

THE PUTNAM COUNTY LEGISLATURE

40 Gleneida Avenue
Carmel, New York 10512
Phone (845) 808-1020 • Fax (845) 808-1933
putcoleg@putnamcountyny.gov

Daniel G. Birmingham *Chairman*
William Gouldman *Deputy Chair*
Diane Trabulsy *Clerk*



Nancy Montgomery	Dist. 1
William Gouldman	Dist. 2
Toni E. Addonizio	Dist. 3
Laura E. Russo	Dist. 4
Jake D'Angelo	Dist. 5
Thomas Regan Jr.	Dist. 6
Daniel G. Birmingham	Dist. 7
Amy E. Sayegh	Dist. 8
Erin L. Crowley	Dist. 9

AGENDA PROTECTIVE SERVICES COMMITTEE TO BE HELD IN ROOM #318 PUTNAM COUNTY OFFICE BUILDING CARMEL, NEW YORK 10512

Members: Chairman Regan and Legislators Addonizio & Montgomery

Monday

6:00PM

January 26, 2026

- 1. Pledge of Allegiance**
- 2. Roll Call**
- 3. Acceptance of Minutes – December 9, 2025 Meeting**
- 4. Approval – Appointment – Bureau of Emergency Services Commissioner – Oster**
- 5. Approval – Grant Application – Sheriff's Office – Local Government Efficiency Grant Program**
- 6. Approval – Grant Application – Emergency Services – Emergency Services IP Network Readiness Grant Program**
- 7. Approval – Budgetary Amendment 26A005 – Sheriff's Office – Matthew Marks Charitable Trust Donation**
- 8. FYI – Fund Transfer 25T525 – Emergency Services – 4th Quarter Automotive Chargeback**
- 9. FYI – 4th Quarter Coroner Cases**
- 10. Other Business**
- 11. Adjournment**

#3

**PROTECTIVE SERVICES COMMITTEE
HELD IN ROOM #318
PUTNAM COUNTY OFFICE BUILDING
CARMEL, NEW YORK 10512**

Members: Chairman Jonke and Legislators Addonizio & Birmingham

Tuesday December 9, 2025
(Immediately following Personnel beginning at 6:00pm)

The meeting was called to order at 6:10pm by Chairman Jonke and he requested Legislator Birmingham lead in the Pledge of Allegiance. Upon roll call Legislators Addonizio, Birmingham, and Chairman Jonke were present.

Item #3 – Acceptance of Minutes – September 18, 2025

The minutes were accepted as submitted.

Item #4 – Approval – Budgetary Amendment 25A117 – Sheriff – Use Inmate Commissary Account – Purchase Dual Sided Classification Printer

Acting Sherrif Brian Hess stated their current printer is on its last legs and this will allow them to replace it. He stated the Inmate Commissary fund is to be used for the benefit of the inmates.

Chairman Jonke made a motion to pre-file the necessary resolution; Seconded by Legislator Addonizio. All in favor.

Item #5 – FYI – Fund Transfer 25T453 – Sheriff – Automotive Chargebacks – Duly Noted

Item #6 – FYI – Fund Transfer 25T469 – Sheriff – Training Expenses – Duly Noted

Item #7 – Other Business – None

Item #8 – Adjournment

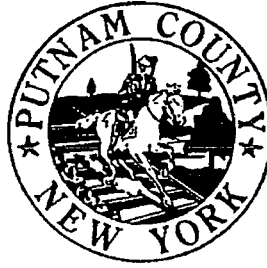
There being no further business at 6:14pm Chairman Jonke made a motion to adjourn, Seconded by Legislator Birmingham. All in favor.

Respectfully submitted by Deputy Clerk Beth Robinson.

THE PUTNAM COUNTY LEGISLATURE

40 Gleneida Avenue
Carmel, New York 10512
(845) 808-1020 Fax (845) 808-1933

Amy E. Sayegh *Chairwoman*
Greg E. Ellner *Deputy Chair*
Diane Trabulsy *Clerk*



Nancy Montgomery	Dist. 1
William Gouldman	Dist. 2
Toni E. Addonizio	Dist. 3
Laura E. Russo	Dist. 4
Greg E. Ellner	Dist. 5
Paul E. Jonke	Dist. 6
Daniel G. Birmingham	Dist. 7
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AGENDA PROTECTIVE SERVICES COMMITTEE TO BE HELD IN ROOM #318 PUTNAM COUNTY OFFICE BUILDING CARMEL, NEW YORK 10512

Members: Chairman Jonke and Legislators Addonizio & Birmingham

Tuesday December 9, 2025
(Immediately following Personnel beginning at 6:00pm)

- 1. Pledge of Allegiance**
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- 7. Other Business**
- 8. Adjournment**



CC - all
Feb. Protection
#4

PUTNAM COUNTY EXECUTIVE
KEVIN M. BYRNE

2026 JAN 15 PM 12:31
LEGISLATURE
PUTNAM COUNTY
CARMEL, NY

MEMORANDUM

Date: January 15, 2026

To: Diane Trabulsy
Clerk, Putnam County Legislature

From: Kevin M. Byrne
County Executive

Re: Appointment of Commissioner of the Bureau of Emergency Services

Please be advised that I have appointed James G. Oster as the Commissioner of the Bureau of Emergency services subject to confirmation by a two-thirds (2/3) vote of the Putnam County Legislature in accordance with Article 12, Section 12.20 of the Putnam County Charter. Mr. Oster has been serving as Interim Commissioner of the Bureau of Emergency Services since December 1, 2025 pursuant to N.Y.S. Alternative County Government Law Section 202(3).

At the direction of my office, a selection committee comprised of key members of county government and representatives from the county's first responder community was convened to interview and evaluate candidates for appointment to the position of Commissioner of the Bureau of Emergency Services upon Commissioner Lipton's retirement.

Mr. Oster possesses the requisite knowledge, experience and qualifications, including that in the administration of emergency service efforts to serve as the Commissioner of the Bureau of Emergency Services for Putnam County. Mr. Oster has had a long career in service to safety in the County. His firsthand experience in various first responder roles as a volunteer firefighter, EMT and then in the Kent Police Department for over twenty years provides essential knowledge needed to oversee emergency service for the County. Mr. Oster's leadership in the Kent P.D, as well as with the County's Emergency response team gives him the extensive experience needed to successfully lead the Bureau.

I respectfully ask that the appointment of Mr. Oster be placed on the agenda for the next appropriate Legislative Committee meeting with the intention that the position be voted on during the next full legislative meeting thereafter. Attached is Mr. Oster's resume and application for your review.

Thank you in advance for your attention to this matter.

Cc: Paul Eldridge, Personnel Officer
Adrienne Iasoni, Deputy Personnel Officer



BRIAN M. HESS
SHERIFF

PUTNAM COUNTY SHERIFF'S OFFICE

Three County Center
Carmel, New York 10512
(845) 225-4300




JAMES T. MENTON
UNDERSHERIFF

cc: all
Protective
#5

MEMORANDUM

TO: Erin Crowley, Chairwoman
Audit & Administration Committee

FROM: Brian M. Hess 
Sheriff

RE: Letter of Necessary- Grant Application

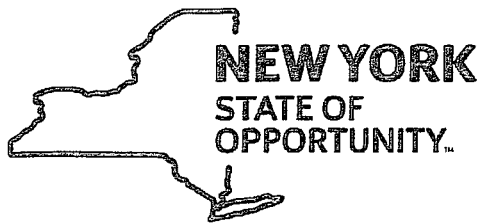
DATE: January 15, 2026

2026 JAN 15 PM 2:05
LEGISLATURE
PUTNAM COUNTY
CARMEL, NY

I respectfully request that the attached matching funds Grant Application be placed on the Audit & Administration Committee meeting agenda for January 26. The application deadline is February 4, we are applying for this grant in collaboration with four other agencies.

Due to the time constraints and the limited number of meetings in January, it is important that this item be reviewed at the upcoming meeting to ensure we meet the submission deadline.

Thank you for your consideration. Please let me know if you need any additional information.



Division of Local Government Services

2025-26 Local Government Efficiency Grant Program Request for Applications RFA # 25-LGE-45 Grant Application and Instructions

Local Government Efficiency Grant Program

KEY DATES

Release Date:	December 8, 2025
Questions Due Date:	December 24, 2025
Updates & Responses to Questions Posted Date:	January 8, 2026
Application Due Date:	February 4, 2026, at 4:00 PM
Applications must be submitted through the web-based Consolidated Funding Application Portal.	

Contact:

New York State Department of State
Division of Local Government Services
Local Government Efficiency Program
RFA # 25-LGE-45
One Commerce Plaza
99 Washington Avenue, Suite 1130
Albany, New York 12231

Application Submission:

Applications are being solicited through the New York
State Consolidated Funding Application (CFA) portal.

Applications are available at:
<https://apps.cio.ny.gov/apps/cfa/>

STATE OF NEW YORK
DEPARTMENT OF STATE
ONE COMMERCE PLAZA
99 WASHINGTON AVENUE
ALBANY, NY 12231-0001
WWW.DOS.NY.GOV

26th
Letter of Notice

KATHY HOCHUL
GOVERNOR

WALTER T. MOSLEY
SECRETARY OF STATE

Diane Trabulsy

From: Brian Hess
Sent: Wednesday, January 21, 2026 10:00 AM
To: Thomas Regan; James Menton
Cc: Diane Trabulsy; Edward Gordon; Elizabeth Robinson
Subject: RE: LOCAL GOVERNMENT EFFICIENCY GRANT PROGRAM
Attachments: GrantPaperworkCombined.pdf

Good Morning Chairman Regan,

Thank you for flagging this item and for placing it on the Protective Services Committee agenda.

Please note at the outset that this request is solely for authorization to apply for the grant. The Village of Tuckahoe Police Department is the lead agency and will be responsible for drafting and submitting the full grant application. Our participation at this stage is limited to joining the proposed regional partnership, should the Legislature authorize submission.

By way of background, I was approached by Chief Rotta of the Tuckahoe Police Department regarding a shared-services application under the New York State Department of State Local Government Efficiency Grant Program. Several agencies are exploring the development of Drone-as-First-Responder (DFR) capabilities, and the intent is to pursue a coordinated regional model to maximize efficiency, standardize equipment and training, and reduce overall costs through shared resources and pilots.

In response to your specific questions:

1. **Total Grant Amount:** \$1.25 million
2. **County Match:** Yes. The required local match is 10 percent, equating to \$25,000 per participating agency.
3. **Use of Funds:** Grant funds would be used for DFR program start-up costs, including required licensing, pilot training, and the acquisition and build-out of necessary equipment and infrastructure.
4. **Application Copy:** I will attach the full draft application materials provided by the lead agency. If additional documents are required for backup, I am happy to coordinate with Legislative staff to ensure timely submission.

Proposed Grant Partners:

- Village of Tuckahoe Police Department (Lead Agency)
- Village of Tarrytown Police Department
- Village of Pleasantville Police Department
- Westchester County Police

Please let me know if any additional information is needed prior to the meeting, I will also make myself available to address questions during the Committee discussion.

Respectfully,

Sheriff Brian M Hess
Putnam County Sheriff's Office

From: Thomas Regan <Thomas.Regan@putnamcountyny.gov>
Sent: Wednesday, January 21, 2026 12:00 AM
To: Brian Hess <Brian.Hess@putnamcountyny.gov>; James Menton <James.Menton@putnamcountyny.gov>
Cc: Diane Trabulsy <Diane.Trabulsy@putnamcountyny.gov>; Edward Gordon <Edward.Gordon@putnamcountyny.gov>; Elizabeth Robinson <Elizabeth.Robinson@putnamcountyny.gov>
Subject: LOCAL GOVERNMENT EFFICIENCY GRANT PROGRAM

Gentlemen, apologies for the late email, but I believe there are time constraints with this grant program, and in an effort to expedite the process, we have made sure the item is on the Protective Services Committee Legislative agenda for this coming Monday January 26th 2026. Currently, it is item #5 on the agenda, in its current draft stage. However, there is some vital information we need to properly consider the request. I have cc'd Daine, Ed & Beth from the Legislative office to help keep expediting this agenda item. Can you, or someone from your staff please advise re the questions below

Below is some of the information the Legislature should have as we consider giving approval for the Sheriff's to apply for the:

NEW YORK STATE DEPARTMENT OF STATE 2025-2026 LOCAL GOVERNMENT EFFICIENCY GRANT PROGRAM

- 1) The Amount of the Grant
- 2) Is there a County Match – if yes, how much
- 3) If awarded what will the grant funds be used towards
- 4) Can you provide a copy of the full application? Currently we only have the 1st page.

If yes, please advise the names above by tomorrow, 1-21-26, at 10:30a.m. Then the staff will put it as backup to that agenda item with the publication of your Protective Services Agenda. OR, you can get it to the Legislative Office after the agenda goes out (as required) and then I as Chairman can make a motion to accept the Additional for that agenda item the night of the meeting.

