



New York State
Parks, Recreation and
Historic Preservation

KATHY HOCHUL
Governor

ERIK KULLESEID
Commissioner

Legislative Initiative 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

Please note: 2015 and forward Not-for-Profit grantee recipients – If you have already supplied a Disclosure & Accountability Certification and/or Vendor Integrity Questionnaire for your Organization during the Pre-Award process you **DO NOT need to resubmit these documents.*

An Equal Opportunity/Affirmative Action Agency

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PROGRAM GUIDELINES

FOR STATE LEGISLATIVE INITIATIVE 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). 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 Administrator has been assigned to your project based on your county, as listed on the OPRHP Website parks.ny.gov/grants/legislative-initiatives/default.aspx. This staff member is your point of contact, to whom you should direct all questions. If you cannot access websites referenced in this document, the Regional Grants Administrator can send you hard copies of forms and instructions.

The submission of incomplete or inaccurately prepared proposals will lengthen the contract preparation and approval process and delay the payment of vouchers. TWO FULL COPIES of the proposal must be submitted to your Regional Grants Administrator.

Using the information in your proposal, we will 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.

Funds granted through OPRHP are considered restricted. To meet State requirements, grantees will need to follow certain procedures and provide/maintain specific documentation. You are required to account for all project funds with supporting documentation. **Do not pay for any expenses in cash.** Once your project is completed, you will be required to submit a Final Report, which must be approved by OPRHP. Project documents must be maintained by your office for a period of six years after the grant is closed out.

These grants fund a wide variety of projects for a range of grant recipients. The requirements for your project will depend on the nature of your organization, the source and purpose of funding, and the specific project to which the funding will be applied. In general, these Guidelines set forth requirements that must be met

- to receive a contract
- to procure goods and services and make expenditures that will be covered by the contract
- to document your expenditures and project accomplishments under the contract
- to receive payment
- to maintain documentation for audit

By signing your contract, you are certifying that you have read and understood the procedures and requirements set forth in these *Guidelines* and the documentation required. Depending on the purpose of the funding, some of these rules will apply to your grant, while others will not. 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. Do not send materials to OPRHP unless requested. All documentation is subject to audit by both OPRHP and the Office of the State Comptroller.

PROPOSAL

Before you begin, please note: ALL grant recipients must register with the New York State Grants Gateway. For information, go to <https://grantsmanagement.ny.gov>

Every proposal will consist of an Identification Form (A), Work Plan (B), Budget (C), Resolution by the governing body (D), and other documents as needed for the particular project (E). All of these forms can be found in these Guidelines, on the web at <http://parks.ny.gov/grants/forms-resources.aspx> or at the indicated website.

A. IDENTIFICATION FORM (page 15) The Identification Form includes:

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. Note your organization's physical address at the bottom of the page, if different from the mailing address. If you use a DBA, submit the authorizing document.
2. *The NYS Vendor Identification Number (VID):* The VID is a ten-digit number issued through the Statewide Financial System (SFS). If your organization has not yet been issued a VID, you can initiate the process when you register with the Grants Gateway.
3. *Federal Employer Identification Number:* All organizations MUST have a Federal ID number, even if there are no paid employees. *If your organization does not have a federal identification number, contact the U.S. Internal Revenue Service at IRS.gov.*
4. *Authorized Official:* Please print or type the person's name and title.
5. *Vendor Integrity Questionnaire or Prequalification Status Report*
6. *Vendor Responsibility Questionnaire*
7. *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 Administrator 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. 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: <https://www.charitiesnys.com/>.
8. *Project Identification number:* This identifier, which begins **PKS-**, is found on the grant award letter. Please refer to it on all correspondence and phone calls.
9. *Grant Amount:* This is found on the grant award letter.

10. Contract Start and End Dates: Only services rendered, or goods delivered, between the contract start and end dates are allowable for funding under this grant. The start date can be no earlier than the first day of the fiscal year that your project was funded. The end date can be no later than March 31, the close of the fiscal year (of award or of any reappropriation); this date can be extended if the funds are reappropriated in a subsequent fiscal year.

