applicants are required to provide matching funds for all projects.

- For a re-organization **planning project**, matching funds equal to at least 50% 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.

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

Calculation of Match as per Local Government Efficiency Program				
Total Project Cost	Implementation Project		Implementation Planning Project	
	10% Local Share	90% State Share	50% Local Share	50% State Share
\$20,000	\$2,000	\$18,000	\$10,000	\$10,000
\$50,000	\$5,000	\$45,000	\$25,000	\$25,000
\$100,000	\$10,000	\$90,000	\$50,000	\$50,000
\$222,222	\$22,222	\$200,000		
\$400,000	\$40,000	\$360,000		
\$444,444	\$44,444	\$400,000		
\$1,111,111	\$111,111	\$1,000,000		

For grants implementing a project that the applicants developed through a previously funded planning grant under the Local Government Efficiency (LGE) Grant program, the grant awarded from this RFA will be increased by an amount up to 100% of the local matching funds originally provided by the applicants for the implementation planning grant not to exceed the total project cost for implementation. (Thus, the match amounts for applicants that successfully complete a funded planning project and a funded implementation project ultimately may be as little as 10% of the total project costs.)

Eligible Expenses

Local Government Efficiency Grants may be used to cover costs including, but not limited to:

- professional services;
- capital improvements and certain equipment purchases that are integral to implementation of a functional consolidation; and
- transitional personnel costs, not to exceed three years, only where such expenses are integral to project implementation.

Ineligible Expenses

- Recurring expenses such as salaries and overhead, except for certain essential transitional personnel costs.

- Approved operating expense of the school district as defined in Education Law § 3606(1)(t).
- Any expenses not fully justified may be deemed ineligible and removed from the budget, thereby reducing the award amount.
- Any expenditures that are funded through the Local Government Efficiency (LGE), Citizens Reorganization Empowerment Grant (CREG), Financial Restructuring Board (FRB) or Municipal Restructuring Funds (MRF).
- Additional ineligible expenses include, but are not limited to: alcohol, out-of-state or out-of-country travel, prizes and awards, honoraria, lobbying expenses, fund-raising events/expenses, grant writing costs, fines and penalties, taxes, deficit funding, religious activities and refreshments for meetings.

III. Preparing a LGE Application

Getting Started

Applicants should review eligibility requirements and program criteria, and give careful consideration to the scope and goals of the project to be undertaken, as well as the processes involved with completing the project.

Applications are solicited through the New York State Consolidated Funding Application (CFA). Applications are available at: <https://apps.cio.ny.gov/apps/cfa/>. Only electronic submission through the CFA process is allowed for this grant program.

Questions

Submit all substantive questions in writing to:

Kyle Wilber, Program Manager
Local Government Efficiency Grants, RFA # 16-LGE-11
New York State Department of State
One Commerce Plaza, 10th Floor, Suite 1015
99 Washington Avenue
Albany, NY 12231
LGEprogram@dos.state.ny.us

To the extent possible, each inquiry should cite the RFA section and paragraph to which it refers. Written questions will be accepted until the due date stated on the cover of this guidance.

Questions of a technical 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 are of a “technical nature” if they are related exclusively to the process of preparing the application (e.g., formatting) rather than relating to the substance of the application.**

This guidance 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 the due date stated on the cover of this guidance.

Grant Due Date

The due date for 2016-2017 Local Government Efficiency Grant Program is listed on the cover sheet of this RFA.

<https://apps.cio.ny.gov/apps/cfa/>

IV. Application Review

Review Process

Failure to complete all sections of the Consolidated Funding Application (CFA) prevents applicants from submitting the form through the online application portal. If a project or application is deemed ineligible during the CFA process, please contact the Local Government Efficiency program for a review of eligibility. Within one week of the receipt of a completed CFA application, the Department of State shall review it to ensure the applicant has filed the appropriate application. The Department will notify the applicant in the event of an incorrect submission. After notification of an incorrect submission, an applicant may submit a correct application to the appropriate LGE grant program by the due date for such program.

Application Scoring

An application is eligible to receive a total score of 100. DOS allocates 80 points and the REDC allocates 20 points.

Application of LGE program score by DOS

- Each application will receive three independent scores based on a scale of 80, which will be averaged to determine the LGE base program score.

Application of Regional Economic Development Council score

- The REDC may award up to 20 points for each project, based upon the project's consistency with regional priorities and the following state initiatives.
 - Downtown Revitalization Initiative
Priority consideration will be given to proposals which demonstrate they will advance downtown revitalization through transformative housing, economic development, transportation and community projects that will attract and retain residents, visitors and businesses - creating dynamic neighborhoods where tomorrow's workforce will want to live, work, and raise a family.
 - Opportunity Agenda Related Projects
Each REDC may develop region-wide strategies, or may focus its efforts by designating one or more chronically distressed community as an "Opportunity Area." Projects seeking to apply CFA funds for the purpose of eliminating barriers to skilled employment by poor people in your region, as identified by the Opportunity Agenda and Strategic Plan, should provide evidence of such in their application.
 - Global NY Related Projects
The Global NY initiative accomplishes two complementary economic growth objectives: attract international investment and jobs to Upstate New York, and provide New York businesses with the tools and assistance they need to export their products to the global marketplace. Applicants should provide any information that links their project proposals to the Global NY strategies identified by the REDCs.
 - Veterans' Related Projects
New York State is home to more than 900,000 veterans, 72 percent of whom served in combat. In 2014, the REDCs were asked to create a Veterans Work Group to

