NEW YORK STATE DEPARTMENT OF STATE

2010-2011 Local Government Efficiency Grant Program

21st Century Demonstration Project Grant

Application & Instructions

Application Deadline:
4:00pm, Wednesday
December 1, 2010

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

Department of State

One Commerce Plaza

99 Washington Avenue, Suite 1015

Albany, New York 12231

(518) 473-3355

Additional information may be found on the Department of State website at:

www.dos.state.ny.us/LG

Local Government Efficiency Grant Application 2010-2011

Application Material

Each part of an application is described below in the order in which each must appear in your application. Part 1, is introductory information applicable to **all** Local Government Efficiency grant categories. **Please also complete a Part 2D for a 21st Century Demonstration Project Grant.**

Part 1 – General Municipal Information

A. Lead Applicant:

- **Name of Municipality:** Name of the local government.
- **Federal Tax ID Number:** Indicate municipal federal tax identification number. (This is a 9 digit number.)
- **Chief Administrative Officer and Title:** Name and title (e.g., superintendent, mayor, county executive) of your chief administrative or authorizing officer.
- **Type of Municipality:** Check the appropriate box which best describes your municipality.
- **County:** Principal County where your municipality is located.
- **Senate/Assembly Districts**: Indicate the Senate District Number(s) and the Assembly District Number(s) for the geographic area covered by the application.

B. Lead Applicant Contact Person:

- **Lead Applicant Contact Person:** Name and title of the person who will oversee the project. All projects must have a project contact person responsible for the administration of the grant paperwork and the day to day activity of the project. (This is not necessarily the Chief Administrative Officer)

C. General Project Information:

- **Grant Category:** Check the grant category under which you are applying.
- **Total Project Cost**: The total project cost is the total estimated cost of activities eligible for funding under this grant program, including those expected to be funded with both grant money and other funds.
- **Amount of Grant Requested:** State assistance will provide up to 90% of the actual cost of the proposal or the maximum amount permitted per municipality, whichever is less.
- **Amount of Local Share:** The local share amount must be a minimum of 10% (ten percent) of the amount of the Total Project Cost. **This is not 10% (ten percent) of the grant requested.**

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

Total Project Cost	Local Share	State Share
$50,000	$5,000	$45,000
$55,000	$5,500	$49,500
$100,000	$10,000	$90,000
$200,000	$20,000	$180,000
$222,222	$22,222	$200,000
$250,000	$25,000	$225,000
$400,000	$40,000	$360,000
$444,444	$44,444	$400,000

- **Project Title:** Provide a specific title for your project.
- **Project Description:** Provide a brief summary description of the proposed project.
- **Funding:** If the project is receiving funding from other grants or other public funds please check the box. This is for informational purposes only.
- **Previous Plan or Planning Grant:** If this project received funding for a plan from either a Shared Municipal Service Incentive grant or a Local Government Efficiency grant, please check the box. If funding was received, priority points may be added to the application in the review process. Department of State staff will verify previous funding and ascertain if the application qualifies for additional points.
- **Fiscal Distress Indicators:** Check this box if any one of the municipalities is listed on the list of municipalities meeting 3 fiscal distress indicators located at the Department of State's website at *www.dos.state.ny.us/LG* .

D. Co-Applicants:

- **Name of Co-applicant Municipality**: Name of an eligible Co-applicant.
- **Federal Tax ID Number:** Indicate municipal federal tax identification number. (This is a 9 digit number.)
- **Chief Administrative Officer and Title:** Name and title (e.g., superintendent, mayor, county executive, commissioner, director) of your chief administrative or authorizing officer.
- **Type of Municipality:** Check the appropriate box which best describes your municipality.
- **County:** Principal County where your municipality is located.
- **Senate/Assembly Districts**: Indicate the Senate District Number(s) and the Assembly District Number(s) for the geographic area covered by the application.