Enter your **desired** start and end dates. For Not-for-Profit organizations, we will set the start date AFTER we have received all necessary documents, unless you have filed a “Waiver of Interest Agreement” (see below).

- B. PROJECT WORK PLAN: Include a brief narrative 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 Attachment B expenditures and your desired start and end dates.
- C. 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 funding sources for the same project work elements. Be sure that these costs correspond to the purpose intended for these funds, as identified in your award letter.

In developing your Budget, please consider the Procurement and Accounting Requirements set forth below, and these budget guidelines:

SALARIES: If salaries are to be funded, specify job titles.

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.

The project budget in your proposal will be used to develop Attachment B (Budget) of your Master Contract for Grants. Grant funds must be used in accordance with Attachment B; OPRHP must approve any budget changes in writing prior to implementation. The sample budgets provided on pages 12 and 13 of these guidelines include typical work elements that are eligible under this program. Please note the following **restrictions on use of funds**.

The following items and costs associated with them are NOT eligible budget items for legislative initiative grants. The restrictions list includes, but is not limited to:

- | | |
|--|--------------------------------|
| Scholarships | Receptions |
| Prizes and Awards | Sales Tax, Property Tax |
| Consumables (Food and Beverages) | Refundable Deposits |
| Lobbying | Re-grants |
| Fundraising Events | Fines |
| Late Fees | Endowments and Revolving Funds |
| Uniforms to be kept by the wearer | Ticket Subsidies |
| Organization’s activities that are restricted to paid members or residents | |
| Sectarian Activities* | |
| Inappropriate construction on a historic property** | |

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

** For construction projects, any work undertaken on a subject property listed on or eligible for listing on the State or National Registers of Historic Places must 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 the Secretary’s Standards).

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

- D. RESOLUTION: The Board of Directors, or appropriate governing body of the organization, must adopt a Resolution, using the exact wording on page 16. 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.
- E. OTHER DOCUMENTS that may be required, depending on your circumstances: Please consult with your Regional Grants Administrator to determine which, if any of these will be required:

If your organization is a Not-for-Profit:

- **Disclosure and Accountability Certification.** Complete the form (pages 17-18) by attaching any exceptions to Item II, and adding project number and sponsor's name to Item IV. Sign, have notarized and submit TWO copies.
- **Vendor Responsibility.** If your cumulative grants with the state are \$5,000 or less, you will need to complete the **Vendor Integrity Questionnaire**. The questionnaire is available at <https://grantsmanagement.ny.gov/state-agency-resources> in the section "Additional Grant Options for Smaller Grants." Print it, fill out [For the purpose of this form, the grantee is considered the vendor.], sign, have notarized and submit.

If your cumulative grants with the State are greater than \$5,000, you must register for and complete **Prequalification** via the **NYS Grants Gateway**; for instructions, see <https://grantsmanagement.ny.gov/get-prequalified> and the **Vendor Prequalification Manual**, linked there. When you have completed the prequalification process, print and submit the **Prequalification Status Report**.

If this grant is **\$50,000 or greater**, a current **Vendor Responsibility Questionnaire** must be filed with the Office of the State Comptroller (OSC). 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 <https://www.osc.state.ny.us/state-vendors/vendrep/file-your-vendor-responsibility-questionnaire>. From "Vendor Responsibility - Forms," choose the Not-For-Profit Questionnaire appropriate to your project type.

- **Waiver of Interest Agreement.** As explained below, this document is needed if you wish to use the grant for expenditures that have already been made or will be made in the near future.

Funds for your project must be expended within a specific time, identified on the Face Page of the Master Contract for Grants as the "Initial Contract Term." Since the legislative sponsors intended that these funds would support your organization's expenses during the Fiscal Year (April 1-March 31) in which they were awarded, the start date can be as early as April 1 of the year awarded. 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. We will set a start date when all the necessary documents, including Division of Budget approvals, have been submitted to us. If you wish to apply the grant to expenses incurred prior to that, please execute the "Waiver of Interest Agreement," which is available online at <https://parks.ny.gov/grants/forms-resources.aspx>. Please also note your desired start date on the Identification Form and in your Project Work Plan. The end date of the Master Contract for Grants will be set as March 31, which is the close of the fiscal year

(of award or of any reappropriation). This date can be extended if the funds are reappropriated in a subsequent fiscal year.

