

STATE OF NEW YORK OFFICE OF THE ATTORNEY GENERAL

COMMUNITY REVITALIZATION INITIATIVE

ROUND 2- REQUEST FOR APPLICATIONS (“RFA”)

Application Number: OAG CRI-002	Date: August 1, 2014
Description: Community Revitalization Initiative (“CRI”) Round 2	Contract Period: January 2015- December 2016
Submission Due Date/Time: September 19, 2014	Location of Service: Applicant’s Premises or Designated Premises
Designated Contact: Dina Levy Special Assistant Executive Division Office of the New York Attorney General 120 Broadway, 25 th Floor New York, NY 10271 Dina.Levy@ag.ny.gov	Application Contains: <ul style="list-style-type: none">- Guidelines- Format and Content- Certifications- Appendix A- NYS Vendor Responsibility Questionnaire

Application Submission and Due Dates: Applications may be sent electronically via Box.com. The applicant is responsible for ensuring 4:00pm arrival on the submission date.

Hand-delivered applications (“walk-ins”) will not be accepted. Fascimile submissions will not be accepted. The State of New York Office of the Attorney General (the “OAG”) will not acknowledge receipt of applications delivered by fascimile or in person.

Applications and attachments submitted electronically or in electronic media **must be submitted in PDF format.**

Completed applications should be uploaded to a designated Box.com folder. Applicants must preregister for an individualized Box.com folder at least one week prior to the submission date by contacting Elizabeth Zeldin at ezeldin@enterprisecommunity.org. The projected date for Notice of Awards for Round 2 of this Request for Applications (“RFA”) is early October 2014. The OAG in its discretion may extend the application deadline. Any such extension will be announced on the OAG website.

By submitting an application with signed cover letter, you indicate full knowledge and acceptance of this RFA including Appendix A (Standard Clauses for New York State OAG Contracts).

Upon submission of the RFA, all applications shall become property of OAG for use as deemed appropriate.

APPLICATION GUIDELINES

I. STATEMENT OF PURPOSE

These guidelines govern the distribution of funds awarded to the State of New York as a result of the February 2012 National Mortgage Settlement obtained by the OAG, along with 48 other state Attorneys General and the federal government, and five of the nation's largest mortgage servicers concerning improper foreclosure and loan servicing practices.

The housing foreclosure crisis has had a devastating impact not only on families whose homes are subject to foreclosure, but on surrounding communities and the State as a whole. In 2009 the Center for Responsible Lending projected that homeowners living near foreclosed properties, on average, would lose \$7,200 in property value, and projected a four year increase in losses to \$20,300 per household. Deteriorating, neglected properties and neighboring property value losses create neighborhood blight, diminish critical local tax revenues, and contribute to neighborhood crime.

For these reasons, the OAG is dedicating a portion of funds awarded to New York under the National Mortgage Settlement to support the community revitalization efforts of land banks (the "Land Banks"), formed under Article 16 of the New York Not-for-Profit Law, also known as the New York State Land Bank Act of 2011 (the "Act"). As stated under the Act, "there is an overriding public need to confront the problems caused by vacant, abandoned and tax-delinquent properties" resulting in large measure from the foreclosure crisis. The OAG recognizes that Land Banks are one of the tools that can be utilized by communities to "facilitate the return of vacant, abandoned, and tax-delinquent properties to productive use... for the benefit of the public and the State as a whole." The OAG's Community Revitalization Initiative RFA is consistent with the intended uses of the direct payments awarded to each state under the terms of the National Mortgage Settlement which encouraged the utilization of funds for "foreclosure relief and housing programs" and "community blight remediation."

The OAG anticipates awarding, through this RFA, grants of varying amounts to individual Land Banks that will undertake revitalization and renewal activities to address community-based challenges stemming from the aftermath of the foreclosure crisis.

Applications should support the goals of preserving and stabilizing communities that face high rates of foreclosures. Qualified Land Banks interested in applying for these funds must complete this application.

II. SUMMARY OF APPLICAION

The OAG proposes to award individual grants to Land Banks in varying amounts for a grant period of 24 months for project-specific activities or projects that address community revitalization and housing stabilization necessary as a direct result of the foreclosure crisis. Such projects may include, but are not limited to:

- Capacity building support for Land Banks to enable implementation of property acquisition and disposition;
- Acquisition and/or rehabilitation of vacant or distressed properties resulting from the foreclosure crisis;
- Acquisition and/or demolition of blighted properties as defined by the American Planning Association:
<http://www.planning.org/policy/guides/adopted/redevelopment.htm>; and
- Repurposing of underutilized housing and/or land for the benefit of a local community and/or region.

