Municipal Restructuring Fund

Request for Applications #18-MRF-02
Grant Proposal and Instructions
Continuous Recruitment

Municipal Restructuring Fund Program

KEY DATES

Release Date:	**February 2, 2016**
Questions Due Date:	**February 21, 2018, June 20, 2018 & October 24, 2018**
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	Continuous Recruitment
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I. Municipal Restructuring Fund Program

Program Overview

The Municipal Restructuring Fund (MRF) Program was enacted to stimulate property tax reductions resulting from shared services and consolidations between local governments. Program funding is available to eligible local governments, school districts, and other municipal entities. The New York State Department of State (DOS) has been designated to manage the MRF and assist local government entities undertaking these projects. Projects should substantially transform the delivery of services by local government entities or completely consolidate government entities, yielding significant property tax reductions. The process outlined in this document was formed by conversations with local government entities and was developed to encourage participation by applicants with projects at varying levels of readiness—anywhere from the idea stage to the implementation stage.

Eligible Applicants

Local governments, school districts, and other municipal entities are eligible applicants. Joint applications will be accepted.

Applications/Charters will identify one partner as the lead. School districts, whether applying singly or jointly, and BOCES may only apply for projects that could not otherwise be funded under provisions of New York State Education Law.

Applicants with a history of irresponsible or unsatisfactory contracting in any past or current Department of State contract(s) are ineligible. Applicants that fail to demonstrate adequate performance on current contracts will not be considered for funding until issues with the current contracts are resolved.

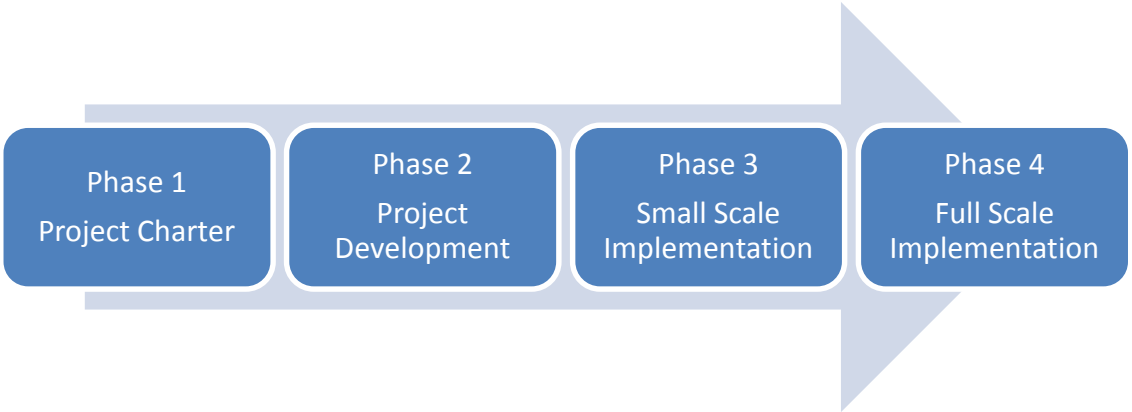
II. MRF Projects

MRF projects should be transformative and have substantial impact on governmental operations and functions, and they must yield property tax reductions. MRF projects will progress to implementation through one of two development tracks: (1) Venture Track; and (2) Fast Track. In each track, projects will be subject to a multi-phase review and approval process. The Department of State will provide applicants with technical assistance during regional meetings, document review sessions, project clinics and upon request.

Project Development Tracks

Venture Track:

The Venture Track is designed to grow an idea from the ground up. Projects on the Venture Track will move through four phases: 1) Project Charter; 2) Project Development; 3) Small Scale Implementation; and 4) Full Scale Implementation. These phases will assist eligible applicants with project development and eventual project implementation. Eligible applicants on the Venture Track should meet the requirements of each phase before receiving funding and moving on to the next phase.



Fast Track:

The Fast Track is intended to accelerate projects at a later stage of readiness, but which require financial and/or technical assistance to implement. This could include projects for which feasibility studies, planning, or even small scale implementation has been completed under, for example, prior Department of State planning grants or through other work by potential applicants.

Fast Track applicants should demonstrate:

(1) satisfaction of all activities required under each Phase (1, 2 and 3) of the Venture Track; and
(2) the project is ready for full implementation,

The Fast Track process uses the same evaluation matrix and application materials as required for the Venture Track (see page 8). To proceed to Fast Track an applicant must submit the application materials required for each phase in the format required and provided by the Department of State. Subject to approval by, and in consultation with, the Department of State, a Fast Track applicant may substitute municipal records and documents that satisfy and objectively answer the ten components of the Project Plan elements in Phase 2 (see pgs. 10 -12, and 16; and Appendix D). However, the Appendix D, must also be completed to aid in the uniformity of the applications and facilitate the review.

Phase 1 – Project Charter

The Project Charter Phase provides the initial framework for evaluating a project's viability and ultimate return on investment. The completed set of Project Charter documents (see Appendices A, B and C) will be reviewed and scored to determine a project's ranking on the Project Priority List (PPL).

The Project Charter will:

- identify required resources and impediments to project success;
- contain an estimate of the total project cost and potential property tax reductions;
- include a Tax Levy Impact and Implementation Award Calculation Worksheet; and
- include a Work Plan and Budget Form for the project.

Projects must achieve a minimum score of 30 of a possible 50 points, in Phase 1, to be eligible for funding in Phase 2. The PPL will determine the projects receiving funding and advancing to Phase 2.

The Department of State may host Project Clinics throughout the State to assist applicants with developing Project Charters and to provide project guidance.

Funding for Phase 2 will equal 5% of the possible award amount (based on projected savings), not to exceed $50,000.

Phase 2 – Project Development

In the Project Development phase, applicants will build a Project Plan based on the information contained in the approved Project Charter. The Project Plan will address risk/issues management, change management, organizational change, and communications. The Project Plan will describe how the applicant(s) will mitigate issues and changes throughout the project and identify the location of the project repository. Additionally, a list of assumptions (that will be tested in Phase 3 with pilot projects) and potential legal impediments for project implementation should be provided, along with a methodology for evaluating the severity of such impediments.

Projects must achieve a minimum score of 18 of a possible 20 points, in Phase 2, to receive funding and advance to Phase 3. Projects containing legal impediments that would prevent Full Scale implementation will not be eligible for Small Scale Implementation funding until all such impediments have been removed or are in the process of being removed.

Phase 3 funding will equal 35% of the possible award amount for the project.

Phase 3 – Small Scale Implementation

In the Small Scale Implementation Phase, applicants will pilot small elements of the project in order to test the assumptions identified in Phase 2. Once the assumptions identified in Phase 2 have been verified during Phase 3, they will be reviewed and evaluated by the Department of State.

The results of Small Scale Implementation will be incorporated into a revised plan for "Full Scale Implementation". The Department of State will assist each applicant with the development of their final implementation work plan. As a project moves to Phase 4, the

Tax Levy Impact and Implementation Award Calculation Worksheet will be re-evaluated based on any new information, allowing adjustment to the possible funding amount for use in Phase 4.

Projects must achieve a minimum score of 24 of 30 points, in Phase 3, to receive funding and advance to Phase 4. Projects containing legal impediments that would prevent Full Scale Implementation will not be eligible for Full Scale Implementation funding until all such impediments have been removed.

Phase 4 funding will equal the remaining 60% of the possible award amount - not to exceed the project cost. Ten percent (10%) of Phase 4 funding will be withheld until project completion. Upon successful completion of Phase 3, projects will be funded via contract renewal.