Thank you

Tommy Regan
Putnam County Legislator
District 6-Southeast NY

Budget Plan

To complete the Budget Template, you must fill in the green boxes. Each Goal with its associated Actions should be entered separately. Goals are the principal components of a project, including planning, design, construction and other. Actions are the specific tasks needed to achieve each Goal. Eight spaces for Goals and Actions have been provided in the Budget template available on the DOS website. If you need additional spaces, please contact us and we will issue an expanded form. Our contact information can be found on the face page of the Request for Applications. To complete the Budget, fill in the green boxes for each Action in the appropriate cost category, including salaries & fringe, contractual services, travel, equipment and other. Total project costs are auto calculated at the end of the form. You must enter the amount of LGE funding requested (10% of project costs for implementation projects and 50% for planning) as well as any additional outside funding. If the Verification box is green, sources and uses of funds are matched. If the box is red, there is a mismatch between funding sources and uses which needs to be corrected. The Department of State will evaluate the clarity and detail of the work plan including the project timeline, specific phases, associated tasks and deliverables. In addition, the feasibility

- **Goal Number and Name:** *Provide a sequential number and name for the Goal.*
- **Action Name:** *Provide a name for the Action.*
- **Anticipated Start Date:** *When the Action will start.*
- **Anticipated Completion Date:** *When the Action will be completed.*
- **Performance Measure (Deliverable):** *What must be provided to the Department of State to show that the action has been completed. For example this may include deliverables such as a draft or completed study or plan, an IMA to move the project forward, meeting summary reports, completion of project, etc.*
- **Action Narrative:** *Describe what is being done to complete the Action and accomplish the Goal. A project may include:*
 1. *An examination of the potential financial savings, management improvements, and service delivery changes resulting from a local government re-organization,*
 2. *Legal issues and impediments surrounding implementation,*
 3. *Analysis of how the plan or project will meet the goals or lead to implementation.*

BUDGET INFORMATION

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

- **Personal Services**
 - o **Salaries and Fringe:** *Each employee's time devoted to the project according to the total annual salary for that employee. For example, an employee who devotes 20% of their time to the project and has an annual salary of \$40,000 would charge \$8,000 to the project*
- **Non Personal Services**
 - o **Contractual Services:** *The cost and description of the purpose of contractual services.*
 - o **Travel:** *The description of the purpose, destination, mode of travel and costs. Travel rates cannot exceed General Service Administration (GSA) guidelines <https://www.gsa.gov/travel/plan-book/per-diem-rates>*
 - o **Equipment:** *Items with a value of more than \$200.00 and a useful life of more than one year.*
 - o **Other:** *Any other services and costs, including capital expenses related to construction or renovation.*

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

2023 - 2024 LGE Grant Budget and Work Plan

Goal # (Title)	Action:																															
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2023 - 2024 LGE Grant Budget and Work Plan

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2023 - 2024 LGE Grant Budget and Work Plan

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	Travel		
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TOTAL		\$	-

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



Division of Local Government Services

2025-26 Local Government Efficiency Grant Program Request for Applications RFA # 25-LGE-45 Grant Application and Instructions

Local Government Efficiency Grant Program

KEY DATES

Release Date:	December 8, 2025
Questions Due Date:	December 24, 2025
Updates & Responses to Questions Posted Date:	January 8, 2026
Application Due Date:	February 4, 2026, at 4:00 PM
Applications must be submitted through the web-based Consolidated Funding Application Portal.	

Contact:

New York State Department of State
Division of Local Government Services
Local Government Efficiency Program
RFA # 25-LGE-45
One Commerce Plaza
99 Washington Avenue, Suite 1130
Albany, New York 12231

Application Submission:

Applications are being solicited through the New York State Consolidated Funding Application (CFA) portal.

Applications are available at:
<https://apps.cio.ny.gov/apps/cfa/>

STATE OF NEW YORK DEPARTMENT OF STATE

ONE COMMERCE PLAZA
99 WASHINGTON AVENUE
ALBANY, NY 12231-0001
WWW.DOS.NY.GOV

KATHY HOCHUL
GOVERNOR

WALTER T. MOSLEY
SECRETARY OF STATE

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I. Local Government Efficiency Grant Program

Introduction

The Local Government Efficiency (LGE) Grant program is provided to municipalities as a funding opportunity to expand or develop new local service delivery initiatives that will reduce the cost of current or future municipal operations and incorporate enhanced technologies and processes to modernize the delivery of local services. The LGE program requires that local governments work together in these efforts to meet the current and emerging needs of their constituents. This year the LGE program will support the following applications:

- Regionally scaled projects (Regional Projects) that include those developed in cooperation with Regional Planning Boards, or counties with four or more Co-Applicants (Eligible Counties).
- Local Projects that do not have a Regional Planning Board or Eligible County as a Lead Applicant.
- Qualification Grants that help Regional Planning Boards and Eligible Counties evaluate and develop a project that may be proposed for the next round of the LGE program.

In addition, the program is prioritizing the following Local Government Functions: information technology services (ITS) and cybersecurity; emergency services; countywide or multi-government code enforcement and planning; water and wastewater management systems; and clean energy initiatives (Target Functions).

Applicants must illustrate significant commitment to project completion and clearly demonstrate, through financial estimates, service delivery changes, administrative modifications and performance measures, the long-term benefit to New York residents and taxpayers.

II. LGE Application Information

Eligible Applicants

Eligible Local Government Entities are counties, cities, towns, villages, special improvement districts, fire districts, public libraries, association libraries, public library systems (if they advance a joint application on behalf of member libraries), water authorities, sewer authorities, regional planning and development boards, school districts, and Boards of Cooperative Educational Services (BOCES). A board of cooperative educational services will be considered a municipality only in instances where such board of cooperative educational services advances a joint application on behalf of school districts and other municipalities within the board of cooperative educational services region, but any agreement with a board of cooperative educational services:

1. Will not generate additional state aid;
2. Will be deemed not to be a part of the program, capital, and administrative budgets of the board of cooperative educational services for the purposes of computing charges upon component school districts pursuant to Education Law § 1950(1), (4)(b)(7) or §1951(1); and
3. Will be deemed to be a cooperative municipal service for purposes of Education Law § 1950(4)(d)(2).

Eligible Projects

Two or more local governments are eligible to apply for funding assistance to plan for and implement shared services, functional consolidations and local government consolidations and dissolutions not eligible under the Citizens Reorganization and Empowerment Grant (CREG). For more information about eligibility under the CREG program please contact the Division of Local Government Services at 518-473-3355.

Applications are evaluated based on the potential return on investment (ROI), project need, service delivery benefits, operational changes, local and regional capacity, project readiness (ability to complete the project in 5 years) and the comprehensiveness and specificity of the budget.

Project Funding

This year approximately \$8 million is allocated for projects, including approximately \$7.2 million for Implementation Grants and \$800,000 for Planning Grants. The allocation for Planning Grants includes \$200,000 for Qualification Grants available for Regional Projects. All awards are reimbursement grants to successful applicants.

The total maximum funding for an Implementation Grant is \$250,000 for each local government, not to exceed \$1,250,000 in total. The maximum funding for a Planning Grant is \$20,000 for each local government, not to exceed \$100,000 in total. The maximum funding for a Qualification Grant is \$25,000 for each Regional Planning Board or Eligible County planning for a Regional Project. Award limits also apply to existing LGE awards that include a new phase of development.

Regional Projects

The 2025 Local Government Efficiency Grant program continues to stimulate submission of larger scale projects developed in cooperation with Regional Planning Boards or counties with four or more Co-Applicants. Regional Projects may include either or both Planning and Implementation Grants to allow for designing and completing a project under a single contract. Together, the Planning and Implementation Grants cannot exceed a term of five years.

Local Projects

Local Projects are projects which do not have a Regional Planning Board or Eligible County as a Lead Applicant; however, they may include a Target Function. Local Projects may be eligible for either a Planning Grant or an Implementation Grant, but not both, in a single application/round of funding.

Qualification Grants

DOS is offering approximately eight grant(s) of up to \$25,000 (Qualification Grant) to allow Regional Planning Boards and Eligible Counties the opportunity to evaluate and develop a project that may be proposed for the next round of the LGE program. Total funding for Qualification Grants is capped at \$200,000, which is part of the approximately \$800,000 allocated to Planning Grants in the 2025-2026 LGE program.

Project Match

Applicants are required to provide local cash matching funds for all projects.

- Implementation Grants **require** local cash matching funds equal to at least 10% of the total project cost.
- Planning Grants **require** local cash matching funds equal to at least 50% of planning costs.
- In the event an Applicant is implementing a project developed through a successfully completed Planning Grant funded under a previous Local Government Efficiency (LGE) grant program, the original required local matching funds for developing the plan will be refunded except for 10% of the total costs of activities under the previously approved and completed grant work plan for the planning grant. The Planning Grant must have been completed and submitted for full payment prior to the refund of match.

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

Calculation of Match as per Local Government Efficiency Program				
Total Project Cost	Implementation Grant		Planning Grant	
	10% Local Share	90% State Share	50% Local Share	50% State Share
\$20,000	\$2,000	\$18,000	\$10,000	\$10,000
\$50,000	\$5,000	\$45,000	\$25,000	\$25,000
\$100,000	\$10,000	\$90,000	\$50,000	\$50,000
\$222,222	\$22,222	\$200,000		
\$400,000	\$40,000	\$360,000		
\$444,444	\$44,444	\$400,000		
\$1,388,889	\$138,889	\$1,250,000		

Eligible Expenses

Local Government Efficiency Grants may be used to cover costs integral to project implementation including, but not limited to:

- Legal and consultant services,
- Capital improvements and equipment, and
- Transitional personnel costs not to exceed three years.

Ineligible Expenses

- Recurring local government expenses such as salaries, utilities, and overhead, except for transitional personnel,
- Contingency expenses,
- Indirect expenses,
- Approved operating expense of the school district as defined in Education Law § 3602(1)(t),
- Any expenses not fully justified and deemed ineligible by DOS, which will be eliminated from the budget, thereby reducing the award amount,
- Any expenditures previously funded through the Local Government Efficiency Program (LGE), Citizens Reorganization Empowerment Grant (CREG), Financial Restructuring Board (FRB), Municipal Restructuring Fund (MRF), or any other New York State grant programs, and
- Additional expenses including, but not limited to, alcohol, out-of-state or out-of-country travel, prizes and awards, honoraria, lobbying expenses, fund-raising events/expenses, grant writing costs, fines and penalties, taxes, deficit funding, religious activities, and refreshments for meetings.

III. Preparing an LGE Application

Getting Started

Prior to submission, Applicants should review eligibility requirements and program criteria carefully, considering how the proposed project meets the goals of the LGE program. Applications are solicited through the New York State Consolidated Funding Application (CFA) portal and are available at: <https://apps.cio.ny.gov/apps/cfa/>. This program only accepts electronic submission through the CFA portal.

Application Workshops

Webinar workshops for the LGE program will be provided by the Department of State. Information on the workshops can be found at <https://dos.ny.gov/funding-bid-opportunities>.

Questions

Submit all substantive questions in writing to:

lgeprogram@dos.ny.gov

To the extent possible, inquiries should cite the RFA section and paragraph to which the question refers. Written questions will be accepted until the questions due date on the RFA cover page.

Questions and answers, as well as any updates and/or modifications, will be posted by the Questions Posted date on the RFA cover page.

This guidance has been posted on DOS's website at: <https://dos.ny.gov/funding-bid-opportunities>.

Grant applications are due by the Due Date and Time posted on the RFA cover page.

**Grant applications must be submitted at
<https://apps.cio.ny.gov/apps/cfa/>**

IV. Application Review

Review Process

Applicants must complete all sections of the application to enable submission of a proposal through the online CFA portal. Applicants may contact the Local Government Efficiency Program only for assistance with CFA application issues. Application review will be for projects categorized as either a Regional Project, Local Project, or Qualification Project.

Regional or Local Project Grant Review

A Regional Project is defined as a project where the Lead Applicant is either a Regional Planning Board or an Eligible County (county with four or more co-applicants). A Local Project is defined as a project with any other type of Lead Applicant, including counties with less than four co-applicants.

A regional or local project application is eligible to receive a total score of 100. The minimum score for a Regional or Local Project that is an Implementation Grant is 60 points, out of a possible 100 points, to be considered for funding. The minimum score for a Regional or Local Project that is a Planning Grant is 50 points, out of a possible 100 points, to be considered for funding. Applications that do not meet the minimum score will be deemed ineligible and will not be funded.

Application scoring is based upon five criteria that indicate the applicant's readiness and ability to plan, implement and complete the project.

1. **Priority Points** will be given to 1) Any Regional Project(s), 2) Regional or Local Projects being implemented as the result of a previously funded LGE planning grant or that is included in a Countywide Shared Services Initiative (CWSSI) Plan, and/or 3) Regional or Local Projects that involve at least one of five Target Functions.
2. **Project Attributes** describe the general features of the project, including project need and reasons for undertaking the project, the type of intermunicipal agreements among the applicants, the scale of the project in terms of municipal participation, and the scope of the project in terms of the type and number of functions involved.
3. **Project Planning** describes the degree to which Applicants are prepared to undertake the project in terms of their own objectives, degree of public engagement and preparedness for implementation.
4. **Project Implementation** looks at potential constraints to project completion, as well as expected operational and financial outcomes.
5. **Budget** questions review the detail in the budget, including a description of all components of the work plan and a budget that correctly identifies all funding sources and uses and describes cost determination.

Each application will receive three independent scores based on a scale of 100, which will be averaged and carried out to two decimal places to determine the LGE program score.

The total possible points for all applications are charted below:

Criteria	Score Scale (Total Possible Points)
Priority Points	Up to 20 points
Project Attributes	Up to 20 points
Project Planning	Up to 20 points
Project Implementation	Up to 20 points
Budget	Up to 20 points

Qualification Project Grant Review

Qualification Grants will be approved based on the scoring criteria listed below. A minimum of 40 out of 50 points are required for approval. Upon approval, Applicants will have one year to develop a full Regional Project application, which will be scored in accordance with applicable review criteria in the next round of the LGE program.

If a Regional Project has already been selected for implementation, Lead Applicants may proceed directly to a Regional Project application without the need to apply for a Qualification Grant.

Criteria	Score Scale (Total Possible Points)
Expected Number of Co-Applicants	Up to 10 points
Number of Services and Functions	Up to 10 points
Regional Planning Experience	Up to 10 points
Proposed Deliverables	Up to 10 points
Budget	Up to 10 points

Each application will receive three independent scores based on a scale of 50, which will be averaged and carried out to two decimal places to determine the LGE program score.

Smart Growth Impact

Prior to making any commitment of state funds to a public infrastructure project, DOS must determine that the project, to the extent practicable, has accommodated the smart growth criteria set forth in Article 6 of the Environmental Conservation Law, "The New York State Smart Growth Public Infrastructure Act." Inconsistency with relevant criteria may result in a project being deemed ineligible for funding.

Minority- and Women-Owned Business Enterprises Utilization

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

If your project is selected for an award, you will be required to comply with all the contractual requirements, including demonstrating that a good faith effort is made to meet the goals for certified MWBE firm participation as stated in your contract and in accordance with Article 15-A of the Executive Law.

If an Applicant chooses to move forward with a project prior to any award announcement, they are responsible for meeting M/WBE requirements established by the State of New York.

V. Project Application and Evaluation

Eligibility Requirements (Pass/Fail)

The following questions determine minimum eligibility qualifications for the LGE program. These questions are not scored.

- Are you an eligible NYS Local Government Entity for the Local Government Efficiency Program? To be eligible to submit an LGE application the answer to this must be “yes”.
- Are you developing a plan for a local government consolidation or dissolution under General Municipal Law, Article 17-A? (This does not apply to school districts). If so, please contact the DOS directly for other available funding opportunities. To be eligible to submit an LGE application the answer to this must be “no”.

