

*Special New York State Grants
for Environmental Education, Cultural and Recreational Programs*

*Administered through the Office of Parks, Recreation
and Historic Preservation*

GUIDELINES
*for Projects over \$50,000
or those Involving Construction*

*Fiscal Year
2009-2010*



State of New York
David A. Paterson, Governor

Office of Parks, Recreation and Historic Preservation
Carol Ash, Commissioner

An Equal Opportunity/Affirmative Action Agency

TABLE OF CONTENTS

	PAGE
REGIONAL PROJECT CONTACTS	2
Indicates who you should contact with questions	
INTRODUCTION	4
WHERE TO SEND YOUR PROPOSAL	4
PROPOSALS - What to Submit	5
All Proposals	5
Restrictions on Use of Funds	6
Not-For-Profit Organizations	7
PROJECT REQUIREMENTS AND PROCEDURES	8
GRANTEE ACCOUNTING REQUIREMENTS	10
FINAL REPORT REQUIREMENTS	12
EXHIBITS	
I. Sample Project Budget	13
II. Sample Construction Budget	14
III. Contract Approval Process	15
IV. Proposal Checklist	16
FORMS	
Identification Form	17
Equal Employment Opportunity Policy Statement	18
Resolution for Authority to Sign Legal Documents Form	19
Appendix B (Budget) Form	20
Appendix D (Program Narrative) Form	21
Historic Resources Form (Construction Only)	22
Affidavit of Title (Construction Only)	24
Opinion of Municipal Counsel (Construction Only)	26
Contractor Payment Request Certification	28
Final Report Certification	29
Attachment A - Grant Payment Summary Sheet	30
Waiver of Interest Agreement	31
State Aid Voucher	32

REGIONAL CONTACT LIST

Allegheny Region

Lynn LeFeber
Allegheny State Park, RD 1
Salamanca, New York 14779

(716) 354-9101 ext. 235
(716) 354-2255 fax
Lynn.LeFeber@oprhp.state.ny.us

Counties: Allegheny, Cattaraugus, Chautauqua

Central Region

Jean Egenhofer
Clark Reservation
6105 East Seneca Turnpike
Jamesville, New York 13078

(315) 492-1756
(315) 492-3277 fax
Jean.Egenhofer@oprhp.state.ny.us

Counties: Oswego, Oneida, Onondaga, Cortland, Chenango, Otsego, Madison, Broome, Herkimer, Delaware

Finger Lakes Region

Laurie Moore
Chandra Theetge
2221 Taughannock Park Road
Trumansburg, New York 14886

(607) 387-7041 ext.103
(607) 387-7041 ext.112
(607) 387-3390 fax
Laurie.Moore@oprhp.state.ny.us
Chandra.Theetge@oprhp.state.ny.us

Counties: Wayne, Ontario, Yates, Steuben, Seneca, Cayuga, Schuyler, Tioga, Tompkins, Chemung

Genesee Region

Karen Ferguson
1 Letchworth State Park
Castile, New York 14427

(585) 493-3613
(585) 493-5272 fax
Karen.Ferguson@oprhp.state.ny.us

Counties: Orleans, Monroe, Genesee, Wyoming, Livingston

Long Island

Traci Christian
Carole Friedman
Belmont Lake State Park
PO Box 247
Babylon, New York 11702

(631) 321-3543
(631) 321-3571
(631) 321-3721 fax
Traci.Christian@oprhp.state.ny.us
Carole.Friedman@oprhp.state.ny.us

Counties: Nassau, Suffolk

New York City Region

Merrill Hesch (**Manhattan**)
NYS Office of Parks, Recreation, and
Historic Preservation
163 West 125th Street, 17th Floor
New York, NY 10027

(212) 866-2599
(212) 866-3186 fax
Merrill.Hesch@oprhp.state.ny.us

Colleen LaFarr (**Kings, Richmond**)
Michelle Leffler (**Bronx**)
Brishen Minns-Currier (**Queens**)
NYS Office of Parks, Recreation and
Historic Preservation
Empire State Plaza, Agency Building 1
Albany, New York 12238

(518) 474-8477
(518) 408-1880
(518) 402-5368
(518) 486-7377 fax
Colleen.LaFarr@oprhp.state.ny.us
Michelle.Leffler@oprhp.state.ny.us
Brishen.Minns-Currier@oprhp.state.ny.us

Niagara Region

Noelle Kardos
Lynne Terrana
Niagara Reservation State Park
P. O. Box 1132
Niagara Falls, New York 14303

(716) 278-1761
(716) 278-1748
(716) 278-1744 fax
Noelle.Kardos@oprhp.state.ny.us
Lynne.Terrana@oprhp.state.ny.us

Counties: Erie, Niagara

Palisades and Taconic Region

Ron Rader
Erin O'Neil
PO Box 308
9 Old Post Road
Staatsburg, New York 12580

(845) 889-889-3865
(845) 889-889-3866
(845) 889-8321 fax
Ronald.Rader@oprhp.state.ny.us
Erin.O'Neil@oprhp.state.ny.us

**Counties: (Palisades) Orange, Rockland, Sullivan, Ulster
(Taconic) Columbia, Dutchess, Putnam, Westchester**

Saratoga / Capital District Region

Catherine Jepson
Danielle Dwyer
Saratoga Spa State Park
19 Roosevelt Drive
Saratoga Springs, New York 12866

(518) 584-2000 ext.232
(518) 584-2000 ext.235
(518) 584-5694 fax
Catherine.Jepson@oprhp.state.ny.us
Danielle.Dwyer@oprhp.state.ny.us

**Counties: Albany, Fulton, Greene, Essex, Montgomery, Rensselaer, Saratoga, Schenectady, Schoharie,
Warren, Washington**

Thousand Island Region

Gayle Underhill-Plumb
Keewaydin State Park
Alexandria Bay, New York 13607

(315) 482-2593
(315) 482-9413 fax
Gayle.Underhill-Plumb@oprhp.state.ny.us

Counties: Hamilton, Jefferson, Lewis, St. Lawrence, Franklin, Clinton

PROGRAM GUIDELINES

FOR SPECIAL STATE GRANTS THROUGH THE OFFICE OF PARKS, RECREATION AND HISTORIC PRESERVATION (OPRHP)

INTRODUCTION

Your organization has received an Executive or Legislative grant that will be administered by the New York State Office of Parks, Recreation and Historic Preservation (OPRHP). In order to access the grant money, you must first complete a proposal. These Guidelines will explain how to complete a proposal and what State rules, regulations, and specific grant requirements need to be followed.