promote participation by Veterans in the CFA, and develop strategies to encourage other potential CFA applicants to include workforce goals related to Veteran's employment. This is part of a comprehensive approach to improving services to the veterans and military families in New York. Applicants should provide any information that links their project proposals to the Veteran's Initiative strategies identified by the REDCs.

- NY Rising Related Projects

The NY Rising Community Reconstruction Program is a community driven initiative that empowers localities severely damaged by Superstorm Sandy, Hurricane Irene, or Tropical Storm Lee to develop comprehensive and innovative recovery plans. Projects identified in the NY Rising Community Reconstruction Program recovery plans consist of innovative, transformative projects and actions, enhance resilience and economic development. For more information, please visit: <http://stormrecovery.ny.gov/community-reconstruction-program>

Second Level Review

DOS reserves the right to re-evaluate the applications in a second level of review to determine whether additional priority points are warranted. The Secretary of State, or designee, may award up to a total of ten (10) additional points per application after calculation of the initial DOS allocation. Any additional points awarded may not cause any application to exceed the LGE maximum of 80 points.

Consideration of awarding such additional priority points will take into account:

- the geographic distribution of other fundable projects in this solicitation period
- the distribution of grants throughout the state, such that points may be awarded by region;
- the uniqueness of the project; and
- the ability of the project to be replicated.

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, has accommodated smart growth criteria itemized in Article 6 of the Environmental Conservation Law, "The New York State Smart Growth Public Infrastructure Act." Inconsistency with relevant criteria may result in a project being deemed ineligible for funding.

V. LGE Project Evaluation

The review of a local government efficiency project application is based upon a local government's responses to the questions in the Consolidated Funding Application (CFA). The CFA includes Threshold Questions, Basic Questions, Required & Optional Documents and Program Specific Questions. It is very important to answer all questions and clearly describe how the project meets the intent of the Local Government Efficiency program.

Threshold Questions

Four Threshold Questions determine minimum eligibility qualifications for the programs you have selected. These questions are not scored, but are key factors in determining an applicant's eligibility. Threshold questions for the LGE program include:

- Are you an eligible NYS local government entity for the Local Government Efficiency program? (CFA Question 1956)
- Will the project help local governments reduce expenditures, add revenues, streamline government management or operations, or improve service delivery? (CFA Question 4185)
- Is the applicant able to provide the required matching funds for the project? (CFA Question 5706)
- Are you developing a plan for a local government consolidation or dissolution under General Municipal Law, Article 17-A? If so, please contact the Department of State directly for other available funding opportunities. (CFA Question 1957)

Basic Questions

The Basic Questions are associated with all programs in the Consolidated Funding Application. This is where an applicant describes the project in detail and summarizes the local government's need to complete the project. These questions are only asked once, but address the project's goals and intent for each applicable program.

Project Description (CFA Question 575)

The project description should tell the reviewers about the project. This description should be concise, and provide the project's location, what is being planned, designed, or constructed, and the expected outcomes and deliverables.

Please remember, if applying for multiple grants using this single application, the Project Description should relate to all grant opportunities.

Statement of Need (CFA Question 976)

The statement of need should provide a clear overview of the local government's reasons for undertaking the project. For a Local Government Efficiency project, this must include an explanation of the financial, management, or service delivery challenges that the project will address.

Please remember, if applying for multiple grants using this single application, the Statement of Need should relate to all grant opportunities.

Required & Optional Documents

The Required & Optional Documents section of the CFA enables project applicants to upload information crucial to describing the project benefits and the use of program funds. The format of the Consolidated Funding Application stipulates that Required & Optional Document questions: be grouped together, may refer to multiple types of information required throughout the application, and are used to evaluate the applicant's project. The Required & Optional Documents form the basis for some scoring criteria.

Please remember only one attachment is permitted for each of the following CFA questions. If you attach multiple documents, only the last document attached will remain. All others will be deleted. If you need to attach multiple documents, merge them into a single document, and then upload.

Required Documents

1. LGE Fiscal Impact (CFA Question 5708)

In order to determine the long term tax levy impact of a local government efficiency project, applicants must upload the Excel worksheet provided in the application. The worksheet may be accessed from the DOS website at <http://www.dos.ny.gov/funding/> or through the link in the CFA help section. The worksheet is intended to provide an objective analysis of the anticipated financial impact of the project, including reductions in expenditures and/or increased revenues and tax levy impact resulting from the project, exclusive of any grant funding. Worksheets must be completed for each applicant, saved as a PDF file and uploaded. Projected cost savings shall not include unexpended fund balances, other grant funding or State incentives. Cost savings may include capital costs avoided by not having to acquire or replace equipment or infrastructure with an expected useful life of 10 years or more. For a complete listing of equipment or infrastructure that may be depreciated for tax purposes, go to Appendix B of Internal Revenue Service Publication 946 at: <http://www.irs.gov/pub/irs-pdf/p946.pdf>.