Any application that does not pass all Eligibility Requirements will be deemed ineligible and will not be scored.

General Project Information

Project Description

The project description tells the reviewers about the project. This description should be concise and include:

- the project’s location,
- detail on what is being planned, designed, or constructed, and
- the expected outcomes and Performance Measures.

Statement of Need

The Statement of Need provides a clear overview of the local government’s reasons for undertaking the project. A Local Government Efficiency project must include an explanation of the financial, management, or service delivery challenges that the project addresses or will correct/resolve.

Project Partners

Funding amounts and project eligibility are directly related to the number of Applicants, including the Lead Applicant and all Co-Applicants. Please list and provide contact information for all the Applicants involved and describe their role in the project.

Regional and Local Project Questions

LGE Priorities

An application will receive Priority Points if it meets any of the following criteria:

1. **Any Regional Project** - 10 points
2. **Target Functions** – 5 Points
 - **Information Technology Services (ITS), including Cybersecurity** – The project involves implementation or improvements of hardware, software, operational and data management, and training to enhance cybersecurity and prevent unauthorized access to a municipality’s digital information.

- **Emergency Services** - The project involves enhancements to or restructuring of local government or fire, police, and emergency medical services.
 - **Countywide or Multi-County Code Enforcement or Municipal Planning** – The project supports shared code enforcement services or municipal planning on a multi-municipal or regional scale.
 - **Water and/or Wastewater Management Systems** – The project involves improving the efficiency of water and/or wastewater operations on a regional basis.
 - **Clean Energy Initiatives** – The project plans for shared development of clean energy projects, such as hydro, solar and wind power, including transmission infrastructure.
3. **Local Government Efficiency Plan Implementation or County-Wide Shared Services Initiative (CWSSI) Plan** – Up to 5 Points

The LGE program prioritizes the implementation of previously completed LGE planning projects. If applicable, please describe how the application implements a previously funded plan (must be supported by a resolution or intermunicipal agreement committing to implementation of an LGE plan as specified in the Required and Optional Documents section above), or the project is part of a previously adopted or pending 2025 CWSSI Plan (must be supported by a copy of or excerpts from a CWSSI Plan as specified in the Required and Optional Documents section).

Project Attributes

The LGE program funds both the implementation of projects and planning for such projects. Implementation Grants require a 10% local cash match and Planning Grants require a 50% local cash match. DOS must approve the Planning Grant recommendations for implementation of the project before converting the Planning Grant to an Implementation Grant.

1. Project Need – Up to 5 points

Project need will be based upon existing municipal conditions, including: 1) financial challenges, 2) need to modify operations, and 3) service delivery issues. Review will be based upon the following points scale:

Project Need	Points
Unanswered	0
Unclear or no apparent need	1
Financial challenges	2
Operational challenges	3
Financial and operational challenges	4
Financial, operational, and service delivery challenges	5

2. Project Readiness – Up to 5 Points

Describes the readiness of Applicants to proceed with the project. Please provide copies of any documents, if available. Review will be based upon the following points scale:

Project Type	Points
No answer	0
To be determined	1
Discussion of type of proposed intermunicipal agreement	2
Memorandum of Understanding	3
Executed Cooperative Agreement	4
Executed Contractual Agreement	5

3. Project Scale - Up to 5 points

Measures the geographic footprint of the project in terms of number of municipalities included in the project. Review will be based upon the following points scale:

Project Scale	Points
No answer	0
Two to three municipalities	1
Four to five municipalities	2
Six to ten municipalities	3
More than ten municipalities	4
Countywide or multi-county	5

4. Project Scope – Up to 5 Points

Measures the complexity of the project in terms of the number of municipal services and functions involved. Review will be based upon the following points scale:

Project Scope	Points
No answer/No change of scope	0
Single service	1
Two or more services in same function	2
Two or more services in different functions	3
Single Functional Consolidation	4
Multiple Functional Consolidations	5

Project Planning

1. Planning Documents – Up to 5 Points

Assesses the underpinnings of planning decisions made by Applicants prior to undertaking project planning and development. Please provide copies or excerpts of any documents, if available. Review will be based upon the following points scale:

Planning Documents	Points
No answer	0
No specific plans identified	1
Project relates to regional planning documents	2
Project identified in regional planning documents	3
Project included in county planning documents	4
Project identified in one or more county or local comprehensive plans	5

2. Goals and Actions – Up to 5 points

Assesses Applicants' consideration of project in planning documents, giving indication of willingness to undertake project. Review will be based upon the following points scale:

Goals and Actions	Points
No answer	0
No Goals directly align with project	1
At least one Applicant's Goals align with project	2
Multiple Applicants' Goals align with project	3
One Applicant's Actions include project implementation	4
Multiple Applicants' Actions include project implementation	5

3. Public Engagement – Up to 5 Points

Assesses the method and process followed to ensure transparency and public participation during project development and implementation. Review will be based upon the following points scale:

Public Engagement	Points
No answer/None	0
Information provided by Applicants only	1
Information provided by Applicants and/or public sources only	2
Inclusion of stakeholders in project plan development	3
Inclusion of public representatives in project plan development	4
Public hearings on project	5

4. Implementation Plan – Up to 5 Points

Evaluates the preparedness of Applicants to proceed with project based upon measures included in a at least one Applicant's plan to implement project. Review will be based upon the following points scale:

Implementation Plan	Point
No answer	0
No implementation plan; project discussions only	1
Includes Actions needed to develop project	2
Includes Actions and timelines	3
Includes Actions, timelines, and cost estimates	4
Includes Actions, timelines and costs supported by vendor quotes	5

Project Results

1. Project Benefits– Up to 5 Points

Describes distribution of anticipated project benefits to Applicants and others. Review will be based upon the following points scale:

Project Benefits	Points
No answer	0
No discussion of anticipated benefits	1
Project benefits only single Applicant	2
Project benefits some Applicants	3
Project benefits all Applicants	4
Project benefits all Applicants and others	5

2. Operational Impacts– Up to 5 Points

Describes expected benefits of project in terms of improvements to performance of operations. Review will be based upon the following points scale:

Operational Impacts	Points
No answer	0
Unclear or unrelated to government efficiency	1
Organizational improvements	2
Process improvements	3
Process and organizational improvements	4
Process, organizational and service delivery improvements	5

3. Financial Analysis– Up to 5 Points

Identifies the quality and accuracy of the Return on State Investment (ROI) worksheet and back-up. Review will be based upon the following points scale:

Financial Analysis	Points
No answer	0
Worksheet missing data/not completed	1
No back-up provided	2
Complete data and back-up, but no narrative	3
Includes data, backup and narrative describing assumptions	4
All above plus documentation supporting assumptions	5

4. Estimated Return on State Investment (ROI)– Up to 5 Points

Values the estimated return to the State from total cost savings realized by all Applicants, calculated by dividing the present value of total cost savings over five years following implementation by the amount of grant funding. Review will be based upon the following points scale:

Estimated Return on State Investment (ROI)	Points
No answer	0
Missing data/No or insufficient work sheets	1
Correct calculations but ROI is less than zero	2
ROI is 0 to 100%	3
ROI is 100% to 200%	4
ROI is more than 200%	5

Budget (up to 20 points)

Each application must include a detailed and realistic Budget, containing allowable, reasonable, and necessary costs. All sections must be completed, including Goals, Actions, Timelines and Performance Measures, with estimated costs entered into appropriate spending categories. Costs must be verified in the spreadsheet at the end of the section and all sources of funding identified. Program review will include an assessment of the appropriateness of the expenses and the credibility of the Budget estimate.

Budget Detail	Points
No answer/Incomplete Budget	0
All Actions through completion identified, with limited Budget detail	4
Complete Budget including Goals, Actions, Timelines, Performance Measures, and Narrative	8
Complete Budget identifying all uses but not sources of funds (i.e., Budget not Verified)	12
Complete Budget identifying all sources and uses of funds (i.e., Verified Budget)	16
Complete and Verified Budget plus narrative or documentation confirming cost determination	20

Qualification Grant Questions

To apply for a Qualification Grant, the Regional Planning Board or Eligible County must complete the appropriate questions in the CFA portal and will be reviewed using the following criteria.

1. Expected Number of Co-Applicants (10 points)

Gives an estimate of the scale and interest in the project. This is not a commitment, but rather an indication of project need. Potential Applicants must provide a letter signed by their Chief Executive or relevant Department Head indicating their interest in participating in the project. Review will be based upon the following points scale:

Expected Number of Applicants	Points
No answer	0
One or two	2
Three or four	4
Four plus Eligible County	6
Five to ten	8
More than ten	10

2. Number of Services and Functions to be Reviewed (10 points)

Provides an indication of the scope and complexity of the project. Multiple functions and services within a function are more complex than single services and functions and are more likely to require expertise in regional planning. Review will be based upon the following points scale:

Number of Services and Functions to be Reviewed	Points
No answer	0
Single service	2
Two or more services within single function	4
Two or more services within different functions	6
Single function	8
Two or more functions	10

3. Regional Planning Experience (10 points)

Gives insight into Regional Planning Board or Eligible County's experience with planning beyond a local level. Review will be based upon the following points scale:

Regional Planning Experience	Points
No answer/single municipality	0
Two municipalities within single county	2
Two to five municipalities within single county	4
More than five municipalities within single county	6
Countywide	8
Multiple counties/regional	10

4. Proposed Deliverables (10 points)

Description of work product to be delivered to DOS upon completion of Qualification Grant term. Please submit copies of MOUs and/or IMAs, if available. Review will be based upon the following points scale:

Proposed Deliverables	Points
No answer	0
None or MOUs from minority of Co-Applicants to proceed with Qualification Grant Application	2
MOUs from minority of Co-Applicants to proceed with Qualification Grant Application and LGE grant if successful	4
MOUs from majority of Co-Applicants to proceed with Qualification Grant Application and LGE grant if successful	6
IMAs from majority of Co-Applicants to proceed with Qualification Grant Application	8
IMAs from majority of Co-Applicants to proceed with Qualification Grant Application and LGE grant if successful	10

5. Budget(10 points)

Each application must include a detailed and realistic Budget, containing allowable, reasonable, and necessary costs. All sections must be completed, including Goals, Actions, Timelines and Performance Measures, with estimated costs entered into appropriate spending categories. Costs must be verified in the spreadsheet at the end of the section and all sources of funding identified. Program review will include an assessment of the appropriateness of the expenses and the credibility of the Budget estimate. Review will be based upon the following points scale:

Budget Detail	Points
No answer/Incomplete Actions	0
All Actions through completion identified, with limited Budget detail	2
Complete Budget including Goals, Actions, Timelines, Performance Measures, and Narrative	4
Complete Budget identifying all uses but not sources of funds (i.e., Budget not Verified)	6
Complete Budget identifying all sources and uses of funds (i.e., Verified Budget)	8
Complete Budget plus narrative or documentation confirming cost determination	10

Required and Optional Documents

The Required and Optional Documents for both the Regional and Local Projects, as well as Qualification Grants can be uploaded as information crucial to describe the project benefits and the use of program funds. The format of the CFA portal stipulates that Required and Optional Document questions:

1. must be grouped together for each separate question,
2. may refer to multiple types of information required throughout the application, and,
3. are used to evaluate the Applicant's project.

The Required and Optional Documents are the basis for some scoring criteria.

REMINDER: Only one attachment is permitted for each of the following CFA questions. If you attach multiple documents, only the last document attached will remain. All others will be deleted. If you need to attach multiple documents, merge them into a single document, and then upload the merged document.

Required Documents

1. Return on State Investment (ROI) Worksheet – (For Regional and Local Projects)

To determine the long-term fiscal impact of a local government efficiency project, Applicants must upload the ROI Excel worksheet in the application. The worksheet may be accessed from the DOS website at <https://dos.ny.gov/funding-bid-opportunities>. This link goes directly to the DOS main 'Grant Opportunities' webpage. Please select the current LGE RFA title and the document can be found there as a fillable form.

The worksheet is intended to provide an objective analysis of the anticipated financial return to the State of the project. Complete worksheets will include information from for each Applicant. Save worksheets as a PDF file and upload.

Projected cost savings shall not include unexpended fund balances, this or other grant funding, or State incentives. Total cost savings may include Equipment and Capital Costs avoided by not having to acquire or replace capital assets using straight line method of depreciation over the useful life of the Asset Class. For a complete listing of Equipment and Capital Assets that may be depreciated, go to New York State Local Finance Law Chapter 33-A Article 2 Title 1 Section 11.00 - Periods of Probable Usefulness at: <https://codes.findlaw.com/ny/local-finance-law/lfn-sect-11-00.html>.

When applying for a Planning Grant, please use the best estimate of potential future cost savings and additional revenues if the project is implemented. To assist in estimating future cost savings generated by a project, past studies and project information may be found at the DOS's website: <https://dos.ny.gov/additional-resources>.

2. Budget Template – (For all applications)

Applicants must upload the Budget Template documents clearly listing the project Goals, and the Timelines, Actions, costs, and Performance Measures for each project Goal.

For each Action, include:

- a budgeted cost, including personal and non-personal services, and
- a proposed start date and a schedule for completion

Estimate the costs for each Action. Discuss why such costs are considered reasonable. All purchases must comply with Article 5A of the General Municipal Law. The LGE Budget template is available at: <https://dos.ny.gov/funding-bid-opportunities>. Make a PDF copy of the completed worksheet and upload it with the CFA submission.

3. M/WBE Compliance Form – (For all applications)

Applicants are required to submit the MWBE Compliance Form with their application confirming their understanding of the MWBE requirement and agreeing to show due-diligence and make good faith efforts to provide meaningful participation by MWBEs, whenever possible, if awarded the contract. The M/WBE Compliance Form can be found at <https://dos.ny.gov/supplier-diversity>.

4. Gender-Based Violence and the Workplace Certification – (For all applications)

Applicants must certify that the organization has in place and has implemented a Gender-Based Violence and the Workplace Policy (please see the [OPDV Gender-Based Violence and the Workplace website](#) for more information regarding these policies) and has provided such policy to all of its employees, directors and board members. Such policy shall, at a minimum, meet the requirements of subdivision 11 of section five hundred seventy-five of the executive law. If the bidder cannot make this certification, they must include a signed statement setting forth in detail the reasons therefor. The Gender-Based Violence and the Workplace Certification can be found at <https://dos.ny.gov/procurement-forms>.