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

1	NYS Department of State Local Government Efficiency Grant Program 2010-2011	DO NOT WRITE IN THIS SPACE Application Number CD-10-	Date Received

A. Lead Applicant

Name of Municipality:	Federal Tax ID Number:
Name of Chief Administrative Official:	Telephone Number/Extension:
Title:	Fax Number:
Mailing Address:	E-Mail Address:
	County or Counties:
Type of Municipality: ☐ County ☐ Public Library ☐ Association Library ☐ Fire District ☐ City ☐ School District ☐ BOCES ☐ Town ☐ Water Authority ☐ Special Improvement District ☐ Village ☐ Sewer Authority ☐ Regional Planning and Dev. Board	Senate District(s):
	Assembly District(s):

B. Lead Applicant Contact Person

Name of Contact Person:	Telephone Number/Extension:
Title:	Fax Number:
Address:	E-Mail Address:

C. General Project Information

Grant Category: (select one)	☐ High Priority Planning (attach Part 2A)	☐ Efficiency Implementation (attach Part 2C)
	☐ General Efficiency Planning (attach Part 2B)	☐ 21st Century Demonstration Project (attach Part 2D)

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

Project Title: (No more than 10 words):

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

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

☐ Project has received SMSI or LGE grant funding a plan in the past.

☐ Project includes a distressed municipality that is listed in Appendix B.

Name of Lead Applicant:

D. Co-Applicants: Other Municipalities Participating in the Grant Application

(1) Co-Applicant Municipality:	Federal Tax ID Number:
Name of Chief Administrative Official:	Telephone Number/Extension:
Title:	Fax Number:
Mailing Address:	E-Mail Address:
	County or Counties:
Type of Municipality: ☐ County ☐ Public Library ☐ Association Library ☐ Fire District ☐ City ☐ School District ☐ BOCES ☐ Town ☐ Water Authority ☐ Special Improvement District ☐ Village ☐ Sewer Authority ☐ Regional Planning and Dev. Board	Senate District(s):
	Assembly District(s):

(2) Co-Applicant Municipality:	Federal Tax ID Number:
Name of Chief Administrative Official:	Telephone Number/Extension:
Title:	Fax Number:
Mailing Address:	E-Mail Address:
	County or Counties:
Type of Municipality: ☐ County ☐ Public Library ☐ Association Library ☐ Fire District ☐ City ☐ School District ☐ BOCES ☐ Town ☐ Water Authority ☐ Special Improvement District ☐ Village ☐ Sewer Authority ☐ Regional Planning and Dev. Board	Senate District(s):
	Assembly District(s):

(3) Co-Applicant Municipality:	Federal Tax ID Number:
Name of Chief Administrative Official:	Telephone Number/Extension:
Title:	Fax Number:
Mailing Address:	E-Mail Address:
	County or Counties:
Type of Municipality: ☐ County ☐ Public Library ☐ Association Library ☐ Fire District ☐ City ☐ School District ☐ BOCES ☐ Town ☐ Water Authority ☐ Special Improvement District ☐ Village ☐ Sewer Authority ☐ Regional Planning and Dev. Board	Senate District(s):
	Assembly District(s):

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

Part 2D - 21st Century Demonstration Project Grant

In addition to the completed Part 1, which is introductory information and applicable to **all** Local Government Efficiency grant categories, a 21st Century Demonstration Project Grant application requires the completion of Part 2D. Each part of a 21st Century Demonstration Project Grant application is described below in the order in which each must appear in your application submission. Incomplete applications will not be reviewed.

E. 21st Century Demonstration Project Information:

Review the application thresholds established in Section II 'Grant Types' in the Grant Guidance (pages 7-9.) Based on the thresholds for the type of project, the applicant shall provide documentation that they meet the thresholds. Failure to provide the documentation shall deem an application incomplete.

F. Intermunicipal Agreements:

Provide copies of any existing Intermunicipal Agreements that have been entered into for the purposes of this activity. If an intermunicipal agreement is in the process of being developed for the proposed activity, provide either a draft or a description of the issues that will be addressed.

