



Department of State Local Government

Local Government Efficiency Grant Program Request for Applications RFA # 26-CREG-26

Grant Application and Instructions

Citizens Re-Organization Empowerment Grant (CREG) Program

KEY DATES

RFA Release Date:	June 4, 2026
Questions Due Dates:	Third Wednesday of every month
RFA Updates & Responses to Questions Posted Dates:	Fourth Wednesday of every month
Application Due Dates:	First Wednesday of every month, at 4:00pm.
Contact:	Kyle Wilber, Program Manager New York State Department of State Division of Local Government Services One Commerce Plaza 99 Washington Avenue, Suite 1130 Albany, New York 12231

Review of these applications will occur each month.

Local Government Citizens Re-Organization Empowerment Grants requesting expedited assistance, as defined herein, will be reviewed as they are submitted.

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DEPARTMENT OF STATE

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I. Citizens Re-organization and Empowerment Grant Information

The Local Government Efficiency (LGE) program, administered by the New York Department of State Division of Local Government Services, provides financial and technical assistance to local governments for planning and implementation activities necessary for the re-organization of municipal government and government functions. The LGE program provides the opportunity for local government officials to examine and implement new initiatives that can help reduce the growth in municipal expenses and introduce new efficiencies in the delivery of services.

The Local Government Citizens Re-Organization Empowerment Grant (CREG) program [State Finance Law (SFL), section 54(10)(q)] is one of three funding programs within LGE available to local governments. Specifically, the CREG program can assist local governments with: 1) the dissolution or consolidation of a local government entity in accordance with General Municipal Law (GML), Article 17-A; or 2) the establishment of a new coterminous town-village, that operates principally as either a town or a village (but not as both) in the place of a former town and a former village. The term “local government entities” includes most general-purpose local governments and special improvement districts [SFL section 54(10)(q)(i)].

NOTE: Local governments (other than towns created, and villages incorporated on or before December 31, 2017) that complete a municipal re-organization project as defined above will be eligible for the Citizens Empowerment Tax Credit (CETC) pursuant to State Finance Law, section 54(10)(p). This funding is a separate source of additional **annual** aid and is awarded in amounts equal to 15% of the combined amount of real property taxes levied by all of the cities with populations of less than one million, towns, and villages that participated in the reorganization. Any such additional annual aid provided by a CETC shall not exceed one million dollars. A municipality receiving CETC aid must use at least 70% of such aid for property tax relief, and the balance of such aid for general municipal purposes.

Smart Growth Impacts

The Department of State is considered an “infrastructure agency” for the purposes of Article 6 of the Environmental Conservation Law, the State Smart Growth Public Infrastructure Policy Act. Under this legislation, no state infrastructure agency shall approve, undertake, support, or finance a public infrastructure project, including providing grants, awards, loans or assistance programs, unless, to the extent practicable, the project is consistent with 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 CREG would be used for any public infrastructure project that supports local government reorganization, applicants must describe how the project would meet the Smart Growth criteria listed in the application.

Minority and Women's Business Enterprise Development

Article 15-A of the New York State Executive Law authorized the creation of a division of Minority and Women's Business Enterprise Development to promote employment and business opportunities on state contracts for minorities and women. State agencies have been charged with establishing business participation goals for minorities and women. For purposes of this procurement, the Department of State hereby establishes an overall goal of 30% for Minority and Women-Owned Business Enterprises (“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).

Applicants must submit the MWBE Compliance Form with their application. Additional information may be found in Appendix D.

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 firm participation as stated in your contract and in accordance with Article 15-A of the Executive Law.

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.

Gender-Based Violence and the Workplace

Applicant must certify that the local government has in place and has implemented a Gender-Based Violence and the Workplace Policy (please see the [OPDV Gender-Based Violence and the Workplace website](#) for more information regarding these policies) and has provided such policy to all of its employees, directors and board members. Such policy shall, at a minimum, meet the requirements of subdivision 11 of section five hundred seventy-five of the executive law. If the applicant cannot make this certification, they must include a signed statement setting forth in detail the reasons therefor.

II. Application Information

Eligible Applicants

"Local government entities," as defined by the State Finance Law Article 4-A and General Municipal Law Article 17-A, are eligible to apply for assistance under CREG. These include towns, villages, fire districts, special improvement districts or other improvement districts, library districts, and other districts created by law. For this grant program, local government entities shall not include school districts, city districts or special purpose districts created by counties under county law.

Eligible Projects

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

1) Re-Organization Planning

Developing consolidation agreements or dissolution plans requires considerable data gathering, analysis, and discussion to understand the current services and responsibilities of each involved local government entity. A re-organization planning project must include an examination of the financial impact of reorganization on all involved local governments, an assessment of potential management and service delivery changes, a review of potential impediments related to re-organization, and a list of recommended steps to complete the re-organization, as well as an inventory of other efficiency options if the re-organization is not completed. A re-organization plan or agreement provides the blueprint for the disposition of a local government entity's property, services, and obligations. A sample re-organization work plan is described in Appendix C.

2) Re-Organization Implementation

Implementation activities pursuant to a dissolution plan or consolidation agreement will be eligible for funding if determined, either by the governing board or by citizen referendum, that re-organization is in the best interests of the local government entity and its residents.

3) Expedited Re-Organization Assistance

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

Municipal Resolutions

To be eligible for a CREG award, all involved municipalities are required to include a resolution confirming the governing board's support for the application. Resolutions must be included with the application. Applications without resolutions will be deemed incomplete and will not be considered for funding. For information regarding the content of resolutions, you may refer to Appendix B. **Note:** If the local government

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

Project Funding

The maximum cumulative CREG Award for a local government re-organization shall not exceed \$100,000.

Funding may be awarded as follows:

- Awards for re-organization planning shall not exceed \$50,000.
- Awards for re-organization implementation shall not exceed \$50,000.
- Awards for expedited re-organization assistance shall not exceed \$25,000. Cumulative awards for expedited re-organization assistance and re-organization planning shall not exceed \$50,000.

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

Project Match

Applicants are required to provide matching funds for all projects.

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

Eligible Expenses

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

- Legal and professional consultant services;
- Capital improvements integral to the implementation of a local government re-organization;
- Expenses for certain transitional personnel for a period not to exceed three years and only where such expenses are essential to the implementation of a local government re-organization; and
- Equipment purchases integral to the implementation of a local government re-organization.

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

Ineligible Expenses

- Any expenses not fully justified and deemed ineligible by DOS, which will be eliminated from the budget, thereby reducing the award amount;

- Recurring local government expenses such as salaries, utilities, and overhead, outside of approved or authorized appropriate transitional personnel essential for project implementation;
- Contingency expenses;
- Indirect expenses;
- Any expenditures funded through the Local Government Efficiency Program (LGE), Citizens Reorganization Empowerment Grant (CREG), Financial Restructuring Board (FRB), Municipal Restructuring Fund (MRF), or any other New York State grant programs; and,
- Additional expenses including, but not limited to: alcohol, out-of-state or out-of-country travel, prizes and awards, honoraria, lobbying expenses, fund-raising events/expenses, grant writing costs, fines and penalties, taxes, deficit funding, religious activities and refreshments for meetings.

III. Preparing an Application

Getting Started

Applications are being solicited through the New York State Department of State Division of Local Government Services. The application guidance and forms are available online at <https://dos.ny.gov/funding-bid-opportunities>.

Electronic Applications

Applications may be submitted electronically. Electronic application forms should be signed and submitted in one pdf document to the DOS Local Government Efficiency Program mailbox at LGEProgram@dos.ny.gov. DOS strongly recommends submitting electronic applications no later than two days before the due date in case there are technical difficulties with the submittal. DOS is not responsible for applications that are not received due to technical issues. DOS will confirm receipt of applications, but the Applicant is responsible for ensuring that their application was received. Applicant acknowledges and agrees that it waives any and all objections to the admissibility into evidence at any court proceeding or to the use at any examination before trial of an electronic reproduction of their application regardless of whether the original of said application is in existence. Electronic applications must be received by 4:00 pm on the due date listed on the front cover of this RFA.

Mailed or Hand Delivered Applications

Applications may also be mailed or delivered by hand. One complete original application and three exact copies of application forms (for a total of four copies) must be submitted to the address listed on the cover of this RFA. Applicants mailing their bid must allow sufficient mail delivery time to ensure receipt of their bid at the specified location no later than the specified date and time. Delays in United States mail deliveries or any other means of transmittal, including couriers or agents of the bidding entity shall not excuse late bid submissions. DOS cannot be responsible for the actions of your chosen carrier. Hard copy applications submitted by mail or hand delivery must be received by 4:00 pm on the due date listed on the front cover of the RFA.

Applicants should respond to this RFA by compiling the narratives and forms described in Section VI.

Any applicant that cannot access the application should reach out to the contact person listed on the front cover of the RFA.

Questions

Submit all substantive questions in writing to the contact person listed on the front cover of the RFA.

To the extent possible, each substantive question should cite the RFA section and paragraph to which it refers. Responses to written questions received prior to the third Wednesday of every month will be posted on the DOS Funding page at <https://dos.ny.gov/funding-bid-opportunities> on the fourth Wednesday of every month.

Questions of a procedural nature may be submitted in writing. **Questions of a procedural nature are those limited to the processes of preparing the application (e.g., formatting) and applying for the grant, and do not include questions related to the substance of the application.**

This RFA can be found on the Department of State's website at: <https://dos.ny.gov/funding-bid-opportunities>. Questions and answers, as well as any updates and/or modifications, will be posted by the dates identified on the front cover of this RFA.

Application Due dates

**Due dates are the first Wednesday of every month by 4:00 pm
Review of applications will occur each month.**

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

Applications, other than requests for expedited assistance, submitted after a due date will be held for review after the following month's due date. An applicant who submits an incorrect/incomplete application will be notified and may resubmit a corrected application by the established deadline.

IV. Application Review

Evaluation Criteria

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

1. An application must be complete.
2. An eligible applicant must be a “local government entity” or “entities,” as defined by General Municipal Law Article 17-A.
3. An eligible application may be submitted for a local government re-organization consistent with Article 17-A of the General Municipal Law, or for making the boundaries of a town and village coterminous where the resulting coterminous town-village operates principally as either a town or a village.
4. An application must contain a completed work plan and budget as described in this RFA.

Review Process

Initial Review

Within one week of the receipt of an application, the Department of State will review the application to determine whether the appropriate application has been filed. If an applicant files an incorrect application (wrong application for this program) the Department of State will promptly notify the applicant. If an applicant submitted an incorrect/incomplete application, the applicant may submit the correct application to the appropriate LGE grant program no later than the established due date for such application.

Expedited Assistance

If a local government entity has been petitioned by the electorate, pursuant to General Municipal Law Article 17-A, the entity must proceed to a referendum within a limited period of time. In such case, the work plan, resolution, and budget information do not need to be provided in the application. The Department of State will expedite the grant application process by negotiating a work plan and budget for the state contract after making an expedited assistance award.

Smart Growth Impact

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

V. Awards and Grant Administration

Awards

Applicants will receive written notice of a decision regarding the granting or denial of an award within thirty days after a final award decision has been made. Award decisions are final and are not subject to appeal.

Contracts

DOS requires that all successful applicants enter a contract with the State of New York. The state contract details the obligations of the applicant/contractor. Each approved contract will have a five-year term. Awardees must return state contracts to DOS within ninety (90) days from receipt to ensure that funds go to applicants that are ready to move forward. DOS may withdraw an award if the state contract is not returned in a timely manner.

Contract Administration

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

Schedule of Payments

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

Required Reports

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

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

Reserved Rights

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

1. Reject any or all applications received in response to this RFA.
2. Withdraw the RFA at any time, at the agency's sole discretion.
3. Make an award under the RFA in whole or in part.
4. Disqualify any applicant whose conduct and/or proposal fails to conform to the requirements of the RFA.
5. Seek clarifications and revisions of proposals.
6. Use application 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 during evaluation and/or selection under the RFA.
7. Prior to the application due date, amend the RFA specifications to correct errors or oversights, or to supply additional information, as it becomes available.
8. Prior to the application due date, direct applicants to submit application modifications addressing subsequent RFA amendments.
9. Change any of the scheduled dates.
10. Eliminate any mandatory, non-material specifications that cannot be complied with by all the prospective applicants.
11. Waive any requirements that are not material.
12. Negotiate with applicants within the scope of the RFA in 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) to serve and realize the best interests of the state.
14. Utilize all ideas submitted in the applications 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 application and/or to determine an applicant's compliance with the requirements of the RFA.
16. Waive or modify minor irregularities in received applications.
17. Make awards based on geographic distribution.
18. Not fund an application that fails to submit a clear and concise work plan or budget.
19. Adjust or correct cost figures with the concurrence of the applicant if errors exist and can be documented to the satisfaction of the Department of State and the State Comptroller.
20. Award more than one contract resulting from this RFA.
21. In its sole discretion, determine the total number of awards to be granted pursuant to this RFA.
22. Offer partial or no funding to any applicant if its application cannot fulfill its proposed program within the funding restrictions herein.

23. Make additional awards if funding becomes available.
24. Require reporting on forms designed for use solely for this procurement.
25. Not to make any awards pursuant to this RFA. This RFA does not commit DOS to award any contracts, to pay the costs incurred in the preparation of a response to this RFA, or to procure or contract for service.
26. If unsuccessful in negotiating a state contract with the selected applicant prior to the consolidation or dissolution of the selected applicant, the Department may award the contract, for the same activities, to the new or remaining local government to serve and realize the best interests of the state.

VI. Application Materials

The application for each of the three grant opportunities: Re-Organization Planning, Re-Organization Implementation and Expedited Re-Organization Assistance are available via the Department of State's website at <https://dos.ny.gov/funding-bid-opportunities>. The application is a fillable form that must be completed and returned to the Department of State. There are four parts to the application. The following information describes the information required.

Part 1 - Applicant and General Project Information

This section is intended to gather specific information about the applicant (co-applicants) and project type that is proposed.

Part 1	NYS Department of State 2026-2027 RFA#		DO NOT WRITE IN THIS SPACE	
			Application Number	Date Received
Grant Category: Local Government Citizens Re-Organization Empowerment Grant Program				
A. Lead Applicant				
Name of Applicant:			Federal Tax ID Number:	
Name of Chief Administrative Official:			Telephone Number/Extension:	
Title:			Fax Number:	
Mailing Address:			E-Mail Address:	
			County or Counties:	
			Senate District(s):	
			Assembly District(s):	
Type of Applicant:				
B. Lead Applicant Contact Person				
Name of Contact Person:			Telephone Number/Extension:	
Title:			Fax Number:	
Address:			E-Mail Address:	
C. General Project Information				
Total Project Cost: 0		Amount of Grant Requested:		Amount of Local Share:
Project Title: (Not more than 10 words)				
Project Description: Provide a brief summary statement that describes the project (Not more than 3 sentences)				
☐ Project is receiving other grant funding or other public funds. (Please list)				
☐ Project has received DOS grant funding for a plan in the past. (Please list)				

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

Part 2 – Project Information and Consistency with General Municipal Law 17-A

The section is intended to provide overview information about the project and its consistency with the intent of General Municipal Law 17-A.

PART2Page 1 of 4

3. Review of the project chronology and history:

4. Description of outcomes to be achieved by the project, including potential financial impact.

Organizational Capacity: (Describe the staffing, qualifications and relevant experience of the provider organization to support the project. The applicant 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)

H. Application Submission Checklist

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

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

I. Municipal Resolutions and Application Certification

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

By submission of this application under the 2020-2022 Citizens Reorganization and Empowerment Grant Program, I hereby certify that all components of the requested Total Project Costs are reasonable and necessary for the conduct of the proposed project, and that prudent analysis has been undertaken to insure that all costs are consistent with current prevailing costs for such goods or services in the geographic area benefiting from the project.

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

(Print Name)

(Print Title)

(Signature)

(Date)

Part 3 – Work Plan and Budget

To complete the Work Plan and Budget sheet, you must fill in the boxes according to the project plan for completion. Each Work Plan Task should be entered separately. For the budget, the form should auto-calculate. Where there is a single fixed cost due upon completion, please enter that entire amount in the last component to be completed for payment. The Department of State will evaluate the clarity and detail of the work plan, including the project timeline, specific phases, associated tasks, and deliverables.

The following are the items that need to be entered into the form.

Work Plan Tasks

- Task Description: Provide a name that will clearly describe the Task.
- Anticipated Start Date: When the Task will start.
- Anticipated Completion Date: When the Task will be completed.
- Performance Measures: What will be the deliverable for the task to be provided to the Department of State to show the task has been completed. This may include deliverables such as a draft or completed study or plan, an IMA to move the project forward, meeting summary reports, etc.
- Task Narrative: Describe what is being done to complete the Task and accomplish the objective. A project may include:
 1. An examination of the potential financial savings, management improvements, and service delivery changes resulting from a local government re-organization,
 2. Legal issues and impediments surrounding implementation,
 3. Analysis of how the plan or project will meet the objectives or lead to implementation.

Budget Information

Indicate the estimated costs for each task and provide a description where necessary. Include all costs for the entire project. Only eligible categories have been shown, although projects may not be eligible for all categories. Please review the Guidance document for additional information.

- Personal Services
 - Salaries and Fringe: 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 their time to the project and has an annual salary of \$40,000 would charge \$8,000 to the project
- Non-Personal Services
 - Contractual Services: The cost and description of the purpose of contractual services.
 - Travel: The description of the purpose, destination, mode of travel and costs. Rates cannot exceed the current Internal Revenue Service rates.
 - Equipment: Items with a value of more than \$200.00 and a useful life of more than one year.
 - Other: Any other services and costs, including capital expenses related to construction or renovation.

The Budget automatically totals at the bottom of the Work Plan. Total Project Cost is reflected by the information provided in the budget for each task. Please also provide the, Requested Grant Funds, Local Share and Other funds being used for the project.