The OAG is looking to distribute the available funds across the State, targeting those communities that have been hardest hit by the foreclosure crisis and have the greatest need for additional resources. In an effort to ensure that projects are carried out in an efficient and cost-effective manner, and to ensure that projects are meeting goals and objectives stated in the project proposals, the OAG will assign a Project Manager/Grant Intermediary who will provide oversight, technical assistance and support for funded Land Banks during the grant period. The duties of the Project Manager will include, but are not limited to:

- Overall management, coordination and oversight of grantees on behalf of the OAG;
- Contract management including project performance, monitoring and evaluation of all grantees;
- Fiscal oversight and financial auditing where necessary;
- On-going assurance of project compliance with federal/state rules and regulations; and
- Project Evaluation.

III. ELIGIBILITY

Applicants should be Land Banks organized under the Act and in compliance with N.Y. Not-for-Profit Law § 1603 (a) (1-5). To be eligible for funding under this RFA, the Land Bank must receive New York State Urban Development Corporation d/b/a Empire State Development (“ESD”) approval on or before August 1, 2014, or must have a complete application pending before ESD on or before August 1, 2014. Grant awards made through this RFA will be contingent upon receiving final Land Bank designation status from ESD prior to release of funds.

Applicants should have demonstrated capacity to carry out the activities or projects stated in the application, must have a functioning Board of Directors, and must have dedicated staff who will be responsible for executing the goals and objectives stated in this proposal.

IV. PROJECT REQUIREMENTS

- a. Eligible Properties. Eligible properties include single-family residential homes, other multi-family residential properties such as townhomes or duplexes, and

mixed-use properties including both residential and commercial components. Preference will be given to residential properties.

- b. Purchase Price. Any foreclosed upon or blighted property acquired with OAG funds must be purchased at a price that does not exceed the current value of the site, based on an independent appraisal report by a New York State certified real estate appraiser or Broker Price Opinion by a New York State licensed real estate broker, assuming that all outstanding tax liens are forgiven.
- c. Construction/Rehabilitation. In all work under this RFA, Land Banks must adhere to all applicable federal, state and local laws, codes and applicable zoning requirements relating to construction, rehabilitation and housing safety, quality, and habitability.
- d. Environmental Review. Notwithstanding any provisions of this RFA or of resultant OAG contract(s), all community development projects undertaken with OAG funds under this program must demonstrate to the OAG or its designee satisfactory completion of an environmental review in compliance with the scope and limitations of ASTM Practice E 1527-05 Phase I Environmental Site Assessment standard prior to the release of OAG funds for the project. In certain circumstances, a National Environmental Policy Act (NEPA) review will be accepted. Land Banks must agree that the release of grant funds by the OAG for projects funded under this RFA will be conditioned on a determination by the OAG or its designee to proceed with, modify or cancel the project based on the results of a subsequent environmental review. Land Banks may be required to contract for environmental consulting services to provide the information required, which shall be an eligible project soft cost.
- e. Property Standards. All newly constructed or rehabilitated projects funded with OAG funds must meet applicable federal, state, and local laws, codes and applicable zoning requirements. Plans should be of good design that will enhance the quality of life for residents and neighbors. Development meeting Enterprise Green Communities criteria is highly encouraged.
- f. Sale Price Limitation. In the case of home ownership, the price for selling homes to households under the OAG program cannot exceed the cost for either the Land Bank or any intermediate developer to acquire and redevelop/rehabilitate the home plus the allowable developer fee, as outlined in this section. Sales price will be further limited by Area Median Income guidelines outlined below.
- g. Affordability Requirements. Properties assisted with OAG funds that do not have other financing or subsidy with affordable requirements must retain all affordability restrictions outlined in this section for at least ten (10) years from date of occupancy.
- h. Affordability Levels. With respect to proposals that include a plan to re-sell housing units, a minimum of 80% of units in all funded projects must serve residents with incomes at 100% percent AMI or below. The OAG seeks to support housing projects that provide a deeper level of affordability and will award additional points for projects that serve homeowners below 80% percent of the AMI.

