

**MANAGEMENT AND BUDGET COMMITTEE
THURSDAY, August 11, 2016 10:30 AM**

**Committee Members: Scott Samuelson, Chair, Nadia Rajasz, Vice Chair,
Terri Ward, Catherine Owens, Alan Sorensen**

AGENDA

PRESENTATIONS:

1. 2016 Second Quarter Budget Update

DISCUSSIONS:

1. Tobacco Refinancing

RESOLUTIONS:

AUDIT – None

COUNTY TREASURER – None

GRANTS- None

MANAGEMENT AND BUDGET –

1. To modify the 2016 County Budget.
2. To Amend Resolution No. 133-16 with Thomson Reuters.
3. To Amend Resolution No. 9-16.
4. To authorize the preparation and submission of a New York State Department of Labor application to fund the Development of a Regional Hospitality Sector Partnership.
5. To Adopt an Amended and Restated Grants Administration Manual and Rescind Resolution No. 89-12.

PUBLIC COMMENT

**RESOLUTION NO. INTRODUCED BY MANAGEMENT AND BUDGET
COMMITTEE TO MODIFY THE 2016 COUNTY BUDGET**

WHEREAS, the County of Sullivan Budget requires modification,

NOW, THEREFORE, BE IT RESOLVED, that the attached budgetary transfers for 2016 be authorized.

Moved by:

Seconded by:

**August 2016 Budget Modifications (Resolution)
Modifications to the 2016 Sullivan County Budget**

| G/L Account | Revenue | Revenue | Appropriation | Appropriation |
|---|----------------|----------|------------------|---------------|
| | Increase | Decrease | Increase | Decrease |
| A-3010-43-4302 - COMPUTER HARDWARE PURCHASES/LEASES | | | 5,000 | |
| A-3010-44-4406 - UTILITY WIRELESS COMMUNICATIONS | | | 1,920 | |
| A-3010-43-4304 - COMPUTER MAINTENANCE/SERVICE FEES | | | 1,800 | |
| A-3010-R1289-R247 - GEN GOV DEPT INCOME MISC FEE/REIMBURSMINT | 8,720 | | | |
| A-1490-47-4701 - DEPT RENTALS | | | | 3,500 |
| A-5610-47-4701 - DEPT RENTALS | | | 3,500 | |
| A-9950-90-9005 - TRANSFERS TRANSFERS CAPITAL PROJECT | | | 500,000 | |
| H42-3997-40-4006 - CONTRACT ENGINEER/ARCHITECT/DESIGN SERV | | | 500,000 | |
| H42-3997-R5031-R209 - INTERFUND TRANSFR GENERAL FUND | 500,000 | | | |
| TOTAL | 508,720 | - | 1,012,220 | 3,500 |

**This budget modification authorizes the transfer of funds to H-42 Capital Account from the assigned unappropriated fund balance for "Construction/Repair Buildings" to pay previously authorized agreements per resolutions 8-06, 302-14, 301-14 and 300-14.*

COMBINED: LEGISLATIVE MEMORANDUM,
CERTIFICATE OF AVAILABILITY OF FUNDS
AND RESOLUTION COVER MEMO

To: Sullivan County Legislature

Fr: Lorne D. Green, CIO

Re: Request for Consideration of a Resolution: Amend Resolution 133-16 to authorize Audit to pay ancillary charges to Thomson Reuters

Date: August 1, 2016

Purpose of Resolution: [Provide a detailed statement of what the Resolution will accomplish, as well as a justification for approval by the Sullivan County Legislature.]

Amend Resolution 133-16 to authorize Audit to pay ancillary charges for out of plan legal research not covered by the base agreement entered into with Thomson Reuters for their Westlaw research product. This is a worst case annual charge scenario. Out of plan research is minimal - this simply authorizes out of plan research to be paid if there is ever legal need to research case law outside of the standard contract plan.

Is subject of Resolution mandated? Explain:

Yes in the sense of regulatory requirements for facility operations.