When applying for a study, please use the best estimate of potential future cost savings and additional revenues if the project is implemented. To assist in estimating future cost savings generated by a project, past studies and project information may be found at the Department of State's website: <http://www.dos.ny.gov/lg/lge/projects.html>.

2. Financially Stressed Local Governments (CFA Question 3476)

The LGE program prioritizes assistance to local governments that are experiencing financial stress. This is defined as those that have incurred operating deficits for each of the last three fiscal years, or had an operating deficit of greater than 10% in the last fiscal year. A spreadsheet to calculate this information is available on the Department of State's website at <http://www.dos.ny.gov/funding/>. This attachment is also used to determine if an applicant is eligible to apply without a partner applicant.

3. Multi-year Financial Planning (CFA Question 3892)

The LGE program prioritizes multi-year financial planning as vital to local government sustainability and the future success of a project. Applicants will receive points only if financial planning documents are uploaded with application.

4. Project Budget and Work Plan (CFA Question 5709)

LGE applicants are asked to upload a work plan and budget document that establishes timelines, tasks, costs and deliverables for each project component.

For each task, include:

- a budgeted cost, including personal and non-personal services, travel and other expenses; and,
- a proposed start date and a schedule for completion

Indicate the estimated costs for each task. Discuss why such costs are considered reasonable. All purchases must comply with Article 5A of the General Municipal Law. A LGE work plan template and budget document are available at: <http://www.dos.ny.gov/funding/>. Make a PDF copy of the completed worksheet and upload with the CFA submission.

5. M/WBE Utilization Plan (CFA Question 5738)

Applicants are required to create a plan for compliance with the Certified Minority-And Women-Owned Business Enterprises and Equal Employment Opportunities for Minority Group Members and Women requirements as part of this application.

The plan will include a DETAILED statement, with the project description, on how you intend to meet the MWBE goals with your project. The following should be included in the statement:

1. Your project's MWBE goal amount, determined by using the attached MWBE GOALS CALCULATION Template.
2. The names of general circulation, trade association, and M/WBE-oriented publications in which you plan to solicit certified M/WBEs for the purposes of complying with the participation goals related to your project.
3. A list identifying the date(s) that all solicitations for certified M/WBE participation plan to be published in any of the above publications
4. A list of all certified M/WBEs appearing in the NYS Directory of Certified Firms that will be solicited for purposes of complying with your certified M/WBE participation goal (The Directory can be viewed at:
<https://ny.newnycontracts.com/FrontEnd/VendorSearchPublic.asp?XID=7637&TN=ny>).
5. Descriptions of the notices, dates of contact, letters, and any other correspondence that will be made to all certified M/WBEs.
6. A description of any contract documents, plans, or specifications to be made available to certified M/WBEs for bid solicitation purposes and the proposed date and manner in which these documents will be made available.

The plan for compliance shall be uploaded as part of the application. Additional information may be found in Appendix C.

If your project is selected for an award, you will be required to comply with all the contractual requirements, including demonstrating that a good faith effort is made to meet the goals for certified MWBE firms participation as stated in your contract and in accordance with Article 15-A.

If an applicant chooses to move forward with a project prior to any award announcement, they are responsible for meeting M/WBE requirements established by the State of New York. The requested plan is intended to help an applicant think about how to comply with the regulations and provide information showing their due-diligence to comply with the M/WBE requirements.

Optional Documents

These attachments may also be submitted with a LGE application, and can help reviewers understand the project and the applicants' commitment to it.

1. Resolutions and Local Agreements (CFA Question 1978)

LGE applicants should upload any municipal resolutions or intermunicipal agreements executed to implement the project. These illustrate local support and capacity to implement the project.

2. Additional Information (CFA Question 3652)

This question provides applicants with an opportunity to upload additional information to support the application, including maps and reports.

LGE Standard Questions

Standard Questions are specific to an individual program and are designed to help reviewers evaluate the specific programmatic benefits.

Project Partners (CFA Question 3369)

Funding amounts and project eligibility are directly related to the number of project partners. Please list and provide contact information for all the partners involved and describe their role in the project.

Points for LGE Priorities

Applications will receive 5 points for meeting each of the following criteria.

1. Local Government Efficiency Plan Implementation (CFA Question 2961 & Question 2963)

– Possible 5 Points

The LGE program prioritizes the implementation of previously completed local government efficiency planning projects. If applicable, please describe how the application implements a previously funded plan.

2. Multi-year Financial Planning (CFA Question 2955 & Question 2956) – Possible 5 Points

The LGE program prioritizes multi-year financial planning as vital to local government sustainability and the future success of a project. Please indicate how the involved local governments utilize financial planning for operations and/or capital improvements. Applicants will receive points only if planning documents are uploaded with applications. (CFA Question 3892).