- i. Profit Limitation. Developer or administrative fees or profits (ie, proceeds of sale less total development costs) which accrue to the Land Bank, affiliated entity or third party entity contracted out by the Land Bank for development must be capped at 15% of development costs, including all hard and soft costs. Broker fees should be capped at 6% of sales price of the property.
- j. Excess Profit Distribution. In the event that the Project Manager approves a Land Bank receiving profits in excess of permissible profits outlined above, the Land Bank shall agree to use such funds solely on development activities related to the acquisition or rehabilitation of other properties acquired by the Land Bank.
- k. Geographic Focus. The majority of Land Bank projects undertaken with OAG funding should be concentrated in neighborhoods which have been severely impacted by the foreclosure crisis or which demonstrate the highest level of need, as determined by the Land Bank.
- l. Occupancy. Projects undertaken with OAG funds should be vacant at the time of acquisition. OAG funds may be used on occupied projects on a case by case basis and only with a relocation plan approved by the Project Manager.

V. AWARDING GRANTS; EVALUTATION CRITERIA

The OAG will determine the number of awards granted, if any, and the dollar amount of each award, based upon the evaluation of the applications submitted pursuant to the evaluation criteria.

The evaluation criteria will be divided into six components. The total combined score of the six components will have a maximum value of 100 points, specified below.

As part of the evaluation process, greater consideration to those applicants that have not previously been awarded funding under this program. Applicants previously awarded \$150,000 capacity building grants may similarly be given greater consideration.

The OAG may request additional information from applicants with respect to their applications. The OAG reserves the right to interview any applicant and key management of the applicant entity.

VI. TERMS OF THE GRANT

Successful applicants will be required to enter into a contract with the OAG governing the grant and report as prescribed in the grant contract to the Project Manager/Grant Intermediary. **The term of the grant will be for a period of 24 months.**

Applicants are encouraged to request funding that reflects the actual anticipated costs of their proposed projects and that corresponds to the specific outcomes/deliverables that will be achieved as a result of funding awards. As a guideline, we expect funding requests to fall within the range of \$1 Million – \$3 Million for the two year grant period. However, the OAG will consider requests that fall outside of these parameters in certain circumstances. Requests that are

in excess of the suggested range must be compelling. Careful consideration should be given by the applicant prior to making such a request, particularly in terms of capacity to meet proposed milestones within the grant period. The OAG reserves the right to reject and/or modify any funding request made through this Request for Applications process.

Successful applicants shall agree to comply with all federal and State laws, rules, and regulations applicable to this grant and shall provide proof of Workers' Compensation and Disability Insurance coverage, as well as all other insurance requirements, outlined below:

- Grantee – General Liability (naming the OAG as additional insured)
- Grantee – Workers' Compensation/Disability Benefits
- Grantee – Real Property (including, as applicable, Flood and naming the OAG as additional insured)
- Contractor/Development Partner – General Liability (naming the OAG as additional insured)
- Contractor/Development Partner – Workers' Compensation/Disability Benefits

The OAG reserves the right to award grantees less than their full funding requests. In the event that the OAG chooses to award less than the amount that an applicant originally requested the applicant will have the opportunity to revise the scope of their application to appropriately reflect the actual funding allocation.

Grantees must assume full responsibility for execution and implementation of the project for the duration of their agreement with the OAG, including situations in which the grantee has partnered with another organization for a portion of the work described in the application. All brochures, booklets, flyers, resource materials, programs, posters, advertisements, multi-media presentations, online materials, videos or other printed or electronic materials prepared with funds from this grant shall state that the material was funded from a settlement of claims brought by the OAG and there shall be a disclosure that the views and statements expressed therein do not necessarily reflect the views and opinions of the Attorney General of the State of New York and that the Office of the Attorney General is not responsible for the accuracy of the content of the materials.

Additional legal provisions will be included in the Office of the Attorney General's agreement with the grantee (the "Agreement"), as follows, without limitation:

NYS Ethics Compliance

All grantees and their employees must comply with the requirements of Public Officers Law Sections 73 and 74, and other State codes, rules and regulations establishing ethical standards for the conduct of business with New York State.