Part 3		NYS Department of State 2026-2027 RFA#		Work Plan and Budget	
Name of Lead Applicant:			From the Part 1 Application		
Proposed Start Date:		Length of Time Needed to Complete Project:			
Task 1	Description:				
	Anticipated Start Date:				
	Anticipated Completion Date:				
	Performance Measures:				
Task Narrative: See Instructions					
BUDGET CATEGORIES		COST		DESCRIPTION	
Personal Services					
Salary					
Fringe					
Non-Personal Services					
Contractual Services					
Travel					
Equipment					
Other					
TOTAL		\$ 0			

Task 2	Description:	
	Anticipated Start Date:	
	Anticipated Completion Date:	
	Performance Measures:	
Task Narrative: See Instructions		
BUDGET CATEGORIES		COST
Personal Services		
Salary		
Fringe		
Non-Personal Services		
Contractual Services		
Travel		
Equipment		
Other		
TOTAL		\$ 0

Task 3	Description:	
	Anticipated Start Date:	
	Anticipated Completion Date:	
	Performance Measures:	
Task Narrative: See Instructions		
BUDGET CATEGORIES		COST
Personal Services		
Salary		
Fringe		
Non-Personal Services		
Contractual Services		
Travel		
Equipment		
Other		
TOTAL		\$ 0

Task 4	Description:	
	Anticipated Start Date:	
	Anticipated Completion Date:	
	Performance Measures:	
Task Narrative: See Instructions		

BUDGET CATEGORIES	COST	DESCRIPTION
Personal Services		
Salary		
Fringe		
Non-Personal Services		
Contractual Services		
Travel		
Equipment		
Other		
TOTAL	\$ 0	

BUDGET CATEGORIES	TOTAL BUDGET AMOUNT	LGE Funds Requested	Local Funds	Other Funds
Personal Services				
Salary	\$ 0 -	\$	\$	\$
Fringe	\$ 0 -	\$	\$	\$
Non-Personal Services				
Contractual Services	\$ 0 -	\$	\$	\$
Travel	\$ 0 -	\$	\$	\$
Equipment	\$ 0 -	\$	\$	\$
Other	\$ 0 -	\$	\$	\$
TOTAL	\$ 0 -	\$ 0 -	\$ 0 -	\$ 0 -

Verification	TOTAL PROJECT COST	LGE GRANT FUNDS REQUESTED	LOCAL SHARE	OTHER FUNDS
	\$ 0 -	\$ 0.00 -	\$ 0.00 -	\$ 0.00 -

Part 4 – State Smart Growth Public Infrastructure Policy Act

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

If the project has a public infrastructure component, please complete the questionnaire. To determine if this project adheres to the Smart Growth criteria please explain the project’s compliance with the Smart Growth Act, or justification for the project’s non-compliance with the Smart Growth Act.

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 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.

Part 4	STATE SMART GROWTH PUBLIC INFRASTRUCTURE POLICY ACT: APPLICANT IMPACT STATEMENT (2026-2027) RFA#		DO NOT WRITE IN THIS SPACE	
			Application Number	Date Received
Grant Category: Local Government Citizens Re-Organization Empowerment Grant Program				
The project includes a public infrastructure component? ☐ YES ☐ NO Complete this form only if answered YES.				
A. Lead Applicant				
Name of Applicant:			Federal Tax ID Number:	
Name of Chief Administrative Official:			Telephone Number/Extension:	
Title:			Fax Number:	
Mailing Address:			E-Mail Address:	
			County or Counties:	
			Senate District(s):	
			Assembly District(s):	
Type of Applicant:				
B. General Project Information				
Total Project Cost:		Amount of Grant Requested:		Amount of Local Share:
Type of Project. Please check one of the following: ☐ New Construction ☐ Improvements to Existing Structure ☐ Other: Please provide a brief explanation:				
Project Title: (No more than 10 words)				
Project Description: Provide a brief summary statement that describes the project (Not more than 3 sentences)				
☐ Project is receiving other grant funding or other public funds. (Please list)				
☐ Project has received DOS grant funding for a plan in the past. (Please list)				

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

C. Project Evaluation for Consistency with Smart Growth Act

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

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

D. Application Certification

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

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

Signature

Date

Appendix A

Definitions

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

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

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

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

Coterminous means having the same or coincident boundaries.

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

Expedited Re-organization Assistance is one of the three types of grant opportunities available under this program. (The other two are Re-organization Planning and Re-organization Implementation.) A local government entity may apply for Expedited Re-organization Assistance when a consolidation or dissolution proceeding has been commenced by the filing of a petition by voters of the local government entity, pursuant to Article 17-A of the General Municipal Law.

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.

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

Local Government Re-Organization means the consolidation or dissolution of a local government entity in accordance with Article 17-A of the General Municipal Law; or the making of the boundaries of a town and village coterminous after July 1, 2012, where such coterminous town-village operates principally as a town or as a village but not as both a town and a village.

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

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

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

1. A re-organization planning project shall include an examination of the potential financial savings, legal issues and impediments surrounding the re-organization, recommended steps

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

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

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

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

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

Appendix B

Resolution Tips

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

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

Appendix C

Sample Government Re-Organization Work Plan

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

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

Task
1

Task Name: Project Initiation

Schedule: Month 1

Performance Measure Name/Deliverable: Kick-Off Meeting Summary

Task Description:

The local government entity's(ies') governing board shall meet with the Department of State prior to initiating work on this project to discuss goals, objectives, state requirements and expectations.

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

The governing board or RSC will develop a Request for Proposals (RFP) to aid in the selection of a qualified consultant to assist in the development of the re-organization study, plan and alternatives. The governing board will issue such RFP. The RSC will review submissions and may

interview respondents. The RSC will then recommend to the governing board a qualified consultant. The governing board, considering the recommendation, will select a qualified consultant and enter into a contract for professional services.

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

Task 2

Task Name: Re-Organization Study

Schedule: Months 2 – 4

Performance Measure Name/Deliverable: Draft and Final Re-Organization Study, Meeting Summaries

Task Description:

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

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

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

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

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

Task

3

Task Name: Re-Organization Implementation Plan

Schedule: Months 4 – 6

Performance Measure Name/Deliverable: Draft Re-Organization Plan

Task Description:

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

Task**4****Task Name:** Alternatives to Local Government Re-Organization**Schedule:** Months 6 – 8**Performance Measure Name/Deliverable:** Draft and Final Re-Organization Study**Task Description:**

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

Task**5****Task Name:** Public Meeting**Schedule:** Month 8**Performance Measure Name/Deliverable:** Meeting Summary Report**Task Description:**

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

Task**6****Task Name:** Final re-organization study, including re-organization plan and alternatives local government re-organization**Schedule:** Months 8 – 9**Performance Measure Name/Deliverable:** Draft and Final Re-Organization Study**Task Description:**

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

Task
7

Task Name: Public Hearing

Schedule: Month 9

Performance Measure Name/Deliverable: Minutes of Public Hearing

Task Description:

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

Task
8

Task Name: Project Close-Out

Schedule: Month 9

Performance Measure Name/Deliverable: NYSDOS Project Close-Out Documents

Task Description:

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

Appendix D

Minority-and Women-Owned Business Enterprises (MWBE)

CONTRACTOR REQUIREMENTS AND PROCEDURES FOR PARTICIPATION BY NEW YORK STATE-CERTIFIED MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISES, EQUAL EMPLOYMENT OPPORTUNITIES FOR MINORITY GROUP MEMBERS AND WOMEN, AND SERVICE-DISABLED VETERAN-OWNED BUSINESSES

I. MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISES PARTICIPATION

NEW YORK STATE LAW

Pursuant to New York State Executive Law Article 15-A and Parts 140-145 of Title 5 of the New York Codes, Rules and Regulations DOS is required to promote opportunities for the maximum feasible participation of New York State-certified Minority and Women-owned Business Enterprises (“MWBEs”) and the employment of minority group members and women in the performance of DOS contracts.

Business Participation Opportunities for MWBEs

The Department’s New York State-certified Minority and Women-owned Business Enterprises (“MWBEs”) utilization goal is 30%. For purposes of this solicitation, the specific MWBE goal and the breakdown between the Minority-owned Business Enterprise (“MBE”) and the Women-owned Business Enterprise (“WBE”) utilization goals shall be established post award and set forth in the DOS contract, in the Attachment B “Budget” (based on the current availability of MBEs and WBEs). A contractor (“Contractor”) on any contract resulting from this procurement (“Contract”) must document its good faith efforts to provide meaningful participation by MWBEs as subcontractors and suppliers in the performance of the Contract. To that end, by submitting a response to this RFA, the respondent agrees that DOS may withhold payment pursuant to any Contract awarded as a result of this RFA pending receipt of the required MWBE documentation. The directory of MWBEs can be viewed at: <https://ny.newnycontracts.com/frontend/vendorsearchpublic.asp>. For guidance on how DOS will evaluate a Contractor’s “good faith efforts,” refer to 5 NYCRR § 142.8.

The respondent understands that only sums paid to MWBEs for the performance of a commercially useful function, as that term is defined in 5 NYCRR § 140.1, may be applied towards the achievement of the applicable MWBE participation goal. The portion of a contract with an MWBE serving as a broker that shall be deemed to represent the commercially useful function performed by the MWBE shall be 25 percent of the total value of the broker’s contract.

FOR CONSTRUCTION CONTRACTS – The portion of a contract with an MWBE serving as a supplier that shall be deemed to represent the commercially useful function performed by the MWBE shall be 60 percent of the total value of the supplier’s contract. The portion of a contract with an MWBE serving as a broker that shall be deemed to represent the commercially useful function performed by the MWBE shall be the monetary value for fees, or the markup percentage, charged by the MWBE.

In accordance with 5 NYCRR § 142.13, the respondent further acknowledges that if it is found to have willfully and intentionally failed to comply with the MWBE participation goals set forth in a Contract resulting from this RFA, such finding constitutes a breach of contract and DOS may withhold payment 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.

By submitting a proposal, a respondent agrees to demonstrate its good faith efforts to achieve the applicable MWBE participation goals by submitting evidence thereof through the New York State Contract System (“NYSCS”), which can be viewed at <https://ny.newnycontracts.com>, provided, however, that a respondent may arrange to provide such evidence via a non-electronic method by contacting DOS. As a contractor of New York State, you have a responsibility to utilize certified minority- and/or women-owned businesses in the execution of your contracts, per the MWBE percentage goals stated in your solicitation, proposal or contract documents. Through the NYSCS you will submit utilization plans, request subcontractors, record payments to subcontractors, and communicate with your project manager throughout the life of your awarded contracts.

Applicants are required to submit the MWBE Compliance Form with their application.

Additionally, successful applicants will be required to submit the following documents and information within ten (10) business days after the applicant receives notice from DOS that the grant is being awarded as evidence of compliance with the foregoing:

An MWBE Utilization Plan (**Form D**) or a Certification Letter (**Form D-1**) stating their commitment to show due-diligence to comply with the MWBE goals and requirements. Any modifications or changes to an accepted 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 for review and approval.

The DOS shall review the submitted MWBE Utilization Plan or Certification Letter and issue a written notice of acceptance or notice of deficiency within 20 days of receipt of utilization plan or certification letter.

If a notice of deficiency is issued, the respondent will be required to respond to the notice of deficiency within seven (7) business days of receipt by submitting to the DOS, at the address provided below, a written remedy in response to the notice of deficiency. If the written remedy that is submitted is not timely or is found by DOS to be inadequate, DOS shall notify the respondent and direct the respondent to submit, within five (5) business days, a request for a partial or total waiver of MWBE participation goals. Failure to file the waiver form in a timely manner may be grounds for disqualification of the proposal.

Please see details under “**Additional Notices and Explanations Regarding the MWBE Program and this Request for Applications.**”

DOS may disqualify a respondent as being non-responsive under the following circumstances:

- a) If a respondent fails to submit an MWBE Utilization Plan or certification letter;
- b) If a respondent fails to submit a written remedy to a notice of deficiency;
- c) If a respondent fails to submit a request for waiver; or
- d) If DOS determines that the respondent has failed to document good faith efforts.

Successful applicant(s) will be required to 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.

Successful applicant(s) will be required to submit a quarterly M/WBE Contractor Compliance & Payment Report to DOS, by the 10th day following each end of quarter over the term of the Contract documenting the progress made toward achievement of the MWBE goals of the Contract.

Equal Employment Opportunity Requirements

By submission of a proposal in response to this solicitation, the respondent agrees with all of the terms and conditions of the New York State Master Grant Contract, Section IV (J) - Equal Employment Opportunities for Minorities and Women. The respondent is required to ensure that it and any subcontractors awarded a subcontract 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 respondent, 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.

Additionally, successful applicants will be required to submit the following documents and information within ten (10) business days after the applicant receives notice from DOS that the grant is being awarded as evidence of compliance with the foregoing:

- A. A Minority and Women-owned Business Enterprise and Equal Employment Opportunity Policy Statement (**Form A**) to DOS.
- B. A Workforce Utilization Report (**Form C**) and shall require each of its Subcontractors to submit a Workforce Utilization Report, in such format as shall be required by DOS on a quarterly basis during the term of the Contract, to the Bureau of Fiscal Management at:

Email: dos.sm.mwbe@dos.ny.gov

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 subcontractors will not discriminate against any employee or applicant for employment because of age, race, creed (religion), color, national origin, sexual orientation, gender identity or expression, military status, sex, disability, predisposing genetic characteristics, familial status, marital status or status as a victim of domestic violence or because the individual has opposed any practices forbidden under the Human Rights Law or has filed a complaint, testified, or assisted in any proceeding under the Human Rights Law, 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.

Additional Notices and Explanations Regarding the MWBE Program and Successful Applications to this Request for Applications:

If your project is selected for an award, you will be required to show due diligence to comply with all the MWBE contractual requirements, including meeting the goals for certified MWBE firms participation as stated in your Contract and in accordance with NYS Executive Law Article 15-A.

If an applicant chooses to move forward with a project prior to any award announcement, they are responsible for meeting MWBE requirements established by the State of New York. The requested plan, as described herein, 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 MWBE requirements.

Successful applicants notified by the NYS Contract System (System) that a record for the submission of the utilization plan has been created, must comply with this requirement by entering the Utilization Plan data in the System through the Statewide Utilization Management Plan (SUMP) module.

If you are unable to comply with the MWBE goals, you must request a waiver of these requirements by submitting to the DOS the REQUEST FOR WAIVER FORM E, found on the DOS funding page, for processing. Please note that the following information will be required to secure the waiver (all items may not apply to your case, but provide information and documentation for those that apply):

- 1. A DETAILED statement with the project description (any special characteristics, needs, specifications, etc.), and an explanation setting forth your basis and justification for requesting a partial or total waiver of the MWBE goals.
- 2. The names of general circulation, trade association, and MWBE-oriented publications in which you solicited certified MWBEs for the purposes of complying with your participation goals related to this Contract.

3. A list identifying the date(s) that all solicitations for certified MWBE participation were published in any of the above publications.
4. A list of all certified MWBEs appearing in the NYS Directory of Certified Firms that were solicited for purposes of complying with your certified MWBE participation levels.
5. Documentation of your search in the NYS Directory of Certified Firms (e.g.: Printouts, screenshots).
6. Copies of notices, dates of contact, letters, and other correspondence as proof that solicitations were made in writing and copies of such solicitations, or a sample copy of the solicitation, if an identical solicitation was made to all certified MWBEs. Any information and/or documentation to support the efforts to follow up with the MWBEs.
7. Copies of responses to your solicitations received by you from certified MWBEs
8. A description of any contract documents, plans, or specifications made available to certified MWBEs for purposes of soliciting their proposals and the date and manner in which these documents were made available.
9. Documentation of any negotiations between you and the MWBEs undertaken for purposes of complying with the certified MWBE participation goals.
10. Any other information you deem relevant which may help us in evaluating your request for a waiver.
11. The name, title, address, telephone number, and email address of your representative authorized to discuss and negotiate this waiver request.
12. Copy of notice of application receipt issued by Empire State Development (ESD), if subcontractors are not certified MWBE, but an application has been filed with ESD.

Please Note: 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.

II. SERVICE-DISABLED VETERAN-OWNED BUSINESSES PARTICIPATION

Article 3 of Veteran's Law, enacted April 1, 2023, authorized the creation of the Division of Service-Disabled Veterans' Business Development to promote participation of Service-Disabled Veteran-Owned Businesses (SDVOBs) in New York State contracting. The Service-Disabled Veteran-Owned Business Act recognizes the veterans' service to and sacrifice for our nation, declares that it is New York State's public policy to promote and encourage the continuing economic development of service-disabled veteran-owned businesses, and allows eligible Veteran business owners to become certified as a New York State Service-Disabled Veteran-Owned Business (SDVOB), in order to increase their participation in New York State's contracting opportunities. To this effect, DOS has implemented a Veteran-Owned Businesses (SDVOB) Program, as mandated by Article 3.

To comply with the SDVOB Program goals of 6%, the DOS strongly encourages grantees to make every effort, to the maximum extent possible, to engage certified SDVOBs in the purchasing of commodities, services and technology in the performance of their contracts with the Department. If SDVOB utilization is obtained, a quarterly SDVOB utilization report should be submitted to the Department with information of the utilization percentage achieved during that quarter. Contractor Reporting Forms are found at: <https://ogs.ny.gov/Veterans/>.