Phase 4 – Full Scale Implementation

Full Scale Implementation is the complete execution of the project, as described in the revised Project Plan and Work Plan. Applicants may not need revised project/work plans.

Prior to release of the final 10% of funds, the Department of State will require a report outlining the results of the project, including the projected property tax reductions. The report should also contain the development of performance measures to allow evaluation of project success. This information will be shared as a learning tool with other local government entities on the Department of State's website.

Project Priority List

The PPL tracks progress of all projects that are applying for or receiving MRF funds in each phase and ranks those projects according to their scores. (Evaluation criteria is described in Section V.)

The PPL is available on the Department of State's website, Project Priority List; where applicants may confirm the projects current status. When projects are placed on the PPL, the Department's staff continues to work with applicants to advance projects to readiness. This enhanced technical assistance helps applicants determine the best path to implementation. Projects may be revised and re-scored throughout all phases based upon submission of new information to the Department of State.

Under the Fast Track, a first-time applicant may be eligible to receive Phase 3 and/or Phase 4 implementation assistance, after the Department verifies that activities required for funding under Venture Track, Phases 1-2, have been completed. Applications deemed ready for Fast Track funding will receive first priority. Phase 3, then Phase 2 projects will be funded sequentially, as they move up on the PPL.

Even if an applicant does not receive funding, placement on the list has other benefits. Once on the PPL, Department of State staff will work with an applicant to help move them towards a fundable score. This enhanced technical assistance can help an applicant better develop a project and determine the best path to implementation.

Project Funding

Eligible applicants can submit projects for evaluation using this continuous recruitment procurement. Funding will be made available to eligible applicants that have submitted completed plans for projects on or before the proposal due dates: July 12, 2016 and November 8, 2016. Funding will be based on a project's location on the PPL, with the following order of precedence:

1. Phase 4 Fast Track projects, based on the largest percentage of savings;
2. Phase 4 projects, based on the largest percentage of savings;
3. Phase 3 projects, based on the largest percentage of savings; and
4. Other phases, based on application receipt date.

All project awards are subject to funding availability.

The following table illustrates the percentage of total project funds available at each phase:

Phase of Funding	**Maximum Amount for a Project is based on the Tax Levy Impact and Implementation Award Calculation Worksheet (not to exceed Project Cost)**
1. Project Charter	Upon completion of the Project Charter: 5% of the possible award amount (up to $50,000) for Project Development (Phase 2)
2. Project Development	Upon completion of Phase 2: Up to 35% of the possible award amount for Small Scale Implementation (Phase 3)
3. Small Scale Implementation	Upon completion of Phase 3: Up to 50% of the possible award amount for Full Scale Implementation (Phase 4)
4. Full Scale Implementation	Upon completion of Phase 4: Remaining 10% of the possible award amount for project deliverables
Total	100%

All grants are reimbursement based contracts. The Department of State may allow for an advance if severe financial hardship hinders project development without an advance.

Determining Award Amount

The amount of an implementation award will be based upon the project's projected savings, not to exceed the total cost of the project. The greater the project savings, the greater the award for which a municipality is eligible. (Note that school district projects shall not include project costs or expenditures that are eligible for aid under any provision of New York State Education Law.)

By completing the Tax Levy Impact and Implementation Award Calculation Worksheet (Appendix B), the applicants will provide projected annual savings for all of the eligible applicants involved in the project. Based on the projected annual savings, the spreadsheet will automatically project a 10-year savings forecast. These savings will then be calculated into their net present value using a time value of money formula and a discount rate. Eligible applicants may receive a maximum award of 20% of the net present value calculation.

At each phase, funding will be based on the demonstrated savings identified in the Tax Levy Impact and Implementation Award Calculation Worksheet. Applicants should continue to evaluate the anticipated savings at each phase of the project. Awards for future phases may be adjusted based on the savings calculated and as approved by the Department of State. Funding is only secure when a project has an approved State Contract. Funds availability may change if other projects move above a project on the PPL.

Project Match

Applicants are not required to provide a project match for this grant. In-kind funding will not play a role in award process decisions.

Eligible Expenses

The MRF may cover costs including, but not limited to:

- Legal and consultant services necessary to implement a project;
- Capital improvements and certain equipment purchases that are integral to the implementation of a consolidation; and
- Direct expenses of the project, including personal service and non-personal service costs, where deemed integral to project implementation and development.

Ineligible Expenses

- Expenditures that are eligible for aid under any provision of the Education Law.
- Approved operating expenses 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 were previously funded through Shared Municipal Services Incentive (SMSI), Local Government Efficiency (LGE), Citizens Reorganization Empowerment Grant (CREG), Local Government Performance and Efficiency Program (LGPEP), Financial Restructuring Board (FRB), Municipal Restructuring Funds or Municipal Consolidation and Efficiency Competition (MCEC).
- Additional ineligible expenses also include, but are not limited to: indirect costs (i.e., overhead costs), 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.

Smart Growth Impacts

The Department of State is considered an “infrastructure agency” for the purposes of Article 6 of the Environmental Conservation Law (ECL), the State Smart Growth Public Infrastructure Policy Act. Under this Act, 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 relevant smart growth criteria specified in ECL Article 6.

MWBE Utilization

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 F.

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.

III. Preparing a MRF Proposal

Getting Started

Review all instructions and give careful consideration to eligible activities.

Questions

Submit all substantive questions by email to:

Kyle Wilber, Program Manager
Municipal Restructuring Fund, Guidance Document #18-MRF-02
MRFprogram@dos.ny.gov

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

Questions of a technical nature may be submitted in writing or via telephone by calling the Municipal Restructuring Fund Program at (518) 473-3355 or (800) 367-8488. **Questions are of a "technical nature" if they relate exclusively to the process of preparing the proposal (e.g., formatting) rather than to the substance of the proposal.**

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 dates stated on the cover of this guidance.

Proposal Due Dates

Proposals for the 2015-2016 Municipal Restructuring Fund Program may be submitted throughout the year. Proposals will be reviewed by the Department of State and funds may be awarded 2-3 times a year as stated on the cover of this guidance.

Submission

Only electronic submissions of the required documents, in Portable Document Format (PDF), will be accepted. Please submit to:

MRFprogram@dos.ny.gov

Division of Local Government Services, #18-MRF-02

The applicant should submit all of the Project Charter documents (Appendices A, B and C), Project Plan Template (Appendix D) and information on Smart Growth, MWBE Utilization Plan, Information for Small Scale Implementation and Full Scale Implementation as needed.

IV. Proposal Materials

General Information

When looking at a potential municipal restructuring action, local governments, school districts, or other municipal entities should review the following: the current services provided, the future needs of the community, a cost-benefit assessment that includes residents' perceived value of services and their ultimate costs, and the effects of implementation of the final project. To apply for Municipal Restructuring Funding, use the Project Charter Template provided in Appendix A.

Phase 1 – Project Charter

In addition to the Proposal form which contains standard information, a 'Project Charter' should be attached and contain the following:

PROJECT IDENTIFICATION

Project Name:

Name of Lead Local Government Entity:

Project Background: *Describe the background to this project.*

Project Description: *Describe this project.*

Public Benefit: *Describe how this project will benefit the residents of the involved local government entities.*

PROJECT OBJECTIVES

Business Need or Opportunity: *Provide a clear overview of the reasons for undertaking the project. This will include an explanation of the financial, management or service delivery challenges that the project will address.*

Project Objectives: *Provide information on the results the efforts or actions are intended to attain or accomplish.*

CRITICAL SUCCESS FACTORS

Provide information on the results that need to be achieved in order for the project to be considered a success. The results should correlate with Project Objectives described in the section above.