Workers' Compensation and Disability Insurance. Provide proof of coverage, or exemption from coverage, for both Workers' Compensation and Disability Insurance. The following are the **only** acceptable means of proof (Please note that **ACORD forms are not acceptable proof of coverage**):

Disability Benefits:

- CE-200: Certificate of Attestation of Exemption from NYS Worker's Compensation and/or Disability Benefits Insurance Coverage*; or
- DB-120.1: Certificate of Disability Benefits Insurance**; or
- DB-155: Certificate of Disability Benefits Self-Insurance***.

Workers' Compensation:

- CE-200: Certificate of Attestation of Exemption from NYS Worker's Compensation and/or Disability Benefits Insurance Coverage*; or
- C-105.2(9-07): Certificate of Workers' Compensation Insurance**; note: the State Insurance Fund provides its own version of this form, the U-26.3; or
- SI-12: Certificate of Workers' Compensation Self-Insurance***

*issued by the Workers' Compensation Board; generally applies only to entities with NO employees in New York. See http://www.wcb.ny.gov/content/ebiz/wc_db_exemptions/wc_db_exemptions.jsp

**issued by your insurance carrier

***from the Self-Insurance Office of the Workers' Compensation Board [518-402-0247]

If your project is a **CONSTRUCTION** project:

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. All construction projects are subject to review by the State Historic Preservation Office (SHPO), including a possible archeological review, and Environmental Management review. Regardless of size or dollar amount of the project, you should discuss it with your Regional Grants Administrator before starting any paperwork. One or more of the following procedures or documents **may** be required:

- **Historic Resource Inventory Form**
<https://parks.ny.gov/documents/grants/HistoricResourceInventoryForm2022.pdf> (two copies)
- **Site plans, floor plans, photographs of existing conditions, and cost estimates for work items** (two copies)
- **Plans and specifications**, prepared/stamped by a licensed professional (two copies). When plans and specifications are required, they must be reviewed by OPRHP before you solicit bids.
- **Bid documents** and a **summary of all bids** received
- A copy of **the deed** to the property, clearly showing the date, book and page of recording. If the grantee is not the owner, provide documentation of the ownership interest of the applicant and the termination date of said interest.
- **Affidavit of Title** (Not-for-Profits) or an **Opinion of Municipal Counsel** (Municipalities), available at <https://parks.ny.gov/grants/forms-resources.aspx>.
- **SEQR Documentation.** Certain projects are subject to environmental review per Part 617, of the Rules and Regulations implementing the State Environmental Quality Review Act (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. Provide documentation of the municipality's SEQR compliance.
- 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.
- **Alienation.** When state grant funds are used to develop municipal property for park or recreation use, such land becomes dedicated parkland, which cannot be sold, leased or used for other purposes (i.e., alienated) without an explicit act of the State Legislature.
- **Public access covenant.** If a grantee receives funds for construction on non-municipal property, the grantee (and the property owner, if the grantee is not the owner) must be willing to sign a covenant that will be recorded with the deed to the property. By virtue of this covenant, the grantee (and 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 ten years, to a maximum term of twenty-five years.
- **Preservation Covenant:** If a grantee receives funds for construction on property that is listed on or eligible for the State or National Registers of Historic Places, a preservation covenant must 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 ten years, to a maximum term of twenty-five years.
- **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, such as a mortgage or lien. Owners of such interests must sign documents agreeing to subordinate their interests to the State.

If your project involves ACQUISITION of real property:

- **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. Required documents may include:
- **Property appraisal**, when funds are used for acquisition of land or buildings. Appraisal standards can be found at: <http://parks.ny.gov/grants/forms-resources.aspx>. Two appraisals must be submitted for property valued at \$300,000 or more.
- **Alienation, Public Access Covenant and Preservation Covenant:** See above.
- **Subordination:** See above.
- **Tax search** or certificate, showing that all real estate taxes have been paid.
- **Abstract of Title**
- **Affidavit of Title** or **Opinion of Municipal Counsel** that good and marketable title, free and clear of liens, has been acquired. See above.
- Copy of **Title Insurance Policy**.
- **Sales Contract** or agreement between seller and grantee.