The Division of Service-Disabled Veterans' Business Development (DSDVBD) is housed within the New York State Office of General Services (OGS) and maintains a directory of the NYS Certified SDVOBs. For assistance with engaging SDVOB vendors in your contracts, please contact the Division of Service-Disabled Veterans' Business Development at the following email address: VeteransDevelopment@ogs.ny.gov, or the Bureau of Fiscal Management – SDVOB Program at dos.sm.sdvob@dos.ny.gov. The directory of certified SDVOB vendors can be found at: https://ogs.ny.gov/Veterans/Docs/CertifiedNYS_SDVOB.pdf

Appendix E - Sample State Contract

STATE OF NEW YORK CONTRACT FOR GRANTS FACE PAGE

STATE AGENCY (Name & Address):	BUSINESS UNIT/DEPT. ID: CONTRACT NUMBER: CONTRACT TYPE (select one): ☐ Multi-Year Agreement ☐ Simplified Renewal Agreement ☐ Fixed Term Agreement
CONTRACTOR NAME:	TRANSACTION TYPE: ☐ New ☐ Renewal (list periods): ☐ Amendment (list periods):
CONTRACTOR IDENTIFICATION NUMBERS: NYS Vendor ID Number: Federal Tax ID Number:	PROJECT NAME: ASSISTANCE LISTINGS (formerly CFDA) NUMBER (ALN) (Federally Funded Grants Only):
CONTRACTOR PRIMARY MAILING ADDRESS: CONTRACTOR PAYMENT ADDRESS: ☐ Check if same as primary mailing address CONTRACT MAILING ADDRESS: ☐ Check if same as primary mailing address CONTRACTOR PRIMARY E-MAIL ADDRESS:	CONTRACTOR STATUS: ☐ For Profit ☐ Municipality ☐ Tribal Nation ☐ Individual ☐ Not-for-Profit Charities Registration Number: Exemption Status/Code: ☐ Sectarian Entity

Contract Number: # _____
 Page 1 of 2, Contract for Grants - Face Page

January 2025

STATE OF NEW YORK CONTRACT FOR GRANTS FACE PAGE

CURRENT CONTRACT TERM: From: _____ To: _____ AMENDED TERM: From: _____ To: _____		CONTRACT FUNDING AMOUNT <i>(Fixed Term - enter current period amount; Simplified Renewal - enter cumulative amount to date; Multi-year - enter total projected amount of the contract);</i> CURRENT: AMENDED: FUNDING SOURCE(S) ☐ State ☐ Federal ☐ Other
ATTACHMENTS INCLUDED AS PART OF THIS AGREEMENT (select all that apply): Appendix A Attachment A: ☐ A-1 Agency Specific Terms and Conditions ☐ A-2 Program Specific Terms and Conditions ☐ A-3 Federally Funded Grants and Requirements Mandated by Federal Laws Attachment B: ☐ B-1 Expenditure Based Budget ☐ B-2 Performance Based Budget ☐ B-3 Capital Budget ☐ B-4 Net Deficit Budget ☐ B-1(A) Expenditure Based Budget (Amendment) ☐ B-2(A) Performance Based Budget (Amendment) ☐ B-3(A) Capital Budget (Amendment) ☐ B-4(A) Net Deficit Budget (Amendment) Attachment C: Work Plan Attachment D: Payment and Reporting Other: _____		

Contract Number: # _____
 Page 2 of 2, Contract for Grants - Face Page

January 2025

IN WITNESS THEREOF, the parties hereto have executed or approved this Contract for Grants on the dates below their signatures.

CONTRACTOR:

By: _____

Printed Name

Title: _____

Date: _____

STATE AGENCY:

By: _____

Printed Name

Title: _____

Date: _____

STATE OF NEW YORK

County of _____

On the ____ day of _____, _____, before me personally appeared _____, to me known, who being by me duly sworn, did depose and say they reside at _____, that they are the _____ of the _____, the contractor described herein which executed the foregoing instrument; and that they signed their name thereto as authorized by the contractor named on the face page of this Contract for Grants.

(Notary) _____

ATTORNEY GENERAL'S SIGNATURE

Printed Name

Title: _____

Date: _____

STATE COMPTROLLER'S SIGNATURE

Printed Name

Title: _____

Date: _____

Contract Number: # _____
Page 1 of 1, Contract for Grants Signature Page

January 2025

STATE OF NEW YORK CONTRACT FOR GRANTS

This State of New York Contract for Grants, including all attachments and appendices (hereinafter referred to as "Contract" or "Agreement"), is hereby made by and between the State of New York acting by and through the applicable State Agency (State or Agency) and the public or private entity (Contractor) identified on the face page hereof (Face Page).

WITNESSETH:

WHEREAS, the State has the authority to regulate and provide funding for the operation of a program or performance of a service; and desires to contract with a responsive and responsible Contractor possessing the necessary resources to provide such services or work; and

WHEREAS, the Contractor is ready, willing, and able to provide such services or work and possesses or can make available all necessary qualified personnel, licenses, facilities and expertise to perform or have performed the services or work, as applicable, required pursuant to and in compliance with the terms of the Contract, specifications outlined in the grant solicitation, resulting award, and other associated documents comprising the Agreement.

NOW THEREFORE, in consideration of the promises, responsibilities, and covenants herein, the State and the Contractor agree to as follows:

STANDARD TERMS AND CONDITIONS

I. GENERAL PROVISIONS

A. Order of Precedence: In the event of a conflict among (i) the terms of the Contract or (ii) between the terms of the Contract and the original request for proposal, solicitation document, the program application or other documentation that was completed and executed by the Contractor in connection with a grant award, the order of precedence is as follows:

1. Appendix A – Standard Clauses for New York State Contracts
2. Contract for Grants Standard Terms and Conditions
3. Modifications to the Face Page
4. Modifications to Attachment A-2: Program Specific Terms and Conditions; Attachment A-3: Federally Funded Grants and Requirements Mandated by Federal Laws (modifications not required by the Federal government)¹, Attachment B: Budget, Attachment C: Work Plan, and Attachment D: Payment and Reporting
5. The Face Page

¹ For modifications required by the Federal government see Section I(M).

6. Attachment A-2: Program Specific Terms and Conditions, Attachment A-3: Federally Funded Grants and Requirements Mandated by Federal Laws, Attachment B: Budget, Attachment C: Work Plan; and Attachment D: Payment and Reporting
7. Modifications to Attachment A-1: Agency Specific Terms and Conditions
8. Attachment A-1: Agency Specific Terms and Conditions
9. Other attachments, including, but not limited to, the request for proposal or program application, if incorporated by reference on the Face Page

The documents above, collectively, comprise the entire Agreement and govern the program for the entirety of the term of the Contract and any resulting renewals.

B. Funding: Funding for the term of the Contract shall not exceed the amount specified as “Contract Funding Amount” on the Face Page or as subsequently revised to reflect an approved renewal or cost amendment. Funding for the initial and subsequent periods of the Contract shall not exceed the applicable amounts specified in the applicable Attachment B form (Budget).

C. Contract Performance: The Contractor shall perform all services or work, as applicable, and comply with all provisions of the Contract to the satisfaction of the State. The Contractor shall provide services or work, as applicable, and meet the program objectives summarized in Attachment C (Work Plan) in accordance with the provisions of the Contract, relevant laws, rules and regulations, administrative, program and fiscal guidelines, and where applicable, operating certificate for facilities or licenses for an activity or program.

D. Modifications: Any modifications to this Agreement, including any budgetary changes, must be mutually agreed to in writing by both parties and be reflected on the Face Page where such terms are modified. Modifications may be subject to the approval of the AG and OSC in accordance with Appendix A, Section 3, Comptroller's Approval. A modification that would result in a transfer of funds among program activities or budget cost categories that does not affect the amount, consideration, scope or other terms of such Contract may be subject to the approval of the AG and OSC where the amount of such modification is, as a proportion of the total value of the Contract, equal to or greater than ten percent for contracts of five million dollars or less, or five percent for contracts of more than five million dollars. Modifications that are not subject to the AG and OSC approval shall be processed in accordance with the guidelines stated in the Contract.

E. Severability: Any provision of the Contract that is held to be invalid, illegal or unenforceable in any respect by a court of competent jurisdiction, shall be ineffective only to the extent of such invalidity, illegality or unenforceability, without affecting in any way the remaining provisions hereof; provided, however, that the parties to the Contract shall attempt in good faith to reform the Contract in a manner consistent with the intent of any such ineffective provision for the purpose of carrying out such intent. If any provision is held void, invalid or unenforceable with respect to particular circumstances, it shall nevertheless remain in full force and effect in all other circumstances.

F. Interpretation: The headings in the Contract are inserted for convenience and reference only and do not modify or restrict any of the provisions herein. All personal pronouns used herein shall be considered gender neutral. The Contract has been made under the laws of the State of New York, and the venue for

Contract Number: # _____
Page 2 of 13 Contract for Grants - Standard Terms and Conditions

January 2025

resolving any disputes hereunder shall be in a court of competent jurisdiction of the State of New York.

G. Notice: All Notices under this Contract, including termination notices, shall be made in writing and directed to the representatives identified herein, or their designees and shall be transmitted by: a) certified or registered United States mail, return receipt requested; b) facsimile transmission; c) personal delivery; d) expedited delivery service; and/or e) e-mail. Notice shall be deemed to have been given either at the time of personal delivery or, in the case of expedited delivery service or certified or registered United States mail, as of the date of first attempted delivery at the address and in the manner provided herein, or in the case of facsimile transmission or e-mail, upon receipt.

The parties may, on written notice, designate other individuals as their representatives. Such representatives shall request, oversee, supervise, and accept performance of services provided by the Contractor and shall receive any required submissions. Whenever an action is to be taken, or approval for services given by the Agency, such action or approval may be given only by the representatives designated pursuant to this Section.

H. Indemnification: The Contractor shall be solely responsible and answerable in damages for all accidents, incidents, and/or injuries to persons (including death) or property arising out of or related to the services to be rendered by the Contractor or its subcontractors pursuant to this Contract. The Contractor shall indemnify and hold harmless the State and its officers and employees from claims, suits, actions, damages, and cost of every nature arising out of the provision of services pursuant to the Contract.

I. Legal Action: No litigation or regulatory action shall be brought against the State of New York, the State Agency, or against any county or other local government entity with funds provided under the Contract. The term "litigation" shall include commencing or threatening to commence a lawsuit, joining, or threatening to join as a party to ongoing litigation, or requesting any relief from the State of New York, the State Agency, or any county, or other local government entity. The term "regulatory action" shall include commencing or threatening to commence a regulatory proceeding or requesting any regulatory relief from the State of New York, the State Agency, or any county, or other local government entity.

J. Partisan Political Activity and Lobbying: Funds provided pursuant to the Contract shall not be used for any partisan political activity, or for activities that attempt to influence legislation or election or defeat of any candidate for public office.

K. Reporting Fraud and Abuse: Contractor acknowledges that it has reviewed information on how to prevent, detect, and report fraud, waste, and abuse of public funds, including information about the Federal False Claims Act, the New York State False Claims Act, and whistleblower protections and will comply with requirements therein.

L. Reporting Risks to Performance: If any specific event, conjunction of circumstances, or any occurrence involving the staff, volunteers, directors, officers, subcontractors, or program participants of the Contractor threatens the successful completion of this project, in whole or in part, the Contractor agrees to notify the State Agency within three (3) calendar days of becoming aware of the occurrence describing the occurrence and the risk it poses to performance under the Contract. The Contractor's notice shall include a written description of the event and a recommended solution. Such events may include, but not be limited to, death or serious injury, an arrest or possible criminal activity.

M. Federally Funded Grants and Requirements Mandated by Federal Laws: All the Specific Federal

requirements that are applicable to the Contract are identified in Attachment A-3 (Federally Funded Grants and Requirements Mandated by Federal Laws), attached hereto. To the extent that the Contract is funded, in whole or part, with Federal funds or mandated by Federal laws: (i) the provisions of the Contract that conflict with Federal rules, Federal regulations, or Federal program specific requirements shall not apply and (ii) to the extent that the modifications to Attachment A-3 are required by Federal requirements and conflict with other provisions of the Contract, the modifications to Attachment A-3 shall supersede all other provisions of this Contract; and (iii) the Contractor agrees to comply with all applicable Federal rules, regulations and program specific requirements including, but not limited to, those provisions that are set forth in Attachment A-3 (Federally Funded Grants and Requirements Mandated by Federal Laws), attached hereto.

N. Renewal:

1. **General Renewal:** The Contract may consist of successive periods on the same terms and conditions, as specified within the Contract (a "Simplified Renewal Contract"). Each additional or superseding period shall be on the forms specified by the State and shall be incorporated in the Contract.
2. **Renewal Notice to Not-for-Profit Contractors:** The Contract, as specified herein, may consist of successive periods on the same terms and condition referred to as a "Simplified Renewal Contract." Each additional or superseding period shall be on the forms specified by the State and shall be incorporated into the Contract. Pursuant to State Finance Law §179-t, if the Contract is with a not-for-profit Contractor and provides for a renewal option, the State shall notify the Contractor of the State's intent to renew or not to renew the Contract no later than ninety (90) calendar days prior to the end of the term of the Contract, unless funding for the renewal is contingent upon enactment of an appropriation, than thirty (30) calendar days after the appropriation becomes law, whichever is later. Notwithstanding the foregoing, in the event the State is unable to comply with the time frames set forth in this paragraph due to unusual circumstances beyond the control of the State ("Unusual Circumstances"), no payment of interest shall be due to the Contractor. For purposes of State Finance Law §179-t, "Unusual Circumstances" shall not mean the failure by the State to (i) plan for implementation of a program, (ii) assign sufficient staff resources to implement a program, (iii) establish a schedule for the implementation of a program or (iv) anticipate any other reasonably foreseeable circumstance. Notification to the Contractor of the State's intent to not renew the Contract must be in writing in the form of a letter, with the reason(s) for the non-renewal included. If the State does not provide notice to the Contractor of its intent not to renew the Contract as required in this Section and State Finance Law §179-t, the Contract shall be deemed continued until the date the State provides the necessary notice to the Contractor, in accordance with State Finance Law §179-t. Expenses incurred by the not-for-profit Contractor during such extension shall be reimbursable under the terms of the Contract.

II. TERMINATION AND SUSPENSION

A. Termination:

1. Grounds:

- a) Mutual Consent: The Contract may be terminated at any time upon mutual written consent of the State and the Contractor.

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b) Cause: The State may terminate the Contract immediately, upon written notice of termination to the Contractor, if the Contractor fails to comply with any of the terms and conditions of the Contract and/or any applicable laws, rules, regulations, policies, or procedures. If the termination for cause results from unsatisfactory performance by the Contractor, the value of the work performed by the Contractor prior to termination shall be established by the State.

c) Non-Responsibility: Upon written notice to the Contractor, and a reasonable opportunity to be heard by the appropriate State officials or staff, this Contract may be terminated by the State at the Contractor's expense where the Contractor is determined by the State to be non-responsible. In such event, the State may complete contractual requirements in any manner it deems advisable and pursue available legal or equitable remedies for breach.

d) Convenience: The State may terminate the Contract in its sole discretion upon thirty (30) calendar days prior written notice.

e) Lack of Funds: If for any reason the State or the Federal government terminates or reduces its appropriation to the applicable State Agency or entity entering into the Contract or fails to pay the full amount of the allocation for the operation of one or more programs funded under this Contract, the Contract may be terminated or reduced at the State Agency's discretion. No reduction or termination shall apply to allowable costs already incurred by the Contractor whereby funds are available to the State Agency for payment of such costs. Upon termination or reduction of the Contract, all remaining funds paid to the Contractor that are not subject to allowable costs already incurred by the Contractor shall be returned to the State Agency. In any event, no liability shall be incurred by the State (including the State Agency) beyond monies available for the purposes of the Contract. The Contractor acknowledges that any funds due to the State Agency or the State of New York because of disallowed expenditures after audit shall be the Contractor's responsibility.

f) Force Majeure: Performance under the Contract may be terminated or suspended by the State immediately upon the occurrence of a "force majeure" event. For purposes of the Contract, "Force majeure" shall include, but not be limited to, natural disasters, war, rebellion, declared pandemics, insurrection, riot, strikes, lockout, and any unforeseen circumstances and acts beyond the control of the parties which render the performance of contractual obligations impossible.

2. Effect of Notice and Termination on State's Payment Obligations:

Upon receipt of notice of termination provided pursuant to the notice requirements prescribed in this Agreement, the Contractor shall stop work immediately and complete only those specific assignments and/or obligations, if any, subsequently approved by the State. In the event of termination other than for cause, the Contractor shall be entitled to compensation for services performed through the date of termination that are accepted by the State, and for any subsequent services that are accepted by the State, rendered in connection with any successor consultants and contractors, including transfer of records, briefing and any other services deemed necessary or desirable by the State. The Contractor agrees to cooperate to the fullest respect with any successor consultants and contractors.

3. Effect of Termination Based on Misuse or Conversion of State or Federal Property:

Where the Contract is terminated for cause based on Contractor's failure to use some or all of the real property or equipment purchased pursuant to the Contract for the purposes set forth herein, the State

Contract Number: # _____
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January 2025

may, at its option, require: a) repayment to the State of any monies previously paid to the Contractor; b) return of any real property or equipment purchased under the terms of the Contract; or c) an appropriate combination of clauses (a) and (b) herein.

Nothing herein shall be intended to limit the State's ability to pursue such other legal or equitable remedies as may be available.

4. Suspension:

The State may, in its discretion, order the Contractor to suspend performance for a reasonable period of time. In the event of such suspension, the Contractor shall be given formal written notice outlining the specific details of such suspension. Upon issuance of such notice, the Contractor shall comply with the particulars of the notice. The State shall have no obligation to reimburse Contractor's expenses during such suspension period. Activities may resume at such time as the State issues a formal written notice authorizing a resumption of performance under the Contract.

III. ADDITIONAL OBLIGATIONS, REPRESENTATIONS AND WARRANTIES

A. Contractor as an Independent Contractor/Employees:

1. The State and the Contractor agree that the Contractor is an independent contractor, and not an employee of the State and may neither hold itself out nor claim to be an officer, employee, or subdivision of the State nor make any claim, demand, or application to or for any right based upon any different status. Notwithstanding the foregoing, the State and the Contractor agree that if the Contractor is a New York State municipality, the Contractor shall be permitted to hold itself out, and claim, to be a subdivision of the State.

The Contractor shall be solely responsible for the recruitment, hiring, provision of employment benefits, payment of salaries and management of its project personnel. These functions shall be carried out in accordance with the provisions of the Contract, and all applicable Federal and State laws and regulations.

2. The Contractor warrants that it, its staff, and any and all subcontractors have all the necessary licenses, approvals, and certifications currently required by the laws of any applicable local, state, or Federal government to perform the services or work, as applicable, pursuant to the Contract and/or any subcontract entered into under the Contract. The Contractor further agrees that such required licenses, approvals, and certificates shall be kept in full force and effect during the term of the Contract, or any extension thereof, and to secure any new licenses, approvals, or certificates within the required time frames and/or to require its staff and subcontractors to obtain the requisite licenses, approvals, or certificates. In the event the Contractor, its staff, and/or subcontractors are notified of a denial or revocation of any license, approval, or certification to perform the services or work, as applicable, under the Contract, Contractor shall immediately notify the State.

B. Subcontractors:

1. If the Contractor enters into subcontracts for the performance of work pursuant to the Contract, the Contractor shall take full responsibility for the acts and omissions of its subcontractors. Nothing in the subcontract shall impair the rights of the State under the Contract. No contractual relationship shall be deemed to exist between the subcontractor and the State.