Points for LGE General Criteria

In this section, the applicant should describe the project and how it fits the intent of the Local Government Efficiency program. The answers provide reviewers with the information to evaluate and score the project.

Project Need (CFA Basic Question 976) - Up to 5 points

The Department of State will review the need for the project. Include changing financial or operational conditions, such as unplanned increases in local expenditures or requirements to modify existing service delivery.

Type of Project (CFA Basic Question 5322)

Since the Local Government Efficiency program is able to fund both implementation and planning projects, different questions have been asked for each type of project. How you answer these questions will provide you with questions specific to either implementation or planning. This has been done to better evaluate the projects as submitted rather than requiring answers to questions that do not fit the type of project you are proposing.

Implementation Questions

1. **Cost Savings** (CFA Question 5702) - Up to 5 points

This question is intended to review the method used to estimate the savings to be generated by the project. A narrative should explain how the savings identified in the tax levy impact sheets (CFA Attachment Question 3475) were determined.

2. **Financial Impact** (Question 5554) - Up to 5 points

Explain how the project will benefit taxpayers or rate payers in each local government. This question gives applicants an opportunity to describe how the project may potentially reduce the property tax levy, improve service delivery, or provide other benefits.

3. **Performance Measurement** (Question 5561) - Up to 5 points

This question is intended to evaluate the methods that will be used to measure financial performance after implementation of the project. For example, how will you monitor the cost of service delivery and measure savings? Are these performance measures consistent with your financial impact analysis? (CFA Question 3475)

4. **Operational Impacts** (CFA Question 5562) – Up to 5 Points

This question is intended to review the impact the project will have on existing management and/or operations. For example, will a consolidation of services with another local government result in changes in staffing or reporting structures?

5. **Service Delivery Impact** (CFA Question 5563) – Up to 5 Points

This question is intended to assess how the project will change the delivery of services and affect the public.

6. **Project Readiness and Sustainability** (CFA Question 5565) – Up to 5 Points

This question is intended to determine how you will institutionalize the organizational and/or service delivery changes produced by the project and determine how prepared the applicants are to work together to complete the project. This might include intermunicipal agreements (is the project part of actions already agreed to under an intermunicipal agreement), local laws or contracts to ensure the project is maintained over time.

7. **Public Engagement** (CFA Question 5567) – Up to 5 Points

This question is intended to review the approach and process followed to ensure transparency, public participation and stakeholder engagement during project development and implementation.

Planning Questions

1. **Type of Planning** (CFA Question 5564) - Up to 10 points

What type of planning project are you proposing to do?

- General Shared Services Study - 3 points
- Functional Consolidation Study - 6 points
- Implementation Plan – 10 points

2. **Financial Impact** (CFA Question 5555) - Up to 5 points

Explain how the project has the potential to benefit taxpayers or rate payers in each local government through tax reduction, improved service delivery, or other measures. How will the project potentially affect the property tax levy, improve service delivery, or provide other benefits?

3. Operational Impacts (CFA Question 5556) – Up to 5 Points

This question is intended to review the impact the project will have on existing management and/or operations. What effect will consolidation of services between local governments have on existing staff?

4. Service Delivery Impact (CFA Question 5558) – Up to 5 Points

This question is intended to assess how the project has the potential to change the delivery of services and affect the public.

5. Project/Partner Readiness (CFA Question 5559) – Up to 5 Points

This question is intended to determine the commitment of the applicants to work together to complete the project. For example, is there a memorandum of understanding among the applicants to undertake the study? Are there any existing shared services or collaborations among the project partners?

6. Public Engagement (CFA Question 5560) – Up to 5 Points

This question is intended to review the approach and process that will be followed to ensure ongoing transparency, public participation and stakeholder engagement during project development and implementation.

Work Plan and Budget

Evaluation of Work Plan (CFA Question 3478)

1. Detail (CFA Question 3478) – Up to 5 Points

The Department of State will evaluate the clarity and detail of the work plan components, including the timeline, task descriptions, identity of vendors (if known), and deliverables.

2. Feasibility (CFA Question 3478) – Up to 5 Points

The Department of State will evaluate the applicant's ability to satisfactorily complete the project within the proposed scope and timeline.

Evaluation of Budget

1. Cost Determination (CFA Question 5550) – Up to 5 Points

Explain how all budget costs were determined. Include the method/approach used to arrive at estimates. The response should include a narrative of how budget items were determined and projected expenses calculated.

2. Budget Detail (CFA Question 5551) – Up to 5 Points

Explain how each budget item relates to individual tasks for all project components.

The response should include a narrative that explains how each budget line item clearly supports the project.

3. Expense Eligibility (CFA Question 5552) – Up to 5 Points

Explain how each budget item meets the eligibility requirements of the program.

The response should include a narrative that documents how the projected costs are eligible for the grant program and each budget line clearly supports the applicant's need for financial resources requested to achieve project outcomes.