Does Resolution require expenditure of funds? Yes No

If "Yes", provide the following information:

Amount to be authorized by Resolution: \$ 3,600.00

Are funds already budgeted? Yes No

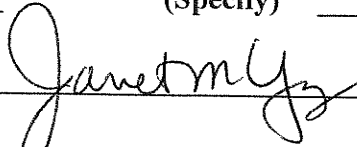
If "Yes" specify appropriation code(s): A1680-43-4304

If "No", specify proposed source of funds: _____

Estimated Cost Breakdown by Source:

| | | | |
|--------------------|--------------------|-----------|----------|
| County | \$ <u>3,600.00</u> | Grant(s) | \$ _____ |
| State | \$ _____ | Other | \$ _____ |
| Federal Government | \$ _____ | (Specify) | _____ |

Verified by Budget Office: _____



Does Resolution request Authority to Enter into a Contract? Yes _____ No

If "Yes", provide information requested on Pages 2. If "NO", please go straight to Page 3 and acquire all pre-legislative approvals.

Request for Authority to Enter into Contract with [_____] of [_____]

Nature of Other Party to Contract: .

Other:

Duration of Contract: From _____ To _____

Is this a renewal of a prior Contract? Yes ___ No ___

If "Yes" provide the following information:

Dates of prior contract(s): From _____ To _____

Amount authorized by prior contract(s): _____

Resolutions authorizing prior contracts (Resolution #s): _____

Future Renewal Options if any:

Is Subject of Contract – i.e. – the goods and/or services Mandated? Yes ___ No ___

If "Yes" cite the mandate's source; describe how this contract satisfies the requirements:

If "No" provide other justification for County to enter into this Contract: [County does not have resources in-house, best source of the subject materials, required by grant, etc.]:

Total Contract Cost for [year or contract period]: (If specific sum is not known state maximum potential cost): _____

Efforts made to find Less Costly alternative:

Efforts made to share costs with another agency or governmental entity:

Specify Compliance with Procurement Procedures (Bid, Request for Proposal, Quote, etc.)

_____ N/A _____

Person(s) responsible for monitoring contract (Title): _____

Pre-Legislative Approvals:

- A. Director of Purchasing: ^{Assistant} Angela Sews Date 8/3/16
- B. Management and Budget: Janet Myr Date 8/3/16
- C. Law Department: [Signature] Date 8/3/16
- D. County Manager: [Signature] Date 8/4/16
- E. Other as Required: _____ Date _____

Vetted in _____ Committee on _____

**RESOLUTION INTRODUCED BY MANAGEMENT AND BUDGET COMMITTEE TO AMEND
RESOLUTION NO. 133-16 WITH THOMSON REUTERS.**

WHEREAS, the County of Sullivan entered into a 3-year agreement on March 29, 2016 with Thomson Reuters for their WestlawNEXT online research product, an internet-based search engine created to provide extensive legal research to attorneys in various areas including Federal and New York State statutory and case law; and

WHEREAS, the contracted modules allow for research in limited law categories and users are allowed, if and as necessary, to research case law outside of the base module plan agreement incurring ancillary usage charges above the based contracted amount.

NOW, THEREFORE, BE IT RESOLVED, that the County Audit Department is hereby authorized to pay the ancillary monthly charges retroactive to the beginning of the agreement and when they occur for the remaining term of the 3-year agreement with Thomson/West not to exceed three hundred dollars (\$300.00) monthly.

Moved by _____,
Seconded by _____,
and adopted on motion _____, 2016.

**COMBINED: LEGISLATIVE MEMORANDUM,
CERTIFICATE OF AVAILABILITY OF FUNDS
AND RESOLUTION COVER MEMO**

To: Sullivan County Legislature

Fr: Joshua Potosek, County Manager

Re: Request for Consideration of a Resolution: Amend Resolution No. 9-16

Date: 8/4/2016

Purpose of Resolution: [Provide a detailed statement of what the Resolution will accomplish, as well as a justification for approval by the Sullivan County Legislature.]

To amend Resolution No. 9-16 to authorize an agreement with New York State Office of Indigent Legal Services and modification agreements with Sullivan Legal Aid Panel, Inc. and Sullivan County Conflict Legal Aid Society.