Other Documents

These attachments may also be submitted with an application and can help reviewers understand the project and the Applicants' commitment to it.

1. Resolutions and Local Agreements

Municipal resolutions, cooperative or contractual agreements, intermunicipal agreements or other documents executed to implement the project that illustrate local support and capacity to implement the project.

2. County-Wide Shared Services Plan

Copies or excerpts from a County-Wide Shared Services Initiative (CWSSI) Plan adopted by or under consideration by a CWSSI panel. A CWSSI panel is chaired by the chief executive officer of each county outside of New York City and is charged with developing new opportunities to share and coordinate services. If a project is not included in an adopted CWSSI Plan, the application must include a letter from the county chief executive officer and the Lead Applicant declaring their intent to consider the project for inclusion in a 2025 CWSSI Plan.

3. Additional Information

Documents including excerpts from a comprehensive plan or other planning document that discusses the need for the project, financial impact analysis, maps, timelines, price quotes, and reports that support the application.

Smart Growth Questions

DOS is considered an “infrastructure agency” for the purposes of Article 6 of the Environmental Conservation Law, the State Smart Growth Public Infrastructure Policy Act. Under this legislation, no state infrastructure agency shall approve, undertake, support, or finance a public infrastructure project, including providing grants, awards, loans or assistance programs, unless, to the extent practicable, the project is consistent with statutory smart growth criteria. Smart Growth encourages community planning and development in priority economic growth areas where water and sewer infrastructure are available; encourages redevelopment of existing community centers; and protects important natural and historic resources, including water quality. If any funds received from a LGE grant would be used for any public infrastructure project that supports local government reorganization, applicants must describe how the project would meet the Smart Growth criteria listed in the application.

The first question will determine the proposed project's applicability to the State Smart Growth Public Infrastructure Policy Act. If the answer is Yes, an applicant will be required to answer the remaining Smart Growth criteria, if it is No, then the criteria are not applicable to the application. While not individually scored by the LGE Program, responses will help determine if a project can be funded.

- 1. Does the proposed project maintain, improve, expand, or build infrastructure?**
- 2. Explain how the proposed project will use, maintain, or improve infrastructure?**
- 3. Explain the need to build new infrastructure instead of using existing infrastructure?**
- 4. Is the proposed project located in a municipal center?**
- 5. Is the proposed project located in a developed area, or an area designated for concentrated infill development in a municipally approved comprehensive land use plan, local waterfront revitalization plan and/or brownfield opportunity area plan?**
- 6. Will the proposed project protect, preserve, and enhance the State's resources, including agricultural land, forests, surface and groundwater, air quality, recreation and open space, scenic areas, and significant historic and archeological resources?**
- 7. Will the proposed project foster mixed land uses and compact development, downtown revitalization, Brownfield redevelopment, the enhancement of beauty in public spaces, the diversity and affordability of housing in proximity to places of employment, recreation and commercial development and the integration of all income and age groups?**
- 8. Will the proposed project provide mobility through transportation choices including improved public transportation and reduced automobile dependency?**
- 9. Will the proposed project involve coordination between state and local government and inter-municipal and regional planning?**
- 10. Will the proposed project involve participation in community-based planning and collaboration?**
- 11. Will the proposed project ensure predictability in building and land use codes?**
- 12. Will the proposed project promote sustainability by strengthening existing and creating new communities which reduce greenhouse gas emissions and do not compromise the needs of future generations, by among other means encouraging broad based public involvement**

- in developing and implementing a community plan and ensuring the governance structure is adequate to sustain its implementation?
13. Will the proposed project mitigate future physical climate risk due to sea-level rise, and/or storm surges and/or flooding, based on available data predicting the likelihood of future extreme weather events, including hazard risk analysis data, if applicable?

Application Certification

The lead applicant shall agree to the Certification of the information in the CFA application. Applications containing false or inaccurate information may be disqualified upon DOS verification.

VI. Awards and Grant Administration

Awards

Approximately \$8 million is being made available for awards.

Awards will be based upon an application's total final score. Funding will be awarded to the highest scoring applications until funds are exhausted. A contract will be executed with the Lead Applicant of each funded project.

Depending upon the availability of funds, DOS may provide only partial funding to projects. Applicants will be notified directly of awards. Award decisions are final and are not subject to appeal. If an awardee fails to satisfactorily negotiate a contract, funding may be awarded to the next highest-scoring application.

Unsuccessful applicants may request a debriefing. Requests must be made in writing within 15 calendar days of notification of decision.

In the event unsuccessful bidders wish to protest the award resulting from this RFA, bidders should follow the protest procedures established by the Office of the State Comptroller (OSC). These procedures can be found in Chapter XI Section 17 of the Guide to Financial Operations (GFO), available on-line at: <http://www.osc.state.ny.us/agencies/guide/MyWebHelp/>.

Contracts

DOS requires that all successful applicants enter a contract with the State of New York (State Contract). The State Contract details the obligations of the applicant/contractor. Each approved State Contract will have a five-year term, starting no earlier than January 1, 2026. Awardees must return State Contracts to DOS within ninety days from the date DOS sends the complete contract package to the awardee to ensure that funds go to applicants that are ready to move forward. DOS may cancel an award if the State Contract is not returned in a timely manner.

Contract Administration

Awardees/contractors must manage projects in accordance with the terms and conditions of the State Contract, including following State and local procurement policies. Failure to render satisfactory progress or to complete the project to the satisfaction of the State may cause the suspension or termination of the State's financial obligation. Satisfactory progress includes, but is not limited to, execution of the State Contract and submission of all necessary documents for execution by the State, submitting timely payment requests in accordance with the payment schedule in the State Contract, completing satisfactory work products, and other tasks negotiated and agreed to in the executed State Contract. Project readiness and applicant commitment to completion is a critical part of application review. Extensions beyond the initial contract period will require detailed justification from the awardee.

Schedule of Payments

The Local Government Efficiency Grant Program is a reimbursement program. Expenses incurred after January 1, 2026, are eligible for reimbursement, provided that the applicant has a contract with DOS that has received all required State and local approvals. Expenses incurred prior to the start date of the State Contract cannot be reimbursed. The grant contractor will be required to submit payment requests quarterly. Payments will be made for eligible costs incurred until the cumulative amount of such payments totals 90% of the State Share Funding Amount. Payment of the remaining 10% of the State Share Funding Amount will not be made until the project is completed, as determined by DOS.

Required Reports

Each project must achieve results that substantially meet the objectives outlined in the State Contract's work plan. Recipients of grants must submit project status reports and timeline updates quarterly. Project close-out requires completion of terms and activities outlined in the State Contract, including all deliverables identified in the work plan.

Project Performance

Division of Local Government Services staff monitors each project and conducts site visits during the project term to assess the rate and quality of progress. Notification of contract related meeting schedules and submission of photos and other media are required. Some projects may be selected for more extensive review and used as a resource for providing technical assistance.

General Specifications

1. By signing the "Application Form", each applicant attests to the express authority to sign on behalf of the Local Government Entity and to the accuracy of the information contained in the application.
2. Grantees will possess, at no cost to the State, all qualifications, licenses, insurance and permits to engage in the required business as may be required within the jurisdiction where the work specified is to be performed. Workers to be employed in the performance of this contract, including subcontractors, will possess the qualifications, training, licenses, insurance and permits as may be required within such jurisdiction.
3. Submission of any application indicates the Applicant's acceptance of all conditions and terms contained in this RFA, including terms and conditions of the contract.
4. Provisions upon default:
 - a. The services to be performed by the Applicant shall be always subject to the direction and control of DOS as to all matters arising in connection with or relating to the contract resulting from this RFA.
 - b. If the Applicant fails to perform any of the terms, covenants or promises of any contract resulting from this RFA, DOS, acting for and on behalf of the State, shall thereupon have the right to terminate the State Contract by giving notice of the fact and date of such termination to the Applicant.
 - c. If, in the judgment of DOS, the Applicant acts in such a way which is likely to or does impair or prejudice the interests of the State, DOS, acting on behalf of the State, shall thereupon have the right to terminate any contract resulting from this RFA by giving notice of the fact and date of such termination to the contractor. In such case, the contractor shall receive equitable compensation for such services as shall, in the judgment of DOS, have been satisfactorily performed by the contractor up to the date of the termination of this agreement.

Reserved Rights

DOS reserves the right, including but not limited, to:

1. Reject any or all applications received in response to this RFA.
2. Withdraw the RFA at any time, at the agency's sole discretion.
3. Make an award under the RFA in whole or in part.
4. Disqualify any Applicant whose conduct and/or application fails to conform to the requirements of the RFA.
5. Seek clarifications and revisions of applications.
6. Use application information obtained through site visits, management interviews and the State's investigation of an Applicant's qualifications, experience, ability or financial standing, and any material or information submitted by the Applicant in response to the DOS's request for clarifying information during evaluation and/or selection under the RFA.
7. Prior to the application due date, amend the RFA specifications to correct errors or oversights, or to supply additional information, as it becomes available.
8. Prior to the application due date, direct Applicants to submit application modifications addressing subsequent RFA amendments.
9. Change any of the scheduled dates.
10. Eliminate any mandatory, non-material specifications that cannot be complied with by all the prospective Applicants.
11. Waive any requirements that are not material.
12. Negotiate with Applicants responding to this RFA within the scope of the RFA to serve the best interests of the State.
13. If unsuccessful in negotiating a State Contract with the selected Applicant within an acceptable time frame, the Department may begin State Contract negotiations with the next ranked qualified Applicant(s) to serve and realize the best interests of the State.
14. Utilize all ideas contained in proposals received.
15. Require clarification at any time during the procurement process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of an application and/or to determine an Applicant's compliance with the requirements of the solicitation.
16. Waive or modify minor irregularities in applications received after prior notification to the Applicant.
17. Not fund an application that fails to submit a clear and concise Work Plan or Budget.
18. Adjust or correct cost figures with the concurrence of the Applicant if errors exist and can be documented to the satisfaction of the DOS and the State Comptroller.
19. Award grants based on geographic or regional considerations to serve the best interests of the State.
20. Award more than one contract resulting from this RFA.
21. In its sole discretion, determine the total number of awards to be granted pursuant to this RFA.
22. Offer partial or no funding to any Applicant if its application cannot fulfill its proposed program within the funding restrictions herein.

23. Make additional awards if funding becomes available.
24. Require reporting on forms designed for use solely for this procurement; and,
25. Not to make any awards pursuant to this RFA. This RFA does not commit the Department to award any contracts, to pay the costs incurred in the preparation of a response to this RFA, or to procure or contract for services.
26. In the event there are fewer applications meeting the minimum score in either the planning or implementation category, DOS reserves the right to utilize remaining funds to make additional awards in the other category.

Attachments

Appendix A: Definitions

Appendix B: Return on Investment (ROI) Work Sheet

Appendix C: Minority- and Women-Owned Business Enterprises (MWBE)

Appendix D: Budget Template

Appendix A

Definitions

As used in these applications, the following words and terms are defined as follows:

Action is specific measurable step/project/task taken to achieve/implement a goal outlined in a plan.

Applicant means a Local Government Entity applying for a Local Government Efficiency grant.

Asset Class means a category of Equipment or Capital Costs that may be depreciated for tax purposes and may be found in New York State Local Finance Law Chapter 33-A Article 2 Title 1 Section 11.00 - Periods of Probable Usefulness at: <https://codes.findlaw.com/ny/local-finance-law/lfn-sect-11-00.html>.

Avoided Costs are one-time savings from not having to duplicate equipment or capital improvements with a useful life of greater than one year.

Budget means a document showing the sources and uses of funds for a project. The budget is broken out into personal and non-personal costs and is included as part of the Budget template.

Clean Energy Initiatives are actions that adhere to the principles of New York State's Climate Leadership & Protection Act and similar climate legislation, which are to transition to cleaner sources of energy.

Co-Applicant means a Local Government Entity that is working on a project at the direction of a Lead Applicant.

Contractual Services means a service performed by one party for another that is secured by a contract.

Cooperative Services means the joint provision, performance or delivery of a service, activity, or undertaking by two or more local government entities without an Intermunicipal Agreement.

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

County-Wide Shared Services Initiative (CWSSI) Plan means the shared services plan adopted by the County Shared Services Panel, chaired by the Chief Executive Officer of the County under the CWSSI laws, which include Part BBB of Chapter 59 of the Laws of 2017 and General Municipal Law, Article 12-I, Section 239-bb, and associated State budget appropriations.

Cybersecurity is the protection of software, hardware, and data from digital attacks for the purpose of accessing, changing, destroying, interrupting, or extorting assets and information.

Eligible County means a county with at least four Co-Applicants that is acting as a Lead Applicant for a Regional Project.

Emergency Services means organizations that ensure public safety, security, and health by addressing and resolving different emergencies. The three primary types of emergency services, often considered first responders, are police, fire, and emergency medical services.

Functional Consolidation means one local government entity completely providing a service or function for another local government entity that no longer engages in that service or function. Functional consolidations may occur at the department level or at a budget line-item level between municipalities; the applicant is required to describe this in the narrative.

Goal means a measurable and achievable priority for future development decisions.

Governing Board means the body in which the general legislative, governmental and/or public powers of a local government entity are vested and by authority of which the official business of such entity is conducted.

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

Lead Applicant means the Applicant that is applying for a Local Government Efficiency Grant and will enter into a State Contract.

Local Government Entity means a county, city, town, village, special improvement district, fire district, public library, association library, public library systems if they advance a joint application on behalf of its member libraries, water authority, sewer authority, regional planning and development board, school district, or board of cooperative educational services. A board of cooperative educational services will be considered a municipality only in instances where such board of cooperative educational services advances a joint application on behalf of school districts and other municipalities within the board of cooperative educational services region but any agreement with a board of cooperative educational services:

1. Will not generate additional state aid,
2. Will be deemed not to be a part of the program, capital and administrative budgets of the board of cooperative educational services for the purposes of computing charges upon component school districts pursuant to Education Law § 1950(1), (4)(b)(7) or § 1951 (1), and
3. Will be deemed to be a cooperative municipal service for purposes of Education Law § 1950(4)(d)(2).

Local Government Function means a group of related activities aimed at accomplishing a major service or regulatory program for which a government is responsible. (e.g., public safety).