Public Information

Disclosure of items related to the Agreement shall be permitted consistent with the laws of the State of New York and specifically the Freedom of Information Law (FOIL) contained in Section 87 of the Public Officers Law. The New York Office of the Attorney General shall take reasonable steps to protect from public disclosure any records relating to the grantee or its application that are otherwise exempt from disclosure under that statute. Information constituting

trade secrets, for purposes of FOIL, must be clearly marked and identified as such upon submission. If the grantee intends to seek an exemption from disclosure of these materials under FOIL, the grantee shall, at the time of submission, request the exemption in writing and provide an explanation of why the disclosure of the identified information would cause substantial injury to the competitive position of the grantee. Acceptance of the identified information by the New York Office of the Attorney General does not constitute a determination that the information is exempt from disclosure under FOIL. Determinations as to the availability of the identified information will be made in accordance with FOIL at the time a request for such information is received by the New York Office of the Attorney General

Indemnification

All grantees agree to indemnify and hold harmless the State of New York, the New York Office of the Attorney General, and their officers, agents, and employees, from liability for loss or damage to the extent caused by the negligent acts, misconduct, or omissions of the grantees, their agents, employees or subcontractors.

Independent Contractor

Grantee, in accordance with its status as an independent contractor, covenants and agrees that it shall conduct itself consistent with such status, that it shall neither hold itself as, nor claim to be an officer, agent or employee of the State New York or Office of the Attorney General by reason hereof, and that it shall not make any claim, demand or application to, or for, any right or privilege applicable to an officer or employee of the State, including but not limited to Workers' Compensation coverage, Unemployment Insurance Benefits, Social Security coverage or Retirement membership.

Dispute Resolution Policy (Protests and Appeals)

It is the policy of the Office of the Attorney General, Budget & Fiscal Management Bureau, to provide grantees with an opportunity to administratively resolve disputes, complaints or inquiries related to bid solicitations or contract awards. The Budget & Fiscal Management Bureau encourages grantees to seek resolution of disputes through consultation with OAG staff. All such matters will be accorded impartial and timely consideration. Interested parties may also file formal written disputes.

Confidentiality

All the reports, information, data, and other papers and materials in whatever form prepared or assembled by the grantee under this Agreement are confidential, and the grantee shall not discuss them with or make them available to any individual or organization without the prior written approval of the Attorney General or his representative. These provisions do not apply in whatever form to information that is in the public domain nor shall they restrict the grantee from giving notices required by law or complying with an order to provide information or data when such order is issued by a judge. If disclosure of confidential information is required of the grantee by any subpoena or other court process, the grantee agrees to immediately notify the Office of the Attorney General of such process, and to allow the Office of the Attorney General to inspect any such data or information and interpose objections prior to delivery to the court.

Publications, Copyrights, and Software Licenses

The Office of the Attorney General and State of New York expressly reserves the right to a royalty-free, non-exclusive and irrevocable license to reproduce, publish, distribute or otherwise use, in perpetuity, any and all copyrighted or copyrightable material resulting from this grant contract or activity supported by this grant contract. Grantee shall grant the Office of the Attorney General and the State of New York a non-exclusive, perpetual license to use, execute, reproduce, display, perform, or merge any custom software application created as a result of the grant funds awarded to a grantee under the grant.

Good Standing

Grantee shall remain in good standing at all times during the term of the Agreement.

Responsibilities

The OAG will evaluate Grantee's responsibility in the following four areas: financial and organizational capacity, legal authority to do business in New York State, integrity and previous performance.

General Contractors

All general contractors hired with OAG funding must meet the following minimum criteria:

1. Be legally licensed in New York State
2. Demonstrated prior experience in the rehabilitation or construction of housing in accordance with applicable codes, standards, rules and regulations, including references from at least three relevant construction or rehabilitation projects within the past five years.
3. Use of responsible and licensed subcontractors.
4. Satisfactory bank reference.
5. Commercial General Liability and Property Damage Insurance sufficient for individual projects and evidence of automobile liability and worker compensation insurance, with a deductible not exceeding \$10,000.
6. Appropriate certifications by general contractor or sub-contractor for all lead-based paint and asbestos activities.
7. Transparent and effective system for tracking costs and lien releases.
8. Acceptable ratings as provided by Dun & Bradstreet credit check, if applicable and if DUNS number is available.

Subcontractors

All agreements between Grantee and any 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 Agreement, (2) that nothing contained in the subcontract shall impair the rights of the OAG under the Agreement, and (3) that nothing contained in the subcontract, nor under the Agreement, shall be deemed to create any contractual relationship between the subcontractor and the OAG.