Is subject of Resolution mandated? Explain:

No

Does Resolution require expenditure of funds? Yes ___ No

If "Yes, provide the following information:

Amount to be authorized by Resolution: \$ _____

Are funds already budgeted? Yes ___ No ___

If "Yes" specify appropriation code(s): _____

If "No", specify proposed source of funds: _____

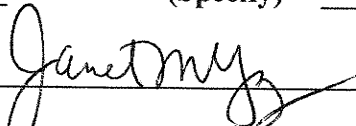
Estimated Cost Breakdown by Source:

| | | | |
|--------|----------|----------|----------|
| County | \$ _____ | Grant(s) | \$ _____ |
|--------|----------|----------|----------|

| | | | |
|-------|----------|-------|----------|
| State | \$ _____ | Other | \$ _____ |
|-------|----------|-------|----------|

| | | | |
|--------------------|----------|-----------|-------|
| Federal Government | \$ _____ | (Specify) | _____ |
|--------------------|----------|-----------|-------|

Verified by Budget Office: _____



Does Resolution request Authority to Enter into a Contract? Yes No ___

If "Yes", provide information requested on Pages 2. If "NO", please go straight to Page 3 and acquire all pre-legislative approvals.

Request for Authority to Enter into Contract with [NYS Office of Indigent Legal] of [Services, Legal Aid Panel, Inc. and SC Conflict Legal Aid Society]

Nature of Other Party to Contract: Professional

Other:

Duration of Contract: From 01/01/2016 To 12/31/2018

Is this a renewal of a prior Contract? Yes ___ No

If "Yes" provide the following information:

Dates of prior contract(s): From _____ To _____

Amount authorized by prior contract(s): _____

Resolutions authorizing prior contracts (Resolution #s): _____

Future Renewal Options if any:

Is Subject of Contract – i.e. – the goods and/or services Mandated? Yes ___ No

If "Yes" cite the mandate's source; describe how this contract satisfies the requirements:

If "No" provide other justification for County to enter into this Contract: [County does not have resources in-house, best source of the subject materials, required by grant, etc.]:

This is additional funding from the NYS Office of Indigent Legal Service to enhance the existing Legal Aid offices with additional support to better the services offered

Total Contract Cost for [year or contract period]: (If specific sum is not known state maximum potential cost): State will reimburse the County \$242,997 over 3 years

Efforts made to find Less Costly alternative:

Efforts made to share costs with another agency or governmental entity:

Specify Compliance with Procurement Procedures (Bid, Request for Proposal, Quote, etc.)

N/A

Person(s) responsible for monitoring contract (Title): Michelle Huck

Pre-Legislative Approvals:

- A. Director of Purchasing: ^{Assistant} Campbell Lewis Date 8/4/16
- B. Management and Budget: Janet Myer Date 8/4/16
- C. Law Department: [Signature] Date 8/4/16
- D. County Manager: [Signature] Date 8/5/16
- E. Other as Required: _____ Date _____

Vetted in Management & Budget Committee on 08/11/2016

Resolution No. _____

**RESOLUTION INTRODUCED BY MANAGEMENT AND BUDGET COMMITTEE
TO AMEND RESOLUTION NO. 9-16 TO ENTER INTO AUTHORIZE AN AGREEMENT
WITH NEW YORK STATE OFFICE OF INDIGENT LEGAL SERVICES AND
MODIFICATION AGREEMENTS WITH SULLIVAN LEGAL AID PANEL, INC. AND
SULLIVAN COUNTY CONFLICT LEGAL AID SOCIETY, INC.**

WHEREAS, Resolution No. 9-16 allowed the County of Sullivan to execute an agreement and any other documents necessary to acquire the funding from New York State Office of Indigent Legal Services (“NYSOILS”) and execute Modification Agreements with Legal Aid Panel and Conflict Legal Aid and/or any other appropriate entity that contracts with the County of Sullivan; and

WHEREAS, in the, **BE IT FURTHER RESOLVED**, the total amount of the Modification Agreements were incorrect and need to be corrected; and

WHEREAS, the **BE IT FURTHER RESOLVED**, should read“...to execute Modification Agreements with Legal Aid Panel for an amount not to exceed \$49,814 per year for a 3 year period, and Conflict Legal Aid for an amount not to exceed \$31,185 per year for a 3 year period.....”.