REQUIRED RESOURCES

What are the Resources required to complete the critical success factors of this project? If possible format your answer as shown below:

Critical Success Factor:	Resource(s):

CONSTRAINTS & DEPENDENCIES

List any known factors that may limit the execution of this project. *For example, "The most frequent constraint is lack of sufficient funding or resources".*

Also list any known dependencies on other projects or how this project impacts other related projects. *For example, "This project is dependent on the completion of the data center monitoring system, which is currently scheduled to be completed on 1/15/2017".*

Elaborate on how each constraint or dependency impacts the success of the project in terms of schedule, scope or budget. *For example, "Data gathering will take place concurrently with the completion of the data center monitoring system".*

APPROVALS

Provide all approvals from all of the involved partners. *All partners involved need to provide, at minimum, a letter of support for the proposal.*

Phase 2 – Project Development

In Phase 2, applicants are able to work on and submit a Project Plan and Work Plan narrative to the Department of State that elaborates ideas included in the Project Charter and expands those ideas in detail. The Project Plan and Work Plan shall contain the following information: Subject to approval by the Department of State, a Fast Track applicant may substitute municipal records and documents that satisfy the requirements of the Project Plan elements in Phase 2 (see pgs. 10 -12, and 16; and Appendix D). However, the Appendix D, must also be completed to aid in the uniformity of the applications.

PROJECT IDENTIFICATION

Project Name:

Name of Lead Local Government Entity:

Project Purpose:

CONTENTS

SCOPE

The scope statement should include:

- The business need that the project will address.
- What the Project will accomplish, how it will be accomplished, and by whom.
- What the end result of the project will be.
- A list of project deliverables, which, when produced and accepted, indicate project completion.
- A definition of how this project will impact the organization/agency, if it does.
- Whether the product of this project will require organizational changes.
- Public Benefit: A description of how this project will benefit the residents of the State of New York.

TIMELINE

MRF applicants are asked to provide a clear project timeline. The timeline should clearly associate the work plan and budget, tasks, and deliverables with the specific cost(s) for each.

BUDGET

The project budget will illustrate the projected cost for the **entire** project, including project development, small scale implementation and full implementation. For a Fast Track project, indicate what has been completed and will take the place of project development and/or small scale implementation. The budget narrative shall include the following:

- Budget and Costs Determination. *Explain how the budget and costs were determined, including the method/approach used to arrive at estimates?*
- Budget Detail. *How does each budget item clearly support the project?*
- Budget Relationship with Work Plan. *How the proposed budget is sufficient to complete the tasks in the work plan, and is cost-effective.*
- Expense Eligibility. *Document how the projected costs are eligible for the grant program.*

RISK AND ISSUES MANAGEMENT PLAN

The project may contain certain risks and issues if implemented. A description of these risks and issues, along with their severity, shall be described. How the risks and issues were determined and how they will be mitigated throughout project implementation need to be thoroughly explained.

CHANGE MANAGEMENT PLAN

During the course of any project, changes may be made to the scope and scale of the project. Describe the way any project changes will be managed and how they will be communicated to the Department of State. Please note that project changes that result in changes to the projected cost savings will have an impact on the amount of any possible award.

ORGANIZATIONAL CHANGE PLAN

The Organizational Change Plan will describe how this project will impact the organization/agency and if the final product will require organizational changes. A description of how the development and implementation of the project will be managed should be explained. *Examples could include staffing changes, process changes, training, etc.*

INFORMATION MANAGEMENT PLAN

Explain how the project documents and information will be made available to all project partners, including the Department of State.

COMMUNICATION MANAGEMENT PLAN

Explain how the project partners will communicate and collaborate throughout the lifecycle of each project.

LIST OF ASSUMPTIONS

Describe the assumptions of the project. Project assumptions will vary depending on the type of the project. For example, assumptions could include requirements of Law, terms of internal contracts, regional restrictions or impediments.

DESCRIPTION OF PILOT PROJECT TO EVALUATE

As part of the project, small scale implementation may be required. In doing so please indicate what type of implementation would be best to allow for an evaluation of the project and to help secure full buy-in at full scale implementation. *As an example: a County wide project may start with several local governments providing the service to examine any problem that may arise or to show that the project works as proposed without service concerns. This small scale implementation may be what is needed to convince others to join the project.*

MUNICIPAL RESOLUTIONS

Prior to either Small Scale or Full Scale Implementation, all involved local governments, school districts, and other municipal entities are required to include a resolution confirming the governing board's support for the project.

Phases 3 & 4 – Project Implementation

Prior to either Small Scale or Full Scale Implementation, applicants are required to fully develop their Work Plan. Using the information gathered in the Project Development Phase, the Department of State will work with the project partners to create the work plan and final budget for the State Contract. For a Fast Track project that has already completed Phase 3, Small Scale Implementation, information on the success of the Implementation shall be provided to justify moving directly to Phase 4, Full Scale Implementation.

The Work Plan and Budget Form shall contain the following information:

Work Plan

The purpose of the work plan is to capture organizational information, as well as an accounting of the proposed or funded project. It is made up of three sections:

1. Project Summary
2. Organizational Capacity
3. Project Details - Objectives, Tasks and Performance Measures

Project Summary

The Project Summary is a high-level overview of the project, including the overall goal and desired outcomes. The narrative will include the following:

1. Description of the proposed project.

2. Listing and discussion of the project partners and roles.

3. Review of the project chronology and history.

4. Description of anticipated outcomes to be achieved by the project.

5. Estimate of the savings resulting from the project (in dollar amount and percentage of the current year projected total expenditures) or sustainable tax impact of the proposed project

on each local government entity, expressed in dollars per $1,000 of equalized assessed value.

Organizational Capacity

Describe the staffing, qualifications and relevant experience of the provider organization to support the project. The applicants should show that they have the financial and administrative ability to sustain and complete the project by describing past experience with planning, community development or infrastructure projects. They should also demonstrate support for the project. This can include citizen petitions and other support materials, including letters of support from community organizations or collective bargaining units and media coverage.

Project Details - Objectives, Tasks and Performance Measures

Objectives of the project are the results that the applicant's efforts or actions are intended to attain or accomplish. For example, a project may only have one objective: to implement a plan for consolidation. Each objective may have one or more tasks associated with it.

Tasks are steps taken to accomplish the objective. For example, the development of certain projects may include an examination of:

a. The potential financial savings, management improvements, and service delivery changes resulting from a local government consolidation,

b. Legal issues and impediments surrounding the consolidation,

c. Recommended steps to complete the consolidation, as well as options for cost savings if the re-organization is not completed.

d. How the plan will meet the objectives and lead to implementation.

Performance Measures are deliverables or items provided to the Department of State to show that one or more tasks have been completed.

The Final Budget shall contain the following information:

Budget

Describe the costs associated with the total project and justify why such costs are considered reasonable. *All purchases have to 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.
- **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
- **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.
- **Other:** Describe any other non-personal services and costs.

V. MRF Evaluation

Evaluation Matrix

Phase 1 – Project Charter

Possible Points: 50 **Passing Score: 30**

The applicant(s) are required to demonstrate how a project is eligible for funding by submitting a Project Charter in a format prescribed in Appendix A. The applicant(s) should propose and explain the following categories: Project Type, Project Scale, and Tax Levy Impact. These project measures are explained below and are to be documented in the Project Charter submitted as a MRF application. All project submissions and proposals will be reviewed by the Department of State.

Applicants may request technical assistance from the Department of State and can resubmit revised Charters and proposals at any time for review.