G. Project Need, Municipal Benefits and Expected Outcomes (35 points)

Be as detailed as possible when answering the following:

1. Explain and document the specific existing municipal service that the project will address. Describe how changes in service delivery create a need to act differently. Include any state or federal mandates that impact the service. (Weighted by a factor of 2, for a total of 10 possible points)
2. Explain and document how sustained increases in municipal expenses have created a need to change the way this service is provided. Provide a five year analysis of the municipal finances and property taxes related to this sustained increase. (For a total of 5 possible points)
3. Describe the future impacts to municipal finance and/or service delivery, to the involved municipalities, if this project is not undertaken. Will the project be undertaken if the grant is not awarded? (For a total of 5 possible points)
4. Explain and document how this project will stimulate bold consolidation or regional initiatives that have a great potential to achieve financial savings, and produce prototypes for change in local government structures. (Weighted by a factor of 2, for a total of 10 possible points)
5. Excluding cost savings, explain the potential municipal benefits of the project. This may include changes to the organization or management structure, changes to how the service is currently delivered, improved public access to municipal services, or a reduced but efficient level of service that still meets the community's needs. (For a total of 5 possible points)

H. Project Integrity and Budget (30 points)

1. Provide a detailed work plan that defines a project timeline which includes specific phases, tasks, and deliverables. List the qualifications of people assigned to this manage this project (local staff and/or consultants.) (Weighted by a factor of 2, for a total of 10 possible points)

2. Document how the proposed project fits into each municipality's long term plans to realize cost efficiencies and savings. (For a total of 5 possible points)

A Work Plan shall provide the following:

- *A description of the proposed project, partners, goals and objectives, studies, history of project, etc: Provide a detailed description of the proposed plan and a summary of the proposal explaining the project. List the project's individual tasks or phases and identify their costs. If applicable, the applicant should indicate whether the proposed plan is part of a larger project or work plan.*
- *A description of the individual tasks and timeline for the completion of this project:*
  - *Specific tasks and a schedule for the completion of the project: Each task shall be listed along with a budget for each task. Include the proposed start date, a schedule for the completion of individual tasks, and the expected length of time to complete the project. Projects funded by this program should be able to be completed within 36 months from the start date.*
  - *A description of any public participation process: What public hearings or public meetings are proposed? Has there been public comment to date or is the project an outcome of public discussions? What is the timeline for referenda?*
  - *A description of deliverables by task: What will be produced by this project?*
- *A description of the issues to be addressed by the proposed project: What are the current challenges associated with the implementation of the project?*
- *A description of the outcomes to be achieved by the proposed plan: What is the project supposed to accomplish? Be as detailed as possible.*
- *Maps of service area(s): Include a map of the service area or areas where proposed activity or the service delivery will occur.*

3. Provide a detailed and realistic project budget estimate and describe how reasonableness of cost was determined; provide copies of cost estimates when possible. *(See definition of Reasonableness of Cost in Appendix A in the Grant Guidance.)* (Weighted by a factor of 2, for a total of 10 possible points)

4. Explain how the proposed project links to other State community development programs, such as Smart Growth, Brownfield Opportunities Areas (BOA), Local Waterfront Revitalization Plans (LWRP), Energy Efficiency and/or local initiatives, such as comprehensive plan, regional economic development plan, capital improvements plan or repair/maintenance of existing facilities plan, Local Government Efficiency funded study, etc. (For a total of 5 possible points)

I. Cost Savings and Return on Investment (25 points)

1. Using the budget worksheets included in Appendix C of the Grant Guidance, show where the project will reduce expenses. If savings will result from a one-time avoidance of costs, describe when and why these costs would actually have to be incurred. If savings will result from a permanent reduction of service costs, describe how savings will be achieved. (Weighted by a factor of 2, for a total of 10 possible points)

   All shared services/consolidation proposals have a core expectation of reducing costs and/or improving services. Applicants must provide an objective summary of expected cost savings resulting from the project exclusive of the Local Government Efficiency grant or any other grant (*see Appendix C for Definitions and Instructions in the Grant Guidance.*)