2. If requested by the State, the Contractor agrees not to enter into any subcontracts, or revisions to subcontracts, that are in excess of \$100,000 for the performance of the obligations contained herein until it has received the prior written permission of the State, which shall have the right to review and approve each and every subcontract in excess of \$100,000 prior to giving written permission to the Contractor to enter into the subcontract. All agreements between the Contractor and subcontractors shall be by written contract, signed by individuals authorized to bind the parties. All such subcontracts shall contain provisions for specifying (1) that the work performed by the subcontractor must be in accordance with the terms of the Contract, (2) that nothing contained in the subcontract shall impair the rights of the State under the Contract, and (3) that nothing contained in the subcontract, nor under the Contract, shall be deemed to create any contractual relationship between the subcontractor and the State. In addition, subcontracts shall contain any other provisions which are required to be included in subcontracts pursuant to the terms herein.

3. If requested by the State, the Contractor agrees to require the subcontractor to provide to the State the information the State needs to determine whether a proposed subcontractor is a responsible vendor.

4. When a subcontract equals or exceeds \$100,000, the subcontractor shall submit a Vendor Responsibility Questionnaire (Questionnaire).

5. If requested by the State, upon the execution of a subcontract, the Contractor shall provide detailed subcontract information (a copy of subcontract will suffice) to the State within fifteen (15) calendar days after execution. The State may request from the Contractor copies of subcontracts between a subcontractor and its subcontractor.

6. The Contractor shall require any and all subcontractors to submit to the Contractor all financial claims for Services or work to the State agency, as applicable, rendered and required supporting documentation and reports as necessary to permit Contractor to meet claim deadlines and documentation requirements as established in Attachment D (Payment and Reporting). Subcontractors shall be paid by the Contractor on a timely basis after submitting the required reports and vouchers for reimbursement of services or work, as applicable. Subcontractors shall be informed by the Contractor of the possibility of non-payment or rejection by the Contractor of claims that do not contain the required information, and/or are not received by the Contractor by said due date.

C. Use of Material, Equipment, Or Personnel:

1. The Contractor shall not use materials, equipment, or personnel paid for under the Contract for any activity other than those provided for under the Contract, except with the State's prior written permission.

2. Any interest accrued on funds paid to the Contractor by the State shall be deemed to be the property of the State and shall either be credited to the State at the close-out of the Contract or, upon the written permission of the State, shall be expended on additional services or work, as applicable, provided for under the Contract.

D. Property:

1. For the purposes of the Contract, "Property" is defined as real property, equipment, or tangible

personal property having a useful life of more than one year and an acquisition cost of \$1,000 or more per unit. For Federally funded contracts, if there is any conflict in the definition of "Property" the federal awarding Agency definitions will apply.

- a) If an item of Property required by the Contractor is available as surplus to the State, the State at its sole discretion, may arrange to provide such Property to the Contractor in lieu of the purchase of such Property. Such Property shall be returned to the State at the Contractor's cost and expense upon the expiration of the Contract unless the State consents in writing to the Contractor retaining possession of the Property to use for similar purposes.
 - b) In addition, the Contractor agrees to permit the State to inspect the Property and to monitor its use at reasonable intervals during the Contractor's regular business hours.
 - c) The Contractor shall be responsible for maintaining and repairing Property purchased or procured under the Contract at its own cost and expense. The Contractor shall procure and maintain insurance at its own cost and expense in an amount satisfactory to the State Agency, naming the State Agency as an additional insured, covering the loss, theft, or destruction of such equipment. The Contractor may not charge rental or use fees under this Contract for use or acquisition of Property to carry out its obligations under the Contract.
 - d) The State has the right to review and approve in writing any new contract for the purchase of or lease for rental of Property (Purchase/Lease Contract) operated in connection with the provision of the services or work as specified in the Contract, if applicable, and any modifications, amendments, or extensions of an existing lease or purchase prior to its execution. If, in its discretion, the State disapproves of any Purchase/Lease Contract, then the State shall not be obligated to make any payments for such Property.
 - e) No member, officer, director, or employee of the Contractor shall retain or acquire any interest, direct or indirect, in any Property, paid for with funds under the Contract, nor retain any interest, direct or indirect, in such, without full and complete prior disclosure of such interest and the date of acquisition thereof, in writing to the Contractor and the State.
2. For non-Federally funded contracts, unless otherwise provided herein, the State shall have the following rights to Property purchased with funds provided under the Contract:
- a) For cost-reimbursable contracts, all right, title and interest in Property with a remaining useful life shall belong to the State unless otherwise agreed to, in writing, by the State and the Contractor. However, upon agreement by the State, title shall pass to Contractor upon the end of the Property's useful life (as the phrase "useful life" is defined in Internal Revenue Code § 1.169-2).
 - b) For performance-based contracts, all right, title and interest in such Property shall belong to the Contractor.
3. For Federally funded contracts, title to Property whose requisition cost is borne in whole or in part by monies provided under the Contract shall be governed by the terms and conditions of Attachment A-3 (Federally Funded Grants and Requirements Mandated by Federal Laws).
4. The Contractor shall maintain an inventory of all Property that is owned by the State and obtained

by the Contractor under this Agreement.

5. The Contractor shall execute any documents which the State may reasonably require to effectuate the provisions of this section.

E. Records and Audits:

1. General:

- a) The Contractor shall establish and maintain, in paper or electronic format, complete and accurate books, records, documents, receipts, accounts, and other evidence directly pertinent to its performance under the Contract (collectively, Records).
- b) The Contractor agrees to produce and retain for the balance of the term of the Contract, and for a period of six years from the later of the date of (i) the Contract and (ii) the most recent renewal of the Contract, any and all Records necessary to substantiate upon audit, the proper deposit and expenditure of funds received under the Contract. Such Records may include, but not be limited to, original books of entry (e.g., cash disbursements and cash receipts journal), and the following specific records (as applicable) to substantiate the types of expenditures noted:
 - (i) personal service expenditures: cancelled checks and the related bank statements, time and attendance records, payroll journals, cash and check disbursement records including copies of money orders and the like, vouchers and invoices, records of contract labor, any and all records listing payroll and the money value of non-cash advantages provided to employees, time cards, work schedules and logs, employee personal history folders, detailed and general ledgers, sales records, miscellaneous reports and returns (tax and otherwise), and cost allocation plans, if applicable.
 - (ii) payroll taxes and fringe benefits: cancelled checks, copies of related bank statements, cash and check disbursement records including copies of money orders and the like, invoices for fringe benefit expenses, miscellaneous reports and returns (tax and otherwise), and cost allocation plans, if applicable.
 - (iii) non-personal services expenditures: original invoices/receipts, cancelled checks and related bank statements, consultant agreements, leases, and cost allocation plans, if applicable.
 - (iv) receipt and deposit of advance and reimbursements: itemized bank stamped deposit slips, and a copy of the related bank statements.
- c) The OSC, AG and any other person or entity authorized to conduct an examination, as well as the State Agency or State Agencies involved in the Contract that provided funding, shall have access to the Records during the hours of 9:00 a.m. until 5:00 p.m., Monday through Friday (excluding State recognized holidays), at an office of the Contractor within the State of New York or, if no such office is available, at a mutually agreeable and reasonable venue within the State, for the term specified above for the purposes of inspection, auditing and copying.
- d) The State shall protect from public disclosure any of the Records which are exempt from disclosure under Section 87 of the Public Officers Law provided that: (i) the Contractor shall

timely inform an appropriate State official, in writing, that said records should not be disclosed; and (ii) said records shall be sufficiently identified; and (iii) designation of said records, as exempt under Section 87 of the Public Officers Law, is reasonable.

- e) Nothing contained herein shall diminish, or in any way adversely affect, the State's rights in connection with its audit and investigatory authority or the State's rights in connection with discovery in any pending or future litigation.

F. Confidentiality:

1. Contractor agrees that it will not use confidential, personally identifiable information relating to individuals who may receive services, or proprietary information disclosed to Contractor in connection with the services or work ("Confidential Information") for any purpose other than in connection with the services or work and in compliance with all applicable provisions of State and federal law. The Contractor is fully responsible for its staff, its subcontractor(s), and any subcontractor's staff with regard to Confidential Information and shall ensure that they meet all obligations with respect to maintaining the confidentiality and security of any information deemed confidential.
2. Information which falls into any of the following categories shall not be considered Confidential Information: a) information that is previously rightfully known to the Contractor without restriction on disclosure; b) information that becomes, from no breach of the Contract on the part of the Contractor, generally known in the relevant industry, or is otherwise publicly available; and c) information that is independently developed by Contractor without use of the Confidential Information.
3. Except as specifically permitted in this Agreement, Contractor shall not, at any time, in any fashion, form or manner, divulge, disclose, communicate, or use, any Confidential Information other than in connection with the services or as otherwise provided herein.
4. Contractor may disclose Confidential Information if such information is required to be disclosed by Contractor by any law, rule, regulation, judicial or administrative process or applicable professional standards, provided that, to the extent permitted by applicable law or regulation, the Contractor notifies the State prior to any such required disclosure.
5. Where allowable by law and agreed to by the State, Contractor may retain one copy of the Confidential Information and any summaries, analyses, notes, or extracts prepared by Contractor which are based on or contain portions of the Confidential Information evidencing its services or work for the State as required by law, regulation, professional standards, or reasonable business practice.
6. In protecting the Confidential Information, Contractor shall exercise the same standard of care used by Contractor to protect its own confidential and proprietary information, to prevent the disclosure of Confidential Information to any third party. Contractor shall not use Confidential Information for any purpose other than in furtherance of its services or work for the State.

G. Publicity:

1. Publicity regarding the work, services, performance, and/or project governed by this Agreement may not be released without prior written approval from the State. For the purposes of this Agreement, "Publicity" includes, but is not limited to: news conferences; news releases; public announcements; advertising; brochures; reports; discussions or presentations at conferences or

meetings; and/or the inclusion of State materials, the State's name, or other such references to the State in any document or forum.

2. Any Publicity, publications, presentations or announcements of conferences, meetings or trainings which are funded in whole or in part through any activity supported under the Contract may not be published, presented or announced without prior written approval of the State. Any such publication, presentation or announcement shall:

- a) Acknowledge the support of the State of New York and, if funded with Federal funds, the applicable Federal funding agency; and
- b) State that the opinions, results, findings and/or interpretations of data contained therein are the responsibility of the Contractor and do not necessarily represent the opinions, interpretations, or policy of the State or if funded with Federal funds, the State and the applicable Federal funding agency.

3. Notwithstanding the above, (i) if the Contractor is an educational research institution, the Contractor may, for scholarly or academic purposes, use, present, discuss, report or publish any material, data or analyses, other than Confidential Information, that derives from activity under the Contract and the Contractor agrees to use best efforts to provide copies of any manuscripts arising from Contractor's performance under this Contract, or if requested by the State, the Contractor shall provide the State with a thirty (30) calendar day period in which to review each manuscript for compliance with Confidential Information requirements prior to publication; or (ii) if the Contractor is not an educational research institution, the Contractor may submit for publication, scholarly or academic publications that derive from activity under the Contract (but are not deliverable under the Contract), provided that the Contractor first submits such manuscripts to the State forty-five (45) calendar days prior to submission for consideration by a publisher in order for the State to review the manuscript for compliance with confidentiality requirements and restrictions and to make such other comments as the State deems appropriate. All derivative publications shall follow the same acknowledgments and disclaimer as described in Section III(F)(2) (Publicity) hereof.

H. Web-Based Applications-Accessibility:

Any network-based information and applications development, or programming delivered to or by the State pursuant to this Contract or procurement, will comply with Section 508 of the Rehabilitation Act of 1973, as amended, and be consistent with New York State Enterprise IT Policy NYS-P08-005, Accessibility of Information Communication Technology, as such policy may be amended, modified, or superseded (the "Accessibility Policy"). The Accessibility Policy requires that State Entity Information Communication Technology shall be accessible to persons with disabilities as determined by accessibility compliance testing. Such accessibility compliance testing will be conducted by (State Entity name, contractor or other) and any report on the results of such testing must be satisfactory to (State Entity name).

I. Unemployment Insurance Compliance:

The Contractor shall remain current in both its quarterly reporting and payment of contributions or payments in lieu of contributions, as applicable, to the State Unemployment Insurance system as a condition of maintaining this grant.

1. The Contractor hereby authorizes the State Department of Labor to disclose to the State Agency staff only such information as is necessary to determine the Contractor's compliance with the State Unemployment Insurance Law. This includes, but is not limited to, the following: a) any records of unemployment insurance (UI) contributions, interest, and/or penalty payment arrears or reporting delinquency; b) any debts owed for UI contributions, interest, and/or penalties; c) the history and results of any audit or investigation; and d) copies of wage reporting information.
2. Such disclosures are protected under Section 537 of the State Labor Law, which makes it a misdemeanor for the recipient of such information to use or disclose the information for any purpose other than the performing due diligence as a part of the approval process for the Contract.

J. Charities Registration:

If applicable, the Contractor agrees to (i) obtain not-for-profit status, a Federal identification number, and a charitable registration number (or a declaration of exemption) and to furnish the State Agency with this information as soon as it is available, (ii) be in compliance with the OAG charities registration requirements at the time of the awarding of this Contract by the State and (iii) remain in compliance with the OAG charities registration requirements throughout the term of the Contract.

K. Vendor Responsibility:

The Contractor hereby acknowledges that the State Vendor Responsibility Questionnaire (Questionnaire) and certification are made part of this Contract and that any misrepresentation of fact in the Questionnaire and attachments, or in any Contractor responsibility information that may be requested by the State, may result in termination of this Contract.

The Contractor shall at all times during the contract term remain responsible. During the term of this Contract, any changes in the provided Questionnaire shall be disclosed to the State Agency, in writing, in a timely manner. Failure to make such disclosure may result in a determination of non-responsibility and termination of this Contract. Furthermore, the Contractor agrees, if requested by the State, it must present evidence of its continuing legal authority to do business in New York State, its integrity, experience, ability, prior performance, and organizational and financial capacity.

The State, in its sole discretion, reserves the right to make a final determination of non-responsibility at any time during the term of the Contract, based on any information provided in the Questionnaire and/or any updates, clarifications, or amendments thereof; and/or when it discovers information that calls into question the responsibility of the Contractor. Prior to making a final determination of non-responsibility, the State shall provide written notice to the Contractor that it has made a preliminary determination of non-responsibility. The State shall detail the reason(s) for the preliminary determination, and shall provide the Contractor with an opportunity to be heard.

The State reserves the right to suspend any or all activities under this Contract, upon discovery of such information warranting review of responsibility. In the event of such suspension, the Contractor will be given written notice outlining the particulars of such suspension. Upon issuance of such notice, the Contractor must comply with the terms of the suspension order. Contract activity may resume at such time as the State issues a written notice authorizing a resumption of performance under this Contract.

L. Workers' Compensation Benefits:

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1. In accordance with Section 142 of the State Finance Law, the Contract shall be void and of no force and effect unless the Contractor shall provide and maintain coverage during the life of the Contract for the benefit of such employees as are required to be covered by the provisions of the Workers' Compensation Law.

2. If a Contractor believes they are exempt from the Workers Compensation insurance requirement they must apply for an exemption.

APPENDIX A

STANDARD CLAUSES FOR NEW YORK STATE CONTRACTS

**PLEASE RETAIN THIS DOCUMENT
FOR FUTURE REFERENCE.**

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STANDARD CLAUSES FOR NYS CONTRACTS

The parties to the attached contract, license, lease, amendment or other agreement of any kind (hereinafter, "the contract" or "this contract") agree to be bound by the following clauses which are hereby made a part of the contract (the word "Contractor" herein refers to any party other than the State, whether a contractor, licensor, licensee, lessor, lessee or any other party):

1. EXECUTORY CLAUSE. In accordance with Section 41 of the State Finance Law, the State shall have no liability under this contract to the Contractor or to anyone else beyond funds appropriated and available for this contract.

2. NON-ASSIGNMENT CLAUSE. In accordance with Section 138 of the State Finance Law, this contract may not be assigned by the Contractor or its right, title or interest therein assigned, transferred, conveyed, sublet or otherwise disposed of without the State's previous written consent, and attempts to do so are null and void. Notwithstanding the foregoing, such prior written consent of an assignment of a contract let pursuant to Article XI of the State Finance Law may be waived at the discretion of the contracting agency and with the concurrence of the State Comptroller where the original contract was subject to the State Comptroller's approval, where the assignment is due to a reorganization, merger or consolidation of the Contractor's business entity or enterprise. The State retains its right to approve an assignment and to require that any Contractor demonstrate its responsibility to do business with the State. The Contractor may, however, assign its right to receive payments without the State's prior written consent unless this contract concerns Certificates of Participation pursuant to Article 5-A of the State Finance Law.

3. COMPTROLLER'S APPROVAL. In accordance with Section 112 of the State Finance Law, if this contract exceeds \$50,000 (or \$75,000 for State University of New York or City University of New York contracts for goods, services, construction and printing, and \$150,000 for State University Health Care Facilities) or if this is an amendment for any amount to a contract which, as so amended, exceeds said statutory amount, or if, by this contract, the State agrees to give something other than money when the value or reasonably estimated value of such consideration exceeds \$25,000, it shall not be valid, effective or binding upon the State until it has been approved by the State Comptroller and filed in his office. Comptroller's approval of contracts let by the Office of General Services, either for itself or its customer agencies by the Office of General Services Business Services Center, is required when such contracts exceed \$85,000. Comptroller's approval of contracts established as centralized contracts through the Office of General Services is required when such contracts exceed \$125,000, and when a purchase order or other procurement transaction issued under such centralized contract exceeds

\$200,000.

4. WORKERS' COMPENSATION BENEFITS. In accordance with Section 142 of the State Finance Law, this contract shall be void and of no force and effect unless the Contractor shall provide and maintain coverage during the life of this contract for the benefit of such employees as are required to be covered by the provisions of the Workers' Compensation Law.