Once a project has scored the required points in Phase 1 the project will proceed to Phase 2 with the appropriate funding.

Project Type (15 Points maximum):

The project type is intended to measure impact across service delivery areas and functions. The project type section within the Charter should provide a review of the municipal services that have been affected and the scope of such impact on the resulting structure of service delivery.
(15 possible points, proposals receive only one level of points.)

Project Type	Points
Improvement, Service/Function	3
Cooperation Agreement for Service/Function	7
Consolidation of Service/Function	11
Consolidation of Local Government Entity	15

Project Scale (15 Points maximum):

The scale of the project measures the comprehensiveness of the project's impact on the municipal budgets across local government entities. (15 possible points, proposals receive only one level of points.)

Scale	Points
Single Local Government Entity	3
2-3 Local Government Entities	7
4 or more Local Government Entities	11
Project includes a County	15

Local Government and Taxpayer Savings (15 points maximum):

The amount of present and future impact of project savings and the impact on property taxes is a significant component of eligibility. Proposals will be assessed on the projected savings.

Impact on Tax Levy. Use the worksheet included in Appendix B to determine the combined tax levy impact projected for a project. (15 possible points; proposals receive only one level of points.)

Impact on Tax Levy	Points
Greater than 0.25% up to 0.50%	3
Greater than 0.50% up to 0.75%	6
Greater than 0.75% up to 1.00%	9
Greater than 1.00% up to 2%	12
Greater than 2%	15

Project Charter (5) Points:

Points for this section are cumulative. **An application will need to receive all 5 points in this section to be considered for funding** and to proceed to Phase 2.

Project Charter	Points
ID and Background	1
Objectives	1
Critical Success Factors	1
Constraints/Dependencies	1
Approvals	1

Phase 2 – Project Development

Possible Points: 20 **Passing Score: 18**

Once a project moves to Phase 2, its score will be adjusted to zero and it will start over earning Phase 2 points. Applications that score a minimum of 18 points in Phase 2 will move to a location on the Project Priority List which is eligible to receive funding for the Small Scale Implementation phase. Project implementation funding (Small Scale and Full Scale) is obtained by submitting a Project Plan that receives at least 18 of the 20 points available to be awarded in this phase. An applicant may, at any time, submit or resubmit information for a re-evaluation of a Project's position on the PPL.

Project Plan (20) Points:

Points for this section are cumulative. An application will need to score 18 of 20 possible points to be eligible to receive funding for implementation. The individual elements of a Project Plan will be evaluated using the following:

Project Plan Element	Points
Scope	Up to 2
Timeline	Up to 2
Budget	Up to 2
Risk and Issues Management Plan	Up to 2
Change Management Plan	Up to 2
Organizational Change Plan	Up to 2
Information Management Plan	Up to 2
Communication Management Plan	Up to 2
List of Assumptions	Up to 2
Description of Pilot Project to Evaluate	Up to 2

Phase 3 – Small Scale Implementation

Possible Points: 30 **Passing Score: 24**

Once a project has scored the required points in Phase 2 and, if applicable, the applicant has sufficiently demonstrated that no legal impediments to Small Scale Implementation exist, the project will proceed to Phase 3. Once a project moves to Phase 3, its score will be adjusted to zero and it will start over earning Phase 3 points. An implementation funding contract, developed by the Department of State and the applicant, will specifically outline milestones that need to be reached in the Small Scale Implementation phase in order to become eligible to receive Full Scale Implementation funding. One such milestone for all projects will be the removal of all legal impediments, if any, to Full Scale Implementation.

Small Scale Implementation (30) Points:

Points for this section are cumulative.

Small Scale Implementation	Points
Pilot Project designed for each assumption is: Quantifiable Comprehensive	 Up to 6 Up to 6
Pilot Project for each assumption is: Carried out Verified and Evaluated	 Up to 6 Up to 6
Lessons learned and Project Plan refined	Up to 6

Phase 4 – Full Scale Implementation

During the Full Scale Implementation phase, the applicant will stay in regular contact with the Department of State and work with the program manager to ensure they are reaching all milestones contained in the refined project plan. The Department of State will retain 10% of the Full Scale Implementation funding until the project has been determined by the Department of State to be complete.

VI. Awards and Contract Administration

Review Process

Applications will be reviewed to ensure the applicant has met all Pass/Fail requirements (see below).

Pass/Fail

Lead applicants must be a local government entity.

Scoring

Each phase of a project will be scored based on the evaluation matrix developed for use in: 1) placing projects on the PPL and 2) awarding phased funding through the MRF. The Evaluation Matrix is set forth below.

At each phase a project will receive two independent scores, based on the Evaluation Matrix for that phase, which will be averaged to determine the MRF base score.

A Municipal Restructuring Fund Review Team will review the MRF base score. Base scores will either be accepted or rejected and the project will be placed on the PPL.

Awards

Awards will be made to the highest ranked application on the PPL. The order of precedence for the PPL is:

1. Phase 4 Fast Track projects, based on the largest percentage of savings
2. Phase 4 projects, based on the largest percentage of savings
3. Phase 3 projects, based on the largest percentage of savings
4. Other phases, based on application receipt date

Awards will be based upon a proposal's ability to meet funding criteria. Funding will be committed to the proposals until funds are exhausted. A contract will be executed with the lead applicant of each funded project.

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.

Applicants are required to have demonstrated responsible and satisfactory contracting in any past or current Department of State contract(s) to be eligible for an award from this procurement. Current contracts that fail to demonstrate adequate performance will not be considered for funding until issues with the current contract are resolved. In the event that any awardee fails to render satisfactory progress with regard to steps needed to be taken prior to execution of the state contract, funding may be withheld.

Projects that have received a State commitment of funding that are not proceeding satisfactorily will be reviewed by the Department of State to determine if the project will continue to receive a funding commitment. Project sponsors will be notified of any decision regarding possible removal of committed funds, to allow redress of the situation.

All applicants may request a debriefing. Requests are to 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. Contract dates will be established during the contract negotiations and shall run with the state fiscal year. Final contract dates will be determined by the project's timeline and in consultation with 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 to the Department of State within sixty (60) days of being sent to the awardee by the Department of State.

Contract Administration

Awardees shall manage projects in accordance with the terms and conditions of the state contract. Contractors are required to follow state and local procurement policies. Failure to render satisfactory progress or to complete the project to the satisfaction of the state will 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, submission of timely payment requests in accordance with the payment schedule in the state contract, completion of satisfactory work products and other tasks negotiated and agreed to in the executed state contract.

The Department of State will aggressively monitor MRF projects and contracts. Projects will be continuously re-evaluated and when a project is not proceeding in a satisfactory manner, as determined by the Department of State, funds will be withdrawn.

Schedule of Payments

The MRF program is a "reimbursement" program. Eligible expenses incurred after contract start date 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 Grantee 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 Funding Amount. Payment of the remaining 10% of the State Funding Amount will not be made until the project is completed, as determined by the Department of State.

The Department of State may allow for an advance if severe financial hardship hinders project development without an advance.

Required Reports

Each project is to achieve results that substantially meet the objectives outlined in the contract's work plan. Grantees are to submit project status reports along with quarterly requests for payment. Project close-out requires completion of terms and activities outlined in the state contract, including all deliverables identified in the work plan. Submission of all required reports in a timely manner may be deemed to be satisfactory progress of the project.