Local Match means the financial responsibility of all Local Government Entities in a State Contract. The full State Contract includes both the State Share Funding Amount plus the Local Match.

Local Project means projects that is not led by a Regional Planning Board or an Eligible County.

Operation means the internal processes and organization or management of a Local Government function.

Other as used in the Budget means an asset, service or other cost that is not a personal or contractual service, travel, or equipment.

Performance Measure means a milestone marking completion of an Action.

Priority Points are points scored in an application for: 1) Regional Projects, 2) projects implemented because of a previously funded LGE or SMSI planning grant or projects included in a previous or pending Countywide Shared Services Initiative (CWSSI) Plan, and 3) projects that involve a Target Function.

Regional Planning Board means one of the ten regional planning board or councils in New York State, including Capital District Regional Planning Commission, Central New York Regional Planning and Development Board, Genesee/Finger Lakes Regional Planning Council, Herkimer-Oneida Counties Comprehensive Planning Program, Hudson Valley Regional Council, Lake Champlain-Lake George Regional Planning Board, Long Island Regional Planning Council, Southern Tier Central Regional Planning and Development Board, Southern Tier Eight Regional Planning Development Board and Southern Tier West Regional Planning and Development Board.

Regional Project means a project which has a Lead Applicant which is either a Regional Planning Board or an Eligible County.

Reasonable Cost is an assurance that the state is receiving good value for its investment. All purchases must follow Article 5-A of the General Municipal Law. Travel rates cannot exceed the General Service Administration (GSA) guidelines <https://www.gsa.gov/travel/plan-book/per-diem-rates> and will be limited to NYS travel rates and salaries must adhere to municipal bargaining rates.

Return on State Investment means the sum of all cost savings and avoided costs during the five years following the term of the State Contract discounted at 5% less the State Share Funding Amount and divided by the State Share Funding Amount.

Service means a category of spending within a function of a local government's budget (e.g., police).

Service Delivery means a service delivered to the public resulting from a Local Government Entity's operation.

Shared Services means the joint provision, performance or delivery of a service, facility, activity, or undertaking by two or more local government entities that each may lawfully undertake separately pursuant to an Intermunicipal Agreement.

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

State Contract means the agreement between DOS and the Lead Applicant that details the obligations of each party, including the approved Budget and Work Plan.

State Share Funding Amount means the State's share of the amount of each contract, which is the full amount of the contract less the Local Match.

Straight Line Method is a way to calculate depreciation for an asset that deducts the same amount for each year based upon the Useful Life of the asset.

Target Function means functions that include information technology services (ITS) including cybersecurity, emergency medical services (EMS), countywide or multi-government code enforcement or municipal planning, water and wastewater management systems, and clean energy initiatives. Target Functions implement DOS's requirement under State Finance Law Section 54 to focus the Local Government Efficiency Grant Program in areas of unique opportunity.

Timeline means the anticipated starting and ending times of an Action.

Total Project Cost is the total estimated cost of activities, including those expected to be funded with both grant money and other funds that are eligible for funding under this grant program.

Transitional Personnel means any additional employees required to implement the approved program work plan of the Project. The employee(s) must be integral to the shared services or functional consolidation. *(DOS reserves the right to approve the reasonableness of the need for the staff and the salary amount.)*

Travel means costs incurred by the Applicant, partners, or subcontractors to attend meetings within New York State related to a project.

Useful Life means an estimate of how long an asset can be expected to be usable in trade or business or to produce income.

Verified Budget means a Budget that identifies all sources and uses of funding for a project.

Water and Wastewater Engineering means the design and construction of water supply and water treatment/sewage systems that process and deliver water efficiently and safely.

Work Plan means a list of Actions needed to complete the Project. A Work Plan is part of a State Contract.

Appendix B

Return on State Investment (ROI) Worksheet

The Return on State Investment Worksheet is used to measure the return to the State of investment in the Applicants' Project. Return on State Investment is the savings from the Project during the five years after the term of the State contract (implementation period), discounted to the present, divided by the amount of the State's grant. A positive return indicates the State's investment is generating more income than was invested. A negative return indicates that the Project has failed to meet this threshold. The Return on State Investment Worksheet is used to measure the competitiveness of an application in relation to other Applicants. If approved for funding, the Return on State Investment Worksheet will be used to measure expectations at the beginning of a Project and actual performance upon completion.

Instructions

1. Open the Return on State Investment Worksheet and enter the name of the project into the green cell in the column labeled "Name of Project".
2. Enter the amount of the requested grant into the green cell in the column labeled "Amount of Grant".
3. Enter Actual and Avoided Cost Savings into the Applicant's green "Total Cost Savings and Avoided Cost Savings" cells in the Return on State Investment Worksheet. Provide all separate worksheets and calculations used to calculate each Return on State Investment component.
 - a. **Actual Cost Savings** are net savings that result from a qualifying Local Government Efficiency Project that produces a lower cost compared to the projected cost of the same service or product if the project was not undertaken. These savings must be supported by documentation or other evidence showing the calculation of actual savings satisfactory to the Department of State.
 - b. **Avoided Costs** are savings from not having to duplicate equipment or capital improvements with a useful life of greater than one year. Equipment and capital improvements are depreciated using the straight-line method of depreciation for the asset class. (See New York State Local Finance Law Chapter 33-A Article 2 Title 1 Section 11.00 - Periods of Probable Usefulness.) Applicants must clearly demonstrate that the avoided costs shown as savings would have been incurred but for the Project's implementation.
4. The Return on State Investment worksheet will automatically calculate the Total Cost Savings and Return on State Investment for all Applicants assuming a 5% annual discount rate to account for the time value of money.
5. If you need additional spaces, please contact us and we will issue an expanded ROI worksheet. Our contact information can be found on the face page of the Request for Applications.

Return on State Investment (ROI) Worksheet

Return on State Investment (ROI) Worksheet

Example

A County receives an LGE grant for \$200,000 to consolidate Emergency Medical Services (EMS) by combining four existing stations into a single station. As a result, the County saves \$30,000 in annual salaries and benefits for each of the three closed stations. The County also avoids the cost of purchasing three new ambulances at \$120,000 each together with new radio equipment costing \$5,000 for each ambulance. Using the Period of Probable Usefulness table the depreciation period for an ambulance is 10 years and for related equipment, such as radios, is 5 years. For the ROI equation, years one through five include implementation period under the LGE contract period and are not used to calculate savings.

	Implementation (Years 1-5)	Year 6	Year 7	Year 8	Year 9	Year 10
Name of Project	County EMS Consolidation					
Amount of Grant	\$200,000					
Total Cost Savings	\$90,000					
Description	Salaries and Benefits					
Annual Cost Savings		\$18,000	\$18,000	\$18,000	\$18,000	\$18,000
Total Avoided Cost	\$360,000					
Description	3 New Ambulances					
Depreciation Period (Years)	10					
Annual Avoided Cost		\$36,000	\$36,000	\$36,000	\$36,000	\$36,000
Total Avoided Cost	\$15,000					
Description	3 New Radios					
Depreciation Period (Years)	5					
Annual Avoided Cost		\$3,000	\$3,000	\$3,000	\$3,000	\$3,000
Total Annual Cost Savings		\$57,000	\$57,000	\$57,000	\$57,000	\$57,000
Total Cost Savings	\$285,000					
Discount Rate	5%					
Present Value of Savings	\$223,305					
Return on State Investment	112%					

Appendix C

MINORITY-AND WOMEN-OWNED BUSINESS ENTERPRISES (MWBE)

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

I. MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISES PARTICIPATION

NEW YORK STATE LAW

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

Business Participation Opportunities for MWBEs

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

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

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

In accordance with 5 NYCRR § 142.13, the respondent further acknowledges that if it is found to have willfully and intentionally failed to comply with the MWBE participation goals set forth in a Contract resulting from this RFA, such finding constitutes a breach of contract and DOS may withhold payment as liquidated damages. Such liquidated damages shall be calculated as an amount equaling the difference between: (1)

all sums identified for payment to MWBEs had the Contractor achieved the contractual MWBE goals; and
(2) all sums actually paid to MWBEs for work performed or materials supplied under the Contract.

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

Applicants are required to submit the MWBE Compliance Form with their application which can be found here: <https://dos.ny.gov/supplier-diversity>.

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

An MWBE Utilization Plan (**Form D**) or a Certification Letter (**Form D-1**) stating their commitment to show due-diligence to comply with the MWBE goals and requirements. Any modifications or changes to an accepted MWBE Utilization Plan after the Contract award and during the term of the Contract must be reported on a revised MWBE Utilization Plan and submitted to DOS for review and approval.

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

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

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

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

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

Successful applicant(s) will be required to attempt to utilize, in good faith, any MBE or WBE identified within its MWBE Utilization Plan, during the performance of the Contract. Requests for a partial or total waiver of established goal requirements made subsequent to Contract Award may be made at any time during the term of the Contract to DOS but must be made no later than prior to the submission of a request for final payment on the Contract.

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

Equal Employment Opportunity Requirements

By submission of a proposal in response to this solicitation, the respondent agrees with all the terms and conditions of the State of New York Contract for Grants, including Appendix A Section 12 - Equal Employment Opportunities for Minorities and Women. The respondent is required to ensure that it and any subcontractors awarded a subcontract for the construction, demolition, replacement, major repair, renovation, planning or design of real property and improvements thereon (the "Work"), except where the Work is for the beneficial use of the respondent, undertake or continue programs to ensure that minority group members and women are afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status. For these purposes, equal opportunity shall apply in the areas of recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff, termination, and rates of pay or other forms of compensation. This requirement does not apply to: (i) work, goods, or services unrelated to the Contract; or (ii) employment outside New York State.

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

A Minority and Women-owned Business Enterprise and Equal Employment Opportunity Policy Statement (**Form A**) to DOS submitted to:

[Email: dos.sm.mwbe@dos.ny.gov](mailto:dos.sm.mwbe@dos.ny.gov)

Further, pursuant to Article 15 of the Executive Law (the "Human Rights Law"), all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor and subcontractors will not discriminate against any employee or applicant for employment because of race, creed (religion), color, sex, national origin, sexual orientation, military status, age, disability, predisposing genetic characteristic, marital status or domestic violence victim status, and shall also follow the requirements of the Human Rights Law with regard to non-discrimination on the basis of prior criminal conviction and prior arrest.

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

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

If an applicant chooses to move forward with a Project prior to any award announcement, they are responsible for meeting MWBE requirements established by the State of New York. The requested plan, as described herein, is intended to help an applicant think about how to comply with the regulations and provide information showing their due diligence to comply with the MWBE requirements.

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

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

1. A DETAILED statement with the Project description (any special characteristics, needs, specifications, etc.), and an explanation setting forth your basis and justification for requesting a partial or total waiver of the MWBE goals.

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

Please Note: Failure to comply with the foregoing requirements may result in a finding of non-responsiveness, non-responsibility and/or a breach of the Contract, leading to the withholding of funds, suspension or termination of the Contract or such other actions or enforcement proceedings as allowed by the Contract.

II. SERVICE-DISABLED VETERAN-OWNED BUSINESSES PARTICIPATION

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

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

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

Appendix D

Budget Template

BUDGET INFORMATION

To complete the Budget Template, you must fill in the green boxes. Each Goal with its associated Actions should be entered separately. Goals are the principal components of a project, including planning, design, construction and other. Actions are the specific tasks needed to achieve each Goal. Eight spaces for Goals and Actions have been provided in the Budget template available on the DOS website. (The example provided in this RFA only shows two.) If you need additional spaces, please contact us and we will issue an expanded form. Our contact information can be found on the face page of the Request for Applications. To complete the Budget, fill in the green boxes for each Action in the appropriate cost category, including salaries & fringe, contractual services, travel, equipment and other. Total project costs are auto calculated at the end of the form. You must enter the amount of LGE funding requested (10% of project costs for implementation projects and 50% for planning) as well as any additional outside funding. If the Verification box is green, sources and uses of funds are matched. If the box is red, there is a mismatch between funding sources and uses which needs to be corrected. The Department of State will evaluate the clarity and detail of the work plan, including the project timeline, specific phases, associated tasks, and deliverables. In addition, the feasibility of the workplan to complete the project within the scope and timeline will be evaluated.

The following are the items that need to be entered:

- **Goal Number and Name:** Provide a sequential number and name for each Goal (if more than one).
- **Action Name:** Provide a name for the Action.
- **Anticipated Start Date:** When the Action will start.
- **Anticipated Completion Date:** When the Action will be completed.
- **Performance Measure (Deliverable):** What must be provided to the Department of State to show that the Action has been completed. For example, this may include deliverables such as a draft or completed study or plan, an IMA to move the project forward, meeting summary reports, completion of project, etc.
- **Action Narrative:** Describe what is being done to complete the Action and accomplish the Goal. A project may include:
 1. An examination of the potential financial savings, management improvements, and service delivery changes resulting from a local government re-organization,
 2. Legal issues and impediments surrounding implementation,
 3. Analysis of how the plan or project will meet the objectives or lead to implementation.

BUDGET INFORMATION

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

Personal Services

- **Salaries and Fringe:** Each employee's time devoted to the project according to the total annual salary for that employee. For example, an employee who devotes 20% of their time to the project and has an annual salary of \$40,000 would charge \$8,000 to the project.

Non-Personal Services

- Contractual Services: The cost and description of the purpose of contractual services.
- Travel: The description of the purpose, destination, mode of travel and costs. Travel rates cannot exceed General Service Administration (GSA) guidelines <https://www.gsa.gov/travel/plan-book/per-diem-rates>
- Equipment: Items with a value of more than \$200.00 and a useful life of more than one year.
- Other: Any other services and costs, including capital expenses related to construction or renovation.