4. Budget Relationship with Work Plan (CFA Question 3478 & Question 5553) – Up to 5 Points

Explain how the budget fully supports all work plan components, does not contain extraneous expenses, and is cost-effective.

The response should include a narrative explaining how the tasks in the work plan are supported by the budget.

Application Certification (CFA Question 1038)

The lead applicant shall agree to the Certification of the information in the CFA application. Applications containing false or inaccurate information may be disqualified upon DOS verification.

Smart Growth Questions

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 statutory 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 LGE grant would be used for any public infrastructure project that supports local government reorganization, applicants must describe how the project would meet the Smart Growth criteria listed in the application.

Smart Growth Questions are a series of questions that are required to be answered by all applicants. Each question requires a Yes, No or Not Relevant response and an explanation of that response. While not individually scored by the LGE program, responses will help determine if a project can be funded.

- 1. Does the proposed project use, maintain, or improve existing infrastructure?** (CFA Question 1059)
- 2. Is the proposed project located in a municipal center?** (CFA Question 1060)
- 3. Is the proposed project located in a developed area or an area designated for concentrated infill development in a municipally approved comprehensive land use plan, local waterfront revitalization plan and/or brownfield opportunity area plan?** (CFA Question 1061)
- 4. Will the proposed project protect, preserve and enhance 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?** (CFA Question 1062)
- 5. Will the proposed project foster 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?** (CFA Question 1063)

6. **Will the proposed project provide mobility through transportation choices including improved public transportation and reduced automobile dependency?** (CFA Question 1064)
7. **Will the proposed project involve coordination between state and local government and inter-municipal and regional planning?** (CFA Question 1065)
8. **Will the proposed project involve participation in community based planning and collaboration?** (CFA Question 1066)
9. **Will the proposed project ensure predictability in building and land use codes?** (CFA Question 1067)
10. **Will the proposed project promote sustainability by strengthening existing and creating new communities which 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?** (CFA Question 1068)

VI. Awards and Grant Administration

Awards

Awards will be based upon an application's total final score. Funding will be awarded to the highest scoring applications until funds are exhausted. A contract will be executed with the lead applicant of each funded project.

Applications will be divided into 'planning' and 'implementation' categories. The Department of State's focus is on awarding projects that implement efficiency efforts. Approximately \$4 million is being made available for awards. Of that amount, \$3.6 million will be awarded for implementation projects, and approximately \$400,000 will be awarded for planning projects. At the Department's discretion, DOS reserves the right to award additional planning grants if an insufficient number of acceptable applications are received for implementation projects, and to award additional implementation grants if an insufficient number of acceptable applications are received for planning projects.

Depending upon the availability of funds, the Department of State may provide only partial funding to projects. Applicants will be notified directly of awards. Award decisions are final and are not subject to appeal.

In the event that any awardee fails to satisfactorily negotiate a proper contract, funding may be awarded to the next highest-scoring application.

Unsuccessful applicants may request a debriefing. Requests must be made in writing within 15 days of notification of decision.

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 a multi-year agreement and will be dated April 1, 2016 – March 31, 2020. Awardees must return state contracts to the Department of State within ninety (90) days from receipt to ensure that funds go to applicants that are ready to move forward. The Department of State may cancel an award if the state contract is not returned in a timely manner.

Contract Administration

Awardees must manage projects in accordance with the terms and conditions of the state contract. Contractors must follow state and local procurement policies. Failure to render satisfactory progress or to complete the project to the satisfaction of the state may cause the suspension or termination of the state's financial obligation. 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 negotiated and agreed to in the executed state contract.

Schedule of Payments

The Local Government Efficiency Grant program is a "reimbursable" program. Expenses incurred after April 1, 2016 are eligible for reimbursement provided that the applicant has executed a contract with the

Department of State. Expenses incurred prior to the start date of the state contract cannot be reimbursed. The grant contractor will be required to submit payment requests quarterly. Payments will be made for eligible costs incurred until the cumulative amount of such payments totals 90% of the State Share Funding Amount. Payment of the remaining 10% of the State Share Funding Amount will not be made until the project is completed, as determined by the Department of State.

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 quarterly requests 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.

Project Performance

Division of Local Government Services LGe staff monitors each project, and conducts site visits during the course of project execution to assess the rate and quality of progress. Notification of contract related meeting schedules, and submission of photos and other media are required. Some projects may be selected for more extensive review, and used as a resource for providing technical assistance.

General Specifications

1. By signing the "Application Form", each applicant attests to the express authority to sign on behalf of the local government and to the accuracy of the information contained in the application.
2. Grantees will possess, at no cost to the State, all qualifications, licenses, insurance and permits to engage in the required business as may be required within the jurisdiction where the work specified is to be performed. Workers to be employed in the performance of this contract, including subcontractors, will possess the qualifications, training, licenses, insurance and permits as may be required within such jurisdiction.
3. Submission of any application indicates the applicant's acceptance of all conditions and terms contained in this RFA, including terms and conditions of the contract.
4. Provisions upon default:
 - a. The services to be performed by the applicant shall be, at all times, subject to the direction and control of the Department of State as to all matters arising in connection with or relating to the contract resulting from this RFA;
 - b. In the event that the applicant fails to perform any of the terms, covenants or promises of any contract resulting from this RFA, the Department of State, acting for and on behalf of the State, shall thereupon have the right to terminate the contract by giving notice of the fact and date of such termination to the applicant;
 - c. If, in the judgment of the Department of State, the applicant acts in such a way which is likely to or does impair or prejudice the interests of the State, the Department of State, acting on behalf of the State, shall thereupon have the right to terminate any contract resulting from this RFA by giving notice of the fact and date of such termination to the contractor. In such case, the contractor shall receive equitable compensation for such services as shall, in the judgment of the Department of State, have been satisfactorily performed by the contractor up to the date of the termination of this agreement.