Project Performance

Division of Local Government Services MRF program staff will monitor each project, and will conduct site visits during the course of project execution to assess the rate and 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 "Proposal Form", each applicant attests to the express authority to sign on behalf of the local government entity and to the accuracy of the information contained in the proposal.
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 proposal indicates the applicant's acceptance of all conditions and terms contained in this Guidance Document, 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 Guidance Document;
   b. In the event that the applicant fails to perform any of the terms, covenants or promises of any contract resulting from this Guidance Document, 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 Guidance Document 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 certain rights including the following:

1. Reject any or all proposals received in response to this Guidance Document.
2. Withdraw the Guidance Document at any time, at the agency's sole discretion.
3. Make an award under the Guidance Document in whole or in part.
4. Disqualify any applicant whose conduct and/or proposal fails to conform to the requirements of the Guidance Document.
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 Guidance Document.
7. Prior to the proposal due date, amend the Guidance Document specifications to correct errors or oversights, or to supply additional information, as it becomes available.
8. Prior to the proposal due date, direct applicants to submit proposal modifications addressing subsequent Guidance Document 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 Guidance Document within the scope of the Guidance Document 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 proposals.
17. Not fund a proposal 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 Guidance Document.
21. In its sole discretion, determine the total number of awards to be granted pursuant to this Guidance Document.

Attachments:

Appendix A: Project Charter Form

Appendix B: Tax Levy Impact Statement and Implementation Award Calculation Worksheet

Appendix C: Work Plan and Budget Form

Appendix D: Project Plan Template

Appendix E: Smart Growth Questionnaire

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

Appendix G: Definitions

Appendix A

Project Charter Form

MRF Program

Project Charter

PROJECT IDENTIFICATION		
Project Name:		
Lead Local Government Entity :		
Date:	**Submission Date:**	**Revision Date:**
County:		**Region:**
Lead Contact:		
Contact Telephone:		
Contact Email:		

Project Partners	
Local Government Entity	**Contact**

Project Background:
Describe the background to this project.

Project Description:
Describe this project.

Public Benefit:
Describe how this project will benefit the residents of involved local government entities.

PROJECT OBJECTIVES
Business Need or Opportunity: *Provide a clear overview of the local government entities' reasons for undertaking the project. This should include an explanation of the financial, management, or service delivery challenges that the project will address.*
Project Objectives: *Provide information on the results the efforts or actions are intended to attain or accomplish.*

MRF Program

Project Charter

Project Type *Number and type of service delivery areas and functions involved with the project.*
Project Scale: *Number and type of local government entities involved with the project.*
Tax Levy Impact: *Provide Information from the Tax Levy Impact Worksheet and Implementation Award Calculation Sheet, and Work Plan and Budget Form.* **Tax Levy Impact:** **Maximum Award Amount:** **Total Project Cost:**

CRITICAL SUCCESS FACTORS
Describe the Critical Success Factors or outcomes that are to be achieved in order for the project to be considered a success. The Critical Success Factors should correlate directly with the PROJECT OBJECTIVES as described in the section above:

REQUIRED RESOURCES	
What are the Resources required to complete the critical success factors of this project? Format this listing as shown below:	
Critical Success Factor:	**Resource:**

CONSTRAINTS & DEPENDENCIES
Constraints *List any and all known factors that may limit the execution of this project. For example, a frequent constraint is lack of sufficient funding or resources. For each constraint listed provide a narrative on how it will impact the success of the project in terms of schedule, scope or budget.*
Dependencies *List any and all known dependencies on other projects or how this project impacts other related projects. For example, "This project is dependent on the completion of the data center monitoring system, which is currently scheduled for 1/15/2017". For each dependency listed provide a narrative on how it will impact the success of the project in terms of schedule, scope or budget.*

APPROVALS
Provide a listing of all approvals needed from all of the involved partners. *All partners involved need to provide at a minimum a letter of support for the proposal.*

ATTACHMENTS

The following attachments are required for a Project Charter to be considered complete:

- Tax Levy Impact and Implementation Award Calculation Worksheet (Appendix B of the Guidance Document)
- Work Plan and Budget Form (Appendix C of the Guidance Document)

Appendix B

Tax Levy Impact Worksheet and Implementation Award Calculation

Instructions

1. Go to the Award Eligibility sheet (Worksheet A tab on the bottom left of the page) and enter the names of the Project Lead and all Project Partners.
2. Go to www.openbooknewyork.com and click on “Search Local Government Spending”.
3. Click on "Revenues" or “Expenditures” under Data Categories and “Comparison” under Type of Report 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 Project Partners, clear the selected local governments and select up to four additional Project Partners.
5. Click “Submit” and you will be taken to a Comparison Report for the local governments selected.
6. Find the "Real Property Taxes and Assessments" for each Project Partners and enter into the Project Partner Information worksheet (Worksheet A).
7. Click on the "+" icons in the Comparison Report to find the budget codes for all relevant revenue and expenditure data. Enter the budget code, its description and amount into the "Before " column for each relevant line item for each Project Partner into the Revenues worksheet (Worksheet B) and Expenditures worksheet (Worksheet C).
8. Enter estimated revenues (Worksheet B) and expenditures (Worksheet C) upon completion of the project into the "After” column for each line item for each Project Partner. Higher revenues after completion of the project will appear as a positive fiscal impact. Higher expenditures will appear as a negative fiscal impact.
9. The worksheet will automatically calculate the Fiscal and Tax Levy Impacts for each Project Partner. In addition, the worksheet will calculate 10-year savings and award eligibility based on a 7% discount rate. These appear at the bottom of the Award Eligibility worksheet (Worksheet A).
10. Save the worksheet as a PDF file using the "Export Worksheets to PDF" button on the Project Partner Information worksheet or the "Save as" function in Excel. If using the 1997-2003 version of Excel, click on "Entire Worksheet" under Options. If using a more recent version of Excel, include the Project Partner Information and Fiscal Impact sheets when prompted.

2015-2016 Municipal Restructuring Fund - Award Eligibility

Instructions:

1. In the **GREEN** area below, enter the name of the Project Lead and any Project Partners, the fiscal year for the data used, and the total real property taxes and assessments (tax levy). Values in **GRAY** cells are calculated automatically.

EXAMPLE

	Name	Fiscal Year	Tax Levy	Net Fiscal Impact	Tax Levy Impact
Project Lead	County	2014	$ 75,000,000	$ (90,000.00)	-0.12%
Project Partner 1	City A	2014	$ 6,500,000	$ 135,000.00	2.08%
		Totals	$ 81,500,000.00	$ 45,000.00	0.06%
Ten Year Savings	$ 450,000.00	Discount Rate of 7.0%		Maximum Award	$63,212.23

PROJECT

	Name	Fiscal Year	Tax Levy	Fiscal Impact	Tax Levy Impact
Project Lead				$ -	-
Project Partner 1				$ -	-
Project Partner 2				$ -	-
Project Partner 3				$ -	-
Project Partner 4				$ -	-
Project Partner 5				$ -	-
Project Partner 6				$ -	-
Project Partner 7				$ -	-
Project Partner 8				$ -	-
Project Partner 9				$ -	-
Project Partner 10				$ -	-
		Totals	$ -	$ -	-
Ten Year Savings	$ -	Discount Rate of 7.0%		Maximum Award	$0.00

If your project impacts more than 10 eligible local governments, please contact the Department of State to ensure that the proper adjustments are made to this form to maintain accuracy.

2015-2016 Municipal Restructuring Fund - Revenues

Instructions

Enter all information in the GREEN area below. Values in GRAY cells are calulated automatically. Click on the Project Partner cell and select from the drop down list that appears to the right (be sure to scroll up to top of list). Enter the budget code impacted by the project and a brief description. Enter the revenue associated with the budget code before and after implementation. In the example below, City A consolidates its emergency 911 dispatch operations into the county sheriff's office and closes its dispatch center. This is done by transferring 4 of its 5 dispatch operators (who each earn $45,000) to the county and contracting with the county for 911 services for an annual payment of $90,000.