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

Budget Template

Goal # (Title)	Action 1:				
	Anticipated Start Date:				
	Anticipated Completion Date:				
	Performance Measure:				
Action Narrative: See Instructions					
BUDGET CATEGORIES		COST		DESCRIPTION	
Personal Services					
Salary					
Fringe					
Non-Personal Services					
Contractual Services					
Travel					
Equipment					
Other					
TOTAL		\$			
Goal # (Title)	Action 2:				
	Anticipated Start Date:				
	Anticipated Completion Date:				
	Performance Measure:				
Action Narrative: See Instructions					
BUDGET CATEGORIES		BUDGET AMOUNT		DESCRIPTION	
Personal Services					
Salary					
Fringe					
Non-Personal Services					
Contractual Services					
Travel					
Equipment					
Other					
TOTAL		\$			
	Verification	TOTAL PROJECT COST	LGE GRANT FUNDS REQUESTED	LOCAL SHARE	OTHER FUNDS
		\$			

Return on State Investment (ROI) Worksheet

Example

A County receives an LGE grant for \$200,000 to consolidate Emergency Medical Services (EMS) by combining four existing stations into a single station. As a result, the County saves \$30,000 in annual salaries and benefits for each of the three closed stations. The County also avoids the cost of purchasing three new ambulances at \$120,000 each together with new radio equipment costing \$5,000 for each ambulance. Using the Period of Probable Usefulness table the depreciation period for an ambulance is 10 years and for related equipment, such as radios, is 5 years. For the ROI equation, years one through five include implementation period under the LGE contract period and are not used to calculate savings.

	Implementation (Years 1-5)	Year 6	Year 7	Year 8	Year 9	Year 10
Name of Project	County EMS Consolidation					
Amount of Grant	\$200,000					
Total Cost Savings	\$90,000					
Description	Salaries and Benefits					
Annual Cost Savings		\$18,000	\$18,000	\$18,000	\$18,000	\$18,000
Total Avoided Cost	\$360,000					
Description	3 New Ambulances					
Depreciation Period (Years)	10					
Annual Avoided Cost		\$36,000	\$36,000	\$36,000	\$36,000	\$36,000
Total Avoided Cost	\$15,000					
Description	3 New Radios					
Depreciation Period (Years)	5					
Annual Avoided Cost		\$3,000	\$3,000	\$3,000	\$3,000	\$3,000
Total Annual Cost Savings		\$57,000	\$57,000	\$57,000	\$57,000	\$57,000
Total Cost Savings	\$285,000					
Discount Rate	5%					
Present Value of Savings	\$223,305					
Return on State Investment	112%					



ALL
- Protective
- Full Fee

Res

**PUTNAM COUNTY
BUREAU OF EMERGENCY SERVICES**

#6



James G. Oster
Commissioner of Emergency Services

Kevin M. Byrne
County Executive

J. Ralph Falloon
Deputy Commissioner of Emergency Services

Robert Cuomo
Director of Emergency Medical Services

MEMORANDUM

To: Thomas Regan Jr., Chair, Protective Services
From: James G. Oster, Commissioner
Re: January Protective Services Meeting
Date: January 20, 2026

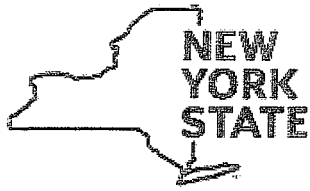
I would like to add the Combined SFY2024, 2025 & 2026 ESInet Readiness Grant Program to the January Protective Services agenda.

This grant is being used to support our ongoing communications project. There are no matching funds required for this Grant.

The information package is attached.

Thank you.

2026 JAN 21 AM 11:06
LEGISLATURE
PUTNAM COUNTY
CARMEL, NY



Homeland Security and Emergency Services

Combined SFY2024, 2025 & 2026 Emergency Services IP Network (ESInet) Readiness Grant Program

Grant Guidelines and Application Kit

Application Deadline: November 12, 2025 by 5:00pm

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I. Introduction

The NYS Division of Homeland Security and Emergency Services (DHSES) is making \$40 million¹ in State funding available to help prepare all NYS counties for Next Generation 911 (NG911) call capabilities supported through a robust Emergency Services IP Network (ESInet). The purpose of this grant is to solicit proposals for the Combined SFY2024, 2025 & 2026 ESInet Readiness Grant Program. The Grant allows counties to receive State support for eligible expenses related to the creation and operation of a fiber-optic cable-based network for public safety answering points (PSAPs). Specifically, counties are encouraged to make improvements in their outside networks (owned or leased) that will prepare them for the connection to the State ESInet in a diverse and hardened manner.

The State Budget appropriated \$40 million in grants to support improvements in State ESInet readiness.

II. Eligibility

All New York State counties and New York City (herein named “applicants”) will receive funding through this program via a noncompetitive process. Under the ESInet Readiness Grant Program, the five boroughs which comprise New York City [Bronx, Kings, Queens, New York, and Richmond] are considered a single applicant.

III. Allocations

The \$40 million in funding for the ESInet Readiness Grant Program will be distributed among all eligible applicants that have submitted a complete application. Applicants who do not provide a complete application may risk a delay in the contracting process.

Applicants will receive an allocation of \$689,655 in State grant funding to support the build-out and/or sustainment of their ESInet capabilities.

The final authority to administer this grant program rests with DHSES, including amendments or modifications to these guidelines, award distribution, and/or the amount available for award distribution.

The period of performance for contracts supported by the Combined SFY2024, 2025 & 2026 ESInet Readiness Grant Program funds will be a total of five (5) years, beginning on 1/1/2026 and ending on 12/31/2030, with the possibility of an extension based on need. Please note that expenditures submitted for reimbursement must be incurred during this period of performance in order to be paid.

¹ \$40 million in total available funding is being sourced from SFY2024 (\$20 million), SFY2025 (\$10 million) and SFY2026 (\$10 million)

IV. Grant Objectives

DHSES has identified the following objective for the Combined SFY2024, 2025 & 2026 ESInet Readiness Grant Program:

- 1) To support the creation and operation of fiber-optic cable-based emergency services IP networks (ESInets) for public safety answering points (PSAPs) according to the current NENA i3 standard.

Standards and Guidelines

Eligible applicants must comply with the following standards and guidelines listed below, as applicable:

- **New York Statewide Communications Interoperability Plan (SCIP)**
The most recent copy of NYS SCIP can be found at:
[Plans, Policies, and Guidelines | Division of Homeland Security and Emergency Services \(ny.gov\)](#)
- **New York State 911 Standards**
The New York State 911 minimum standards found in Chapter LX of Title 21 of the New York Codes, Rule and Regulations, accessible [via this link](#) or via <https://dos.ny.gov/state-register>.
- **FCC Task Force on Optimal PSAP Architecture**
See the Task Force on Optimal PSAP Architecture Report at <https://www.fcc.gov/document/fcc-releases-tfopa-final-report>
Supplemental Report:
https://transition.fcc.gov/pshs/911/TFOPA/TFOPA_WG3_Supplemental_Report-120216.pdf.
- **National Plan for Migrating to IP-Enabled 911 Systems**
The National 911 Office website provides information on the development of optimal 911 services. This information can be found at <https://www.911.gov/assets/A-National-Plan-for-Migrating-to-IP-Enabled-911-Systems-1638566124.pdf>.

Any new technology (such as equipment, software, interfaces, data management, etc.) purchased under the Grant must comply with the standards and guidelines listed below, as applicable:

- **National Emergency Number Association (NENA) Standards**
 - NENA i3 Standard for NG911: NENA-STA-010.3f-2021 (or current version). This standard provides key technical guidelines for the implementation of NG911 systems. The NENA Standards can be found at www.nena.org.

- NENA Standard for Emergency Incident Data Object: NENA-STA-021.1-2021 (or current version). There are many Functional Elements (FEs) within an NG911 system that are used to process emergency calls. Some of these FEs may be within a specific agency, in another agency or elsewhere in an Emergency Services IP Network (ESInet). In many cases, an emergency call is related to, or results in the creation of an “Incident” as defined in NENA STA-010.2-2016[3]. As public safety communication center personnel process emergency calls for service and their associated incidents, new information about the incidents is obtained. There are many sources available to communication center personnel for obtaining new incident information during call handling, incident creation, dispatch, incident monitoring, and post incident analysis processes. Newly gathered information, as well as changes in incident status, must often be passed on to other FEs, other involved agencies, and frequently to non-emergency entities authorized to receive emergency incident information. As agencies and regions move forward with implementing NG911 and IP based emergency communications systems, it is critical that adherence to a standardized, non-proprietary format for exchanging incident information between disparate manufacturers’ systems is used within one or more public safety agencies, and with other incident stakeholders.
- **Organization for the Advancement of Structural Information Standards (OASIS)**
For Data Standards refer to OASIS at www.oasis-open.org.

V. Authorized Program Expenditures

A. Permissible Costs

Permissible costs include, but are not limited to:

- Fiber-optic infrastructure that directly support 911 call delivery (additional capacity may also be built in conjunction, e.g. such as dark fiber strands in new cables);
- Network equipment (including routers, switches, firewalls, network management and monitoring) that directly support 911 call delivery;
- Construction costs related to installation of fiber-optic networks that directly support 911 call delivery;
- Construction of redundant network entrance facilities that directly support 911 call delivery;
- Network connectivity between PSAPs (e.g. within a county, between primary and backup, between counties) when used for 911 call delivery;
- Design/consultant services for the construction of fiber-optic infrastructure and/or redundant entrance facilities that directly support 911 call delivery;
- Backup power systems that support networks for 911 call delivery.

B. Costs Not Permissible

Costs that are not permissible include, but are not limited to:

- Salaries;
- Maintenance to existing systems that do not directly support the delivery of 911 Calls;
- Land mobile radio subscriber equipment;
- Call handling equipment or call handling equipment maintenance;
- Computer Aided Dispatch;
- Land Mobile Radio consoles;
- Furniture;
- New construction costs, except those as part of construction of network facilities or network entrance facilities associated with this grant.

VI. Application Format and Content

- A. **Required Application Format:** Grant applications MUST be submitted via the automated E-Grants System operated by DHSES. The system allows an agency to complete an application electronically and submit it online using a secure portal. If upon reading this RFA you are interested in completing a grant application, and you have not previously been registered to use the DHSES E-Grants system, your agency will need to register and be assigned a username and password. The Registration Request Form to use the E-Grants system is available at the following link:
<https://www.dhSES.ny.gov/e-grants>.

A detailed tutorial on how to use the E-Grants system for ESInet Readiness Grant submissions can be found on the DHSES Grants webpage at the following link: <https://www.dhSES.ny.gov/state-funded-programs#interoperable-and-emergency-communications-grants>. It will guide you in a step-by-step process through the E-Grants application submission.

- B. **Required Application Content:** All applicants must complete the ESInet Readiness Grant Program Application Worksheet. The worksheet must be completed in its entirety before the submission due date, including the general information, and data aggregation sections of the application with all supporting requested documentation. **Incomplete applications will not be accepted.**

The required ESInet Readiness Grant Program Application Worksheet will collect the following information from applicants:

- The applicant must identify the two connection points where they would receive (handoff) incoming NG911 calls – e.g. the physical network locations

where the ESInet would deliver 911 calls to the county's Call Handling Equipment. Note that this may or may not be the same physical location as a PSAP, dependent on the county's network architecture. At these locations, list:

- Types of services available (fiber, copper, microwave) and service provider names (e.g. Verizon, Frontier, FirstLight, etc.) at each of these locations;
 - Identifying if the service into the location is above or below ground, and whether entry points into the building are diverse.
 - If able, provide any additional information on existing fiber services, such as the direction/destination of the fiber-optic cables after they reach the street.
- Identify any known vulnerabilities or previous issues related to networks and 911 call delivery, such as a critical pole that has been hit by trucks turning into a driveway, primary and backup PSAPs served from the same central office building, etc.
- If the county contains secondary PSAPs, the county must identify how the 911 calls are delivered from the primary to the secondary PSAP. For example, does the county provide an internal network, is the call transferred through the legacy 911 tandems, etc.
- For the county primary PSAP, the county must identify their 911 call failover process. If the 911 trunks are down and/or busy, where do 911 calls automatically get directed to (without manual intervention)?
- Proposed Budget: Applicants must list each project within the budget in order of priority (Project #1 being most critical, etc.) based on the submission of the budget details in the "Budget" tab of E-Grants, as well as the Application Worksheet. For each project, applicants must select a project title, provide a project description and outline proposed expenditures within the allowable *NYS Budget Category*. There is no cap on the number of projects that may be submitted, but the total request for the Combined SFY2024, 2025 & 2026 ESInet Readiness Grant Program should align with the noncompetitive allocation amount of \$689,655. The total costs identified in the budget plans will be reviewed for reasonable and necessary expenses, and whether they align with the objectives of this grant.

The Grant instructions and "Frequently Asked Questions" received during an application period are available on the DHSES website: <https://www.dhses.ny.gov/state-funded-programs#interoperable-and-emergency-communications-grants>

After the successful submission of an application, the E-Grants system will email a notification of receipt to the Primary Point of Contact and Signatory Point of Contact email address listed in the application. Please refer to the E-Grants tutorial for more details on this process.

VII. Timeline and Checklist of Required Documents

- Applications are due to DHSES by **5:00pm on November 12, 2025**.
- Applications must be submitted via E-Grants and include the completed Application Worksheet as an attachment.
- Complete applications must include answers to all questions listed in the application. Please note that information that is unclear or missing may result in a delay of the award process.
- Applicant can attach documents to an application if they would like to provide additional explanations of their projects.

VIII. Award of Funds and Vendor Responsibility

Final grant award determinations are made by DHSES. DHSES will issue award letters to successful applicants and enter reimbursement-based grant contracts with awardees.

By law, State contracting entities may only award contracts to responsible vendors. A responsible vendor must have:

- the integrity to justify the award of public dollars; and
- the capacity to perform the requirements of the contract fully.

IX. Administration of Grant Contracts

DHSES will negotiate and develop a grant contract with the awardee based on the contents of the awardee's submitted application and the intent of the grant program as outlined in this RFA. The grant contract is subject to approval by the NYS Office of the Attorney General and the Office of the State Comptroller before grant funding may be disbursed to reimburse project expenses.

The period of performance for contracts supported by the Combined SFY2024, 2025 & 2026 ESInet Readiness Grant Program funds runs from 1/1/2026 to 12/31/2030 with

the possibility of an extension based on demonstrated need.

Although the contract format may vary, the contract will include such standard terms and conditions included in DHSES grant contracts (available for review on the DHSES website at <http://www.dhSES.ny.gov/grants>).

A. Issuing Agency

This RFA is issued by DHSES, which is responsible for the requirements specified herein and for the evaluation of all applications.