A Regional Grants Representative, based on your county, has been assigned to your project and is listed on pages 2 and 3. This staff is your point of contact, to whom you should direct all questions. If you cannot access websites referenced in this document, the Regional Grants Representative can send you hard copies of forms and instructions.

We will use the information in the proposal to develop a contract, which will be sent to you for signature. The contract must be returned to OPRHP and signed by certain state officials before it is considered executed. No payment can be made before there is an executed contract.

These grants fund a wide variety of projects. Please refer to pages 6-9 for instructions on the type of items that may or may not be in your particular budget.



Construction projects, especially those involving historic properties, have many requirements. If your project involves any cosmetic or structural change to a building, involves installation of any type of fixture, or involves any ground disturbance, it may be considered a CONSTRUCTION project. **Consult with your Regional Grants Representative before starting any work on your project.**

The submission of incomplete or inaccurately prepared proposals will lengthen the contract preparation and approval process and delay the initial payment of vouchers.

You will be required to account for the funds with supporting documentation. **Do not pay for any expenses in cash.** A Final Report will be required to be submitted and approved by OPRHP once your project is completed. Documents need to be maintained by your office for a period of six years after the grant is closed out.

Funds for your project must be expended within a specific time, identified on the Cover Page of the Contract as the "Initial Contract Period." Since the legislative sponsors intended that these funds would support your organization's expenses during the Fiscal Year in which they were awarded, the start date can be as early as April 1, 2009. However, State Prompt Contracting Law (Article 11-B of the State Finance Law) assumes that project work will not begin until after the Contract is executed. To allow time for processing paperwork, we recommend a start date six weeks after you submit the necessary documents to us. If you wish to apply the grant to expenses incurred prior to that, please execute a "waiver of interest agreement," the form for which is part of these Guidelines, on Page 31. Please also note your desired start date on the Identification Page and in your Project Narrative. The end date of the Contract has been set as June 30, 2010; this date can be extended if the funds are reappropriated in a subsequent fiscal year.

Funds granted through the OPRHP are considered restricted. In order to meet State requirements, grantees will need to follow certain procedures and provide/maintain specific documentation.

TWO FULL COPIES OF THE PROPOSAL MUST BE SUBMITTED TO YOUR REGIONAL GRANT REPRESENTATIVE LISTED ON PAGES 2 AND 3.

EXCEPTION

If your organization is based in:

QUEENS

BRONX

BROOKLYN

STATEN ISLAND

SUBMIT JUST 1 COPY

E-PAY: The State now requires that all grant payments be made electronically. No payment will be processed until the grantee has complied with the State Comptroller's electronic payment procedures. Forms may be obtained at the OSC website, www.osc.state.ny.us/epay/index.htm, by email at epunit@osc.state.ny.us, or by telephone at 518-474-4032. Please note that Substitute Form W-9 must be submitted to OSC with your Electronic Payments Authorization Form. Exceptions to the policy due to extenuating circumstances must be approved by the Commissioner of OPRHP.

PROPOSAL

Every proposal will consist of an Identification Form (A), budget (B), narrative (C), resolution by the governing body (D), and EEO Policy Statement (E). Depending on the particular project, other documents may be required. All of these forms can be downloaded from the Guidelines on our webpage.

A. THE IDENTIFICATION FORM (page 17) consists of:

1. The Incorporated Name and Mailing Address: Use the complete incorporated name of your organization and the mailing address. This is the address to which the contract, checks, and other documents or correspondence will be sent. If this is different from the physical address of your organization, please note the physical address in the organization description. If you use a d/b/a, submit the authorizing document.
2. Federal Employer Identification Number: All organizations **MUST** have a Federal ID number, even if there are no paid employees. A contract cannot be prepared without one. If your organization does not have a federal identification number, contact the IRS at IRS.gov
3. NYS Charities Registration Number: All not-for-profit organizations that receive grants from NYS must have a NYS Charities Registration Number from the Charities Bureau of the Office of the Attorney General. Some may also be required to be chartered by the State Education Department or Department of State. Your reporting requirements must be current with the appropriate agency before you submit this grant proposal. Your Regional Grants Representative will confirm the status of your reports. Delinquency will prevent your contract from being processed until status is current. If your organization is delinquent, it is your responsibility to rectify the situation and notify OPRHP once status is current.

Please note that this is NOT the same number as the NYS sales tax exempt number, or the Federal Employer Identification Number.

Information about the New York State Attorney General's Charities Bureau and requirements for Charitable, Not-for-Profit Organizations, including links to instructions and forms, may be found at: www.charitiesnys.com

4. Project number - This is found on the grant award letter. Please refer to it on all correspondence and phone calls
5. Grant Amount - This is found on the grant award letter.
6. Authorized Official - Please print or type the person's name and title

B. PROJECT BUDGET: This must include a line-by-line listing of specific project expenditures. Show the total project cost for each work element, the grant share for each work element, and, if applicable, other grant funding sources for the same project work elements. Be sure that these costs correspond to the purpose intended for these funds.