> ***Value of Cost Savings:*** *The value of savings expected to be realized by all applicants, expressed* ***as*** *the present value of all non-recurring and recurring savings and costs resulting from the project.*

2. Quantify projected taxpayer impact by estimating changes in household property tax rates for each applicant municipality. The projected taxpayer impact cannot include the use of fund balances or state incentives to increase the savings. Describe why the taxpayer impact is both meaningful and sustainable. (Weighted by a factor of 2, for a total of 10 possible points)

> ***Taxpayer Savings:*** *Estimated reduction in average household property taxes resulting from the project, calculated by dividing each applicant's estimated cost savings into the full value of their real property assessments.*

3. Quantify return on the State's investment and describe why the project makes good use of State resources. (For a total of 5 possible points)

> ***Return on LGE Grant:*** *Anticipated return on LGE funds invested in the project, calculated by dividing the Value of Cost Savings into the amount of the LGE grant.*

J. Project Self Sufficiency and Management Capability (10 points)

1. Demonstrate that the Lead Applicant has the financial and administrative ability to sustain and complete the project by describing past experience (five years) with planning, community development or infrastructure projects. (For a total of 5 possible points)

2. Demonstrate local support for the project. *Include citizen petitions and other support materials, including letters of support from community organizations or collective bargaining units and media coverage.* Is the project a specific recommendation of a previous plan? *(Include an excerpt from the plan.)* (For a total of 5 possible points)

Each of the above criteria has a series of issues listed that all applicants are required to address in their narrative. To facilitate review of the application, each of the above criteria shall be in the order shown and clearly labeled. Subsequent sections of the grant application provide additional supporting documentation for these criteria.

Budget Summary

Applicants must provide a summary of the information contained in the budget detail.

- ***Total Project Cost**: The 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.*
- ***Amount of Grant Requested:** State assistance will be made for up to 90% of the actual cost of the proposal or the maximum amount permitted per municipality, whichever is less.*
- ***Amount of Local Share:** The local share amount must be a minimum of 10% (ten percent) of the amount of the actual cost of the proposal. (Note: A project between two municipalities with a cost greater than $444,444 could only receive the maximum award of $400,000.)*
- ***Total Travel Costs:** Enter the relevant information derived from the budget detail sheets.*
- ***Total Costs of Supplies, Materials, and Equipment:** Enter the relevant information derived from the budget detail sheets.*
- ***Transitional Personnel Costs:** Enter the relevant information derived from the budget detail sheets. Break this down by each year for the three years allowed.*
- ***Total Cost of Contractual Services:** Enter the relevant information derived from the budget detail sheets.*
- ***Total Capital Costs:** Enter the total estimated cost of capital improvements that would be funded under this grant program.*

Budget Detail

Clearly describe all items of cost in the budget and justify as necessary to the project. Indicate the estimated costs for each individual task as outlined in the Work Plan. Project costs must be considered as reasonable. Reasonableness of cost is an assurance that the State is receiving good value for their dollars. Describe steps taken to ensure project budget makes the most efficient use of available resources. All purchases must comply with Article 5A of the General Municipal Law.

- ***Travel:** For each individual task, describe the purpose, destination, mode of travel, and how costs are calculated. Rates cannot exceed the current Internal Revenue Service rates.*
- ***Supplies, Materials and Equipment:** For each individual task, state the cost and describe briefly the supplies, materials, and equipment to be purchased.*
- ***Transitional Personnel Costs:** For each individual task, state the employee's titles, the proposed salaries and hourly wages, an estimate of the hours to be charged to the project and an estimate of the total cost of transitional personnel. The Department of State reserves the right to approve the reasonableness of the need for the staff and the salary amount.*
- ***Contractual Services:** For each individual task, state the cost and describe briefly the extent and purpose of contractual services.*
- ***Capital Costs:** Attach cost estimates for expenses to be incurred during each task.*

K. Application Submission Checklist

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

L. Resolution and Certification

The Lead Applicant and all Co-Applicants should submit with the application a formal resolution of the governing body showing support of this grant application. The purpose of the resolution is to show the official support of the governing body for the application and the proposed project. Resolutions from all involved municipalities not included with the application submission will be accepted until December 31, 2010, if not received the application will be deemed incomplete and ineligible for consideration. (*See Resolution tips located at the Department of State's website at www.dos.state.ny.us/LG).*

The Lead Applicant's representative shall sign the Certification of the information contained in this application.