EXAMPLE	REVENUES					
Project Partner	**Budget Code**	**Description**	**Before**	**After**	**Fiscal Impact**	**Notes**
County	A2260	Public Safety Services, Other Govts.	$ -	$ 90,000.00	$ 90,000.00	County receives contract payments from City A

PROJECT	REVENUES					
Project Partner	**Budget Code**	**Description**	**Before**	**After**	**Fiscal Impact**	**Notes**
					$ -	
					$ -	
					$ -	
					$ -	
					$ -	
					$ -	
					$ -	
					$ -	
					$ -	
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					$ -	
					$ -	
					$ -	
					$ -	

If your project impacts more than 20 budget lines, please contact the Department of State to ensure that the proper adjustments are made to this form to maintain accuracy.

2015-2016 Municipal Restructuring Fund - Expenditures

Instructions

Enter all information in the **GREEN** area below. Values in **GRAY** cells are calulated automatically. Click on the Project Partner cell and select from the drop down list that appears to the right (be sure to scroll up to top of list). Enter the budget code impacted by the project and a brief description. Enter the expenditure associated with the budget code before and after implementation. In the example below, City A consolidates its emergency 911 dispatch operations into the county sheriff's office and closes its dispatch center. This is done by transferring 4 of its 5 dispatch operators (who each earn $45,000) to the county and contracting with the county for 911 services for an annual payment of $90,000.

EXAMPLE	EXPENDITURES					
Project Partner	**Budget Code**	**Description**	**Before**	**After**	**Fiscal Impact**	**Notes**
County	A3020.1	Pub. Safety Comm. (911) Personal Services	$ 1,000,000.00	$ 1,180,000.00	$ (180,000.00)	County adds 4 positions at $45,000 each.
City A	A3020.1	Pub. Safety Comm. (911) Personal Services	$ 225,000.00	$ -	$ 225,000.00	City eliminates 5 dispatch positions.
City A	A3020.4	Pub. Safety Comm. (911) Contractual Services	$ -	$ 90,000.00	$ (90,000.00)	City A contracts with county for 911 services.

PROJECT	EXPENDITURES					
Project Partner	**Budget Code**	**Description**	**Before**	**After**	**Fiscal Impact**	**Notes**
					$ -	
					$ -	
					$ -	
					$ -	
					$ -	
					$ -	
					$ -	
					$ -	
					$ -	
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					$ -	
					$ -	
					$ -	
					$ -	
					$ -	
					$ -	
					$ -	

If your project impacts more than 20 budget lines, please contact the Department of State to ensure that the proper

Appendix C

Work Plan and Budget Form

Work Plan and Budget

PROJECT IDENTIFICATION	
Project Name:	
Lead Local Government Entity:	**Date:**

Task 1	**Task Name**:	
	Anticipated Start Date:	
	Anticipated Completion Date:	
	Deliverable:	
Task Narrative:		

BUDGET CATEGORIES:	**BUDGET AMOUNT:**	**DESCRIPTION** (include information on how funds are spent)
Personal Services, Salary & Fringe		
Non Personal Services,		
Contractual Services		
Travel		
Equipment		
Other		
TOTAL		

Task 2	**Task Name**:	
	Anticipated Start Date:	
	Anticipated Completion Date:	
	Deliverable:	
Task Narrative:		

BUDGET CATEGORIES:	**BUDGET AMOUNT:**	**DESCRIPTION** (include information on how funds are spent)
Personal Services, Salary & Fringe		
Non Personal Services,		
Contractual Services		
Travel		
Equipment		
Other		
TOTAL		

	Task Name:	

Work Plan and Budget

Task 3	**Anticipated Start Date:**	
	Anticipated Completion Date:	
	Deliverable:	
Task Narrative:		

BUDGET CATEGORIES:	**BUDGET AMOUNT:**	**DESCRIPTION** (include information on how funds are spent)
Personal Services, Salary & Fringe		
Non Personal Services,		
Contractual Services		
Travel		
Equipment		
Other		
TOTAL		

Task 4	**Task Name**:	
	Anticipated Start Date:	
	Anticipated Completion Date:	
	Deliverable:	
Task Narrative:		

BUDGET CATEGORIES:	**BUDGET AMOUNT:**	**DESCRIPTION** (include information on how funds are spent)
Personal Services, Salary & Fringe		
Non Personal Services,		
Contractual Services		
Travel		
Equipment		
Other		
TOTAL		

Task 5	**Task Name**:	
	Anticipated Start Date:	
	Anticipated Completion Date:	
	Deliverable:	
Task Narrative:		

BUDGET CATEGORIES:	**BUDGET AMOUNT:**	**DESCRIPTION** (include information on how funds are spent)
Personal Services, Salary & Fringe		

Non Personal Services,		
Contractual Services		
Travel		
Equipment		
Other		
TOTAL		

Task 6	**Task Name**:	
	Anticipated Start Date:	
	Anticipated Completion Date:	
	Deliverable:	
Task Narrative:		
BUDGET CATEGORIES:	**BUDGET AMOUNT:**	**DESCRIPTION** (include information on how funds are spent)
Personal Services, Salary & Fringe		
Non Personal Services,		
Contractual Services		
Travel		
Equipment		
Other		
TOTAL		

Task 7	**Task Name**:	
	Anticipated Start Date:	
	Anticipated Completion Date:	
	Deliverable:	
Task Narrative:		
BUDGET CATEGORIES:	**BUDGET AMOUNT:**	**DESCRIPTION** (include information on how funds are spent)
Personal Services, Salary & Fringe		
Non Personal Services,		
Contractual Services		
Travel		
Equipment		
Other		
TOTAL		

Work Plan and Budget

Task 8	**Task Name**:	
	Anticipated Start Date:	
	Anticipated Completion Date:	
	Deliverable:	
Task Narrative:		

BUDGET CATEGORIES:	**BUDGET AMOUNT:**	**DESCRIPTION** (include information on how funds are spent)
Personal Services, Salary & Fringe		
Non Personal Services,		
Contractual Services		
Travel		
Equipment		
Other		
TOTAL		

Task 9	**Task Name**:	
	Anticipated Start Date:	
	Anticipated Completion Date:	
	Deliverable:	
Task Narrative:		

BUDGET CATEGORIES:	**BUDGET AMOUNT:**	**DESCRIPTION** (include information on how funds are spent)
Personal Services, Salary & Fringe		
Non Personal Services,		
Contractual Services		
Travel		
Equipment		
Other		
TOTAL		

Task 10	**Task Name**:	
	Anticipated Start Date:	
	Anticipated Completion Date:	
	Deliverable:	
Task Narrative:		

Work Plan and Budget

BUDGET CATEGORIES:	BUDGET AMOUNT:	DESCRIPTION (include information on how funds are spent)
Personal Services, Salary & Fringe		
Non Personal Services,		
Contractual Services		
Travel		
Equipment		
Other		
TOTAL		

Work Plan and Budget

BUDGET CATEGORIES:	TOTAL BUDGET AMOUNT:
Personal Services, Salary & Fringe	
Non Personal Services,	
Contractual Services	
Travel	
Equipment	
Other	
TOTAL	

Appendix D

Project Plan Template

Project Plan

PROJECT IDENTIFICATION		
Project Name:		
Lead Local Government Entity:		
Date:	**Submission Date:**	**Revision Date:**
County:		**Region:**
Lead Contact:		
Contact Telephone:		
Contact Email:		
Project Manager:		
Project Purpose:		
Project Description:		

REVISIONS		
Date:	**Author:**	**Version:**
Description:		
Date:	**Author:**	**Version:**
Description:		
Date:	**Author:**	**Version:**
Description:		

Project Plan

CONTENTS

Scope
Timeline
Budget
Risk & Issues Management Plan
Change Management Plan
Organizational Change Plan
Information Management Plan
Communication Management Plan
List of Assumptions
Description of Pilot Project to Evaluate
Definitions of Roles

SCOPE

Use the following questions as a guide to develop your project scope.