Specify job titles if salaries are to be funded. Grant funds must be used in accordance with the approved project budget (Appendix B), which is made a part of the state contract agreement. OPRHP must approve any changes to this budget in writing prior to implementation. Sample budgets have been provided on pages 13 & 14 of this booklet.

The following is a list of items that are **NOT** eligible:

Restrictions on use of funds – These items and costs associated with them, include but are not limited to:

Scholarships	Receptions
Prizes and Awards	Sales, Property Taxes
Consumables (Food and Beverages)	Refundable Deposits
Lobbying	Re-grants
Fundraising Events	Fines
Late Fees	Endowments and Revolving Funds
Sectarian Activities*	Ticket Subsidies
Uniforms to be kept by the wearer	
Organization’s Activities Restricted to Paid Membership or Residents	

*Sectarian Activities: This includes any activity that benefits a religious organization in any way beyond that which is provided for the general public.

All projects must result in a public benefit. If you are a sectarian entity, fraternal organization or private club, contact your Regional Grants Rep to discuss the public benefit being derived from the use of these funds.

C. PROJECT NARRATIVE: Include a **brief** description of the project to be funded by this grant. This narrative should reflect the legislative intent of the grant award (described in the award letter) and should explain Appendix B expenditures. **Also identify your desired contract start date in the narrative.**

D. EEO POLICY STATEMENT: Provide either your organization's EEO Policy Statement or have the authorized official complete and sign the policy statement provided on page 18.

E. RESOLUTION: The Board of Directors, or appropriate governing body of the organization, must adopt the enclosed Resolution, exactly as worded. It is not necessary to send the approved minutes of the meeting, but the Secretary or recording official of the organization (not the authorized signer) must certify that the Resolution was adopted exactly as written.

F. NOT-FOR-PROFIT DOCUMENTS:

1. **Vendor Responsibility Questionnaire**

In order for a contract to be processed, a current **Vendor Responsibility Questionnaire** must be on file with the Office of the State Comptroller (OSC). For the purpose of this form, the grantee is considered the vendor. You may either submit the paper form with your proposal or register directly with OSC through the online Vendrep system. Forms and information can be found at http://www.osc.state.ny.us/vendrep/vendor_index.htm. Regardless of the type of project, the Not-for-Profit Questionnaire (in Forms for Vendor Use) should be used. You are encouraged to save a copy of the completed form, as you will need to update it for future grants.

2. **Description of Organization**

Provide a brief description of its main purpose and major programs. Include the physical address of the organization if it is different from the mailing address.

3. **Charities Registration**

Ensure that your organization is current with the filing of all required reports with the Charities Bureau of the Office of the Attorney General (OAG), State Education Department (SED), or Department of State (DOS) before you submit this grant proposal.

REQUIREMENTS, PROCEDURES AND PROCUREMENT

By signing your SIGNATURE PAGES, you are certifying that you have read and understood the procurement and payment procedures and documentation required. Some will apply to your grant, while others will not, depending on the purpose of the funding. Do not send any of these materials to OPRHP, unless requested. It is your responsibility to comply with the procedures and maintain ALL documentation in your file for a period of six years from close-out submission (if your Final Report is inadequate, you will be contacted). These are subject to audit by both OPRHP and the Office of the State Comptroller.

- A. **AFFIRMATIVE ACTION PROGRAM INFORMATION:** The STATE will implement the provisions of Article 15A of the Executive Law. This legislation established requirements and procedures for the participation of Minority and Women-Owned Business Enterprise (M/WBE's) and Equal Employment Opportunity (EEO) participation on all STATE grants. All Affirmative Action Program requirements will be made a part of the contract agreement and can be found in Appendix A-1 of the contract when it is written.
- B. **FRINGE BENEFITS:** If fringe benefits are to be charged to a grant, they should be lined-out separately as a cost in the proposal, and will be similarly described in the contract.
- C. **GENERAL PROCUREMENT REQUIREMENTS-APPLICABLE TO ITEMS D THROUGH G BELOW:** Goods and services which are not required to be competitively bid must be obtained (procured) in a manner so as to assure the prudent and economical use of grant moneys, to facilitate the acquisition of goods and services of maximum quality at the lowest possible cost under the circumstances, and to guard against favoritism, improvidence, extravagance, fraud and corruption.

Municipalities are required to have a written procurement policy, in accordance with General Municipal Law.

Not-for-Profits are encouraged to have a written procurement policy. For those organizations that do not have one, we offer the following "Best Practices".

- D. **CONSULTING SERVICES:** (for professional services)
1. For all consultant contracts, a request for proposal (RFP) should be developed. The following documentation should be maintained in your grant file.
 - A copy of the RFP,
 - A list of those persons or firms invited to respond to the RFP or a copy of the advertisement,
 - A list of persons or firms and their responses,
 - A list of committee members who will review the responses,
 - Criteria used to evaluate the responses,
 - The reason the selected person or firm was chosen,
 - A copy of the contract with the selected consultant.

2. For ongoing *services*, an RFP should be developed at the end of each contract term. For example: If you use the same auditing firm for a period of years, you should have a written agreement which includes an ending date. When the agreement ends, auditing services are subject to a new procurement. Contract/Agreements are recommended for periods of no longer than **FIVE** years.
- E. PERFORMANCE SERVICES: Copies of contracts or performance agreements entered into for the services of performing artists, technicians, and others who are hired for a specific task, but are not on payroll, must be maintained in your grant file.
- F. PURCHASE OR RENTAL OF EQUIPMENT, SUPPLIES AND MATERIALS: For such items, the procurement process that demonstrates compliance must be maintained in your grant file.
 - A grantee must maintain an inventory of equipment purchased from OPRHP funds.
 - A list of model and serial numbers of items purchased must be maintained in your grant file. Such equipment must be available for visible inspection during the contract period as well as for a minimum of five years thereafter.
 - Copies of rental agreements must be maintained in your grant file.
- G. PRINTING/PUBLICATIONS: OPRHP will fund printing expenses only if the product is available to the public free of charge. A copy of each publication must be maintained in your grant file.