PROCUREMENT REQUIREMENTS

Goods and services must be obtained (procured) in a manner 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 comply with General Municipal Law in all procurements, including GML requirements for competitive bidding and having a written procurement policy.

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”.

A. CONSULTING SERVICES: (for professional services)

1. For all consultant contracts over \$2,500, a request for proposals (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 reviewed 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. Agreements are recommended for periods of no longer than FIVE years.

B. PERFORMANCE SERVICES: Copies of contracts or performance agreements 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.

C. PURCHASE OR RENTAL OF EQUIPMENT, SUPPLIES AND MATERIALS: For such items, the procurement process that demonstrates prudent procurement practice must be maintained in your grant file.

- Purchase contracts involving an expenditure over \$20,000 should be awarded to the lowest responsible bidder after advertisement for sealed bids.
- A grantee must maintain in the grant file an inventory of equipment purchased with OPRHP funds, including a list of model and serial numbers of items purchased. Equipment purchased using OPRHP funds 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.

D. 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. Printing expenditures over \$5,000 should be formally advertised and bid; retain advertisement, bid specifications, bid summary, and contract with selected bidder.

E. CONSTRUCTION CONTRACTS in excess of \$35,000 should be awarded after formally advertised competitive bidding. Documentation of the solicitation and selection (see consultant services above) must be retained in grant files.

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, unless requested.

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 OPRHP-funded 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. 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:
 1. Cancelled checks, or
 2. Records of direct deposit, or
 3. 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 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, and
- Invoices or logs of dates and hours worked, and
- Form 1099

- D. SUPPLIES, MATERIALS, UTILITIES, INSURANCE

- Detailed invoices, or
- For online purchases, confirmation page or invoice

E. *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.

F. EQUIPMENT

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

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 Master Contract 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 and any other factors that may provide the State with an accurate record of the project and its impact on the public. It also includes a line-by-line comparison of estimated costs set forth in Attachment B (Budget) of your Master Contract with the actual sums expended for the corresponding budget lines.
- 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 photographic documentation of the completed work. Digital photos are acceptable.

Final report documents are available at <https://parks.ny.gov/grants/forms-resources.aspx> . :

FAILURE TO SUBMIT FINAL REPORTS WILL JEOPARDIZE FUTURE GRANT AWARDS

Exhibit I
SAMPLE PROJECT BUDGET FOR PROGRAMS AND SERVICES

ATTACHMENT B-1 - EXPENDITURE BASED BUDGET

PROJECT NAME: **ABC Gallery Experience**
 CONTRACTOR/SFS PAYEE NAME: **Art and Beauty Consortium**
 CONTRACT PERIOD: From: **April 1, 2013**
 To: **June30, 2014**

CATEGORY OF EXPENSE	STATE SHARE	TOTAL COST
SALARIES/WAGES for personnel	\$	
Director of Programs	35,000	65,000
Curator	30,000	56,000
Program Assistant	25,000	45,000
FRINGE BENEFITS		
40% of salaries, to include 6.2% FICA, 1.45% MED FICA, UI 2.7%, WorkComp 4.05%, 401(k) 5%, leave 8.4%, health 12.2%	24,000	66,400
OPERATING EXPENSES		
Gallery rental	12,500	24,000
Insurance	1,000	1,886
CONSULTANT SERVICES		
Programmer	10,000	10,000
PRINTING and PROMOTION		
Program Announcement	225	225
Postage and mailing	2,275	3,989
TOTAL	140,000	272,500

Exhibit II
SAMPLE PROJECT BUDGET For Construction Projects

ATTACHMENT B-1 — EXPENDITURE BASED BUDGET

PROJECT NAME: **ABC Barn Conversion**

CONTRACTOR/SFS PAYEE NAME: **Antique Barn Coalition**

CONTRACT PERIOD: From: **April 1, 2013**
 To: **June 30, 2014**

CATEGORY OF EXPENSE	PKS SHARE	TOTAL COST
ADMINISTRATION	\$	
Finance Officer	10,000	10,000
Project Manager	20,000	20,000
CPA Audit	5,000	5,000
CONSULTANT SERVICES		
Architect	15,000	25,000
Engineer	10,000	15,000
CONSTRUCTION		
To include plumbing, heating and electrical	175,000	250,000
TOTAL	235,000	325,000