Reserved Rights

The Department of State reserves the rights, including but not limited 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 application fails to conform to the requirements of the RFA.
5. Seek clarifications and revisions of applications.
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 contained in proposals received.
15. 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.
16. Waive or modify minor irregularities in received applications.
17. Not fund an application that fails to submit a clear and concise work plan or budget.
18. Adjust or correct cost figures with the consent of the applicant if errors exist and can be documented to the satisfaction of the Department of State and the State Comptroller.
19. Award grants based on geographic or regional considerations to serve the best interests of the state.
20. Award more than one contract resulting from this RFA.
21. In its sole discretion, determine the total number of awards to be granted pursuant to this RFA.

Attachments:

Appendix A: Definitions

Appendix B: Instructions – Fiscal Impact Statement

Appendix C: Minority and Women-Owned Business Enterprises (MWBE)

Appendix A

Definitions

As used in these applications, the following words and terms shall mean:

Asset Class means a category of equipment or infrastructure that may be depreciated for tax purposes and may be found in Appendix B of Internal Revenue Service Publication 946 at <http://www.irs.gov/pub/irs-pdf/p946.pdf>.

Capital Cost means the cost of an asset that an applicant would have to acquire or replace in the event that a project is not implemented and that has a Useful Life of ten years or longer.

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.

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

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 statutes for the performance among themselves or one for the other of their respective functions, powers and duties on a contract or cooperative basis.

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

Full Value means the equalized assessed value of real property as reported by the Office of the State Comptroller (OSC). Full value assessments can be found online at www.osc.state.ny.us/localgov/datanstat/ under "Financial Data for Local Governments."

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. Functional consolidations may occur at the Department level or at a budget line item level between municipalities; the applicant is required to describe this in the narrative.

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.

Increased Revenues means increases in revenues that result directly from the implementation of a project and are expected to continue on an ongoing basis.

Implementation Plan means determining what is needed to fully implement the project.

Local Government Entity means a county, city, town, village, special improvement district, fire district, public library, association library, public library systems if they advance a joint application on behalf of its member libraries, water authority, sewer authority, regional planning and development board, school district, or board of cooperative educational services. A board of cooperative educational services will be considered a municipality only in instances where such board of cooperative educational services advances a joint application on behalf of school districts and other municipalities within the board of cooperative educational services region but any agreement with a board of cooperative educational services:

1. Will not generate additional state aid;

2. Will be deemed not to be a part of the program, capital and administrative budgets of the board of cooperative educational services for the purposes of computing charges upon component school districts pursuant to Education Law § 1950(1),(4)(b)(7) or § 1951 (1); and
3. Will be deemed to be a cooperative municipal service for purposes of Education Law § 1950(4)(d)(2).

Operating Deficit means gross municipal revenues (including transfer activity) less gross municipal expenditures (including transfer activity) at fiscal year-end divided by gross expenditures in the same fiscal year.

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.

Regional means an area that is not typically defined by municipal boundaries, consisting of a large area that shares specific characteristics, possibly in more than one county.

Regionalized Service Delivery means public service functions undertaken by multiple local government entities in an area that is not typically defined by municipal boundaries, consisting of a large area that shares specific characteristics, possibly in more than one county.

Return on Public Investment means annual cost savings and/or increased revenues expressed as a percentage of all public funding to be utilized in the project, calculated by dividing the anticipated annual cost savings and/or increased revenues by the amount of the expected public funding, including the LGE grant.

Shared Services means the joint provision, performance or delivery of a service, facility, activity, or undertaking by two or more local government entities that each may lawfully undertake separately.

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.

Straight Line Method is a way to figure depreciation for an asset that deducts the same amount for each year based upon the Useful Life of the asset.

Tax Impact means the annual cost savings and/or increased revenues per \$1,000 of full value, calculated by dividing cost savings and/or increased revenues by the result of full value divided by 1,000.

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

Transitional Personnel means any additional employees required 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.*)

Useful Life means an estimate of how long an asset can be expected to be usable in trade or business or to produce income.