5. NON-DISCRIMINATION REQUIREMENTS. To the extent required by Article 15 of the Executive Law (also known as the Human Rights Law) and all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor will not discriminate against any employee or applicant for employment, nor subject any individual to harassment, because of age, race, creed, color, national origin, citizenship or immigration status, sexual orientation, gender identity or expression, military status, sex, disability, predisposing genetic characteristics, familial status, marital status, or domestic violence victim status or because the individual has opposed any practices forbidden under the Human Rights Law or has filed a complaint, testified, or assisted in any proceeding under the Human Rights Law. Furthermore, in accordance with Section 220-e of the Labor Law, if this is a contract for the construction, alteration or repair of any public building or public work or for the manufacture, sale or distribution of materials, equipment or supplies, and to the extent that this contract shall be performed within the State of New York, Contractor agrees that neither it nor its subcontractors shall, by reason of race, creed, color, disability, sex, or national origin: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. If this is a building service contract as defined in Section 230 of the Labor Law, then, in accordance with Section 239 thereof, Contractor agrees that neither it nor its subcontractors shall by reason of race, creed, color, national origin, age, sex or disability: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. Contractor is subject to fines of \$50.00 per person per day for any violation of Section 220-e or Section 239 as well as possible termination of this contract and forfeiture of all moneys due hereunder for a second or subsequent violation.

6. WAGE AND HOURS PROVISIONS. If this is a public work contract covered by Article 8 of the Labor Law or a building service contract covered by Article 9 thereof, neither Contractor's employees nor the employees of its subcontractors may be required or permitted to work more than the number of hours or days stated in said statutes, except as otherwise provided in the Labor Law and as set forth in prevailing wage

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and supplement schedules issued by the State Labor Department. Furthermore, Contractor and its subcontractors must pay at least the prevailing wage rate and pay or provide the prevailing supplements, including the premium rates for overtime pay, as determined by the State Labor Department in accordance with the Labor Law. Additionally, effective April 28, 2008, if this is a public work contract covered by Article 8 of the Labor Law, the Contractor understands and agrees that the filing of payrolls in a manner consistent with Subdivision 3-a of Section 220 of the Labor Law shall be a condition precedent to payment by the State of any State approved sums due and owing for work done upon the project.

7. NON-COLLUSIVE BIDDING CERTIFICATION. In accordance with Section 139-d of the State Finance Law, if this contract was awarded based upon the submission of bids, Contractor affirms, under penalty of perjury, that its bid was arrived at independently and without collusion aimed at restricting competition. Contractor further affirms that, at the time Contractor submitted its bid, an authorized and responsible person executed and delivered to the State a non-collusive bidding certification on Contractor's behalf.

8. INTERNATIONAL BOYCOTT PROHIBITION. In accordance with Section 220-f of the Labor Law and Section 139-h of the State Finance Law, if this contract exceeds \$5,000, the Contractor agrees, as a material condition of the contract, that neither the Contractor nor any substantially owned or affiliated person, firm, partnership or corporation has participated, is participating, or shall participate in an international boycott in violation of the federal Export Administration Act of 1979 (50 USC App. Sections 2401 et seq.) or regulations thereunder. If such Contractor, or any of the aforesaid affiliates of Contractor, is convicted or is otherwise found to have violated said laws or regulations upon the final determination of the United States Commerce Department or any other appropriate agency of the United States subsequent to the contract's execution, such contract, amendment or modification thereto shall be rendered forfeit and void. The Contractor shall so notify the State Comptroller within five (5) business days of such conviction, determination or disposition of appeal (2 NYCRR § 105.4).

9. SET-OFF RIGHTS. The State shall have all of its common law, equitable and statutory rights of set-off. These rights shall include, but not be limited to, the State's option to withhold for the purposes of set-off any moneys due to the Contractor under this contract up to any amounts due and owing to the State with regard to this contract, any other contract with any State department or agency, including any contract for a term commencing prior to the term of this contract, plus any amounts due and owing to the State for any other reason including, without limitation, tax delinquencies, fee delinquencies or monetary penalties relative thereto. The State shall exercise its set-off rights in accordance with normal State practices including, in cases of set-off pursuant to an audit, the

finalization of such audit by the State agency, its representatives, or the State Comptroller.

10. RECORDS. The Contractor shall establish and maintain complete and accurate books, records, documents, accounts and other evidence directly pertinent to performance under this contract (hereinafter, collectively, the "Records"). The Records must be kept for the balance of the calendar year in which they were made and for six (6) additional years thereafter. The State Comptroller, the Attorney General and any other person or entity authorized to conduct an examination, as well as the agency or agencies involved in this contract, shall have access to the Records during normal business hours at an office of the Contractor within the State of New York or, if no such office is available, at a mutually agreeable and reasonable venue within the State, for the term specified above for the purposes of inspection, auditing and copying. The State shall take reasonable steps to protect from public disclosure any of the Records which are exempt from disclosure under Section 87 of the Public Officers Law (the "Statute") provided that: (i) the Contractor shall timely inform an appropriate State official, in writing, that said records should not be disclosed; and (ii) said records shall be sufficiently identified; and (iii) designation of said records as exempt under the Statute is reasonable. Nothing contained herein shall diminish, or in any way adversely affect, the State's right to discovery in any pending or future litigation.

11. IDENTIFYING INFORMATION AND PRIVACY NOTIFICATION. (a) Identification Number(s). Every invoice or New York State Claim for Payment submitted to a New York State agency by a payee, for payment for the sale of goods or services or for transactions (e.g., leases, easements, licenses, etc.) related to real or personal property must include the payee's identification number. The number is any or all of the following: (i) the payee's Federal employer identification number, (ii) the payee's Federal social security number, and/or (iii) the payee's Vendor Identification Number assigned by the Statewide Financial System. Failure to include such number or numbers may delay payment. Where the payee does not have such number or numbers, the payee, on its invoice or Claim for Payment, must give the reason or reasons why the payee does not have such number or numbers.

(b) Privacy Notification. (1) The authority to request the above personal information from a seller of goods or services or a lessor of real or personal property, and the authority to maintain such information, is found in Section 5 of the State Tax Law. Disclosure of this information by the seller or lessor to the State is mandatory. The principal purpose for which the information is collected is to enable the State to identify individuals, businesses and others who have been delinquent in filing tax returns or may have understated their tax liabilities and to generally identify persons affected by the taxes administered by the Commissioner of Taxation and Finance. The information will be used for tax administration purposes and for any other purpose authorized by law. (2) The personal information is

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requested by the purchasing unit of the agency contracting to purchase the goods or services or lease the real or personal property covered by this contract or lease. The information is maintained in the Statewide Financial System by the Vendor Management Unit within the Bureau of State Expenditures, Office of the State Comptroller, 110 State Street, Albany, New York 12236.

12. EQUAL EMPLOYMENT OPPORTUNITIES FOR MINORITIES AND WOMEN. In accordance with Section 312 of the Executive Law and 5 NYCRR Part 143, if this contract is: (i) a written agreement or purchase order instrument, providing for a total expenditure in excess of \$25,000.00, whereby a contracting agency is committed to expend or does expend funds in return for labor, services, supplies, equipment, materials or any combination of the foregoing, to be performed for, or rendered or furnished to the contracting agency; or (ii) a written agreement in excess of \$100,000.00 whereby a contracting agency is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon; or (iii) a written agreement in excess of \$100,000.00 whereby the owner of a State assisted housing project is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon for such project, then the following shall apply and by signing this agreement the Contractor certifies and affirms that it is Contractor's equal employment opportunity policy that:

(a) The Contractor will not discriminate against employees or applicants for employment because of race, creed, color, national origin, sex, age, disability or marital status, shall make and document its conscientious and active efforts to employ and utilize minority group members and women in its work force on State contracts and will undertake or continue existing programs of affirmative action to ensure that minority group members and women are afforded equal employment opportunities without discrimination. Affirmative action shall mean recruitment, employment, job assignment, promotion, upgradings, demotion, transfer, layoff, or termination and rates of pay or other forms of compensation;

(b) at the request of the contracting agency, the Contractor shall request each employment agency, labor union, or authorized representative of workers with which it has a collective bargaining or other agreement or understanding, to furnish a written statement that such employment agency, labor union or representative will not discriminate on the basis of race, creed, color, national origin, sex, age, disability or marital status and that such union or representative will affirmatively cooperate in the implementation of the Contractor's obligations herein; and

(c) the Contractor shall state, in all solicitations or advertisements for employees, that, in the performance of the State contract, all qualified applicants will be afforded equal

employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status.

Contractor will include the provisions of "(a), (b) and (c)" above, in every subcontract over \$25,000.00 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. Section 312 does not apply to: (i) work, goods or services unrelated to this contract; or (ii) employment outside New York State. The State shall consider compliance by a contractor or subcontractor with the requirements of any federal law concerning equal employment opportunity which effectuates the purpose of this clause. The contracting agency shall determine whether the imposition of the requirements of the provisions hereof duplicate or conflict with any such federal law and if such duplication or conflict exists, the contracting agency shall waive the applicability of Section 312 to the extent of such duplication or conflict. Contractor will comply with all duly promulgated and lawful rules and regulations of the Department of Economic Development's Division of Minority and Women's Business Development pertaining hereto.

13. CONFLICTING TERMS. In the event of a conflict between the terms of the contract (including any and all attachments thereto and amendments thereof) and the terms of this Appendix A, the terms of this Appendix A shall control.

14. GOVERNING LAW. This contract shall be governed by the laws of the State of New York except where the Federal supremacy clause requires otherwise.

15. LATE PAYMENT. Timeliness of payment and any interest to be paid to Contractor for late payment shall be governed by Article 11-A of the State Finance Law to the extent required by law.

16. NO ARBITRATION. Disputes involving this contract, including the breach or alleged breach thereof, may not be submitted to binding arbitration (except where statutorily authorized), but must, instead, be heard in a court of competent jurisdiction of the State of New York.

17. SERVICE OF PROCESS. In addition to the methods of service allowed by the State Civil Practice Law & Rules ("CPLR"), Contractor hereby consents to service of process upon it by registered or certified mail, return receipt requested. Service hereunder shall be complete upon Contractor's actual receipt of process or upon the State's receipt of the return thereof by the United States Postal Service as refused or undeliverable. Contractor must promptly notify the State, in writing, of each and every change of address to which service of process can be made. Service by the State to the last known address shall be sufficient. Contractor will have thirty (30)

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calendar days after service hereunder is complete in which to respond.

18. PROHIBITION ON PURCHASE OF TROPICAL HARDWOODS. The Contractor certifies and warrants that all wood products to be used under this contract award will be in accordance with, but not limited to, the specifications and provisions of Section 165 of the State Finance Law, (Use of Tropical Hardwoods) which prohibits purchase and use of tropical hardwoods, unless specifically exempted, by the State or any governmental agency or political subdivision or public benefit corporation. Qualification for an exemption under this law will be the responsibility of the contractor to establish to meet with the approval of the State.

In addition, when any portion of this contract involving the use of woods, whether supply or installation, is to be performed by any subcontractor, the prime Contractor will indicate and certify in the submitted bid proposal that the subcontractor has been informed and is in compliance with specifications and provisions regarding use of tropical hardwoods as detailed in § 165 State Finance Law. Any such use must meet with the approval of the State; otherwise, the bid may not be considered responsive. Under bidder certifications, proof of qualification for exemption will be the responsibility of the Contractor to meet with the approval of the State.

19. MACBRIDE FAIR EMPLOYMENT PRINCIPLES. In accordance with the MacBride Fair Employment Principles (Chapter 807 of the Laws of 1992), the Contractor hereby stipulates that the Contractor either (a) has no business operations in Northern Ireland, or (b) shall take lawful steps in good faith to conduct any business operations in Northern Ireland in accordance with the MacBride Fair Employment Principles (as described in Section 165 of the New York State Finance Law), and shall permit independent monitoring of compliance with such principles.

20. OMNIBUS PROCUREMENT ACT OF 1992. It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority- and women-owned business enterprises as bidders, subcontractors and suppliers on its procurement contracts.

Information on the availability of New York State subcontractors and suppliers is available from:

NYS Department of Economic Development
Division for Small Business and Technology Development
625 Broadway
Albany, New York 12245
Telephone: 518-292-5100

A directory of certified minority- and women-owned business enterprises is available from:

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NYS Department of Economic Development
Division of Minority and Women's Business Development
633 Third Avenue 33rd Floor
New York, NY 10017
646-846-7364
email: mwbusinessdev@esd.ny.gov
<https://ny.newnyccontracts.com/FrontEnd/searchcertifieddir/etorv.asp>

The Omnibus Procurement Act of 1992 (Chapter 844 of the Laws of 1992, codified in State Finance Law § 139-i and Public Authorities Law § 2879(3)(n)-(p)) requires that by signing this bid proposal or contract, as applicable, Contractors certify that whenever the total bid amount is greater than \$1 million:

(a) The Contractor has made reasonable efforts to encourage the participation of New York State Business Enterprises as suppliers and subcontractors, including certified minority- and women-owned business enterprises, on this project, and has retained the documentation of these efforts to be provided upon request to the State;

(b) The Contractor has complied with the Federal Equal Opportunity Act of 1972 (P.L. 92-261), as amended;

(c) The Contractor agrees to make reasonable efforts to provide notification to New York State residents of employment opportunities on this project through listing any such positions with the Job Service Division of the New York State Department of Labor, or providing such notification in such manner as is consistent with existing collective bargaining contracts or agreements. The Contractor agrees to document these efforts and to provide said documentation to the State upon request; and

(d) The Contractor acknowledges notice that the State may seek to obtain offset credits from foreign countries as a result of this contract and agrees to cooperate with the State in these efforts.

21. RECIPROCITY AND SANCTIONS PROVISIONS. Bidders are hereby notified that if their principal place of business is located in a country, nation, province, state or political subdivision that penalizes New York State vendors, and if the goods or services they offer will be substantially produced or performed outside New York State, the Omnibus Procurement Act 1994 and 2000 amendments (Chapter 684 and Chapter 383, respectively, codified in State Finance Law § 165(6) and Public Authorities Law § 2879(5)) require that they be denied contracts which they would otherwise obtain. NOTE: As of May 2023, the list of discriminatory jurisdictions subject to this provision includes the states of South Carolina, Alaska, West Virginia, Wyoming, Louisiana and Hawaii.

22. COMPLIANCE WITH BREACH NOTIFICATION AND DATA SECURITY LAWS. Contractor shall comply with the provisions of the New York State Information Security

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Breach and Notification Act (General Business Law §§ 899-aa and 899-bb and State Technology Law § 208).

23. COMPLIANCE WITH CONSULTANT DISCLOSURE LAW. If this is a contract for consulting services, defined for purposes of this requirement to include analysis, evaluation, research, training, data processing, computer programming, engineering, environmental, health, and mental health services, accounting, auditing, paralegal, legal or similar services, then, in accordance with Section 163 (4)(g) of the State Finance Law (as amended by Chapter 10 of the Laws of 2006), the Contractor shall timely, accurately and properly comply with the requirement to submit an annual employment report for the contract to the agency that awarded the contract, the Department of Civil Service and the State Comptroller.

24. PROCUREMENT LOBBYING. To the extent this agreement is a "procurement contract" as defined by State Finance Law §§ 139-j and 139-k, by signing this agreement the contractor certifies and affirms that all disclosures made in accordance with State Finance Law §§ 139-j and 139-k are complete, true and accurate. In the event such certification is found to be intentionally false or intentionally incomplete, the State may terminate the agreement by providing written notification to the Contractor in accordance with the terms of the agreement.

25. CERTIFICATION OF REGISTRATION TO COLLECT SALES AND COMPENSATING USE TAX BY CERTAIN STATE CONTRACTORS, AFFILIATES AND SUBCONTRACTORS.

To the extent this agreement is a contract as defined by Tax Law § 5-a, if the contractor fails to make the certification required by Tax Law § 5-a or if during the term of the contract, the Department of Taxation and Finance or the covered agency, as defined by Tax Law § 5-a, discovers that the certification, made under penalty of perjury, is false, then such failure to file or false certification shall be a material breach of this contract and this contract may be terminated, by providing written notification to the Contractor in accordance with the terms of the agreement, if the covered agency determines that such action is in the best interest of the State.

26. IRAN DIVESTMENT ACT. By entering into this Agreement, Contractor certifies in accordance with State

Finance Law § 165-a that it is not on the "Entities Determined to be Non-Responsive Bidders/Offerers pursuant to the New York State Iran Divestment Act of 2012" ("Prohibited Entities List") posted at: <https://ogs.ny.gov/iran-divestment-act-2012>.

Contractor further certifies that it will not utilize on this Contract any subcontractor that is identified on the Prohibited Entities List. Contractor agrees that should it seek to renew or extend this Contract, it must provide the same certification at the time the Contract is renewed or extended. Contractor also agrees that any proposed Assignee of this Contract will be required to certify that it is not on the Prohibited Entities List before the contract assignment will be approved by the State.

During the term of the Contract, should the state agency receive information that a person (as defined in State Finance Law § 165-a) is in violation of the above-referenced certifications, the state agency will review such information and offer the person an opportunity to respond. If the person fails to demonstrate that it has ceased its engagement in the investment activity which is in violation of the Act within 90 days after the determination of such violation, then the state agency shall take such action as may be appropriate and provided for by law, rule, or contract, including, but not limited to, imposing sanctions, seeking compliance, recovering damages, or declaring the Contractor in default.

The state agency reserves the right to reject any bid, request for assignment, renewal or extension for an entity that appears on the Prohibited Entities List prior to the award, assignment, renewal or extension of a contract, and to pursue a responsibility review with respect to any entity that is awarded a contract and appears on the Prohibited Entities list after contract award.

27. ADMISSIBILITY OF REPRODUCTION OF CONTRACT. Notwithstanding the best evidence rule or any other legal principle or rule of evidence to the contrary, the Contractor acknowledges and agrees that it waives any and all objections to the admissibility into evidence at any court proceeding or to the use at any examination before trial of an electronic reproduction of this contract, in the form approved by the State Comptroller, if such approval was required, regardless of whether the original of said contract is in existence.

Contract Number: # _____
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June 2023

ATTACHMENT A-1

New York State Department of State (1/16/24)

Agency Specific Clauses

For the purposes of this Agreement, the terms "State" and "Department" are interchangeable, unless the context requires otherwise. In addition, the terms "Agreement" and "Contract" are interchangeable, unless the context requires otherwise.