B. Filing an Application

Grant applications must be submitted via the automated DHSES E-Grants System. The system allows an agency to complete an application electronically and submit it over the Internet using a secure portal. If, upon reading this RFA, you are interested in completing a grant application and you have not previously been registered to use the DHSES E-Grants system, your agency will need to register and be assigned a username and password. The Registration Request Form can be found at the following Internet address: <https://www.dhSES.ny.gov/e-grants>

A detailed tutorial on how to use the E-Grants system for ESInet Readiness Grant submission can be found on DHSES Grants webpage at the following Internet address <https://www.dhSES.ny.gov/state-funded-programs#interoperable-and-emergency-communications-grants>. It will guide you in a step-by-step process through the E-Grants application submission.

C. Reserved Rights

The issuance of this RFA and the submission of a response or the acceptance of such response by DHSES does not obligate DHSES in any manner. DHSES reserves the right to:

1. Reject any and all applications received in response to this RFA,
2. Withdraw the RFA at any time at DHSES' sole discretion,
3. Make an award under the RFA in whole or in part,
4. Disqualify any applicant whose conduct and/or application fails to conform to the requirements of the RFA,
5. Disqualify applicants due to untimely submission of any requested supporting documentation,
6. Seek clarifications and revisions of the applications,
7. Use application information obtained through site visits, management interviews and the State's investigation of an applicant's qualifications, experience, ability or financial standing, and any material or information submitted by the applicant in response to DHSES' request for clarifying

- information in the course of evaluation and/or selection under the RFA,
8. Prior to the application opening, direct applicants to submit application modifications addressing subsequent RFA amendments,
 9. Prior to the application opening, amend the RFA specifications to correct errors or oversights, or to supply additional information, as it becomes available,
 10. Make amendments and/or alter funding levels of any recipient based on any new information discovered that would have originally affected the scoring,
 11. Waive or modify minor irregularities in applications received after prior notification to the applicant,
 12. Adjust or correct cost figures with the concurrence of the applicant if errors exist and cannot be documented to the satisfaction of DHSES and the State Comptroller,
 13. Change any of the scheduled dates,
 14. Eliminate any mandatory, non-material specifications that cannot be complied with by all the prospective applicants,
 15. Waive any requirements that are not material,
 16. Negotiate with successful applicants within the scope of the RFA in the best interests of the State,
 17. Conduct contract negotiations with the next responsible applicant, should DHSES be unsuccessful in negotiating with the selected applicant,
 18. Utilize any and all ideas submitted in the applications received,
 19. Unless otherwise specified in the RFA, every offer is firm and not revocable for a period of 60 days from the application opening,
 20. Require clarification at any time during the application process and /or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of an applicant's proposal and/or to determine an applicant's compliance with the requirements of this RFA,
 21. Award grants based on geographic or regional considerations to serve the best interests of the State,
 22. Terminate, renew, amend or renegotiate contracts with recipients at the discretion of DHSES,
 23. Periodically monitor the applicant's performance in all areas mentioned above, in addition to the activities in the contract,
 24. Revoke funds awarded to an applicant, or enforce any available sanction against any applicant, who materially alters the activities or is in material noncompliance under the grant award, or who does not implement an approved project within 60 days of the final contract approval,
 25. Not fund any application that fails to submit a clear and concise work plan and/or budget,
 26. Consider all applications and documentation submitted as State agency records subject to the New York State Freedom of Information Law (Public Officers Law, Article 6). Any portion of the application that an applicant believes constitutes proprietary or critical infrastructure information entitled to confidential handling, as an exception to the Freedom of Information Law, must be clearly and specifically designated in the application,

27. Recipients and sub-recipients funded through this program agree to provide DHSES, upon request at any time during the life of the grant contract, such cooperation and information deemed necessary by DHSES to ascertain: (1) the nature and extent of any threats or hazards that may pose a risk to the recipient or sub-recipient; and (2) the status of any corresponding recipient or sub-recipient plans, capabilities, or other resources for preventing, protecting against, mitigating, responding to, and recovering from such threats or hazards;
28. Funded recipients and sub-recipients agree to attend and participate in any DHSES-sponsored conferences, training, workshops or meetings (excluding those identified by DHSES as voluntary) that may be conducted, by and at the request of DHSES, during the life of the grant contract; and,
29. DHSES reserves the sole discretion to increase or decrease the total funding available for this program at any time, resulting in more or fewer applications funded under this RFA.

DHSES may exercise the foregoing rights at any time without notice and without liability to any responding applicant or any other party for its expenses incurred in preparation of responses hereto or otherwise. All costs associated with responding to this RFP will be at the sole cost and expense of the Applicant.

D. Terms of the Contract

Any resulting contract or agreement for more than \$50,000 from this RFA will be effective only upon approval by both the NYS Office of the Attorney General and the State Comptroller. Any resulting contract for \$50,000 and under from this RFA will be effective upon signature of both parties.

E. Payment and Reporting Requirements of Grant Recipients

Standard Cost Reimbursement Contract

Each successful applicant must enter a standard cost reimbursement contract with DHSES. Such contract will include this RFA, the successful applicant's proposal, any attachments or exhibits, the standard clauses required by the NYS Attorney General for all State contracts, and any other attachments or exhibits required by DHSES. Although the contract format may vary, the contract will include standard terms, conditions, clauses, information, rights, and responsibilities as can be found on the DHSES website, including:

- APPENDIX A – Standard Clauses for New York State Contracts
- APPENDIX A-1 – Agency Specific Clauses
- APPENDIX B – Budget
- APPENDIX C – Payment and Reporting Schedule
- APPENDIX D – Work plan/Special Conditions

For purposes of this RFA, these terms and conditions are incorporated by reference and the applicant must agree to the inclusion of all these terms and conditions in any resulting grant contracts as part of the application submission. Copies of the standard terms and conditions included in DHSES grant contracts are available for review on the DHSES website at <https://www.dhSES.ny.gov/grant-reporting-forms>. Payments will be made subject to proper documentation and compliance with reimbursement procedures and all other contractual requirements.

Procurements

Applicants must follow and comply with all procurement procedures under General Municipal Law 5-A and/or any other state regulations applicable to these funds and will be subject to monitoring by DHSES to ensure compliance.

Contracting with Small and Minority Firms, Women's Business Enterprises

Pursuant to New York State Executive Law Article 15-A, DHSES recognizes its obligation under the law to promote opportunities for maximum feasible participation of certified minority and women-owned business enterprises (MWBE) and the employment of minority group members and women in the performance of DHSES contracts. Minority and women-owned business enterprises can be readily identified on the directory of certified businesses at: <https://ny.newnycontracts.com/>.

For purposes of this solicitation, applicants and subcontractors are hereby notified that the State of New York has set an overall goal of **30% for MWBE participation** or more, **15% for Minority-Owned Business Enterprises (MBE)** participation and **15% for Women-Owned Business Enterprises (WBE)** participation, based on the current availability of qualified MBEs and WBEs for your project needs.

Further, pursuant to Article 15 of the Executive Law (the "Human Rights Law"), all other State and Federal statutory and constitutional non-discrimination provisions, the Applicant and subcontractors will not discriminate against any employee or applicant for employment because of race, creed (religion), color, sex, national origin, citizenship or immigration status, sexual orientation, gender identity or expression, military status, age, disability, predisposing genetic characteristic, marital status, familial status, or domestic violence victim status, and shall also follow the requirements of Human Rights Law with regard to non-discrimination on the basis of prior criminal conviction and prior arrest.

Use of Service-Disabled Veteran-owned Business Enterprises in Contract Performance

Article 3 of Veterans' Services Law acknowledges that Service- Disabled Veteran-Owned Businesses (SDVOBs) strongly contribute to the economics of

the State and the nation. As defenders of our nation and in recognition of their economic activity in doing business in New York State, Grant recipients are strongly encouraged and expected to consider SDVOBs in the fulfillment of the requirements of the contract. Such partnering may be as vendors, contractors, subcontractors, suppliers, protégés, or other supporting roles. SDVOBs can be readily identified on the directory of certified businesses at <https://online.ogs.ny.gov/SDVOB/search>.

Applicants need to be aware that all authorized users of this contract will be strongly encouraged to the maximum extent practical and consistent with legal requirements of the applicable laws to use responsible and responsive SDVOBs in purchasing and utilizing commodities, services, and technology that are of equal quality and functionality to those that may be obtained from non-SDVOBs. Furthermore, bidders/proposers are reminded that they must continue to utilize small, minority and women-owned businesses consistent with current State Law. Utilizing SDVOBs in State contracts will help create more private sector jobs, rebuild New York State's infrastructure, and maximize economic activity to the mutual benefit of the contractor and its SDVOB partners. SDVOBs will promote the recipient's optimal performance under the contract, thereby fully benefiting the public-sector programs that are supported by associated public procurements.

Public procurements can drive and improve the State's economic engine through promotion of the use of SDVOBs by its contractors. The State, therefore, expects awardees to provide maximum assistance to SDVOBs in their contract performance. The potential participation by all kinds of SDVOBs will deliver great value to the State and its taxpayers.

For purposes of this solicitation, applicants and subrecipients are hereby notified the State of New York has set an overall goal of 6% for SDVOB participation or more.

Grant recipients will report on actual participation by each SDVOB during the term of the contract to DHSES per the policies and procedures set by DHSES.

Sexual Harassment Prevention

Applicants must submit a certification with their bid stating that Applicant has a policy addressing sexual harassment prevention and that applicant provides sexual harassment training to all its employees on an annual basis that meets the Department of Labor's model policy and training standards. Bids that do not contain this certification will not be considered for awards; provided, however, that if Applicant cannot make the certification, the Applicant may provide a statement with its bids detailing the reasons why the certification cannot be made.

Worker's Compensation and Disability Benefits Insurance Coverage

Applicants must provide evidence of appropriate workers' compensation and disability insurance coverage, or proof of a legal exemption, prior to being awarded a contract. Failure to do so will result in the rejection of the application.

Iran Divestment Act: The Iran Divestment Act of 2012 (Act), Chapter 1 of the 2012 Laws of New York, added section 165-a to the State Finance Law effective April 12, 2012. The Act is available at: <https://ogs.ny.gov/iran-divestment-act-2012>.

The Act imposes limitations on "persons" that are determined to be engaged in investment activities in the Iranian energy sector, as defined in the Act. Under the Act, the Commissioner of the Office of General Services (OGS) is required to develop and maintain a list of "persons" who are engaged in "investment activities in Iran." Once an entity appears on the prohibited entities list, it will be considered a non-responsive bidder/offerer and prohibited from entering into contracts with the State or local governments. This list is available at: <https://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf>.

By submitting a response to this RFA or by assuming the responsibility of a contract awarded hereunder, the applicant (or any assignee) certifies that it will not utilize on such contract any entity that is identified on the prohibited entities list.

During the term of the contract, should DHSES receive information that a person is in violation of the above-referenced certification, DHSES will offer the person an opportunity to respond. If the person fails to demonstrate that it has ceased its engagement in the investment which is in violation of the Act within 90 days after the determination of such violation, DHSES shall take such action as may be appropriate including, but not limited to, imposing sanctions, seeking compliance, recovering damages, or declaring the contractor in default.

DHSES reserves the right to reject any bid or request for assignment for an entity that appears on the prohibited entities list prior to the award of a contract, and to pursue a responsibility review with respect to any entity that is awarded a contract and appears on the prohibited entities list after contract award.

Vendor Responsibility

State Finance Law §163(9)(f) requires a State Agency to make a determination that an Applicant is responsible prior to awarding that Applicant a State contract which may be based on numerous factors, including, but not limited to the Applicants: (1) financial and organizational capacity; (2) legal authority to do business in this State; (3) integrity of the owners, officers, principals, members, and contract managers; and (4) past performance of the Applicant on prior government contracts. Thereafter, Recipients/Contractors shall at all times during the Contract term remain responsible. The Recipients/Contractor agrees,

if requested by the Commissioner of DHSES, or his or her designee, to present evidence of its continuing legal authority to do business in New York State, integrity, experience, ability, prior performance, and organizational and financial capacity. DHSES requires that vendors file the required Vendor Responsibility Questionnaire online via the New York State VendRep System. To enroll in and use the New York State VendRep System, see the VendRep System, see the VendRep System Instructions available at: http://www.osc.state.ny.us/vendrep/info_vrsystem.htm or go directly to the VendRep system online at <https://onlineservices.osc.state.ny.us>. Vendors must provide their New York State Vendor Identification Number when enrolling. To request assignment of a Vendor ID or for VendRep System assistance, contact the Office of the State Comptroller's Help Desk at 866- 370-4672 or 518-408-4672 or by email at ITServiceDesk@osc.state.ny.us. Vendors opting to complete and submit a paper questionnaire can obtain the appropriate questionnaire from the VendRep website http://www.osc.state.ny.us/vendrep/forms_vendor.htm or may contact the Office of the State Comptroller's Help Desk for a copy of the paper form. Applicants will also be required to complete and submit a Vendor Responsibility Questionnaire prior to contracting.

1) Suspension of Work for Non-Responsibility:

The Commissioner of DHSES or his or her designee, in his or her sole discretion, reserves the right to suspend any or all activities under the Contract, at any time, when he or she discovers information that calls into question the responsibility of the Recipient. In the event of such suspension, the Recipients/Contractor will be given written notice outlining the particulars of such suspension. Upon issuance of such notice, the Contractor must comply with the terms of the suspension order. Contract activity may resume at such time as the Commissioner of DHSES or his or her designee issues a written notice authorizing the resumption of performance under the Contract.

2) Termination for Non-Responsibility:

Upon written notice to the Recipients/Contractor, and a reasonable opportunity to be heard by appropriate DHSES officials or staff, the Contract may be terminated by the Commissioner of DHSES or his or her designee at the Contractor's expense where the Recipients/Contractor is determined by the Commissioner of DHSES or his or her designee to be non-responsible. In such event, the Commissioner of DHSES or his or her designee may complete the contractual requirements in any manner he or she may deem advisable and pursue legal or equitable remedies for breach. Sub-recipients shall at all times during the Contract term remain responsible. The Sub-recipient agrees, if requested by the Commissioner of DHSES, or his or her designee, to present evidence of its continuing legal authority to do business in New York State, integrity, experience, ability, prior performance, and organizational and financial

capacity.

Satisfactory Progress

Satisfactory progress toward implementation includes but is not limited to, executing contracts and submitting payment requests in a timely fashion; retaining consultants; or completing plans, designs, reports, or other tasks identified in the work program within the time allocated for their completion.

DHSES may recapture awarded funds if satisfactory progress is not being made on the implementation of a grant project.