Appendix B

Instructions for Fiscal Impact Worksheet

1. Open the Applicant Information tab on the bottom left of the page (Worksheet A) and enter the names of the Lead Applicant and all Co-Applicants into column A.
2. Go to www.openbooknewyork.com.
3. Click on "Revenues and Expenditures" under Data Categories and "Comparison" under Report Type and then click "Submit".
4. Select the class of local government for all Applicants and the year for which the most recent data are available. "No Data" indicates that data for the year selected are not yet available. Note: Up to four units of local government may be selected at a time. If there are more than four Applicants, clear the selected local governments and select up to four additional Applicants.
5. Click "Submit" and you will be taken to a Comparison Report for the local governments selected.
6. Click on the "+" icons in the Comparison Report to find the budget codes for all relevant revenue and expenditure data.
7. For budget items funded by property taxes through the General Fund (A & B funds), select "Real Property Taxes and Assessments". For budget items funded by user fees through an Enterprise Fund (FX,G & S_ funds), select "Charges for Services". If the project affects both property taxes and fees, create two names for that Applicant (e.g. "Applicant-A" and "Applicant-FX"). Enter the year for which the most recent data are available into column B and either property taxes and assessments or user fees into column C of Worksheet A.
8. Go to the Revenues worksheet (Worksheet B). Select an Applicant by using the drop down list that appears on the right hand side of column A (be sure to scroll up if you do not see the name of an Applicant entered in Worksheet A). Enter the budget code for each revenue line item affected by the project into column B, a description into column C, and amount into column D. Enter the corresponding estimated revenues upon completion of the project into column E.
9. Go to the Expenditures worksheet (Worksheet C). Select an Applicant by using the drop down list that appears on the right hand side of column A (be sure to scroll up if you do not see the name of an Applicant entered in Worksheet A). Enter the budget code for each expenditure line item affected by the project into column B, a description into column C, and amount into column D. Enter the corresponding estimated expenditures upon completion of the project into column E.
10. The worksheet will automatically calculate the Fiscal Impacts for each Applicant. These appear in column D (\$ amounts) and column E (% amounts) of Worksheet A. Higher revenues and lower expenditures after completion of the project will appear as positive Fiscal Impacts. Lower revenues and higher expenditures will appear as negative Fiscal Impacts.
11. Save the all worksheets as a PDF file using the "Save as Adobe PDF" function in Excel.
12. Upload the saved PDF into the CFA (Question 3475).

2016-2017 Fiscal Impact Worksheet A - Applicant Information

Instructions:

1. In the **GREEN** area below, enter the name of the lead and co-applicants. Then enter the fiscal year for the data used and the total real property taxes and assessments (tax levy) for budget items funded by property taxes through the General Fund (A & B funds) or user fees for budget items funded by fees through Enterprise Funds (FX, G & S_ funds).
2. Once the entire workbook is completed, export the entire workbook as a PDF to attach to the CFA. Export as a PDF using your program's menus.

EXAMPLE	<u>Name</u>	<u>Fiscal Year</u>	<u>Tax Levy or User Fees</u>	<u>Fiscal Impact (\$)</u>	<u>Fiscal Impact (%)</u>
Lead Applicant	County	2014	\$ 75,000,000	\$ (90,000.00)	-0.12%
Co-Applicant 1	City A	2014	\$ 6,500,000	\$ 135,000.00	2.08%
	<u>Name</u>	<u>Fiscal Year</u>	<u>Tax Levy or User Fees</u>	<u>Fiscal Impact (\$)</u>	<u>Fiscal Impact (%)</u>
Lead Applicant				\$ -	-
Co-Applicant 1				\$ -	-
Co-Applicant 2				\$ -	-
Co-Applicant 3				\$ -	-
Co-Applicant 4				\$ -	-
Co-Applicant 5				\$ -	-
Co-Applicant 6				\$ -	-
Co-Applicant 7				\$ -	-
Co-Applicant 8				\$ -	-
Co-Applicant 9				\$ -	-
Co-Applicant 10				\$ -	-
<i>If your project impacts more than 10 eligible municipalities, please contact the Department of State to ensure that the proper adjustments are made to this form to maintain accuracy.</i>					

Appendix C

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 30% for MWBE participation, 15% for Minority-Owned Business Enterprises ("MBE") participation and 15% 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) 473-3401; Fax (518) 402-3656

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 Section III (J) of the Master Grant Contract, "Equal Employment Opportunities for Minorities and Women; Minority and Women Owned Business Enterprises." 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:

Office of Affirmative Action Programs
99 Washington Avenue, Albany, New York 12231
Phone: (518) 473-3401; Fax (518) 402-3656

Additional Notices and Explanations Regarding the MWBE Program and this Request For Applications:

If your project is selected for an award, you will be required to comply with all the contractual requirements, including demonstrating that a good faith effort is made to meet the goals for certified MWBE firms participation as stated in your contract and in accordance with Article 15-A.

If an applicant chooses to move forward with a project prior to any award announcement, they are responsible for meeting M/WBE requirements established by the State of New York. The requested plan, as described below, is intended to help an applicant think about how to comply with the regulations and provide information showing their due-diligence to comply with the M/WBE requirements.

MWBE REQUIREMENTS

Create a plan for compliance with the M/WBE requirements. The plan should be submitted with bids and proposals, in addition to FORM B - STAFFING PLAN and FORM D - MWBE UTILIZATION PLAN attached.