- *What business need(s) will the project address?*
- *What will the Project accomplish, how it will be accomplished, and by whom?*
- *What is the end result of the project?*
- *Provide a list of project deliverables, which, when produced and accepted, indicate interim task and final project completion.*
- *Define how this project will impact the organization/agency.*
- *Describe how this project will benefit the residents of the local governments.*

TIMELINE

Please provide a clear project timeline, by describing the sequence of events and/or tasks needed to complete the project and quantify the time it will take to complete each of those tasks and/or events. The timeline should clearly relate with the work plan and budget, tasks, and deliverables with the specific cost(s) for each. The Project Timeline is developed with the Work Plan, using the Work Plan and Budget Form.

BUDGET

The project budget will illustrate the projected cost for the **entire** project, including both project development, small scale implementation and full implementation. The Project Budget is developed with the Work Plan, using the Work Plan and Budget Form. If this is for a Fast Track project, please demonstrate how your project is ready for full implementation by indicating what has been completed to take the place of the activities required under the project development and small scale implementation phases.

In addition to the information in the Work Plan and Budget Form, provide a budget narrative including answers to the following questions:

- *Budget and Costs Determination. How were the budget and costs determined, including the method/approach used to arrive at estimates?*
- *Budget Detail. How does each budget item clearly support the project?*
- *Budget Relationship with Work Plan. How the proposed budget is sufficient to complete the tasks in the work plan, and is cost-effective.*
- *Expense Eligibility. Document how the projected costs are eligible for the grant program.*

RISK AND ISSUES MANAGEMENT PLAN

The project may contain certain risks and issues if implemented. A description of these risks and issues, along with their severity, should be provided. How the risks and issues were determined and how they will be mitigated throughout project implementation needs to be thoroughly explained. Please use the following questions as a guide to develop your Risk and Issues Management Plan.

- *What are the Minor Risks and issues to be captured and communicated in the Status Report?*
- *What are the Significant Risks and issues to be documented and communicated in both the Status Report, and a Risk and Issues Log?*

CHANGE MANAGEMENT PLAN

During the course of any project, changes may be made to the scope and scale of the project. Describe the way any project changes will be managed and how they will be communicated to the Department of State. Please note that project changes that result in changes to the projected cost savings will have an impact on the amount of any possible award. Please use the following questions as a guide to develop your Change Management Plan.

- *What are the minor changes in Status to be captured and communicated in the Status Report?*
- *What are the significant changes to the project that impact the Scope, schedule, and/or budget to be documented and communicated with the use of a Project Change Form?*

ORGANIZATIONAL CHANGE PLAN

The Organizational Change Plan will describe how this project will impact the organization/agency and if the final product will require organizational changes. A description of how the development and implementation of the project will be managed should be provided. Please use the following questions as a guide to develop your Organizational Change Plan.

- *How will this project impact the local government entity (entities), if it will?*
- *Will the product of this project require organizational changes? Examples could include staffing changes, process changes, training, etc.*
- *How will the changes be planned, implemented, and managed?*
- *Discuss the way that change management will be managed in order to minimize negative consequences.*

INFORMATION MANAGEMENT PLAN

Explain how the project documents, and information will be made available to all project partners, including the Department of State. Also discuss how information will be kept current and transmitted in a timely manner to all stakeholders.

COMMUNICATION MANAGEMENT PLAN

Explain how project partners will communicate and collaborate throughout the lifecycle of each project with both internal and external stakeholders. Describe how communications will be made to members of the public and identify who is responsible for those communications.

LIST OF ASSUMPTIONS

Describe the assumptions of the project. This could include any requirements of Law, information on internal contracts, etc.

DESCRIPTION OF PILOT PROJECT TO EVALUATE

As part of the project, small scale implementation may be required. In doing so please indicate what type of implementation would be best to allow for an evaluation of the project and to help secure full buy-in at full scale implementation. As an example: a County-wide project may start with several local governments providing the service to examine any problem that may arise or to show that the project works as proposed without service concerns. This small scale implementation may be what is needed to convince others to join the project.

PROJECT TEAM ROLES AND RESPONSIBILITIES				
Role:	**Resource(s):**	***Title:***	***Phone:***	***Email:***
Project Sponsor				
Project Manager				
Team Member				
Team Member				
Stakeholder				
Stakeholder				

DEFINITIONS OF ROLES

Project Sponsor:

The Project Sponsor (Sponsor) will "champion" the project within the organization and provide guidance to the project team. The Sponsor will also ensure that resources and spending authority are secured. The Sponsor will work closely with the Project Manager to identify project goals, required resources, constraints and dependencies, and to keep the project on track. The Sponsor will confirm that milestones and deliverables are produced as defined in the Project Charter.

Project Manager:

The Project Manager (PM) has overall responsibility for the execution of the project. The PM will document all of the project plans throughout each phase of the lifecycle according to the NYS Project Management Guidebook, Release 2. The PM will track progress on the milestones and deliverables of the project, ensuring that tasks are meeting the approved scope, schedule and budget. The PM is the primary communicator for the project.

Stakeholders

Stakeholders have an interest in the progress and/or outcome of the project. They may provide resources to the project team and may also be responsible for groups within the organization that may be impacted by the project, for example training or support groups. Although they may not attend regular meetings, stakeholders should review all project communication and identify any information that may benefit the project to the Sponsor and/or Project Manager.

Project Team Members:

Some projects may have more than one team. In this case, make sure to distinguish the specific activities of each team. Complete one section for each team or delete if not required.

Project Team members will carry out the work of the project. They will attend all project and technical meetings, prepare for meetings by reviewing agendas and updating tasks, review meeting notes and submit any corrections to the PM, and provide insight to the PM, such as recommending work, resources or best practices. Team members may be assigned for the full or limited duration of the project.

Appendix E

Smart Growth Questionnaire

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 MRF grant would be used for any public infrastructure project that supports local government reorganization, applicants are required to describe how the project would meet the Smart Growth criteria listed in the proposal.

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 MRF program, responses will help determine if a project can be funded.

1. Does the proposed project use, maintain, or improve existing infrastructure?
2. Is the proposed project located in a municipal center?
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?
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?
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?
6. Will the proposed project provide mobility through transportation choices including improved public transportation and reduced automobile dependency?
7. Will the proposed project involve coordination between state and local government and inter-municipal and regional planning?
8. Will the proposed project involve participation in community based planning and collaboration?
9. Will the proposed project ensure predictability in building and land use codes?
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?

11. Will the proposed project mitigate future physical climate change risk due to sea level rise, and/or storm surges and/or flooding, based on available data predicting the likelihood of future extreme weather events, including hazard risk analysis data if applicable?

Appendix F

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 D, 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

If the written remedy that is submitted is not timely or is found by DOS to be inadequate, DOS shall notify the Bidder that the deficiencies have not been corrected and the Bidder has five (5) business days to submit an adequate MWBE Utilization Plan or justify the need to submit a waiver request of the MWBE goals, if applicable.