Exhibit III

Grantee Check list of materials to send to Regional Office

Items indicated with * should have one original signature

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

- ___ Identification form, filled out (page 15)
- ___ Project Work Plan; also submit by e-mail to regional office
- ___ Project Budget; also submit by e-mail to regional office (samples, pages 12-13)
- ___ Resolution for Authority to Sign Legal Documents (page 16); do NOT self-authorize

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

- ___ Workers' Compensation and Disability Insurance documents (see page 7)
- ___ Waiver of Interest Agreement, if you wish to apply grant to retroactive expenses (see page 6)
- ___ Disclosure and Accountability Certification (instructions: page 6; form: pages 17-18)

As directed by your Regional Grants Administrator, Construction/Acquisition project documents:

- ___ Historic Resource Inventory Form (page 19), including map and original photos of site
- ___ Proof of prior ground disturbance, if project involves construction or earth-moving activities
- ___ Description of work to be performed, **site and/or floor plans**, and **cost estimates** for work items
- ___ Plans and specifications, prepared/stamped by a licensed professional
- ___ Bid documents, including advertisement, summary of bids, and justification of selection
- ___ Property deed (and documentation of grantee's ownership interest, if grantee is not the owner)
- ___ Affidavit of Title, notarized, or **Opinion of Municipal Counsel** (see page 8)
- ___ SEQR Documentation (see pages 7-8)
- ___ Public Access Covenant (if needed, will be provided by Regional Grants Administrator)
- ___ Preservation Covenant: (if needed, will be provided by Regional Grants Administrator)
- ___ Subordination (if needed, will be provided by Regional Grants Administrator)
- ___ Property appraisal (see page 8)
- ___ Tax search
- ___ Abstract of Title
- ___ Title Insurance Policy
- ___ Sales Contract

State Legislative Initiative Grants Administered by the
NYS Office of Parks, Recreation and Historic Preservation

IDENTIFICATION FORM

Incorporated Legal Name of Organization: _____

NYS Vendor Identification Number (VID): _____ (10 digits) If an ID has
not yet been issued, provide the **Federal Employer Identification Number (FEIN)**
_____, as confirmed by your issuance letter from the IRS.

Printed or Typed Name of Authorized Official: _____

Title: _____

Mailing Address: _____

_____ **9 digit zip code:** _____ - _____

NYS Charities Registration Number: _____

- Annual Charities reports filed with:**
- Charities Bureau, Office of the State Attorney General
 - State Education Department
 - Department of State
 - Exemption on file with the Charities Bureau

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

Contract Term: Contract Start Date: _____ Contract End Date: _____

Contact Person, Name: _____ **Phone #:** _____

Title: _____ **Alternate Phone #:** _____

E-Mail: _____ **Fax #:** _____

Address of contact person, if different from above:

Project Narrative: On a separate page or in the appropriate box on Attachment C (Work Plan), include a **brief** (one paragraph) description of the project to be funded by this grant. The narrative should reflect the legislative intent of the grant award (described under “solely and directly” on Attachment C (Work Plan) and should explain Attachment B expenditures.

Resolution for Authority to Sign Legal Documents

I, _____, the duly [elected and qualified secretary] **OR** [qualified and acting Clerk] of the [_____] of _____, New York, a corporation
(Organization Name) (place)
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], do
(Municipality)
hereby certify that the following resolution was adopted at a _____ meeting of the
(regular) (special)
_____ held on _____, and is [incorporated in the original minutes of
(governing body) (date)
said 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 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 the ***GUIDELINES for Projects over \$50,000 or those Involving Construction***

_____ provided by the NYS Office of Parks, Recreation and Historic Preservation;
(publication date)

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 MASTER CONTRACT FOR GRANTS, to be executed for the grant.