A. Project Timetable

The Contractor agrees to proceed expeditiously with the Project and to complete the Project in accordance with any timetable associated therewith as set forth in the Work Plan (Attachment C) as well as with the conditions of any applicable permits, administrative orders, or judicial orders and this Agreement.

B. Budget Modifications

Prior DOS written approval is required for all requests for budget modifications, regardless of the amount of the modification, or where the proposed modification will result in a transfer of funds among program activities or budget cost categories, but does not affect the amount, consideration, scope or other terms of such contract. All requests for modifications must be done in writing and requires a detailed breakdown of requested changes and justification for the request. Additional approvals will be required when modifications exceed thresholds described below.

Any proposed modification to a contract that will result in a transfer of funds among program activities or budget cost categories, but does not affect the amount, consideration, scope or other terms of such contracts must be submitted to DOS for submission to the Office of State Comptroller for approval when:

1. The amount of the modification is equal to or greater than ten percent of the total value of the contract for contracts of less than five million dollars; or
2. The amount of the modification is equal to or greater than five percent of the total value of the contract for contracts of more than five million dollars.

C. Documentation of Performance

In addition to the criteria set forth in Section III(E)(1)(b) of the NYS Contract for Grants, documentation of personal service expenditures shall:

1. Be based upon actual work performed;
2. Be supported by internal controls that provide a reasonable assurance that the charges are accurate, allowable, and properly allocated; and
3. Comply with the Contractor's established accounting policies and conform to generally accepted accounting principles.

D. License to Use and Reproduce Documents, Intellectual Property and Other Works:

By acceptance of this Agreement, Contractor transfers to the Department a perpetual, transferable, nonexclusive license to use, reproduce in any medium, and distribute, for any purpose, any intellectual property or other work purchased, developed or prepared for or in connection with the Project using funding provided pursuant to this Contract, including but not limited to reports, maps, designs, plans, analysis, and

documents regardless of the medium in which they are originally produced. Contractor warrants to the Department that it has sufficient title or interest in such works to license pursuant to this Agreement, and further agrees and warrants that it shall not enter into any subcontract or other agreement purporting to limit such title or interest in such works in any manner that may compromise Contractor's ability to provide the aforesaid license to the Department. Such warranties shall survive the termination of this Agreement. Contractor agrees to provide the original of each such work, or a copy thereof which is acceptable to the Department, to the Department before payments shall be made under this Agreement.

E. Property

The ownership of all property or intellectual property described herein and purchased, developed or prepared under the terms of this Contract shall reside with the Contractor with a reversionary interest in such property or intellectual property held by the Department, unless otherwise authorized or directed in writing by the Department. Except as otherwise provided in Section II(A)(3) of the NYS Contract for Grants, Contractor shall retain ownership of such property or intellectual property after the term of this Contract so long as such property or intellectual property is used for purposes similar to those contemplated by this Contract. Otherwise, the Contractor shall return such property or intellectual property to the Department at the Contractor's cost and expense, and Contractor's ownership interests, rights and title in such property or intellectual property shall revert to the Department. The ownership of all property purchased with federal funds provided pursuant to this Agreement, however, shall be governed by the terms of applicable federal law including, but not limited to, 2 CFR Part 200, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards," as amended.

In addition to the requirements of Section III(D)(4) of the NYS Contract for Grants, the Contractor shall maintain an inventory of all property purchased under this Agreement and owned by the Contractor. Such inventory shall be retained by the Contractor for the time period specified in Section III(E)(1) and available for inspection and copying by the State.

F. Termination

The Department may terminate the Agreement in accordance with the terms and conditions set forth in Section II(A) of the NYS Contract for Grants. In addition to other reserved rights it has to terminate this Agreement, the Department may terminate or suspend the Agreement under the following circumstances:

1. The Contractor shall complete the project as set forth in this Agreement, and failure to render satisfactory progress or to complete the project to the satisfaction of the State may be deemed an abandonment of the project and may cause the suspension or termination of any obligation of the State. In the event the Contractor should be deemed to have abandoned the project for any reason or cause other than a national emergency or an Act of God, all monies paid to the Contractor by the State and not expended in accordance with this Agreement shall be repaid to the State upon demand. If such monies are not repaid within forty-five (45) days after such demand, the State Comptroller of the State of New York may cause to be withheld from the Contractor any State assistance to which the Contractor would otherwise be entitled in an amount equal to the monies demanded or the Department may pursue any other remedies available to the State.
2. The Department shall also have the right to postpone or suspend the Agreement or deem it abandoned without this action being a breach of the Agreement. The Department shall provide written notice to the Contractor indicating the Agreement has been postponed, suspended or abandoned. During any postponement, suspension or abandonment the Contractor agrees not to do any work under the Agreement without prior written approval of the Department.

3. Any funds paid to the Contractor by the Department which are not expended under the terms of the Agreement shall be repaid to the Department.

G. Subcontracting Requirements

1. Contractor agrees that it shall not enter into any subcontract for the performance of work in furtherance of this Contract with any subcontractor that at the time of contracting: (1) is listed on the New York State Department of Labor's list of companies with which New York State cannot do business (available at <https://apps.labor.ny.gov/EDList/searchPage.do>) or is listed on the New York State Office of General Service's list of companies with which New York State cannot do business (available at <https://ogs.ny.gov/debarred-and-non-responsible-entities>); (2) is listed as an entity debarred from federal contracts (available at: sam.gov); or (3) fails to possess requisite workers compensation and disability insurance coverage (see <http://www.wcb.ny.gov>).

In addition, Contractor agrees that it shall immediately suspend or terminate any subcontract entered into for the performance of work in furtherance of this Contract if at any time during the term of such subcontract the subcontractor: (1) is listed on the New York State Department of Labor's list of companies with which New York State cannot do business (available at <https://apps.labor.ny.gov/EDList/searchPage.do>) or is listed on the New York State Office of General Service's list of companies with which New York State cannot do business (available at <https://ogs.ny.gov/debarred-and-non-responsible-entities>); (2) is listed as an entity debarred from federal contracts (available at: sam.gov); or (3) fails to maintain requisite workers compensation or disability insurance coverage (see <http://www.wcb.ny.gov>). Contractor agrees that any such suspension shall remain in place until the condition giving rise to the suspension is corrected by the subcontractor. The terms of this clause shall be incorporated in any and all subcontracts entered into in furtherance of this Contract.

2. The Contractor's use of subcontractors shall not diminish the Contractor's obligations to complete the Work in accordance with the Contract. The Contractor shall control and coordinate the Work of its subcontractors.
3. The Contractor shall be responsible for informing its subcontractors of all the terms, conditions and requirements of the Contract including, but not limited to the terms of the Agreement, any and all Appendices, and any changes made by amendments thereto, and ensuring that any and all subcontracts entered into in furtherance of this Contract conform to and do not conflict with such terms.
4. Contractor shall file each and every subcontract entered into in furtherance of this Contract with the Department of State no later than fifteen (15) calendar days following the signing of the subcontract, unless otherwise authorized or directed by the Department of State.
5. In addition to the requirements of Section III(B)(2) of the NYS Contract for Grants, the Department reserves the right to require, upon notice to the Contractor, that, commencing from the date of such notice or a date otherwise specified in such notice, Contractor must obtain written approval from the Department prior to entering into any and all subcontracts valued at or below \$100,000 for the performance of any activities covered by this Contract. Contractor agrees to require any proposed subcontractors to timely provide to the Department such information as may be requested by the Department as necessary to assess whether the proposed subcontractor is a responsible entity capable of lawfully and satisfactorily performing the work. In the event the Department invokes this right of prior approval and a request for approval is submitted by Contractor and denied by the Department, Contractor agrees that it shall not enter into the proposed subcontract and that no costs associated with such subcontract shall be allowable under this Contract.

H. Compliance with Procurement Requirements

1. All contracts by municipalities for service, labor, and construction involving not more than \$35,000 and purchase contracts involving not more than \$20,000 are subject to the requirements of General Municipal Law §104-b, which requires such contracts to comply with the procurement policies and procedures of the municipality involved. All such contracts shall be awarded after and in accordance with such municipal procedures, subject to the MWBE requirements as set forth in Section M, SDVOB requirements set forth in Section N, and any additional requirements imposed by the State as set forth in this Agreement.

The municipal attorney, chief legal officer or financial administrator of the Contractor shall certify to the Department of State that applicable public bidding procedures of General Municipal Law §103 were followed for all service, labor, and construction contracts involving more than \$35,000 and all purchase contracts involving more than \$20,000. In the case of contracts by municipalities, service, labor, and construction contracts involving not more than \$35,000 and purchase contracts involving not more than \$20,000, the municipal attorney, chief legal officer or financial administrator shall certify that the procedures of the municipality established pursuant to General Municipal Law §104-b were fully complied with, in addition to the MWBE requirements as set forth in Section M, SDVOB requirements set forth in Section N, and any additional requirements imposed by the State as set forth in this Agreement.

2. For non-municipal entities, the chief legal officer or financial administrator of the Contractor shall certify to the State that alternative proposals and quotations for professional services were secured by use of written requests for proposals through a publicly advertised process satisfactory to meet the MWBE requirements set forth in Section M, SDVOB requirements set forth in Section N, any additional requirements imposed by the State as set forth in this Agreement, any applicable law, and its own policies.

I. Vendor Responsibility Determinations

A Vendor Responsibility Questionnaire and Certification is required for certain contracts. This Questionnaire is designed to provide information to assist the contracting agency in assessing a Contractor's responsibility, prior to entering into a contract, and must be completed and submitted electronically or returned with the contract. Contractor is invited to file the required Vendor Responsibility Questionnaire online via the New York State VendRep System or may choose to complete and submit a paper questionnaire. To enroll in and use the New York State VendRep System, see the VendRep System Instructions available at <http://osc.state.ny.us/vendrep/index.htm>. For direct VendRep System user assistance, the Office of the State Comptroller's Help Desk may be reached at 866-370-4672 or 518-408-4672 or by email at helpdesk@osc.state.ny.us. Vendors opting to file a paper questionnaire can obtain the appropriate questionnaire from the VendRep website www.osc.state.ny.us/vendrep or may contact the Department of State or the Office of the State Comptroller's Help Desk for a copy of the paper form.

J. State Attorney General Charities Registration

In accordance with the Estates, Powers and Trust Law § 8-1.4 (s), the Contractor certifies that it is in compliance with the requirements of Estate, Powers and Trusts Law sections 8-1.4 (d), (f), and (g), if applicable, regarding organizations which administer property for charitable purposes registering and filing periodic reports (together with the appropriate filing fees) with the New York State Attorney General's Charities Bureau. This certification is a material representation of fact upon which reliance was placed by the Department of State in entering into this Agreement with the Contractor.

The Contractor agrees that it will provide immediate written notice to the Department of State if at any time it learns that this certification was erroneous when made or has become erroneous by reason of changed circumstances.

K. Records Access

The Contractor shall make such records available for review by the Department upon request at any time. The Department shall have the right to conduct progress assessments and review books and records as necessary. The Department shall have the right to conduct an on-site review of the Project and/or books and records of the Contractor prior to, and for reasonable time following, issuance of the final payment. The Department shall be entitled to disallow any cost or expense, and/or terminate or suspend this Agreement, if the Contractor has misrepresented any expenditures or Project activities in its application to the Department, or in this Agreement, or in any progress reports or payment requests made pursuant hereto. The Contractor shall maintain such books and records in a manner so that reports can be produced therefrom in accordance with generally accepted accounting principles. The Contractor shall maintain separate financial books and records for all funds received through the Department pursuant to this Agreement.

L Notices

Pursuant to Section I(G) of the NYS Contract for Grants, notice hereunder shall be addressed as follows:

1. Notice to the State

Name, Title	Program Manager
Agency/Division	Dept of State, Division of Local Government Services
Address	99 Washington Avenue, Suite 1130, Albany, NY 12231
Phone/ Fax/Email	(P): (518) 473 - 3355 (F): (E): LGEProgram@dos.ny.gov

2. Notice to the Contractor

Name, Title	
Address	
Phone/ Fax/Email	(P): (F): (E):

M. Minority and Women Owned Business Participation

Article 15-A of the New York State Executive Law, as amended, authorized the creation of a Division of Minority and Women's Business Development to promote employment and business opportunities on state contracts for minorities and women. This law supersedes any other provision in state law authorizing or requiring an equal employment opportunity program or a program for securing participation by minority and women-owned business enterprises. Under this statute, State agencies are charged with establishing business participation goals for minorities and women. The Department of State administers a Minority and Women-owned Business Enterprises (MWBE) Program as mandated by Article 15-A.

1. General Provisions

- a. The Department of State is required to implement the provisions of New York State Executive Law Article 15-A and Parts 140-145 of Title 5 of the New York Codes, Rules and Regulations ("NYCRR") for all State contracts, as defined therein, with a value (1) in excess of \$25,000 for labor, services, equipment, materials, or any combination of the foregoing or (2) in excess of \$100,000 for real property renovations and construction.
- b. The Contractor to the subject Contract (the "Contractor" and the "Contract," respectively) agrees, in addition to any other nondiscrimination provision of the Contract and at no additional cost to the New York State Department of State (the "Agency"), to fully comply and cooperate with the Agency in the implementation of New York State Executive Law Article 15-A and the regulations promulgated thereunder. These requirements include equal employment opportunities for minority group members and women ("EEO") and contracting opportunities for New York State-certified minority and women-owned business enterprises ("MWBEs"). The Contractor's demonstration of "good faith efforts" pursuant to 5 NYCRR §142.8 shall be a part of these requirements. These provisions shall be deemed supplementary to, and not in lieu of, the nondiscrimination provisions required by New York State Executive Law Article 15 (the "Human Rights Law") and other applicable federal, state, and local laws. Contractor agrees that the terms "MWBE," "MBE" and "WBE" as used herein, shall mean those MBE or WBE firms certified as such by the State pursuant to NY Executive Law Article 15-A and listed in the directory of New York State Certified MWBEs found at the following internet address: <https://ny.newnycontracts.com/>.
- c. Failure to comply with all of the requirements herein may result in a finding of non-responsiveness, non-responsibility and/or a breach of contract, leading to the assessment of liquidated damages pursuant to Section M(7) of this Attachment and such other remedies as are available to the Agency pursuant to the Contract and applicable law.

2. Contract Goals

- a. The Department's New York State-certified Minority and Women-owned Business Enterprises ("MWBEs") utilization goal is 30%. For purposes of this Contract, the specific overall MWBE goal and the breakdown between the Minority-owned Business Enterprise ("MBE") and the Women-owned Business Enterprise ("WBE") utilization goals, are set forth in the Attachment B "Budget", based on the current availability of MBEs and WBEs.
- b. For purposes of providing meaningful participation by MWBEs on the Contract and achieving the MWBE Contract Goals established in this Agreement, the Contractor should reference the directory of New York State Certified MWBEs found at the following internet address: <https://ny.newnycontracts.com/>.

Additionally, the Contractor is encouraged to contact the Division of Minority and Women's Business Development at (212) 803-2414 to discuss additional methods of maximizing participation by MWBEs on the Contract.

- c. The Contractor understands that only sums paid to MWBEs for the performance of a commercially useful function, as that term is defined in 5 NYCRR § 140.1, may be applied towards the achievement of the applicable MWBE participation goal. The portion of a contract with an MWBE serving as a broker that shall be deemed to represent the commercially useful function performed by the MWBE shall be 25 percent of the total value of the broker's contract.

FOR CONSTRUCTION CONTRACTS – The portion of a contract with an MWBE serving as a supplier that shall be deemed to represent the commercially useful function performed by the MWBE shall be 60 percent of the total value of the supplier's contract. The portion of a contract with an MWBE serving as a broker that shall be deemed to represent the commercially useful function performed by the MWBE shall be the monetary value for fees, or the markup percentage, charged by the MWBE.

- d. The Contractor must document "good faith efforts," pursuant to 5 NYCRR §142.8, to provide meaningful participation by MWBEs as subcontractors and suppliers in the performance of the Contract. Such documentation shall include, but not necessarily be limited to:
 - (1) Evidence of outreach to MWBEs;
 - (2) Any responses by MWBEs to the Contractor's outreach;
 - (3) Copies of advertisements for participation by MWBEs in appropriate general circulation, trade, and minority or women-oriented publications;
 - (4) The dates of attendance at any pre-bid, pre-award, or other meetings, if any, scheduled by the Agency with MWBEs; and,
 - (5) Information describing specific steps undertaken by the Contractor to reasonably structure the Contract scope of work to maximize opportunities for MWBE participation.
- 3. Equal Employment Opportunity ("EEO")
 - a. The provisions of Article 15-A §312 of the Executive Law and the rules and regulations promulgated thereunder pertaining to equal employment opportunities for minority group members and women shall apply to the Contract.
 - b. In performing the Contract, the Contractor shall:
 - (1) Ensure that each contractor and subcontractor performing work on the Contract shall undertake or continue existing EEO 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, EEO shall apply in the areas of recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff, or termination and rates of pay or other forms of compensation.
 - (2) The Contractor shall submit an EEO policy statement to the Agency within seventy two (72) hours after the date of the notice by Agency to award the Contract to the Contractor.
 - (3) If the Contractor, or any of the subcontractors does not have an existing EEO policy statement, the Agency may require the Contractor or subcontractor to adopt a model statement (see Form A - Minority and Women-Owned Business Enterprises Equal Employment Opportunity Policy Statement).
 - (4) The Contractor's EEO policy statement shall include the following language:
 - (a) The Contractor will not discriminate against any employee or applicant for employment because of race, creed, color, national origin, sex, age, disability or marital status, will

undertake or continue existing EEO programs to ensure that minority group members and women are afforded equal employment opportunities without discrimination, and shall make and document its conscientious and active efforts to employ and utilize minority group members and women in its work force.