Representations, Warranties and Covenants

- Grantee represents that it currently possesses or will obtain all expertise and personnel necessary to undertake and execute the Scope of Work in a manner that is satisfactory to the OAG.

- Grantee represents, warrants and covenants that it shall comply with all applicable federal and state laws, rules, and regulations which are in effect or become effective during the term of the Agreement including, but not limited to, the New York State Governmental Accountability, Audit and Internal Control Act of 1987.
- Grantee represents, warrants and covenants that it shall comply with its ethics policy, which is substantively similar to the requirements of Public Officers Law Section 73.

VII. AWARDS, PAYMENT AND PERFORMANCE

The use of the funds will be monitored by the Attorney General's Office and its designees. All grantees will be required to document project expenditures using generally accepted accounting principles (GAAP). Grantees will submit financial reports relative to the provision of their community revitalization efforts on a quarterly basis to the OAG or its designees, and will comply with periodic programmatic and financial audits as requested by the Attorney General or its designees.

All grantees will also be required to document project results and cooperate with reasonable requests of the OAG, or its designees. Reporting policies and procedures will be set forth in the grant requirements.

All reporting of financial and project data will be submitted by the grantees to the OAG or its designee.

Should the grantee fail to comply substantially with the grant requirements, funding may be suspended or terminated, or the grantee may be subjected to other appropriate sanctions.

VIII. PRE-APPLICATION CONFERENCE

There will be one Pre-Application Conference Call to address questions regarding this RFA on August 20, 2014. The time and access information for this call will be posted on the OAG website at <http://www.ag.ny.gov/feature/land-bank-community-revitalization> no later than August 10, 2014.

Potential applicants are required to participate in a Pre-Application Conference Call. Written questions to be answered on this Pre-Application call may be submitted via email to Dina.Levy@ag.ny.gov at least 5 business days prior to the call.

Notices about the conference call, call-in number, along with any additional information about the RFA, will be posted on the OAG website at <http://www.ag.ny.gov/feature/land-bank-community-revitalization>. Consult the OAG website prior to application submission for any amendments to the RFA.

IX. QUESTIONS AND ANSWERS

All interested applicants will be afforded the opportunity to e-mail questions regarding this RFA. Applicants must e-mail these questions to Dina.Levy@ag.ny.gov.

Applicants may not contact anyone other than Dina.Levy@ag.ny.gov in the New York

State Attorney General's Office with questions about this RFA. In the event that the OAG identifies the Project Manager during the pendency of this RFA, applicants are barred from contacting the Project Manager with any questions about this RFA.

X. ADDITIONAL CONDITIONS

The Office of the Attorney General reserves the right to:

- Reject any applications received that do not comply with the rules outlined in this RFA;
- Communicate with an applicant for the purpose of assuring a full understanding of responsiveness to the RFA solicitation;
- Modify minor irregularities in applications after notifying the applicant;
- Adjust or correct arithmetical errors in applications;
- Utilize any and all ideas submitted in the application received unless such ideas are covered by legal copyright, patent, or property rights, and OAG is notified in the received submission;
- Adopt or utilize all or any part of an applicant's application; and
- Negotiate with the applicant on all aspects of the application to serve the best interest of the OAG.

GRANT APPLICATION

I. SUMMARY

Name of Land Bank _____

Geographic area(s) served _____

Primary Application Contact _____

Title _____

Phone number _____

E-mail address _____

Summary of proposed activities (100 words or less)
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Requested funding amount \$ _____

Requested funding amount as percentage of total program budget _____ %

Expected Outcomes

of Parcels acquired _____

of Residential units rehabilitated _____

of Residential units demolished _____

Other (assign a concrete deliverable) _____

Other (assign a concrete deliverable) _____

Other (assign a concrete deliverable) _____

II. NARRATIVE

In selecting recipients for these funds, the OAG will evaluate applications based on the following six criteria: Organizational Capacity, Problem and Geographic Area Served, Outcome and Deliverables, Leveraging of OAG Funds/Sustainability, Collaboration/Community Support and Financial Management. The final scores given to each application will be based on the point system listed next to each section.