Provide a DETAILED statement, with the project description, on how you intend to meet the MWBE goals with your project. The following should be included in the statement:

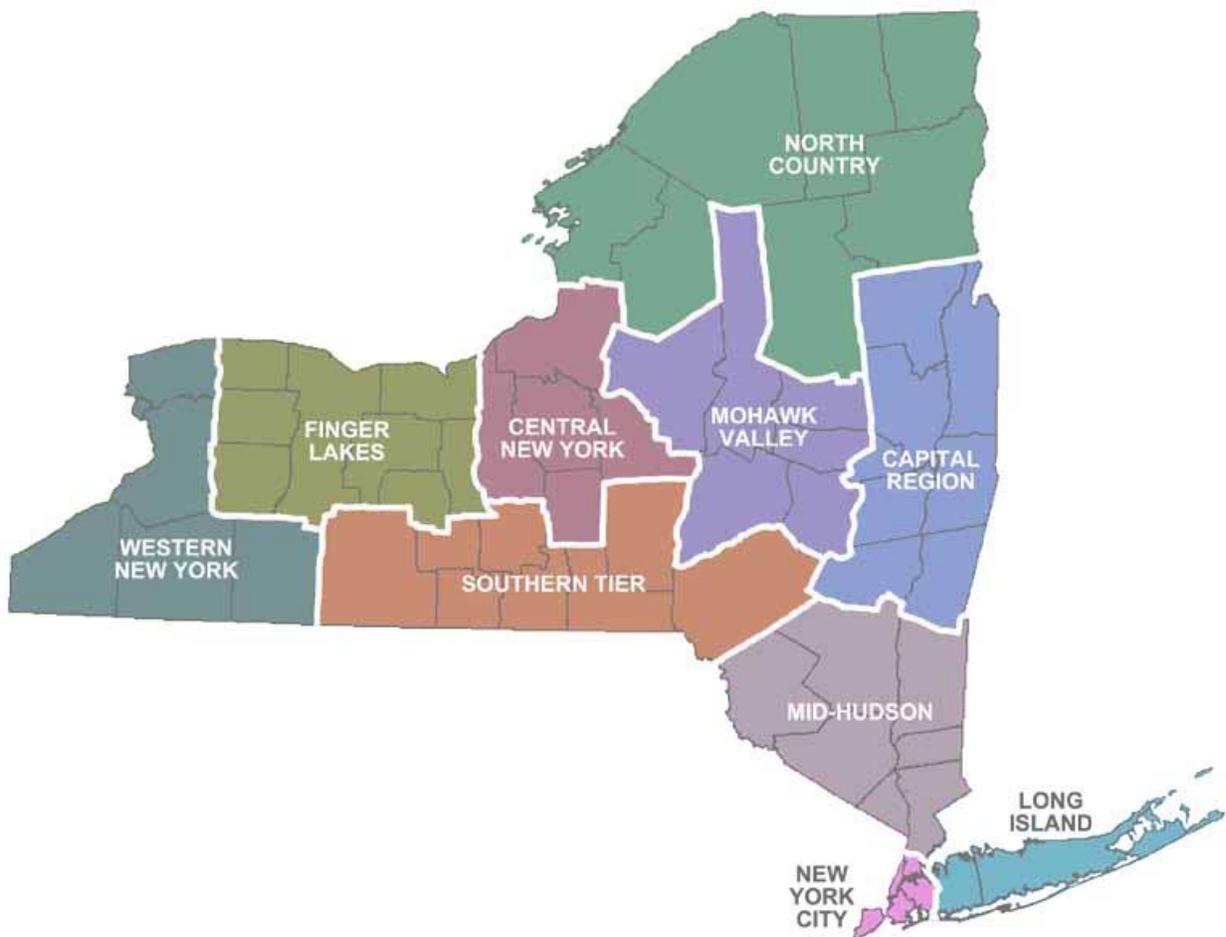
1. Your project's MWBE goal amount, determined by using the attached MWBE GOALS CALCULATION Template.
2. The names of general circulation, trade association, and M/WBE-oriented publications in which you plan to solicit certified M/WBEs for the purposes of complying with the participation goals related to your project.
3. A list identifying the date(s) that all solicitations for certified M/WBE participation plan to be published in any of the above publications
4. A list of all certified M/WBEs appearing in the NYS Directory of Certified Firms that will be solicited for purposes of complying with your certified M/WBE participation goal (The Directory

can be viewed at:

<https://ny.newnycontracts.com/FrontEnd/VendorSearchPublic.asp?XID=7637&TN=ny>).

5. Descriptions of the notices, dates of contact, letters, and any other correspondence that will be made to all certified M/WBEs.
6. A description of any contract documents, plans, or specifications to be made available to certified M/WBEs for bid solicitation purposes and the proposed date and manner in which these documents will be made available.

New York State Regional Economic Development Council Regions



ANDREW M. CUOMO
GOVERNOR

ROSSANA ROSADO
ACTING SECRETARY OF STATE