- (b) The Contractor shall state in all solicitations or advertisements for employees that, in the performance of the Contract, all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status.
- (c) The Contractor shall request each employment agency, labor union, or authorized representative of workers with which it has a collective bargaining or other agreement or understanding, to furnish a written statement that such employment agency, labor union, or representative will not discriminate on the basis of race, creed, color, national origin, sex, age, disability or marital status and that such union or representative will affirmatively cooperate in the implementation of the Contractor's obligations herein.
- (d) The Contractor will include the provisions of Subdivisions (a) through (c) of this Subsection 4 and Paragraph "e" of this section 3, which provides for relevant provisions of the Human Rights Law, in every subcontract in such a manner that the requirements of the subdivisions will be binding upon each subcontractor as to work in connection with the Contract.

c. Form B - Staffing Plan

If the total expenditure of this Contract is in excess of \$250,000, the following provision shall apply:

The Contractor shall submit a staffing plan to document the composition of the proposed workforce to be utilized in the performance of the Contract by the specified categories listed, including ethnic background, gender, and Federal occupational categories. The Contractor shall complete the Staffing plan form and submit it as part of their proposal or within a reasonable time, as directed by the Department of State.

d. Form C - Workforce Utilization Report

- (1) The Contractor shall submit a Workforce Utilization Report, and shall require each of its subcontractors to submit a Workforce Utilization Report, in such form as shall be required by the Agency on a monthly basis for construction contracts, and on a quarterly basis for all other contracts, during the term of the Contract.
 - (2) Separate forms shall be completed by the Contractor and any subcontractors performing work on the Contract.
- e. The Contractor shall comply with the provisions of the Human Rights Law, as well as all other State and Federal statutory and constitutional non-discrimination provisions. The Contractor and its subcontractors shall not discriminate against any employee or applicant for employment because of race, creed (religion), color, sex, national origin, citizenship or immigration status, sexual orientation, gender identity or expression, military status, age, disability, predisposing genetic characteristic, familial status, marital status or domestic violence victim status, or has filed a complaint, testified, or assisted in any proceeding under the Human Rights Law, 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.

4. MWBE Utilization Plan

- a. The Contractor represents and warrants that the Contractor has submitted an MWBE Utilization Plan or shall submit an MWBE Utilization Plan at such time as shall be required by the Department of State through the New York State Contract System ("NYSCS"), which can be viewed at <https://ny.newnycontracts.com>, provided, however, that the Contractor may arrange to provide such evidence via a non-electronic method to the Department of State, either prior to, or at the time of, the execution of the Contract.
- b. The Contractor agrees to adhere to such MWBE Utilization Plan for the performance of the Contract.
- c. The Contractor further agrees that a failure to submit and/or adhere to such MWBE Utilization Plan shall constitute a material breach of the terms of the Contract. Upon the occurrence of such a material breach, the Agency shall be entitled to any remedy provided herein, including but not limited to, a finding that the Contractor is non-responsive.

5. Waivers

- a. If the Contractor, after making good faith efforts, is unable to achieve the MWBE Contract Goals stated herein, the Contractor may submit a request for a waiver through the NYSCS, or a non-electronic method provided by the Agency (use Form E - Waiver Request). Such waiver request must be supported by evidence of the Contractor's good faith efforts to achieve the maximum feasible MWBE participation towards the applicable MWBE Contract Goals. If the documentation included with the waiver request is complete, the Agency shall evaluate the request and issue a written notice of approval or denial within twenty (20) business days of receipt.
- b. If the Agency, upon review of the MWBE Utilization Plan, quarterly MWBE Contractor Compliance Reports described in Section 6, or any other relevant information, determines that the Contractor is failing or refusing to comply with the MWBE Contract Goals and no waiver has been issued in regards to such non-compliance, the Agency may issue a notice of deficiency to the Contractor. The Contractor must respond to the notice of deficiency within seven (7) business days of receipt. Such response may include a request for partial or total waiver of MWBE Contract Goals.

6. Quarterly MWBE Contractor Compliance Report

The Contractor is required to submit a Quarterly MWBE Contractor Compliance Report (Form F) to the Agency by the 10th day following each end of quarter over the term of the Contract documenting the progress made towards achievement of the MWBE goals of the Contract.

The Agency may require the Contractor to use the NYSCS to submit utilization plans, record payments to subcontractors and otherwise report compliance with the provisions of Article 15-A of the Executive Law and regulations. Technical assistance can be obtained through the NYSCS website at <https://ny.newnycontracts.com> by clicking on the "Contact Us & Support" link.

Questions regarding this program should be directed to the Department's Minority and Women-owned Business Program by calling (518) 474-2754. Potential contractors can access the NYS Directory of Certified Minority and Women-owned Business Enterprises on-line through the Empire State Development website at <https://ny.newnycontracts.com>. The Department makes no representation with respect to the availability or capability of any business listed in the Directory.

7. Liquidated Damages - MWBE Participation

- a. Where the Agency determines that the Contractor is not in compliance with the requirements of the Contract and the Contractor refuses to comply with such requirements, or if Contractor is found to have willfully and intentionally failed to comply with the MWBE participation goals, the Contractor shall be obligated to pay to the Agency liquidated damages.
- b. Such liquidated damages shall be calculated as an amount equaling the difference between:
 - i) All sums identified for payment to MWBEs had the Contractor achieved the contractual MWBE goals; and
 - ii) All sums actually paid to MWBEs for work performed or materials supplied under the Contract.
- c. In the event a determination has been made which requires the payment of liquidated damages and such identified sums have not been withheld by the Agency, the Contractor shall pay such liquidated damages to the Agency within sixty (60) days after they are assessed. Provided, however, that if the Contractor has filed a complaint with the Director of the Division of Minority and Women's Business Development pursuant to 5 NYCRR § 142.12, liquidated damages shall be payable only in the event of a determination adverse to the Contractor following the complaint process.

N. Service-Disabled Veteran-Owned Businesses Participation

Article 3 of Veterans' Services Law, as amended, authorized the creation of the Division of Service-Disabled Veterans' Business Development to promote participation of Service-Disabled Veteran-Owned Businesses (SDVOBs) in New York State contracting. The Service-Disabled Veteran-Owned Business Act recognizes the veterans' service to and sacrifice for our nation, declares that it is New York State's public policy to promote and encourage the continuing economic development of service-disabled veteran-owned businesses, and allows eligible Veteran business owners to become certified as a New York State Service-Disabled Veteran-Owned Business (SDVOB), in order to increase their participation in New York State's contracting opportunities. To this effect, the Department of State (DOS) has implemented a Veteran-Owned Businesses (SDVOB) Program, as mandated by Article 3.

To comply with the SDVOB Program goals of 6%, the Department of State strongly encourages grantees to make every effort, to the maximum extent possible, to engage certified SDVOBs in the purchasing of commodities, services and technology in the performance of their contracts with the Department. If SDVOB utilization is obtained, a quarterly SDVOB utilization report should be submitted to the Department with information of the utilization percentage achieved during that quarter. Contractor Reporting Forms are found at: <https://dos.ny.gov/supplier-diversity>.

The Division of Service-Disabled Veterans' Business Development (DSDVBD) is housed within the New York State Office of General Services (OGS) and maintains a directory of the NYS Certified SDVOBs. For assistance with engaging SDVOB vendors in your contracts, please contact the Division of Service-Disabled Veterans' Business Development at the following email address: VeteransDevelopment@ogs.ny.gov, or the DOS Bureau of Fiscal Management – SDVOB Program at dos.sm.sdvob@dos.ny.gov. The directory of certified SDVOB vendors can be found at: <https://sdvcs.ogs.ny.gov/business-search>.

O. Refunds and Repayments

The Contractor shall promptly return funds due the State, including repayment of unexpended advances or disallowances. The Contractor shall make payment within forty-five (45) days of the end or termination of the Contract or demand from the Department. The Contractor shall reference the contract number with its payment and include a brief explanation of why the refund is made. Refunds shall be made payable to and addressed, as stated below:

Payable to: NYS Department State
 Mail to: NYS Department of State, Bureau of Fiscal Management
 Address: One Commerce Plaza
 99 Washington Ave, Suite 1110
 Albany, NY 12210

P. Confidential Information and Security

In addition to the definition of Confidential Information set forth in Section III(F) of the NYS Contract for Grants, the Department may, in its sole discretion, notify the Contractor that other information shall be deemed Confidential Information under this Agreement. In addition to the requirements of Section III(F) of the NYS Contract for Grants, when the Contractor stores, uses, accesses or obtains Confidential Information the Contractor shall:

1. Implement and maintain appropriate administrative, technical and organizational security to safeguard against unauthorized access, disclosure or theft of Confidential Information. Such security measures shall comply with applicable federal and state laws, industry best practices and, at a minimum, NYS ITS Security Policies and Standards, including but not limited to:
 - Acceptable Use of Information Technology Resources Policy
 - Information Security Policy
 - Security Logging Standard
 - Information Security Risk Management Standard
 - Information Security Controls Standard
 - Sanitization/Secure Disposal Standard
 - Mobile Device Security Standard
 - Remote Access Standard

NYS ITS Security Policies and Standards are available at (<http://www.its.ny.gov/tables/technologypolicyindex.htm/security>). The Contractor shall not distribute, use, repurpose or share Confidential Information across other applications, environments, business units of the Contractor, or provide Confidential Information to other contractors, agents, subcontractors or interested parties unless required to fulfill this Agreement or directed by the State.

2. Encrypt all Confidential Information in transit and at rest. At a minimum, cryptographic modules used for data transmission must be validated to FIPS 140-2 for the protection of sensitive information. All Confidential Information shall be stored and accessed solely in the continental United States.
3. In addition to the requirements of Clause 22 of Appendix A, Standard Clauses for New York State Contracts, in the event any person, including Contractor's employees, officers, subcontractors and agents, obtains unauthorized access to Confidential Data, notify the ITS EISO and provide notice to the Department, and contact both by telephone as soon as possible, but in no event more than 24 hours from the time the Contractor confirms the unauthorized access. The Contractor shall consult with and receive authorization from the State as to the content of any notice to affected parties prior to notifying any affected parties. The Contractor shall cooperate with the ITS EISO and any contractor working on behalf of the State in attempting to determine the scope of the unauthorized access, prevent future recurrences and take corrective actions. Nothing herein shall in any way impair the authority of the State or Office of the Attorney General to bring an action against the Contractor to enforce the provisions of the New York State Information Security Breach Notification Act, limit the Contractor's liability for any violations of any application law, or limit the State's other remedies available under the Agreement, law, or equity.
4. Cause an independent third party to perform, at the Contractor's sole cost and expense, an audit of all data centers used to perform the services under this Agreement, when directed to by the Department. The independent third party shall produce a Service Organization Control Type 2 audit report, as defined by the American Institute of Certified Public Accountants, or approved equivalent, and the Contractor shall promptly provide a copy of the report to the Department.
5. Implement a written disaster recovery plan that meets or exceeds ISO 27031 standards.
6. Secure physical copies of Confidential Information in a place and manner that is secure from unauthorized access, such as through the use of locked cabinets and storage rooms.
7. If directed by the Department, provide the Department with a copy of the Confidential Information, including metadata and attachments, in a mutually agreed upon, commercially standard format and give the Department continued access to the Confidential Information for no less than ninety (90) days beyond the expiration or termination of the Contract. Thereafter, except for data required to be maintained by law or this contract, Contractor shall destroy the Confidential Information from its systems and wipe all its data storage devices to eliminate any and all Confidential Information from Contractor's systems. The sanitization process must be in compliance NYS Security Policy NYS-S13-003, <https://its.ny.gov/sanitization-secure-disposal-standard>, and, where required, the FBI's Criminal Justice Information sanitization and disposal standards. If immediate purging of all data storage components is not possible, the Contractor will certify that any Confidential Information remaining in any storage component will be safeguarded to prevent unauthorized disclosures. Contractor must then certify to the State, in writing, that it has complied with the provisions of this paragraph. The State may withhold payment to Contractor if the Confidential Information is not released to the State in accordance with the preceding sections.
8. The Contractor may submit to the Department evidence of exemption or hardship in complying with the Confidential Information and security provisions of this section. The Department shall determine, in its sole discretion, whether to waive or amend any of the requirements required by this section in response to the Contractor's claim of exemption or hardship.

Q. Accessibility Compliance Testing

Accessibility compliance testing pursuant to Section III(H) of the NYS Contract for Grants shall be conducted by the Contractor. Any results or reports of such testing shall promptly be provided by the Contractor to Department.

ATTACHMENT A-2

New York State Department of State, Local Government Programs (05/30/2024)

I. Program Specific Clauses – Local Government Programs

A. General Provisions

1. The New York State Budget provides aid to municipalities administered by the Division of Local Government Services (LGS) to assist Local Governments develop projects that will achieve savings and improve municipal efficiency.
2. The Department is authorized to evaluate and determine eligibility of applications for funding of projects.
3. Based upon information, representations and certifications contained in Contractor's application for funding, including the Work Program as set forth in Attachment C, the Department has made a determination of eligibility of funding for Contractor's project under such Budget Act.
4. State funds (Funding Amount set forth on the Face Page) for this Project (Attachment C, Program Work Plan) are provided pursuant to an appropriation of funds made by the New York State Budget.
5. The Department, upon receipt and approval of payment requests, shall make payments for eligible costs incurred until the cumulative amount of such payments totals 90% of the State Share Funding Amount. A final payment request for any or all of the remaining 10% of the contract value will not be processed prior to satisfactory completion of the Project, as determined by the Department.
6. The Contractor shall submit with its request for final payment a Final Project Summary Report in the format available from the Department of State's Division of Local Government Services.
7. The Department will provide Contractor with a Quarterly Contractor Report form pursuant to the Department's Minority and Women-owned Business enterprises program as discussed in Attachment A-1, Section M.6. Such report shall be completed by the contractor and provided to the Department at the address on the Quarterly Contractor Report.
8. The Contractor shall submit two copies of a "Project Status Report" every six months from Contract execution date.

B. Reports, Documents and Maps

1. The Contractor shall identify documents, reports, and maps produced in whole or in part under this Agreement by endorsing on said documents, reports, and maps the following:

"This (document, report, map, etc.) was prepared with funds provided by the New York Department of State through programs administered by the Division of Local Government Services."
2. The Department of State requires a project sign at the site of all construction projects, which involve more than \$50,000 of LGS funds. The expense associated with meeting this

requirement is an eligible expense and may be charged as a construction or administration expense.

The specifications for the sign are as follows:

a. Installation

- (1) Install sign at the site within one week of the start of construction.
- (2) Erect sign in a prominent location, secure from vandalism.

b. Materials

- (1) Signboard: 4' X 8', 3/4" plywood, MDO B-B EXT-APA.
- (2) Primer: As recommended by finish coat manufacturer for the substrate and finish material.
- (3) Lettering and striping shall be uniform with sharp, neat profiles.
- (4) "Optional Information" included on sign shall be visually subordinate to other information provided.
- (5) Supports: Treated (Douglas Fir) posts.

c. Maintenance and Removal

- (1) Maintain the sign plumb and level for the duration of the work.
- (2) Remove the sign from the property within 10 days of final payment.



Funding for this project provided by a

**New York Department of State
Local Government Services**

New York Governor (Insert Name)

New York Secretary of State (Insert Name)

Local Officials (optional)

C. Environmental Review

1. Contractor agrees to provide the Department, in a timely manner, with all documentation, including but not limited to, permit applications, environmental assessments, designs, plans, studies, environmental impact statements, findings, and determinations, relating to the

Project.

2. Contractor acknowledges that compliance with the State Environmental Quality Review Act is a material term and condition of this Agreement. In no event shall any payments be made under this Agreement until Contractor has provided Department with appropriate documentation that contractor has met any requirements imposed on Contractor by the State Environmental Quality Review Act.

D. Date/Time Warranty

1. Contractor warrants that product(s) furnished pursuant to this contract shall, when used in accordance with the product documentation, be able to accurately process date/time data (including, but not limited to, calculating, comparing, and sequencing) and date/time transitions (including, but not limited to, leap year calculations). Where a Contractor proposes or an acquisition requires that specific products must perform as a package or system, this warranty shall apply to the products as a system.
2. Where Contractor is providing ongoing services, including but not limited to: i) consulting, integration, code or data conversion, ii) maintenance or support services, iii) data entry or processing, or iv) contract administration services (e.g. billing, invoicing, claim processing), Contractor warrants that services shall be provided in an accurate and timely manner without interruption, failure or error due to the inaccuracy of Contractor's business operations in processing date/time data (including, but not limited to, calculating, comparing, and sequencing) and date/time transitions (including, but not limited to, leap year calculations). Contractor shall be responsible for damages resulting from any delays, errors or untimely performance resulting therefrom, including, but not limited to, the failure or untimely performance of such services.
3. This Date/Time Warranty shall survive for a period of time beyond termination or expiration of this Contract, either through: a) an additional term of ninety (90) days, or b) the Contractor's or Product manufacturer/developer's stated date/time warranty term, whichever is longer. Nothing contained in, or omitted from, this warranty statement shall be construed to limit any rights or remedies otherwise available under this Contract for breach of warranty.

E. Submission of all correspondence, Project Documentation and Meeting Documentation

1. The Contractor agrees to provide the Department with one original and an electronic version (Word or PDF) of all documentation relating to this Project, including, but not limited to: notices of public meetings, products described in Attachment C, payment request documentation as described in Attachment D and press articles.
2. The Contractor agrees to provide the Department with timely notification of all meetings and events associated with the Project.
3. All information as described in Section E (1) above shall include the NYS Contract # as indicated on the Face Page of this Agreement.

ATTACHMENT B - BUDGET

Contract Periods

Contract Type:

Contract Term:

Contract Amount:

Contract Period Information Details

For Fixed Terms contracts, only Period 1 in the chart below is completed.

For Simplified Renewal contracts, Period 1 in the chart below is completed initially and additional periods are added incrementally as they are awarded.

For Multi-Year Contracts, all defined contract periods will be displayed. Out years represent projected funding amounts.

For all contracts, the Budget and Workplan Indicator is provided to represent whether these details are included on the following pages.