NOW, THEREFORE, BE IT RESOLVED, that Resolution No. 9-16 is now amended to read, **BE IT FURTHER RESOLVED**, “...to execute Modification Agreements with Legal Aid Panel for an amount not to exceed \$49,814 per year for a 3 year period, and Conflict Legal Aid for an amount not to exceed \$31,185 per year for a 3 year period.....”; and

Moved by _____ ,
Seconded by _____ ,
and adopted on motion _____ , 2016.

**COMBINED: LEGISLATIVE MEMORANDUM,
CERTIFICATE OF AVAILABILITY OF FUNDS
AND RESOLUTION COVER MEMO**

To: Sullivan County Legislature

Fr: Laura Quigley, Director, Center for Workforce Development

Re: Request for Consideration of a Resolution: To apply for funds under the NYSDept. of Labor
SP_NEG

Date: August 4 2016

Purpose of Resolution: [Provide a detailed statement of what the Resolution will accomplish, as well as a justification for approval by the Sullivan County Legislature.]

To apply for funds under the NYS Department of Labor Sector Partnership NEG grant to develop a Mid-Hudson regional hospitality sector partnership.

Is subject of Resolution mandated? Explain:

No

Does Resolution require expenditure of funds? Yes ___ No

If "Yes", provide the following information:

Amount to be authorized by Resolution: \$ _____

Are funds already budgeted? Yes ___ No ___

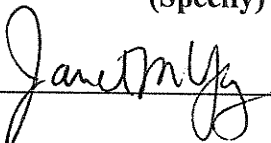
If "Yes" specify appropriation code(s): _____

If "No", specify proposed source of funds: _____

Estimated Cost Breakdown by Source:

| | | | |
|--------------------|----------|-----------|----------|
| County | \$ _____ | Grant(s) | \$ _____ |
| State | \$ _____ | Other | \$ _____ |
| Federal Government | \$ _____ | (Specify) | _____ |

Verified by Budget Office: _____



Does Resolution request Authority to Enter into a Contract? Yes No ___

If "Yes", provide information requested on Pages 2. If "NO", please go straight to Page 3 and acquire all pre-legislative approvals.

Request for Authority to Enter into Contract with [NYSDOL] of
[Albany New York]

Nature of Other Party to Contract: .

Other:

Duration of Contract: From 09/23/2016 To _____

Is this a renewal of a prior Contract? Yes ___ No

If "Yes" provide the following information:

Dates of prior contract(s): From _____ To _____

Amount authorized by prior contract(s): _____

Resolutions authorizing prior contracts (Resolution #s): _____

Future Renewal Options if any:

Is Subject of Contract – i.e. – the goods and/or services Mandated? Yes ___ No

If "Yes" cite the mandate's source; describe how this contract satisfies the requirements:

If "No" provide other justification for County to enter into this Contract: [County does not have resources in-house, best source of the subject materials, required by grant, etc.]:

Total Contract Cost for [year or contract period]: (If specific sum is not known state maximum potential cost): maximum \$50,000

Efforts made to find Less Costly alternative:

N/A

Efforts made to share costs with another agency or governmental entity:

N/A

Specify Compliance with Procurement Procedures (Bid, Request for Proposal, Quote, etc.)

not Applicable (Kj)

Person(s) responsible for monitoring contract (Title): Laura Quigley, Director

Pre-Legislative Approvals:

- A. Director of Purchasing: *[Signature]* Date 8/3/16
- B. Management and Budget: *[Signature]* Date 8/4/16
- C. Law Department: *[Signature]* Date 8/4/16
- D. County Manager: *[Signature]* Date 8/4/16
- E. Other as Required: _____ Date _____

Vetted in _____ Committee on _____

**RESOLUTION NO. INTRODUCED BY THE MANAGEMENT AND BUDGET COMMITTEE TO
AUTHORIZE THE PREPARATION AND SUBMISSION OF A NEW YORK STATE DEPARTMENT OF
LABOR APPLICATION TO FUND THE DEVELOPMENT OF A REGIONAL HOSPITALITY SECTOR
PARTNERSHIP.**