DISCLOSURE & ACCOUNTABILITY CERTIFICATIONS
**(The Contractor must attach the corresponding Legislative Initiative Form prior
to having this document signed and notarized.)**

I. No Conflict of Interest

Except as otherwise fully disclosed in a separate appendix attached to this Certification, the Contractor affirms, to the best of its knowledge, under penalty of perjury, that neither the Sponsoring Member(s) nor any Related Parties to Sponsoring Member(s) has any financial interest, direct or indirect, in the Contractor, or has received or will receive any financial benefit, either directly or indirectly, from the Contractor or its Related Parties from the matters contained in the attached Legislative Initiative Form or in any subsequent related Contract.

II. Good Standing

Except as otherwise fully disclosed in a separate appendix attached to this Certification, the Contractor affirms, to the best of its knowledge, under penalty of perjury, that:

- (A) At no time during the past five years has the Contractor or any of the Contractor's Affiliates or principal owners: (1) been barred by a government agency from entering into any government contract as a result of inappropriate activity or unlawful conduct; (2) been declared in default and/or terminated for cause of any government contract; (3) received an overall unsatisfactory performance rating from any government agency on any contract; (4) been convicted or charged with a felony or misdemeanor; (5) failed to file federal, state or city tax returns or pay taxes owed; or (6) (to the extent the entity is a charity or not-for-profit organization) failed to file any and all required forms with any government agency regulating the entity;
- (B) At no time within the last seven years has the Contractor or any of the Contractor's Affiliates or principal owners been involved in any bankruptcy proceeding (whether or not closed);
- (C) Neither the Contractor, nor any of the Contractor's Related Parties, has paid any third party or agent, either directly or indirectly, to aid in the securing of the attached Legislative Initiative Form or in any subsequent related Contract. To the extent the answer to any of these questions is "yes," please describe the events and circumstances in an attached appendix to this Certification.

III. Funds Used Solely for Public Purpose

The Contractor affirms, to the best of its knowledge, under penalty of perjury, that all funds expended pursuant to the terms of any Contract related to the attached Legislative Initiative Form are intended to be used and will be used solely and directly for the public purpose or public purposes specified on the Legislative Initiative Form and elsewhere in any subsequent related Contract.

IV. Sponsoring Member(s)

The Sponsoring Member(s) of the local legislative initiative set forth in the attached Legislative Initiative Form, pursuant to which any subsequent related Contract will be funded is/are: _____.

V. Definitions

As used herein in this Certification Appendix:

- (1) “Affiliate” means any person or entity that directly or indirectly controls or is controlled by or is under common control or ownership with the specified party.
- (2) “Contractor” means the party or parties receiving funds as set forth in the attached Legislative Initiative Form pursuant to the terms of any subsequent related Contract.
- (3) “Related Party” means: (i) the party’s spouse, (ii) natural or adopted descendants of the party or of the party’s spouse, (iii) any sibling of the party or of the party’s spouse, (iv) any person sharing the home of any of the foregoing, (v) any staff member, employee, director, officer or agent of the party, and (vi) Affiliates or subcontractors of the party.
- (4) “Sponsoring Member(s)” means the sponsoring Assembly Member or State Senator that sponsored the grant listed on the attached Legislative Initiative Form.

The undersigned recognizes that this Certification is submitted for the express purpose of assisting the State of New York and political subdivisions to make a determination regarding the approval of the legislative initiative contained in the attached Legislative Initiative Form, award of any subsequent related contract, or approval of any subsequent related subcontract; acknowledges that the State of New York and political subdivisions may in their discretion, by means which they choose, verify the truth and accuracy of all statements made herein; acknowledges that knowing or intentional submission of false or misleading information may constitute a felony under Penal Law Section 210.40 or a misdemeanor under Penal Law Section 210.45; and states that the information submitted in this Certification and any attached appendix is true, accurate and complete.

PLEASE NOTE

The corresponding Legislative Initiative Form must be attached prior to having this document signed and notarized.

_____	_____
Name of Contractor	Signature of Authorized Official / Date
_____	_____
Address	Typed Copy of Signature
_____	_____
City, State, Zip Code	Title

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

Notary Public