CONSTRUCTION AND BUILDING PROJECTS

If your project involves any cosmetic or structural change to a building, involves any installation of any type of fixture, or involves any ground disturbance, it may be considered a CONSTRUCTION project. Regardless of size or dollar amount you should discuss the project with your Regional Grants Representative before starting any paper work.

A. PROCEDURES:

All construction projects are subject to review by the State Historic Preservation Office (SHPO), including a possible archeological review, and Environmental Management review.

The following may be required **with the proposal** for projects that involve building, structures or land. (This may include some projects under \$50,000 in total project or grant costs).

- **When plans and specifications are required, they must be reviewed by OPRHP before you solicit bids. Thus, two copies of the plans and specifications must be stamped by a licensed professional.**
- Two copies of site plans, floor plans, photographs of existing conditions, and cost estimates for work items, as well as bid documents and a summary of all bids received, are required.
- Two copies of **Historic Resources Structure Inventory Form** (see page 21).
- **Affidavit of Title** (Not-for-Profits see pages 24-25 **or** an **Opinion of Municipal Counsel** (Municipalities see pages (26-27) must be submitted **before the contract may be developed**.
- A **copy of the deed** to the property, clearly showing the date, book and page of recording, must be provided. If the grantee is not the owner, provide documentation of the ownership interest of the applicant and the termination date of said interest.

- B. STATE ENVIRONMENTAL QUALITY REVIEW ACT (SEQR): Certain projects are subject to environmental review as per Part 617, of the Rules and Regulations implementing SEQR. Municipal grant recipients are responsible for complying with SEQR and assessing the environmental significance of actions that they have discretion to approve, fund or directly undertake.

All projects sponsored by not-for-profit organizations will be reviewed by OPRHP to determine the type and extent of environmental review that may be required. If information is required, it will be requested through the contract process.

- C. ACQUISITION OF REAL PROPERTY: **An appraisal must be submitted when funds are used** for acquisition of land or buildings. Appraisal standards can be found at: <http://nysparks.state.ny.us/grants/forms-resources.aspx>. Two appraisals must be submitted for property valued at \$300,000 or more. Proof of clear title to the property must be provided and approved by the Office of the State Attorney General before any payment can be released for an acquisition grant.
- D. COVENANT REQUIREMENT: If a grantee receives funds for construction on property that is not owned by the grantee, the property owner must be willing to sign a covenant that may be recorded with the deed to the property. By virtue of this covenant, the property owner will agree not to convert the property improved with grant funds to a non-public, non-recreational use; the term of the covenant will be determined by the amount of grant funds involved, from no less than five years, to a maximum term of twenty years.
- E. PRESERVATION COVENANT: If a grantee receives funds for construction on property that is listed on the State or National Registers of Historic Places, a preservation covenant may be entered into and conveyed to OPRHP. The purpose of this restriction is to secure the preservation of historic resources and to ensure that a public benefit is derived from the expenditure of public funds. The term of the covenant will be determined by the amount of grant funds involved, from no less than five years, to a maximum term of twenty years.
- F. SUBORDINATION: Any easement, covenant, or other deed restriction entered into as part of an acquisition or construction project must not be subordinate to any other security interest in the property.
- G. SECRETARY OF THE INTERIOR'S STANDARDS: All work undertaken on a project and a subject property listed on or eligible for listing on the State or National Registers of Historic Places shall conform to the Secretary of the Interior's Standards for Rehabilitation and Guidelines for Rehabilitating Historic Buildings 1992, the Secretary of the Interior's Standards and Guidelines for Archeological Documentation or any other applicable Secretary of the Interior's Standards (collectively referenced as STANDARDS).

ACCOUNTING REQUIREMENTS

All OPRHP funded expenditures must be identifiable in the accounting records as such. This is accomplished by writing "OPRHP" in the payroll records, cash disbursements journal, check register, on invoices, receipts, cancelled checks, and any other appropriate documents. Do not send any of these materials to OPRHP.

The following must also be kept on file for six years from close-out.

- A. PAYROLL RECORDS: Each grantee must maintain complete and accurate records in the area of time-attendance and leave accruals for employees. Accurate recording of time-attendance and leave accruals serves as the determinant of regular and overtime (if applicable) pay for both salaried and

wage employees. In many instances, grantee employees are required to perform duties for several different grants. In order to obtain an equitable allocation of costs under such conditions, a proper distribution of time, based on accurate time records, is mandatory.

Accounting records for all employees must include the following:

- Wage or salary amount
- Payroll register showing gross salary, deductions, net salary and check number
- W-2 Form
- W-4 Form
- Time and attendance records for hourly employees
- Evidence of payment by:
 - Cancelled checks, or
 - Records of direct deposit, or
 - Bank statements
- Any fringe benefits charged against OPRHP funds must be backed up by a cost breakdown of specific benefits

B. RECORDS FOR ALL OTHER EXPENDITURES: Required records for all other OPRHP funded expenditures include the following:

Evidence of payment either by:

- Cancelled checks, or
- Records of direct deposit, or
- Bank statements and
- Credit card receipts, statements and proof that charge was paid.