F. General Specifications

By submitting the application, the Applicant attests that:

- 1) Applicant's signatory contact person has express authority to submit on behalf of the applicant's agency,
- 2) Submission of an application indicates the applicant's acceptance of all conditions and terms contained in this document, including Appendices A- 1 and C, and all other terms and conditions of the award contract,
- 3) The application and any resulting grant, if awarded, must adhere to, and be in full compliance with any, resulting contract(s), and relevant federal and State policies and regulations or be subject to termination; and
- 4) Any not-for-profit recipients or subrecipients are required to be prequalified, prior to contract execution, by the State of New York upon application submission through the New York State Grants Gateway (<https://grantsgateway.ny.gov>).
- 5) If your organization is not currently doing business with NYS, you will need to submit a Substitute W-9 form to obtain a NYS Vendor ID. The form is available on the Office of the State Comptroller website at: http://www.osc.state.ny.us/vendor_management/forms.htm.
- 6) Contract Changes - Contracts with Recipients/Contractors may be executed, terminated, renewed, increased, reduced, extended, amended, or renegotiated at the discretion of the Commissioner of DHSES, in light of a Recipient's/Contractor's performance, changes in project conditions, or otherwise.
- 7) Records – Recipients/Contractors must keep books, ledgers, receipts, work records, consultant agreements and inventory records pertinent to the project; and in a manner consistent with DHSES contractual provisions and mandated guidelines.
- 8) Liability - Nothing in the contract between DHSES and the Sub-recipients shall impose liability on the State of New York or DHSES for injury incurred during the performance of approved activities or caused by use of equipment purchased with grant funds.
- 9) Reports - A provider agency shall submit to the DHSES reports in a format and time schedule specified in the grant contract, which shall include a description of the program efforts undertaken during the report period and the

current status of the project.

- 10) Tax Law Section 5-a Certification – In accordance with section 5–a of the Tax Law, sub-recipients will be required, prior to the approval of any contract awarded as a result of this RFA, to certify that it and its affiliates, subcontractors, and subcontractors' affiliates have registered with the New York State Tax Department for the purpose of collection and remittance of sales and use taxes. In order to trigger this certification requirement, a Sub-recipient or its affiliates, subcontractor, or subcontractors' affiliates must have made more than \$300,000 in sales of tangible personal property or taxable services to location within New York State and the contract must be valued in excess of \$15,000. Certification will take the form of a completed Tax Form ST-220.
- 11) Standard Contract Provisions - Grant contracts executed as a result of this RFA process will be subject to the standard clauses for New York State Contracts as referenced herein and as located at: <https://ogs.ny.gov/procurement/appendix>
- 12) Compliance with Procurement Requirements - The applicant shall certify to DHSES that all applicable statutory and contractual procurement procedures were followed and complied with for all procurements.

G. Special Conditions

New York State Emergency Management Certification and Training Program

1. Participation in, and successful completion of, the New York State Emergency Management Certification and Training Program (EMC Training Program) is a mandatory requirement under this Contract and a condition of funding. The EMC Training Program will be made available to, and required for, DHSES-specified county and city government officials in order to ensure a consistent emergency management preparedness and response strategy across the State. Attendee substitutions, except as expressly approved by DHSES, shall not be permitted or deemed to be in compliance with this requirement.
2. To fulfill the EMC Training Program requirement of the Contract and in order to be eligible for funding under this Contract, Contractors must arrange for DHSES-specified Contractor employees to receive and acknowledge receipt of EMC Training no later than 180 days after execution of this Contract. Copies of the training certificates for each required participant must be submitted to DHSES upon execution of the Contract, or, in the event that training is scheduled, but not yet complete, the Contractor will be required to submit a signed statement indicating the scheduled future dates of attendance, and no later than thirty (30) days after the training is complete, forward such training certificates to DHSES. Continued compliance with the EMC Training Program also requires an annual refresher training of one day per 365 day-cycle from the date of initial training for previously trained individuals if such person remains employed by the Contractor and fulfilling the same functions as he or she fulfilled during the initial training. Should a new employee be designated to

serve in the DHSES-specified positions, then he or she must come into compliance with the EMC Training Program requirements not later than 180 days after taking office.

3. Contractors must commit to active participation in a DHSES Annual Capabilities Assessment as a condition of funding. Active participation includes making reasonable staff, records, information, and time resources available to DHSES to perform the Annual Capabilities Assessment and meet the objectives and goals of the program. Recipients must be aware that the process of conducting a DHSES Annual Risk Assessment is an ongoing process and requires a continued commitment on the part of the Contractor to ensure that it is effective.
4. All recipients and sub-recipients funded through this program agree to provide DHSES, upon request at any time during the life of the grant contract, such cooperation and information deemed necessary by DHSES to ascertain: (1) the nature and extent of any threats or hazards that may pose a risk to the recipients or sub-recipients; and (2) the status of any corresponding recipients or sub-recipients plans, capabilities, or other resources for preventing, protecting against, mitigating, responding to, and recovering from such threats or hazards.
5. Additionally, pursuant to Article 26 of the NYS Executive law, DHSES is authorized to undertake periodic drills and simulations designed to assess and prepare responses to terrorist acts or threats and other natural and man-made disasters. Funded recipients and sub-recipients agree to attend and participate in any DHSES-sponsored conferences, training, workshops or meetings (excluding those identified by DHSES as voluntary) that may be conducted, by and at the request of DHSES, during the life of the grant contract.
6. Failure to comply with any of the requirements, as listed above, may result in sanctions up to and including the immediate suspension and/or revocation of the grant award.
7. Pursuant to Section 163(9)(c) of the State Finance Law, any unsuccessful Bidder may request a debriefing regarding the reasons that the Bid submitted by the Bidder was not selected for award. Requests for a debriefing must be made with 15 calendar days of notification by DHSES that the Bid submitted by the Bidder was not selected for award. An unsuccessful Bidder's written request for a debriefing shall be submitted to DHSES Director of Grants Program Administration. The debriefing shall be scheduled with 10 business days of receipt of the written request by DHSES or as soon as practicable under the circumstances.

X. Questions

Questions regarding the Combined SFY2024, 2025 & 2026 Emergency Services IP Network (ESInet) Readiness Grant Program should be directed to the following email address: Grant.Info@dhses.ny.gov. To the degree possible, each inquiry should cite the Grant Guidelines section and paragraph to which it refers. Updates and frequently asked questions will be posted online at <https://www.dhses.ny.gov/state-funded-programs>. Please check the website frequently for updates.

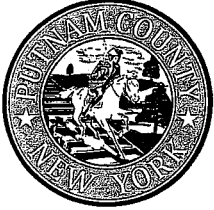
Edward Gordon

From: Heidi Zatkovich
Sent: Wednesday, January 21, 2026 9:20 AM
To: Putnam Co Legislature
Cc: James Burpoe; Lisa Ranghelli
Subject: Protective Services Committee Meeting
Attachments: combined-sfy2024-2025-2026-esinet-readiness-grant-guidelines-final.pdf;
MEMO-01202026134529.pdf

Good morning,

Please see attached memo for the January Protective Services Committee Meeting.

Thank you,
Heidi



Heidi Zatkovich

Confidential Secretary to the Commissioner • Putnam County Bureau of Emergency Services
112 Old Route 6, Carmel, NY 10512

PHONE | 845.808.4000. ext. 41109 • WEBSITE | PUTNAMCOUNTYNY.COM/PCBES
PUTNAM COUNTY GOVERNMENT NEW YORK

WILLIAM J. CARLIN, JR.
Commissioner Of Finance



CC: All
Protocols 1-21-2026
Reso
#7
SHEILA BARRETT
First Deputy Commissioner of Finance

ALEXANDRA GORDON
Deputy Commissioner of Finance

DEPARTMENT OF FINANCE

January 20, 2026

Ms. Diane Trabulsy, Clerk
Putnam County Legislature
40 Gleneida Avenue
Carmel, NY 10512

Dear Ms. Trabulsy,

Pursuant to Code Section 5-1, A, dated February 14, 2010, I am advising you of the following request to amend the PC Sheriff's 2026 budget.

Increase Revenues:

10311000 427050	Sheriff Admin – Gifts and Donations	<u>\$ 1,000.00</u>
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Increase Appropriations:

10311000 54329	Sheriff Admin – Promotional Materials	<u>\$ 1,000.00</u>
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2026 Fiscal Impact - 0
2027 Fiscal Impact - 0

This amendment recognizes a 2025 donation received by the PC Sherriff's Department from Matthew Marks and Jack Bankowsky.

26A005

AUTHORIZATION:

Date	Commissioner of Finance/Designee: Initiation by \$0 - \$5,000.00
------	--

Date	County Executive/Designee: Authorized for Legislative Consideration \$5,000.01 - \$10,000.00
------	--

Date	Chairperson Audit/Designee: \$0 - \$10,000.00
------	---

Date	Audit & Administration Committee: \$10,000.01 - \$25,000.00
------	---

Matthew Marks Charitable Trust ~ 12.17.25 Check # 414 ~ \$1,000.



PUTNAM COUNTY SHERIFF'S OFFICE

Three County Center
Carmel, New York 10512
(845) 225-4300



BRIAN M. HESS
SHERIFF

JAMES T. MENTON
UNDERSHERIFF

January 12, 2026

2026

Mr. William Carlin
Commissioner of Finance
County Office Building
40 Gleneida Avenue
Carmel, N.Y. 10512

Dear Commissioner Carlin:

Check #414 in the amount of \$1,000

From: MATTHEW MARKS CHARITABLE TRUST

Please apply to the corresponding accounts:

Increase Revenues:

10311000 427050	Sheriff Administration-Gifts & Donations	\$1,000.00
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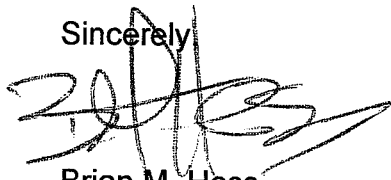
Increase Appropriations:

10311000 54329	Sheriff – Promotional Materials	\$1,000.00
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2026 Fiscal Impact -0-
2027 Fiscal Impact -0-

This amendment recognizes funds presented to the Putnam County Sheriff's Department, from Jack Bankowsky and Matthew Marks, from the Matthew Marks Charitable Trust, to use at our discretion.

Sincerely


Brian M. Hess
Sheriff

Matthew Marks Charitable Trust
523 W 24th Street
New York, NY 10011

Putnam County Sheriff's Department
3 County Center
Carmel, NY 10512

December 17, 2025

To Whom It May Concern,

Please find a contribution in the amount of \$1,000 enclosed. It is a donation from **Jack Bankowsky and Matthew Marks** from the Matthew Marks Charitable Trust.

Kindly send a receipt dated in 2025 to the address above, attention Jane Denton. Feel free to call Jane Denton at 212-243-0200 with any questions.

Best wishes,

Matthew Marks Charitable Trust

CC: All
Jim/Audit
#8
Prochive-fm

**COUNTY OF PUTNAM
FUND TRANSFER REQUEST**

TO: Commissioner of Finance
FROM: James Oster, Commissioner
DEPT: Bureau of Emergency Services
DATE: 1/14/26

I hereby request approval for the following transfer of funds:

2026 JAN 15 PM 2:40
LEGISLATURE
PUTNAM COUNTY
CARNEL, NY

FROM ACCOUNT# /NAME	TO ACCOUNT# / NAME	AMOUNT	PURPOSE
10398900 54540 Radio Communications	10398900 55370 Chrgbk Automotive	\$2,620.00	Transfer needed for 4 th Quarter Automotive Chargeback

20____ Fiscal Impact \$ _____

20____ Fiscal Impact \$ _____

Department Head Signature/Designee Date

AUTHORIZATION: (Electronic signatures)

Date	Commissioner of Finance/Designee: Initiated by: \$0 - \$5,000.00
Date	County Executive/Designee: Authorized for Legislative Consideration: \$5,000.01 - \$10,000.00
Date	Chairperson Audit /Designee: \$0 - \$10,000.00
Date	Audit & Administration Committee: \$10,000.01 - \$25,000.00

25T525

PUTNAM COUNTY DEPARTMENT OF PUBLIC WORKS

4TH QUARTER CHARGEBACKS

CREDIT ACCOUNT - ROAD MACHINERY FUND - Revenue Account

DEPARTMENT CHARGE: Bureau of Emerg. Serv.

4th Quarter

PARTS	4,663.87
TIRES	0.00
LABOR	2,895.93
FLUIDS	127.28
FUEL	0.00
TOTAL	7,687.08

2025 CORONER CASES BY QUARTER--AUTOPSIED	
JANUARY – MARCH 2025	# OF CASES
Natural	5
Accidental	3
Suicide	1
Homicide	0
Undetermined	0
PENDING	0
All Coroner Cases for January-March 2025	9
From Accidental/Undetermined/Suicide Cases: Overdoses	0
From Accidental/Undetermined/Suicide Cases: Ethanol Intoxication	0

APRIL – JUNE 2025	# OF CASES
Natural	5
Accidental	4
Suicide	1
Homicide	0
Undetermined	0
PENDING	0
All Coroner Cases for April-June 2025	10
From Accidental/Undetermined/Suicide Cases: Overdoses	1
From Accidental/Undetermined/Suicide Cases: Ethanol Intoxication	0

JULY – SEPTEMBER 2025	# OF CASES
Natural	3
Accidental	6
Suicide	2
Homicide	0
Undetermined	0
PENDING	0
All Coroner Cases for July-September 2025	11
From Accidental/Undetermined/Suicide Cases: Overdoses	4
From Accidental/Undetermined/Suicide Cases: Ethanol Intoxication	2

OCTOBER - DECEMBER 2025	# OF CASES
Natural	5
Accidental	5
Suicide	1
Homicide	1
Undetermined	0
PENDING	3
All Coroner Cases for October-December 2025	15
From Accidental/Undetermined/Suicide Cases: Overdoses	2
From Accidental/Undetermined/Suicide Cases: Ethanol Complications	1

cc All
Prot-FYI

#9

2026 JAN -9 PM 4:03
LEGISLATURE
PUTNAM COUNTY
CARMEL, NY

Attached are the coroner's office stats for January to December 2025. These are autopsied cases only, not all calls that were taken by the coroner's office. There are still three pending cases for December. For complete information, please contact the coroner's office directly.

2026 JAN -9 PM 4:03
LEGISLATURE
PUTNAM COUNTY
CARMEL, NY