Assembly of Final Application

Four sets of materials (an original and three copies) must be submitted to the Department of State.

Copies of the application must conform to the following:

- Application materials must be bound in pressboard report covers or standard three-ring (maximum ring size of 2 inches) binders.
- Maps included in the application must be: 8 ½" x 11"; 8 ½" x 14" or 11" x 17" folded down to an 8 ½" x 11" size. Rolled maps will not be accepted.
- Prior studies may be included in the application as supplemental information and must be properly referenced and highlighted. Submission of pre-existing or stand alone data and reports will not be accepted as substitutes for information required in the application.

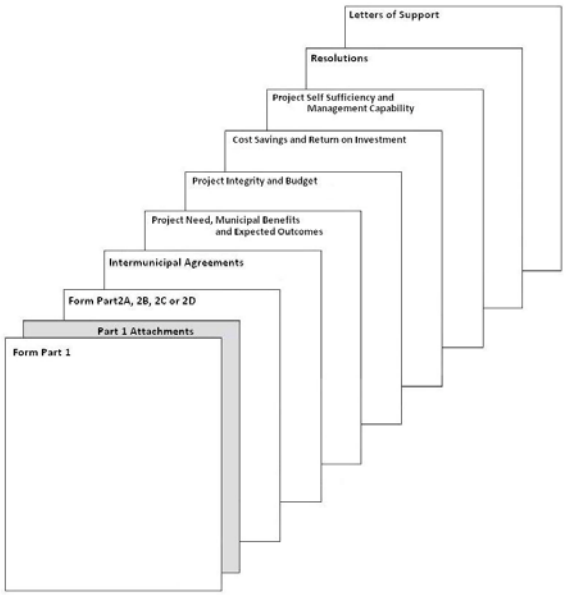
For a 21st Century Demonstration Project grant, please include a Part 1 and Part2D.

Assemble your grant application in the order indicated on the application checklist included in the *Grant Project Application* form.

It is essential to submit a complete application. An incomplete application will not be forwarded for review.

Your original application with signatures in blue ink must include all required forms and other materials.

Be sure to number the pages of your completed application before making copies.



Grant Deadlines

Wednesday at 4:00pm on, December 1, 2010.

Grant applications must be received in their entirety. Send an original, three copies and 1 compact disc (the disc shall contain one copy of the application in Adobe Acrobat Portable Document Format) to:

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

Incomplete applications will not be reviewed.
Applications received after the deadline will be returned to the applicant.

Part 2D	NYS Department of State Local Government Efficiency Grant Program 2010-2011	21st CENTURY DEMONSTRATION PROJECT GRANT

Name of Lead Applicant: From the Part 1 application

E. 21st Century Demonstration Project Information

Type of Project:

☐ Multi-County Service Consolidation ☐ Multi-Municipal Police Force ☐ Consolidated Fire Organizations

☐ Creation of a Regional Entity ☐ Consolidated Regional Government

☐ School District Support Services ☐ Regional Smart Growth Compact

The applicant shall review the application thresholds established in Section II 'Grant Types' in the instruction booklet (pages 7-10.) Based on the thresholds for the type of project, the applicant shall provide documentation that they meet the thresholds. Failure to provide the documentation shall deem an application incomplete.