In addition to B above, the following records are required for the expenditure of each of these specific listed items:

C. CONSULTANTS, OUTSIDE PROFESSIONAL SERVICES

- Signed contracts
- Invoices or logs of dates and hours worked
- Form 1099

D. *TRAVEL

- Common carrier receipts
- Log of miles traveled and rate of reimbursement, if personal car is used
- Lodging receipts
- Food receipts

*Destination and purpose of trip must be noted. Reimbursement will be allowed only up to the current State rates.

E. EQUIPMENT

- Detailed invoices, and
- Confirmation page or invoice for online purchases, and
- Annual written inventory to include description, cost, date purchased, ID number, and date and means of disposition, if any.

F. SUPPLIES, MATERIALS, UTILITIES, INSURANCE, MISCELLANEOUS

- Detailed invoices, or
- Confirmation page or invoice for online purchases

FINAL REPORT REQUIREMENTS

- A. Unless otherwise specified, the Final Report is due within 60 days of the completion of the project. This report is a reconciliation of the contract agreement as written compared to the project as completed. The report includes a narrative of the project as completed and describes any successes achieved or problems incurred during the project. It also includes a line-by-line comparison of actual, expended sums that correspond to the estimated costs for those same lines in “Appendix B” of your project agreement. Further details of Final Report requirements are outlined in the contract Appendix C and/or Appendix E of your project agreement.
- B. In addition to the above, for construction and acquisition projects of \$99,999 or less and program projects of \$100,000 and over, the final report may include an “Agreed-Upon Procedure Review”. This review must verify that all payments claimed by grantee in the final report were made by examining cancelled checks, payee endorsement, and/or other evidentiary material and in cases where “force account expenditures” (salaries of the grantee's staff), must verify Time & Attendance / Payroll documentation exists supporting the charge for personnel used on grant project.
- C. For all construction projects of \$100,000 and over, at the conclusion of the grant period, the grantee may be responsible for obtaining an independent review of all revenues and expenditures under the contract for the entire grant period. The review is to be performed by an accounting professional and must be conducted in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in Government Auditing Standards, issued by the Comptroller General of the United States. The audit report must also include the following supplemental schedules:
- Schedule of Project Expenditures by Vendors
 - Schedule of Revenues by Source

The only exception to items B and C (above) is if the project involves only one general contractor. If that is the case, then item A applies.

- D. If the grant is funding a construction project, the Final Report must include a photograph of the completed work. Digital photos are acceptable.

Final report documents are available at: <http://www.nysparks.state.ny.us/grants/forms-resources.aspx>

FAILURE TO SUBMIT FINAL REPORTS MAY JEOPARDIZE FUTURE GRANT AWARDS

Exhibit I

SAMPLE PROJECT BUDGET
For Programs & Services

**APPENDIX B
PROJECT BUDGET**

A detailed estimated budget for the project as outlined in this AGREEMENT in accordance with the legislative intent of the sponsor is as follows:

The money from this grant will be used solely and directly for:

<u>Work Elements</u>	<u>PKS Share</u>	<u>Total Cost</u>
Staff Salaries		
Director of Programs	\$ 35,000	\$ 65,000
Curator	30,000	56,000
Program Assistant	25,000	45,000
Consultant		
Programmer	10,000	10,000
Printing and Promotion		
Program announcements	2,500	2,500
Postage and mailing	<u>2,500</u>	<u>2,500</u>
TOTAL	\$105,000	\$181,000

SAMPLE PROJECT BUDGET
For Construction Projects

**APPENDIX B
PROJECT BUDGET**

A detailed estimated budget for the project as outlined in this AGREEMENT in accordance with the legislative intent of the sponsor is as follows:

The money from this grant will be used solely and directly for:

<u>Work Elements</u>	<u>PKS Share</u>	<u>Total Cost</u>
Consultants:		
Architect	\$15,000	\$ 25,000
Engineer	10,000	15,000
Construction:		
To include- plumbing heating and electrical	175,000	250,000
Administration:		
Finance Officer	10,000	10,000
Project Manager	20,000	20,000
CPA Audit	<u>5,000</u>	<u>5,000</u>
 TOTAL	 \$235,000	 \$325,000

Exhibit III

Grants-in-Aid

Contract Approval Process

- State Budget passes (copies of budget pages received by OPRHP). Governor signs Budget Bills.
- Confirmation list provided to OPRHP and Division of the Budget (DOB) by the Legislative Finance Committees
- Division of the Budget (DOB) issues release of funds (Budget Master Certification) to OPRHP.
- Award letter sent to each grantee with instructions for accessing Guidelines.
- Grantee responds by preparing a proposal based on guidelines and sends it to OPRHP.
- Proposal reviewed by OPRHP grants staff and also routed for internal reviews by OPRHP.
- Proposal assembled into contract form (Project Agreement).
- Project Agreement sent to grantee for signing and notarizing. Voucher, certification form and instructions also provided.
- Grantee signs agreements and returns them to Region who forwards them to Albany.

All contracts are sent to **THE DIVISION OF BUDGET FOR PREAPPROVAL**. Once approved by the Division of Budget and Office of State Operations, it is then forwarded to the Office of the Attorney General (OAG) for review and approval. OAG approves the contract and forwards it to the Office of the State Comptroller (OSC) for final approval.

OSC approved contract returned to OPRHP.

Appendix C Payment Schedule reviewed and if appropriate, voucher processed through OSC to release first payment.

Fully executed agreement sent to grantee with indication that payment is being processed or payment can not be processed until conditions in Appendix C of the contract have been met.