a. Organizational Capacity (20 points)- not to exceed 1000 words

- i. What is the stated purpose and mission of your Land Bank?
 - ii. What are the current community development and revitalization activities being undertaken by your Land Bank? Please be specific and concise.
 - iii. What is the current level of staffing for your Land Bank, and how will any potential funding awarded under this RFA impact your staffing over the next 24 months? Please describe the relevant skills and experience of existing Land Bank staff and desired skills and experience of future Land Bank staff.
 - iv. Please describe any formal partnerships your Land Bank has established or will create going forward for the purposes of implementing and executing your community revitalization initiative. If applicable, include an explanation as to how these partners were selected.
 - v. What specific role will the Land Bank play in your in your Community Revitalization effort that is unique and/or could not be executed by another stakeholder?
- iv. **For applicants that have already received OAG funding**, please indicate whether the milestones you have achieved meet the milestones originally projected through the middle of Quarter 3 and discuss any deviations.

b. Geographic Area Served (10 points) – not to exceed 500 words

- i. Please describe the target neighborhoods or communities your Land Bank will focus on if awarded funding under this RFA. How and why were these neighborhoods chosen?
- ii. Are these neighborhoods the areas that were hardest hit during the foreclosure crisis or are they the most economically challenged neighborhoods within the Land Bank's catchment area? If not, please explain why your Land Bank is prioritizing these areas over those most affected by the foreclosure crisis.

c. Outcome and Deliverables (30 points) – not to exceed 1000 words

- i. What are the goals, milestones, and anticipated deliverables involved in this request? Describe your specific activities. How do these goals correspond to the priorities of other local community revitalization initiatives in the same geographic region?
- ii. Provide proposed qualitative and quantitative outcomes for your expected deliverables. Who are the primary and secondary beneficiaries of your proposed community revitalization initiative? What is the approximate income range of households benefiting from this initiative?
- iii. Discuss the extent to which proposed project sites have already been identified and the extent to which initial due diligence has been undertaken on the sites.
- iv. Describe the features and benefits of your application, including any features or services that are unusual or innovative.
- v. Discuss the potential obstacles and limitations associated with your proposal and the strategies you will use to address those obstacles and limitations.
- iv. For applicants that have already received OAG funding, please discuss how the newly proposed scope links to work already undertaken through the original grant.

d. Leveraging of OAG Funds/Sustainability (10 points)- not to exceed 500 words

- i. What funding sources have been committed to your Land Bank and what future funding sources will you Land Bank target to advance your work?
- ii. If the proposed community revitalization program for which you are seeking funds under this RFA will require additional funds in order to execute and complete the project(s) proposed herein, please list the financing sources that have been committed or are pending.
- iii. Please note whether the local jurisdiction currently has or plans to commit dedicated line item funding, or supports the implementation of sharing of tax revenues for parcels that are acquired and conveyed by the Land Bank.

e. Collaboration/Community Support (10 points)- not to exceed 250 words

- i. How was the local community and/or local government involved in creating the priorities and focus areas for your Land Bank's future work?

ii. What plans do you have to keep the local community engaged and involved in the execution of your objectives and deliverables?

f. Financial Management (20 points)

i. Organizational Budget. Provide an overall organizational budget outlining both revenue and expenses.

ii. Proposed CRI Program Budget. Please fill out the projected budget/timeline *on the form provided*. Include both proposed OAG sources and total sources; note the source of any other funding in the Notes section.

iii. Sample Project Budgets. Provide one sample budget for each type of undertaking within the proposed work scope (ie, rehabilitation for homeownership or rental, demolition, open space projects, etc). This preliminary financial analysis should include sources and uses, cash flows, and information on financing, where appropriate. Clearly identify OAG funding and highlight if other sources have already been identified or secured.

III. ADDITIONAL DOCUMENT REQUIREMENTS

a. Attachments

All applicants must include the following attachments which should be marked clearly and labeled as such in your application. No additional attachments should be submitted.

i. Attachment A- resumes for existing staff (Mark A-1, A-2 etc)

ii. Attachment B- three letters of support for your proposed project, at least one of which should be from a unit of local government (NOTE: these support letters MUST be submitted by the applicant and included with the final application. Any support letters sent separately will be discarded.)

iii. Attachment C- Letters of interest from equity, debt, and subsidy sources, if applicable.

NOTE -Only those applicants who have not previously applied to the OAG under the last CRI RFA funding round must submit the following additional attachments:

iv. Attachment D- include an organizational chart that lists the current Board of Directors

v. Attachment E- a copy of your approved Community Plan

vi. Attachment F- a copy of your approved By-Laws

vii. Attachment G- a copy of your Certificate of Incorporation

IV. CERTIFICATIONS

It is required that applicants complete, sign and notarize the four (4) attached certifications: Privacy Certification, Civil Rights Certification, Labor Certification and Declaration. Applicants must also complete the vendor responsibility questionnaire and submit with the application.