F. Intermunicipal Agreements (IMA)

List and attach copies of any existing intermunicipal agreements or draft agreements that have been entered into for this activity. If you do not have an intermunicipal agreement, provide a description of the intermunicipal agreements that will be necessary to carry out the proposed activity. See application guidance for details. **Attach as "Part F."**

Additional sheets attached as necessary. ☐

G. Project Need, Municipal Benefits and Expected Outcomes (35 points)

Please provide a narrative which answers the questions outlined in the application instructions. Describe the extent to which the proposed project is consistent with these questions. To facilitate accurate scoring, applicants are encouraged to address all questions in the order in which they appear in the application instructions. Your application's score is based on the information you provide in this narrative. **Attach as "Part G."**

H. Project Integrity and Budget (30 points)

Please provide a narrative which answers the questions outlined in the application instructions. Provide a detailed work plan, including time periods for achieving stated objectives, for the activity to be funded. Describe the extent to which the proposed project is consistent with these questions. To facilitate accurate scoring, applicants are encouraged to address all questions in the order in which they appear in the application instructions. Your application's score is based on the information you provide in this narrative.

If your application is awarded, this work plan will provide the basis for the program work plan in the grant contract. **Attach as "Part H."**

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

I. Cost Savings and Return on Investment (25 points)

Please provide a narrative which answers the questions outlined in the application instructions. Using the budget worksheets included in Appendix C and attached worksheets of the Grant Guidance, show where the project will reduce expenses. Describe the extent to which the proposed project is consistent with these questions. To facilitate accurate scoring, applicants are encouraged to address all questions in the order in which they appear in the application instructions. Your application's score is based on the information you provide in this narrative. **Attach as "Part I."**

Return on LGE Grant (from Worksheet):	Value of Savings ÷ Expected LGE grant X 100 = Return on LGE Grant

Taxpayer Savings (from Worksheets):

Applicant: **Co-Applicants:**

J. Project Self Sufficiency and Management Capability (10 points)

Please provide a narrative which answers the questions outlined in the application instructions. To facilitate accurate scoring, applicants are encouraged to address all questions in the order in which they appear in the application instructions. Your application's score is based on the information you provide in this narrative. **Attach as "Part J."**

Budget Summary

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

Total Travel Costs: (Total from Budget Detail)	Total Costs Supplies, Materials and Equipment: (Total from Budget Detail)

Transitional Personnel Costs	Year One: (Total from Budget Detail)	Year Two: (Total from Budget Detail)	Year Three: (Total from Budget Detail)

Total Costs of Contractual Services: (Total from Budget Detail)	Total Capital Costs: (Total from Budget Detail)

Name of Lead Applicant:

Budget Detail	Task #

Copy this page as necessary to include budget information for each additional task.

Travel

Purpose	Destination	Purpose	Destination
		Total	

Supplies, Materials and Equipment

Item	Quantity	Item
	Total	

Transitional Personnel Costs

Employee Title	Salaries and Wages	Employee Title	Salaries and Wages
		Total	

Contractual Services

Type of Service	Estimated Cost
	Total

Capital Costs (Attach cost estimates for expenses to be incurred during this task.)

Type of Service	Estimated Cost
	Total

K. Application Submission Checklist

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

- ☐ **Completed Part 1 Application**
- ☐ Extra sheets containing information on additional Co-Applicants, if applicable (Part D attachments)
- ☐ Efficiency Implementation Project Information
- ☐ Intermunicipal Agreements (Part F attachments)
- ☐ Project Need, Municipal Benefits and Expected Outcomes (Part G attachments)
- ☐ Project Integrity and Budget (Part H attachments)
- ☐ Cost Savings and Return on Investment (Part I attachments)
- ☐ Project Self Sufficiency and Management Capability (Part J attachments)
- ☐ Budget Summary & Budget Detail (application form)
- ☐ Municipal Resolutions (Part L attachments)

L. Municipal Resolutions and Application Certification

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

By submission of this application under the 2010-2011 Local Government Efficiency Grant Program, I hereby certify that all components of the requested Total Project Costs are reasonable and necessary for the conduct of the proposed project, and that prudent analysis has been undertaken to insure that all costs are consistent with current prevailing costs for such goods or services in the geographic area benefiting from the project.

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

_____ _____
(Print Name) (Print Title)

_____ _____
(Signature) (Date)