Exhibit IV

Grantee Check list of materials to send to Regional Office
Items indicated with * should have one original signature

Submit one original, one copy, and e-mail as noted of the following:

___ ID form (page 17) filled out

___ EEO Policy Statement (page 18)

* ___ Resolution for Authority to Sign Legal Documents (page 19) (no self-authorization)

___ Project Budget (samples pages 13-14) (also submit by **e-mail** to regional office, Form-page 20)

___ Project Narrative or Program Work Plan (also submit by **e-mail** to regional office, Form-page 21)

___ Waiver of Interest Agreement (if you wish to apply grant to retroactive expenses – see Page 4, Form-page 31)

In addition to the above, a Not-for Profit must also submit the following documentation:

___ Description of Organization (also submit by email to regional office)

* ___ Vendor Responsibility Questionnaire, or use online filing system (form must be notarized)
(Include Charities Registration Number, must be current with report filings.)

Construction projects:

Submit two copies of the following:

___ SEQR Documentation and determination (Municipalities only)

___ Affidavit of Title or Opinion of Municipal Counsel (pages 24-28) (Affidavit must be notarized)

___ Deed (and documentation of ownership interest if not owner)

___ Historic Resources Inventory Form (pages 22-23), including location map and original photos of site and work to be performed

___ Proof of prior ground disturbance for any new construction or earth-moving activities such as field construction or utility line installation

Special State Grants Through
NYS Office of Parks, Recreation and Historic Preservation

IDENTIFICATION FORM

Incorporated Name of Organization: _____

Printed or Typed Name of Authorized Official: _____

Title: _____

Mailing Address: _____

_____ 9 digit zip code: ____ - ____ - ____

Federal Employer Identification Number: _____

Vendor Responsibility Questionnaire: Paper copy included: [] or Filed online [] Date _____

NYS Charities Registration Number: _____

Hours of Operation or Open to the Public: _____

Project ID#: PKS-_____ Grant Amount: \$ _____

Contract Period: **Contract Start Date** _____; **Contract End Date:** **June 30, 2010**

Contact Person, Name: _____

Title: _____

Phone #: _____ Alternate Phone #: _____

Fax #: _____ E-Mail: _____

Address of contact person if different from above: _____

Rev 2/10

Article 15A

EQUAL EMPLOYMENT OPPORTUNITY POLICY STATEMENT

It is the policy of the _____ to provide equal employment
Legal Name of Your Organization

opportunity to all people without regard to race, color, sex, religion, age, national origin, disability, sexual preference, or Vietnam Era Veteran status. As head of the organization, I am personally committed to assuring that our organization will act affirmatively to develop avenues of entry and mobility for minorities, women, individuals with disabilities, and Vietnam Era Veterans through the following activities:

- Development of programmatic approaches to the elimination of all unjust exclusionary employment practices, policies and consequences;
- Development of educational and training programs for all employees, with emphasis on our goals for upgrading minorities, women, individuals with disabilities and Vietnam Era Veterans;
- Development of personnel practices, policies and career ladders to assist and encourage upward mobility of employees restricted to lower levels;
- Development of mechanisms for swift and judicious resolution of complaints of discrimination consistent with our policy, and other applicable statutes; and
- Provision of reasonable accommodations to enable qualified individuals with disabilities to enjoy equal employment opportunities and equal terms, conditions and privileges of employment.

To effectuate this policy, we have designed a plan which conforms with all relevant Federal and State non-discrimination laws and regulations including but not limited to: The Civil Rights Act of 1964, as amended, the Rehabilitation Act of 1973, as amended, the Americans with Disabilities Act, the Vietnam Era Veteran's Readjustment Act of 1974, and the New York State Human Rights Law. The plan applies to all job classifications and titles in this organization's jurisdiction. It governs all our employment policies, practices and actions including, but not limited to: recruitment, hiring, discipline, rate of pay or other compensation, advancement, reclassification, reallocation, promotion, demotion, discharge and employee benefits. I will see that the Affirmative Action Office is provided with all available resources necessary for the execution of its program responsibilities. Moreover, all managers, supervisors, and employees must make consistently diligent efforts to implement this policy in day-to-day program and employment decisions. Affirmative Action considerations will be an integral part of all organizational activities performed in the furtherance of our mission and in meeting our responsibilities to the State's citizens.

Signature of Agency Head _____

Printed Name of Agency Head _____

Resolution for Authority to Sign Legal Documents

I, _____, the duly [elected and qualified secretary] **OR** [qualified and acting Clerk] of the [_____ of _____, New York, (Organization Name) (place)] a corporation subject to the Not-for-Profit Corporation Law of New York State and qualified for tax exempt status under the federal internal revenue code] **OR** [_____, New York], (Municipality) do hereby certify that the following resolution was adopted at a _____ meeting of (regular) (special) the _____ held on _____, and is [incorporated in the original minutes of said (governing body) (date) meeting] **OR** [on file and of record], and that said resolution has not been altered, amended or revoked and is in full force and effect.

Signed: _____

WHEREAS, this organization has received a special grant in the 2009-10 New York State Budget; and

WHEREAS, there are specific requirements and regulations governing the expenditure of these funds;

NOW, THEREFORE, this body resolves the following:

1. Administration of all funds under this grant will be in accordance with all terms and conditions contained in "***GUIDELINES for projects over \$50,000 or those involving construction, Fiscal Year 2009 – 2010,***" provided by the New York State Office of Parks, Recreation and Historic Preservation.

2. That _____, as _____ of our organization, (name) (title)

is hereby authorized to sign legal documents on behalf of our organization and that such signature is acknowledgement of the acceptance by this body of compliance with all terms and conditions of the grant agreement, to be executed for the grant.