Contract Period Information

[illegible]

Contract Number: _____
Page _____ of _____, Attachment B - Budget

January 2025

**ATTACHMENT B-1 - EXPENDITURE BASED BUDGET
SUMMARY**

PROJECT NAME: _____

CONTRACTOR SFS PAYEE NAME: _____

CONTRACT PERIOD: From: _____

To: _____

CATEGORY OF EXPENSE	GRANT FUNDS	MATCH FUNDS	MATCH %	OTHER FUNDS	TOTAL
1. Personal Services					
a) Salary			%		\$0.00
b) Fringe			%		\$0.00
Subtotal	\$0.00	\$0.00		\$0.00	\$0.00
2. Non Personal Services					
a) Contractual Services			%		\$0.00
b) Travel			%		\$0.00
c) Equipment			%		\$0.00
d) Space/Property & Utilities			%		\$0.00
e) Operating Expenses			%		\$0.00
f) Other			%		\$0.00
Subtotal	\$0.00	\$0.00		\$0.00	\$0.00
TOTAL	\$0.00	\$0.00		\$0.00	\$0.00

Contract Number: # _____
Page 1 of 5, Attachment B-1 – Expenditure Based Budget

ATTACHMENT B-1 - EXPENDITURE BASED BUDGET
PERSONAL SERVICES DETAIL

SALARY					
POSITION TITLE	ANNUALIZED SALARY PER POSITION	STANDARD WORK WEEK (HOURS)	PERCENT OF EFFORT FUNDED	NUMBER OF MONTHS FUNDED	TOTAL
1.			0.00%		\$ 0.00
2.			0.00%		\$0.00
3.			0.00%		\$0.00
4.			0.00%		\$0.00
5.			0.00%		\$0.00
6.			0.00%		\$0.00
7.			0.00%		\$0.00
8.			0.00%		\$0.00
9.			0.00%		\$0.00
10.			0.00%		\$0.00
11.			0.00%		\$0.00
12.			0.00%		\$0.00
13.			0.00%		\$0.00
14.			0.00%		\$0.00
15.			0.00%		\$0.00
Subtotal					\$ 0.00
FRINGE - TYPE/DESCRIPTION					
PERSONAL SERVICES TOTAL					\$ 0.00

Contract Number: # _____
Page 2 of 5, Attachment B-1 – Expenditure Based Budget

ATTACHMENT B-1 - EXPENDITURE BASED BUDGET
NON-PERSONAL SERVICES DETAIL

CONTRACTUAL SERVICES - TYPE/DESCRIPTION	TOTAL
1.	
2.	
3.	
4.	
5.	
6.	
7.	
8.	
TOTAL	\$0.00

TRAVEL - TYPE/DESCRIPTION	TOTAL
1.	
2.	
3.	
4.	
5.	
6.	
7.	
8.	
TOTAL	\$0.00

Contract Number: # _____
Page 3 of 5, Attachment B-1 – Expenditure Based Budget

EQUIPMENT - TYPE/DESCRIPTION	TOTAL
1.	
2.	
3.	
4.	
5.	
6.	
7.	
8.	
TOTAL	\$0.00

SPACE/PROPERTY EXPENSES: RENT - TYPE/DESCRIPTION	TOTAL
1.	
2.	
3.	
SPACE/PROPERTY EXPENSES: OWN - TYPE/DESCRIPTION	TOTAL
1.	
2.	
3.	
TYPE/DESCRIPTION OF UTILITY EXPENSES	TOTAL
1.	
2.	
3.	
TOTAL	\$0.00

Contract Number: # _____
Page 4 of 5, Attachment B-1 – Expenditure Based Budget

OPERATING EXPENSES - TYPE/DESCRIPTION	TOTAL
1.	
2.	
3.	
4.	
5.	
6.	
7.	
8.	
TOTAL	\$0.00

OTHER - TYPE/DESCRIPTION	TOTAL
1.	
2.	
3.	
4.	
5.	
6.	
7.	
8.	
TOTAL	\$0.00

Contract Number: # _____
Page 5 of 5, Attachment B-1 – Expenditure Based Budget

**ATTACHMENT C – WORK PLAN
DETAIL**

OBJECTIVE	BUDGET CATEGORY/ DELIVERABLE (if applicable)	TASKS	PERFORMANCE MEASURES
1:		a.	i.
			ii.
			iii.
		b.	i.
			ii.
			iii.
		c.	i.
			ii.
			iii.

Contract Number: # _____
Page 2 of 3, Attachment C – Work Plan

OBJECTIVE	BUDGET CATEGORY/ DELIVERABLE (if applicable)	TASKS	PERFORMANCE MEASURES
2:		a.	i.
			ii.
			iii.
		b.	i.
			ii.
			iii.
		c.	i.
			ii.
			iii.

Contract Number: # _____
Page 3 of 3, Attachment C – Work Plan

**ATTACHMENT D
PAYMENT AND REPORTING**

A. General Terms and Conditions:

1. In full consideration of contract performance, the State Agency agrees to pay, and the Contractor agrees to accept a sum not to exceed the amount noted on the Face Page.
2. The State has no obligation to make payment until all required approvals, including the approval of the AG and OSC, if required, have been obtained and the contract is fully executed. Contractor obligations or expenditures that precede the start date of the Contract shall not be reimbursed.
3. Article 11-B of the State Finance Law sets forth certain time frames for the Full Execution of contracts or renewal contracts with not-for-profit organizations and the implementation of any program plan associated with such contract. For purposes of this section, "Full Execution" shall mean that the contract has been signed by all parties thereto and has obtained the approval of the AG and OSC. Any interest to be paid on a missed payment to the Contractor based on a delay in the Full Execution of the Contract shall be governed by Article 11-B of the State Finance Law.
4. Contractor must provide complete and accurate billing invoices to the State in order to receive payment. However, the State may, in its discretion, automatically generate a voucher in accordance with an approved contract payment schedule. The State may require the Contractor to submit billing invoices electronically.
5. The Contractor shall submit documentation to support its claims for payment pursuant to this Contract. All supporting documentation must be completed and provided in a manner satisfactory and acceptable to the State Agency in order for the Contractor to be eligible for payment.
6. Payment for invoices submitted by the Contractor shall be rendered electronically in accordance with OSC's procedures and practices governing electronic payment unless payment by paper check is expressly authorized by the head of the State Agency, in his or her sole discretion after the Contractor establishes extenuating circumstances requiring payment by paper check.
7. If travel expenses are an approved expenditure under the Contract, travel expenses shall be reimbursed at the lesser of the rates set forth in the written standard travel policy of the Contractor, the OSC guidelines, or United States General Services Administration rates. No out-of-state travel costs shall be permitted unless specifically detailed and pre-approved by the State.
8. The State reserves the right to withhold up to fifteen percent (15%) of the total amount of the Contract as security for the faithful completion of services or work, as applicable, under the Contract. This amount may be withheld in whole or in part from any single payment or combination of payments otherwise due under the Contract. In the event that such withheld funds are insufficient to satisfy Contractor's obligations to the State, the State may pursue all available remedies, including the right of setoff and recoupment.

Contract Number: # _____
Page 1 of 5, Attachment D – Payment and Reporting

January 2025

9. All vouchers must be submitted by the Contractor no later than thirty (30) calendar days after the end date of the period for which reimbursement is claimed. In no event shall the amount received by the Contractor exceed the budget amount approved by the State Agency, and, if actual expenditures by the Contractor are less than such sum, the amount payable by the State Agency to the Contractor shall not exceed the amount of actual expenditures.

10. All obligations must be incurred prior to the end date of the contract. The final claim of the contract term shall be submitted to the State Agency up to ninety (90) calendar days after the contract end date to make final expenditures if this contract is State Funded. However, if this contract is funded, in whole or in part, with Federal funds, the Contractor shall have up to sixty (60) calendar days after the contract end date to make expenditures and submit the claim to the State Agency.

11. The State shall not be liable for payments on the Contract if it is made pursuant to a Community Projects Fund appropriation if insufficient monies are available pursuant to Section 99-d of the State Finance Law.

12. The Contractor may be required to submit a Consolidated Fiscal Reporting System ("CFR"). The CFR is a standardized electronic reporting method accepted by State agencies, consisting of schedules which, in different combinations, capture financial information for budgets, quarterly and/or mid-year claims, an annual cost report, and a final claim. The CFR, which must be submitted annually, is both a year-end cost report and a year-end claiming document. For New York City contractors, the due date shall be May 1 of each year; for Upstate and Long Island contractors, the due date shall be November 1 of each year.

B. Advance Payments and Claiming Requirements:

1. Advance payments, which the State in its sole discretion may make to not-for-profit grant recipients, shall be made and recouped in accordance with State Finance Law Section 179-u for both multiyear and renewal contracts and the provisions of this contract. Federally funded contract advances will be made as set forth by the Federal grant award requirements and applicable Federal regulations and this contract.

2. For simplified renewals, the payment schedule will be modified as part of the renewal process. For subsequent contract years in multi-year contracts, Contractor will be notified of the scheduled advance payments for the upcoming contract year no later than 90 days prior to the commencement of the contract year.

3. Recoupment of any advance payment(s) shall be recovered by crediting the percentage of subsequent claims and such claims shall be reduced until the advance is fully recovered within the Contract Term. Any unexpended advance balance at the end of the Contract Term shall be refunded by the Contractor to the State.

4. All Claim Submissions including Advance Payments, Initial Payments, and Reimbursements shall be made in accordance with the State Agency approved Schedule A: Claiming Requirements below.

Contract Number: # _____
Page 2 of 5, Attachment D – Payment and Reporting

January 2025

Schedule A: Claiming Requirements

[illegible]

5. Milestone/Performance Reimbursement is based upon the Contractor satisfactorily meeting specified and meaningful events or milestones in performance of duties under this Contract. Requests for such payments be severable or cumulative. A severable event/milestone is independent of accomplishment of any other event. If the event is cumulative, the successful completion of an event or milestone is dependent on the previous completion of another event.

- For non-performance based contracts, the Contractor's costs must be allocated pursuant to a plan that meets the requirements of the Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards (Uniform Guidance) at 2 CFR Part 200. Methods used to determine and assign costs shall conform to generally accepted accounting practices and shall be consistent with the method(s) used by the Contractor to determine costs for other operations or programs. Such accounting standards and practices shall be subject to approval of the State.
- For performance-based milestone contracts, or for the portion of the contract amount paid on a performance basis, the Contractor shall maintain documentation demonstrating that milestones were attained.

6. Fee for Service Reimbursement is based upon a rate established by the Contractor for a service or services rendered. Payment shall be limited to only those fees specifically agreed upon in the Contract and shall be payable in accordance with the State Agency approved Schedule A: Claiming Requirements.

7. Rate Based Reimbursement is based upon an established rate per unit at defined intervals to be paid to the Contractor in accordance with the State Agency approved Schedule A: Claiming Requirements. Payment shall be limited to rate(s) established in the Contract and may be requested no more frequently than monthly.

Contract Number: # _____
Page 3 of 5, Attachment D – Payment and Reporting

January 2025

8. Fifth Quarter Payments occur when there are scheduled payments and an expectation that services will be continued through renewals or subsequent contracts. Fifth quarter payment shall be paid to the Contractor at the conclusion of the final scheduled payment period of the preceding contract period. The State Agency shall generate a voucher in the fourth quarter of the current contract year to pay the scheduled payment for the next contract year.

9. If the Expenditure Based Budget is used in Attachment B-1 and the Expenditure Report is selected below, the Contractor shall submit, not later than the time period listed in the State Agency approved Schedule A: Claiming Requirements above, a detailed expenditure report, by object of expense. This report shall accompany the voucher submitted for such period.

☒ Expenditure Report Required

C. Refunds:

1. In the event that the Contractor must refund the State for Contract-related activities, including repayment of an advance or an audit disallowance, the refund must be made payable as set forth by the State Agency, must reference the contract number with its payment, and include a brief explanation of why the refund is being made.

2. If at the end or termination of the Contract there remains any unexpended balance of the monies advanced under the Contract in the possession of the Contractor, the Contractor shall make payment within forty-five (45) calendar days of the end or termination of the Contract. In the event that the Contractor fails to refund such balance the State may pursue all available remedies.

D. Progress Reporting Requirements:

If the State Agency determines that Work Plan Based Reporting is required to summarize the progress made on the performance measures established in the Contract, such reporting shall be made online as directed by the State Agency.

If Work Plan Based Reporting is not required, the Contractor shall comply with the following applicable provisions and the Contractor shall provide the State Agency with one or more of the following reports as required by the State Agency:

1. *Narrative/Qualitative Report:* The Contractor shall submit no later than the time period identified in Schedule B: Progress Reporting Requirements, below, a report, in narrative form, summarizing the services rendered during the quarter. This report shall detail how the Contractor has progressed toward attaining the qualitative goals enumerated in the Work Plan. This report should address all goals and objectives of the project and include a discussion of problems encountered and steps taken to solve them.

2. *Statistical/Quantitative Report:* The Contractor shall submit, on a quarterly basis, no later than the time period listed in Schedule B: Progress Reporting Requirements, below, a detailed report analyzing the quantitative aspects of the program plan, as appropriate (e.g., number of meals served, clients transported, patient/client encounters, procedures performed, training sessions conducted, etc.).

3. *Final Report:* The Contractor shall submit a final report as required by the Contract, not later than the time period listed in Schedule B: Progress Reporting Requirements, below, which reports on all aspects of the program and detailing how the use of funds were utilized in achieving the goals set forth in Attachment C (Work Plan).

Contract Number: # _____
Page 4 of 5, Attachment D – Payment and Reporting

January 2025

4. *Consolidated Fiscal Report*: The Contractor shall submit a consolidated fiscal report, which includes a year-end cost report and final claim not later than the time period listed in Schedule B: Progress Reporting Requirements below.

Schedule B: Progress Reporting Requirements

Period 1: Month X, - Month X, (Annual Requirements)			
Progress Report	Report Type	Report Period	Due Date
Quarterly - 1	Quarterly - Work Plan	1/1 - 3/31	30 Days *
Quarterly - 2	Quarterly - Work Plan	4/1 - 6/30	30 Days *
Quarterly - 3	Quarterly - Work Plan	7/1 - 9/30	30 Days *
Quarterly - 4	Quarterly - Work Plan	10/1 - 12/31	30 Days *
Final	Final Report	End of Contract	60 Days
	MWBE Utilization Form	Throughout life of the contract	Within 2 weeks of hire
	MWBE Utilization Report via NYSCS	Quarterly throughout life of contract	3/31, 6/30, 9/30, 12/31 *
		* Due every year during contract period, as amended	

E. Special Payment and Reporting Provisions

The Payment Contact for this contract is:

NYS Department of State
Division of Local Government Services
One Commerce Plaza
99 Washington Avenue, Suite 1115
Albany, NY 12231

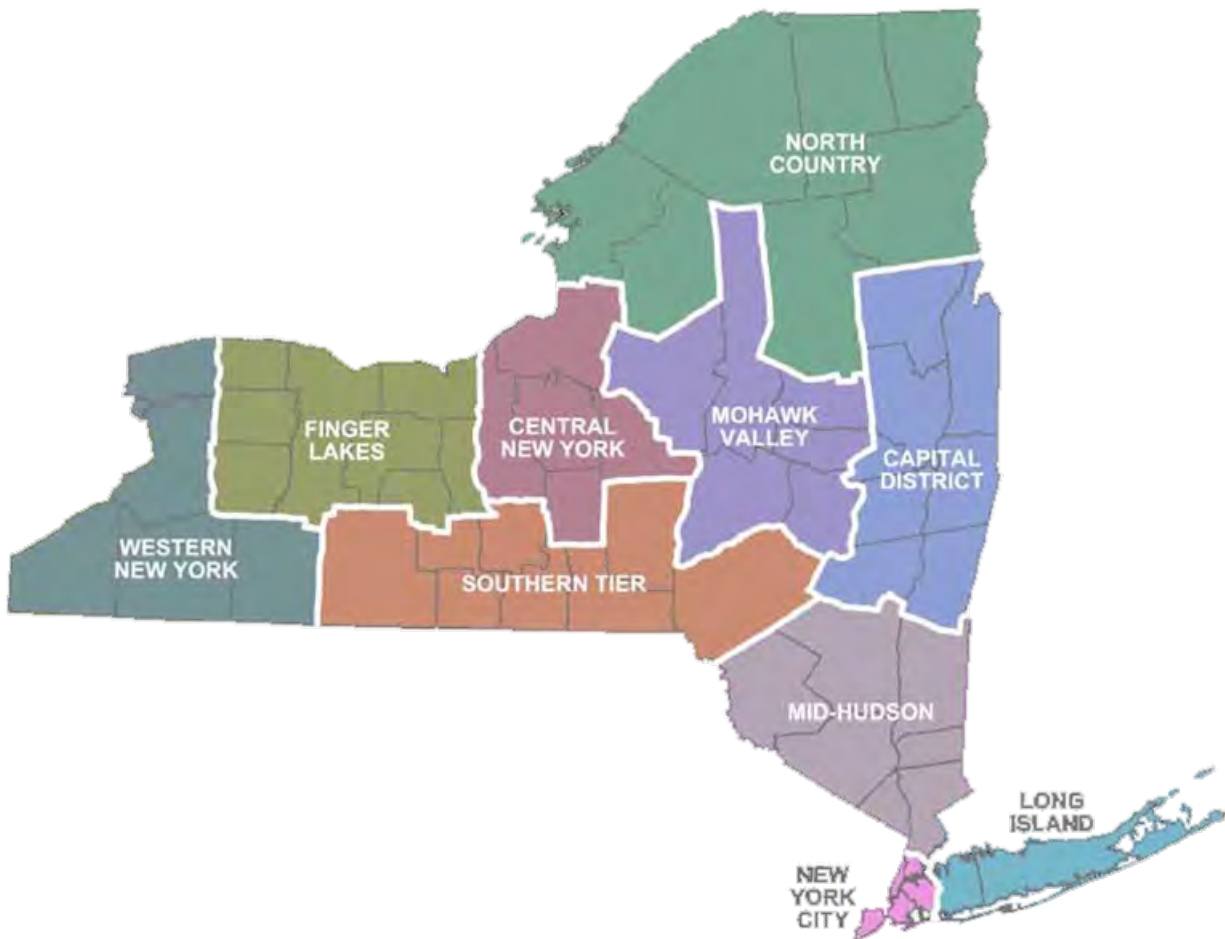
Completed progress reports and payment request forms should be emailed to lgeprogram@dos.ny.gov, copying the DOS LGE project manager with the following subject line:

Payment Request/Progress Report: [Contract Number], [Grantee Name], [Grant Program]

Contract Number: # _____
Page 5 of 5, Attachment D – Payment and Reporting

January 2025

New York State Regional Economic Development Council Regions



KATHY HOCHUL
GOVERNOR

WALTER T. MOSLEY
SECRETARY OF STATE