Please label this section of your application as “Certifications i. – v.

i. VENDOR RESPONSIBILITY QUESTIONNAIRE

All applicants must complete a New York State Vendor Responsibility Questionnaire for a Not- For-Profit Business Entity. It may be obtained and provided either electronically through the OSC's VendRep System, or in paper format, a copy which has been provided. The website for electronic filing is:

http://www.osc.state.ny.us/vendrep/forms_vendor.htm.

Please print out a copy of the form that indicates you have completed this questionnaire and submit it with your application.

ii. PRIVACY CERTIFICATION

I hereby certify that _____ maintains a privacy policy that, at a minimum:

- 1. Restricts the use and/or disclosure of “private information” to the purpose for which it was obtained;
- 2. Requires the person’s consent for other uses or disclosures;
- 3. Limits access to “private information” to those employees with a need to fulfill the purpose for which it was obtained; and
- 4. Provides adequate precautions to ensure administrative and physical security of “private information.”

Authorized Certifying Official

Signature

Name

Title

ACKNOWLEDGMENT

State of New York)
) ss:
County of New York)

On the _____ day of _____ in the year 20__ before me, the undersigned, a Notary Public in and for said State, personally appeared _____ personally known to me or proved to me on the basis of satisfactory evidence to be the individual whose name is subscribed to the within instrument and acknowledged to me that her executed the same in her capacity, and that by her signature on the instrument, the individual, or the person on behalf of which the individual acted, executed the instrument.

Notary Public

iii. CIVIL RIGHTS CERTIFICATION

I hereby certify that _____, the applicant organization, will:

- 1. Comply with all applicable federal, state, and local laws relating to nondiscrimination in employment;
- 2. Not discriminate against any individual who receives or applies for services on the basis of actual or perceived aged, race, creed, religion, color, national origin, gender, disability, marital status, sexual orientation, alienage, or citizenship; and
- 3. Forward to the Office of the New York State Attorney General a copy of any finding by a court or administrative agency that it has violated any federal, state, or local law relating to nondiscrimination.

Authorized Certifying Official

Signature

Name

Title

ACKNOWLEDGMENT

State of New York)
) ss:
County of New York)

On the _____ day of _____ in the year 20__ before me, the undersigned, a Notary Public in and for said State, personally appeared _____ personally known to me or proved to me on the basis of satisfactory evidence to be the individual whose name is subscribed to the within instrument and acknowledged to me that her executed the same in her capacity, and that by her signature on the instrument, the individual, or the person on behalf of which the individual acted, executed the instrument.

Notary Public

iv. LABOR CERTIFICATION

I hereby certify that _____, the applicant organization, will:

1. Comply with all applicable federal, state, and local labor and employment laws and regulations, including any applicable schedules or determinations made by the State Labor Department in accordance with the Labor Law; and
2. Forward to the Office of the New York State Attorney General a copy of any finding by a court or administrative agency that it has violated any federal, state, or local law relating to labor or employment.

Authorized Certifying Official

Signature

Name

Title

ACKNOWLEDGMENT

State of New York)
) ss:
County of New York)

On the _____ day of _____ in the year 20__ before me, the undersigned, a Notary Public in and for said State, personally appeared _____ personally known to me or proved to me on the basis of satisfactory evidence to be the individual whose name is subscribed to the within instrument and acknowledged to me that her executed the same in her capacity, and that by her signature on the instrument, the individual, or the person on behalf of which the individual acted, executed the instrument.

Notary Public

v. DECLARATION

I hereby declare under penalty of perjury that the information contained in this application and attachments thereto are accurate and complete and understand that false statements made herein are punishable as a Class A Misdemeanor pursuant to NY Penal Law Section 210.45.

Authorized Certifying Official

Signature

Name

Title

ACKNOWLEDGMENT

State of New York)
) ss:
County of New York)

On the _____ day of _____ in the year 20__ before me, the undersigned, a Notary Public in and for said State, personally appeared _____ personally known to me or proved to me on the basis of satisfactory evidence to be the individual whose name is subscribed to the within instrument and acknowledged to me that her executed the same in her capacity, and that by her signature on the instrument, the individual, or the person on behalf of which the individual acted, executed the instrument.

Notary Public