**APPENDIX B
PROJECT BUDGET
PKS-**

A detailed estimated budget for the project as outlined in this AGREEMENT in accordance with the legislative intent of the sponsor is as follows:

The money from this grant will be used solely and directly for

Work Elements

PKS Share

Total Cost

**APPENDIX D
PROGRAM NARRATIVE
PKS-**

Organization Description:

Project Narrative: (Include proposed contract start date)



HISTORIC RESOURCE INVENTORY FORM

NYS OFFICE OF PARKS, RECREATION
& HISTORIC PRESERVATION
P.O. BOX 189, WATERFORD, NY 12188
(518) 237-8643

OFFICE USE ONLY

USN: _____

IDENTIFICATION

Property name(if any) _____

Address or Street Location _____

County _____ Town/City _____ Village/Hamlet: _____

Owner _____ Address _____

Original use _____ Current use _____

Architect/Builder, if known _____ Date of construction, if known _____

DESCRIPTION

Materials -- please check those materials that are visible

Exterior Walls:	<input type="checkbox"/> wood clapboard	<input type="checkbox"/> wood shingle	<input type="checkbox"/> vertical boards	<input type="checkbox"/> plywood	
	<input type="checkbox"/> stone	<input type="checkbox"/> brick	<input type="checkbox"/> poured concrete	<input type="checkbox"/> concrete block	
	<input type="checkbox"/> vinyl siding	<input type="checkbox"/> aluminum siding	<input type="checkbox"/> cement-asbestos	<input type="checkbox"/> other: _____	
Roof:	<input type="checkbox"/> asphalt, shingle	<input type="checkbox"/> asphalt, roll	<input type="checkbox"/> wood shingle	<input type="checkbox"/> metal	<input type="checkbox"/> slate
Foundation:	<input type="checkbox"/> stone	<input type="checkbox"/> brick	<input type="checkbox"/> poured concrete	<input type="checkbox"/> concrete block	

Other materials and their location: _____

Alterations, if known: _____ Date: _____

Condition: excellent good fair deteriorated

Photos

Provide several clear, original photographs of the property proposed for nomination. Submitted views should represent the property as a whole. For buildings or structures, this includes exterior and interior views, general setting, outbuildings and landscape features. Color prints are acceptable for initial submissions.

Please staple one photograph providing a complete view of the structure or property to the front of this sheet. Additional views should be submitted in a separate envelope or stapled to a continuation sheet.

Maps

Attach a printed or drawn locational map indicating the location of the property in relationship to streets, intersections or other widely recognized features so that the property can be accurately positioned. Show a north arrow. Include a scale or estimate distances where possible.

Prepared by: _____ address _____

Telephone: _____ email _____ Date _____

PLEASE PROVIDE THE FOLLOWING INFORMATION

IF YOU ARE PREPARING A NATIONAL REGISTER NOMINATION, PLEASE REFER TO THE ATTACHED INSTRUCTIONS

Narrative Description of Property: Briefly describe the property and its setting. Include a verbal description of the location (e.g., north side of NY 17, west of Jones Road); a general description of the building, structure or feature including such items as architectural style (if known), number of stories, type and shape of roof (flat, gabled, mansard, shed or other), materials and landscape features. Identify and describe any associated buildings, structures or features on the property, such as garages, silos, privies, pools, gravesites. Identify any known exterior and interior alterations such as additions, replacement windows, aluminum or vinyl siding or changes in plan. Include dates of construction and alteration, if known. Attach additional sheets as needed.

Narrative Description of Significance: Briefly describe those characteristics by which this property may be considered historically significant. Significance may include, but is not limited to, a structure being an intact representative of an architectural or engineering type or style (e.g., Gothic Revival style cottage, Pratt through-truss bridge); association with historic events or broad patterns of local, state or national history (e.g., a cotton mill from a period of growth in local industry, a seaside cottage representing a locale's history as a resort community, a structure associated with activities of the "underground railroad."); or by association with persons or organizations significant at a local, state or national level. Simply put, why is this property important to you and the community. Attach additional sheets as needed.

THIRD: No proceedings in bankruptcy have ever been instituted by or against said owner or owners in any Court or before any officer of any State or of the United States, nor has an assignment for the benefit of creditors been made at any time.

FOURTH: I am over the age of eighteen years.

FIFTH: (Additional statements, if any)

SIXTH: The allegations herein as they relate to any co-owners and to any ownership in corporate, representative or fiduciary capacity, are upon information and belief.

All statements and representations in the Affidavit are made to induce the people of the State of New

York to release to _____,

(Organization Name)

the grant money in accordance with the above-mentioned project.

Print Name

Signature

Date

Sworn to before me this _____ day of _____, 20_____.

Notary Public, State of New York

Example –Opinion of Municipal Counsel-Municipal Projects Only

Date

RE: Project Number
Project Name
Project Sponsor

Office of Parks, Recreation
and Historic Preservation
Agency Building One
Empire State Plaza
Albany, NY 12238

Attention: Mindy Scott

Dear Mrs. Scott:

I have examined title to the following parcels acquired and/or improved pursuant to the grant agreement in this matter:

Parcel (identified, size, etc.)
Parcel (identified, size, etc.)

From my examination of said title and relying upon the record of instruments on file in the office of the County Clerk of _____ County, I find (name of CONTRACTOR) is duly seized of good and marketable title, having acquired the subject property pursuant to the following deeds:

Parcel A: Deed from _____ to (CONTRACTOR) dated and recorded _____ in Liber _____ Page _____.

Parcel B: Order of Condemnation and acquisition map filed _____.

The (abstract of title prepared by _____, or title policy issued by _____, or deed by its terms) indicates that the CONTRACTOR's title is subject to

which will not affect the use of the property as anticipated in the State of New York Agreement.

NOTE: If the CONTRACTOR's interest is less than full fee, the fee owner and source of title should be identified, as well as nature and term of the CONTRACTOR's interest. The following paragraph is an example of how this information could be stated:

As to lands owned in fee by _____, (CONTRACTOR) has use and control for the period of _____ for purposes set forth in the State of New York Agreement pursuant to a (lease, easement, permit) granted by (owner) to CONTRACTOR) dated _____ and recorded _____.