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.

Appendix G

Definitions

As used in these proposals, 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.

Assumption means anything accepted as true or as certain to happen, without proof.

Business Need means the change to an organizational system or capabilities.

Business Unit is a logical element or segment of a local government (such as accounting, production, marketing) representing a specific business function, and a definite place on the organizational chart, under the domain of a manager.

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.

Change Management Plan means a plan for handling changes to a project aimed at minimizing the negative effect on a project's outcome. Change is defined as ANY adjustment to any aspect of the Project Plan or to any already approved deliverable(s).

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, or
(c) one local government entity providing a service or function for another local government entity that no longer engages in that service or function, often occurring at the department level between local government 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 statutes 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.

Continuous Recruitment Procurement means that the Department of State will accept and evaluate applications for funding from the MRF on a continuous basis until available funds are exhausted.

Critical Success Factors means the outcomes that have to be achieved for a project to be considered a success. Critical Success Factors correlate with the project objectives.

Deliverable(s) means a product or service satisfying one or more objectives of the project**.**

Discount Rate means the rate used to reflect the time value of money.

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."

Function means the primary classification and description of the purpose of the service as outlined with the expenditure/expense codes as defined by the Office of the State Comptroller.

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.

Grantee means a local government entity awarded funds through the Municipal Restructuring Fund.

Implementation, Full Scale means the complete implementation of the project plan executing all agreed upon objectives as outlined in the implementation contract between the lead local government entity and the Department of State.

Implementation, Small Scale means a series of preliminary trials or tests designed to test assumptions made during Project Development that leads to a more informed plan prior to going into full scale implementation.

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

In-Kind means goods or services provided at no cost which still have a value. In the context of this RFA, in-kind shall be those goods or services provided at no cost to the Local Government Entity and shall not be included as a reimbursable expense.

Legal Impediment means a specific law or requirement that prevents the implementation of a project. A law or requirement can derive from the federal constitution or act; state constitution or statute; local law or ordinance; other rule or regulation; or contract or policy. A legal impediment also may arise from an inadequate law or requirement, preventing the complete implementation of a project. However, a legal impediment does not include a task of a "legal" nature that will be undertaken to accomplish an objective, when the completion of such task is not precluded by a law or requirement.

Lessons Learned means the information resulting from feedback on the project, and based on the assessment of project performance, that may benefit the Project Manager as well as managers and team members of similar projects.

Local Government means a county, city, town, or village.

Local Government Entity means a local government, municipal entity or school district as such terms are defined in this Appendix.

Municipal Entity means a special improvement district, fire district, public library, association library, public library systems if they advance a joint proposal on behalf of its member libraries, water authority, sewer authority, regional planning and development board, or board of cooperative educational services (BOCES). A Board of Cooperative Educational Services will be considered a municipality only in instances where such Board of Cooperative Educational Services advances a joint proposal on behalf of school districts and other municipalities within the Board of Cooperative Educational Services region. However, any such agreement with a board of cooperative educational services:

- Will not generate additional state aid;
- Will not be deemed 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
- Will be deemed to be a cooperative municipal service for purposes of Education Law § 1950(4)(d)(2).

Net present value means the present value of a sum of money, in contrast to the value it will have in the future if it were invested at compounded interest.

Organizational Change Plan means a framework for managing the effect of new business processes, changes in organizational structure or cultural changes within a local government entity.

Performance Measures are deliverables, or items, that will be provided to the Department of State to show that a contract's work plan task has been completed and evaluated by the Department of State**.**

Phase means a series of processes organized into a distinct phase of project development. The end of a project phase usually coincides with the approval of a major deliverable.

Pilot Project means the building of a small working version of a component of the larger project, designed to provide a better understanding of the larger project's assumptions. A Pilot Project will help validate the requirements of the larger project, and may serve as a proof-of-concept tool.

Process means a series of tasks performed to bring about a result.

Project Charter means a document developed by the project initiator or sponsor that formally describes the project.

Project Development means the process of taking an initial concept and maturing it into a fully developed plan.

Project Management means the direction and coordination of resources for a project using management techniques to achieve cost, scope, schedule, and satisfaction of objectives.

Project Manager means the individual who is designated by the local government entity and has overall responsibility for the execution of the project. The Project Manager (PM) will document all of the project plans throughout each phase of the lifecycle. The PM will track progress on the milestones and deliverables

of the project, ensuring that tasks are meeting the approved scope, schedule and budget. The PM is the primary communicator for the project.

Project Objectives means the statements that describe the project's outcomes. The project objectives lie within the scope of the project, and will directly associate with the effects to the project.

Project Plan means a formal, approved document used to guide both project execution and project control. The primary uses of the project plan are to document planning assumptions and decisions, facilitate communication among stakeholders, and document approved scope, cost, and schedule baselines.

Project Priority List means a continually updated list of projects that have been evaluated and ranked by evaluation score assigned.

Project Repository means a resource that contains digital versions of all project related documents.

Project Sponsor means the local government entity who will "champion" the project and provide guidance to the project partners and the State. The Sponsor ensures that resources and spending authority are secured. The Sponsor works closely with the Project Manager to identify project goals, required resources, constraints and dependencies, and keeps the project on track.

Proof-of-Concept means the technique used to confirm the feasibility of one or more components of the technical solution. A Proof-of-concept approach helps to minimize cost by 'testing the waters' first on an idea or a design.

Public Benefit means the favorable outcomes that will positively affect the residents of a local government entity

Reasonableness of Cost is an assurance that the state is receiving good value for its investment. All purchases are required to 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 are to 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.

Reimbursement Grants means program funding that the Department of State approves to reimburse the grantee for work performed and/or costs incurred by the grantee up to the total amount specified in the contract.

Resource means what is needed to carry out the project tasks. Resources can be people, equipment, facilities, funding, or anything else required for the completion of a project activity. The lack of a resource will therefore be a constraint on the completion of the project.

Return on Investment means the amount of return on an investment relative to the investment's cost. Return on Investment is calculated by dividing the benefit (or return) of an investment by the cost of the investment. The result is expressed as a percentage or a ratio.

Risk means an anticipated event with the potential to positively or negatively affect the project.

Risk Assessment is a process to identify which risks are likely to affect a project, documenting them, including the likelihood of occurrence and the potential impact on the project, and determining which require a mitigation plan.

School District means either a Union Free School District, Central School District, Central High School District, or a City School District as defined by New York State Education Law.

Service means basic services that residents of a local government entity expect the entity to provide in exchange for payment of taxes or fees. Services may include sanitation (both sewer and refuse), water, streets, schools, inspection, fire department, police, ambulance, and transportation.

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. A project to which Article 6 of New York State Environmental Conservation Law applies must be consistent with the relevant Smart Growth criteria specified therein, and the project must also meet any other criteria and requirements of law governing it.

Stakeholders means the individuals that have a stake in the progress and/or outcome of the project. They may provide resources to the project team and may also be responsible for groups within the organization that may be impacted by the project, for example training or support groups. Although they may not attend regular meetings, stakeholders should review all project communication and identify any information that may benefit the project to the Sponsor and/or Project Manager.

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.

Strategic Plan means the formal document produced by the Local Government Entity outlining organizational goals and direction over time.

Service means a system supplying a public need such as transport, communications, or utilities such as electricity and water

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.

Task is a single piece of work itemized in the Project Schedule to which effort and resources are to be applied.

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.

Time Value of Money means the recognition that money can earn compound interest and therefore, a given amount of money paid at different points in time has a different value; the further into the future an amount is paid, the less valuable it is.

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.

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