(Recite any additional facts):

Very truly yours,

Municipal Counsel

CONTRACTOR PAYMENT REQUEST CERTIFICATION
To be submitted with EACH payment request for all projects

Project Number: _____

Contractor: _____

Project Name: _____

Agreement Number: _____

Enclosed is the material for processing payment #____ for the above project covering total expenditures of \$_____.

This request certifies that all the required payment documentation, as required under the terms of the above referenced Agreement, is on file and will be available for inspection upon request for a period of six years from the date of the STATE's final disbursement of funds under this Agreement, and that the figures are true and correct and (a) do not duplicate any items previously submitted for reimbursement, and (b) that the payment request by State Aid Voucher (AC1171) does not duplicate a request for payment, or any payment received, from any source, for goods and services under this agreement. It is further certified that all items listed are eligible costs, and that the expenditures comply with the terms and conditions of the Agreement.

Name of Certifying Officer: _____
Typed or Printed

Signature

Date

Final Report Certification

Organization's Name: _____

Project Number: _____

This certifies that all required payment documentation, as required under the terms of the contract, is on file and will be available for inspection upon request for a period of 6 years from the date of the STATE'S final payment, and that the figures are true and correct. All items listed are eligible costs (as listed in Appendix B of the contract), and that the expenditures comply with the terms and conditions and are within the dates of the contract.

Certifying Officer

Date

WAIVER OF INTEREST AGREEMENT PROJECT NUMBER: PKS-

WHEREAS, _____ and the New York State Office of Parks, Recreation and Historic Preservation (OPRHP) desire to enter into a contract whereby _____ will provide services identified in the Legislative Intent Form; and

WHEREAS, _____ desires to provide services under a contract with OPRHP that has a retroactive start date; and

WHEREAS, the reasons for the retroactive start date are:

- _____ sought funding for Fiscal Year _____, and the legislative sponsor intended funds to be used during that period.
- OPRHP could not prepare a contract until documentation was received from the _____ which did not occur until after _____ (date of grantee document submittal).
- _____ wishes to apply funding toward services that were or will have been begun before a contract could be executed and approved by all parties.

WHEREAS, OPRHP met the time frames of Article XI-B of the State Finance Law and Part 22 of Title 2 of the NYCRR in relation to the subject contract; and

WHEREAS, subdivision 7 of Section 179-v of the State Finance Law permits the waiver of interest; and

WHEREAS, OPRHP would otherwise be liable for interest to _____ due to a retroactive contract start date;

NOW THEREFORE, in consideration of the terms hereinafter mentioned and also the covenants and obligations moving to each party thereto from the other, the parties do hereby agree as follows:

1. _____ hereby waives its right to any interest which may be due pursuant to Article XI-B of the State Finance Law and part 22 of Title 2 of the NYCRR.
2. OPRHP hereby agrees to expeditiously process the subject contract which provides for a retroactive start date.
3. This agreement is null and void if the time frames required by Article XI-B of the State Finance law and Part 22 of Title 2 of the NYCRR were not complied with by OPRHP.
4. This agreement shall not be effective to waive interest unless the Comptroller determines that a waiver of interest is warranted and approves this agreement.

Office of Parks, Recreation and Historic Preservation

(Name of Organization)

Signature:

Signature:

By:

Name:

Melinda Scott, Chief of Grants

Date:

Date:

STATE AID VOUCHER

Voucher No.

<input type="checkbox"/> 1] Originating Agency OPRHP			Orig. Agency Code 49070			Interest Eligible (Y/N)					
Payment Date (MM) (DD) (YY)				OSC Use Only				Liability Date (MM) (DD) (YY)			
<input type="checkbox"/> 2] Payee ID		Additional		<input type="checkbox"/> 3] Zip Code		Route		Payee Amount		MIR Date (MM) (DD) (YY)	
<input type="checkbox"/> 4] Payee Name (Limit to 30 spaces)						IRS Code		IRS Amount			
Payee Name (Limit to 30 spaces)						Stat. Type	Statistic	Indicator-Dept.	Indicator-Statewide		
Address (Limit to 30 spaces)								<input type="checkbox"/> 5] Ref/Inv. No. (Limit to 20 spaces)			
Address (Limit to 30 spaces)								Ref/Inv. Date (MM) (DD) (YY)			
City (Limit to 20 spaces) spaces)☐		(Limit to 2)		State NY	Zip Code						
<input type="checkbox"/> 6] Date Paid	Check or Voucher No.	Description of Charges (If Personal Service, show name, title, period covered)						Amount			
								Dollars	Cents		
<input type="checkbox"/> 7] State Aid Program or Applicable Statute:								TOTAL			
<input type="checkbox"/> 8] Payee Certification: I certify that the above expenditures have been made in accordance with the provisions of the Applicable Statute; that the claim is just and correct; that no part thereof has been paid except as stated; that the balance is actually due and owing; and that taxes which the State is exempt are excluded. = Signature in Ink _____ Date _____ Title _____ Name of Municipality _____								Less Receipts			
								NET			
								State Aid ____ % Claimed			

FOR STATE AGENCY USE ONLY STATE COMPTROLLER=S PRE-AUDIT

Merchandise Received		I certify that this claim is correct and just, and payment is approved.				State Aid		
Date _____						Verified	Certified For Payment of State Aid Amount	
Page No. _____		By _____		Audited	By _____			
By _____		Date _____						

Expenditure						Liquidation					
Cost Center Code				Object	Accum		Amount	Orig. Agency	PO/Contract	Line	F/P
Dept.	Cost Center Unit	Var	Yr		Dept.	Statewide					