WHEREAS, the United States Department of Labor (USDOL) awarded New York State Department of Labor (NYSDOL) funding available under the Sector Partnership National Emergency Grant (SP-NEG) to provide employment-related services specifically for dislocated workers in industries with strong labor; and

WHEREAS, the NYSDOL award is intended to increase the capacity in NYS' ability to implement new or expand existing local and regional sector based workforce development partnerships; and

WHEREAS, the planned Montreign/Adalaar resorts project and additional Mid-Hudson regional economic development growth in the hospitality sector significantly increases the demand for a skilled workforce that will include workers from Sullivan County and the entire region; and

WHEREAS, NYSDOL is seeking funding proposals for PY2016; and

WHEREAS, the Center for Workforce Development, in collaboration with the Partnership for Economic Development, has created a local workforce partners group to address the workforce needs of the hospitality industry; and

WHEREAS, the Center for Workforce Development, in collaboration with the Partnership for Economic Development, is prepared to move towards the creation of a Mid-Hudson regional hospitality sector partnership.

NOW, THEREFORE, BE IT RESOLVED, that the Sullivan County Legislature hereby authorizes the County Manager and / or the Chairman of the County Legislature (as required by the funding source award agreement) to execute any and all necessary documents to prepare and submit an application under the NYSDOL SP-NEG Program for funding, to accept the award, and enter into an award agreement or contract to administer the funding secured, all such documents to be in such form as the County Attorney shall approve; and

BE IT FURTHER RESOLVED, that if funding is made available, the Center for Workforce Development shall administer the funds and the grant program with technical support from the Department of Grants Administration; and

BE IT FURTHER RESOLVED, that should the funding be terminated, the County shall not be obligated to continue any action undertaken or contemplated to be undertaken for the use of this funding.

Moved by , seconded by , put to a vote, carried and declared duly adopted on motion.

**COMBINED: LEGISLATIVE MEMORANDUM,
CERTIFICATE OF AVAILABILITY OF FUNDS
AND RESOLUTION COVER MEMO**

To: Sullivan County Legislature

Fr: Arthur Hussey, Supervisor - Department of Grants Administration

Re: Request for Consideration of a Resolution:

Date: 8/4/16

Purpose of Resolution: [Provide a detailed statement of what the Resolution will accomplish, as well as a justification for approval by the Sullivan County Legislature.]

Resolution to adopt the Department of Grants Administration Manual, and rescind County Legislative Resolution #89-12. All amendments as requested by County Legislature during the June OMB Committee meeting.

Is subject of Resolution mandated? Explain:

Yes - County Government departments expected to comply w/ DGA Grants Admin. Manual.

Does Resolution require expenditure of funds? Yes ___ No

If "Yes, provide the following information:

Amount to be authorized by Resolution: \$ _____

Are funds already budgeted? Yes ___ No ___

If "Yes" specify appropriation code(s): _____

If "No", specify proposed source of funds: _____

Estimated Cost Breakdown by Source:

County \$ _____ **Grant(s)** \$ _____

State \$ _____ **Other** \$ _____

Federal Government \$ _____ **(Specify)** _____

Verified by Budget Office: Janet My

Does Resolution request Authority to Enter into a Contract? Yes ___ No

If "Yes", provide information requested on Pages 2. If "NO", please go straight to Page 3 and acquire all pre-legislative approvals.

Request for Authority to Enter into Contract with _____ of _____

Nature of Other Party to Contract: _____ Other: _____

Duration of Contract: From _____ To _____

Is this a renewal of a prior Contract? Yes ___ No ___

If "Yes" provide the following information:

Dates of prior contract(s): From _____ To _____
Amount authorized by prior contract(s): _____
Resolutions authorizing prior contracts (Resolution #s): _____

Future Renewal Options if any:

Is Subject of Contract – i.e. – the goods and/or services Mandated? Yes ___ No ___
If "Yes" cite the mandate's source; describe how this contract satisfies the requirements:

If "No" provide other justification for County to enter into this Contract: [County does not have resources in-house, best source of the subject materials, required by grant, etc.]:

Total Contract Cost for [year or contract period]: (If specific sum is not known state maximum potential cost): _____

Efforts made to find Less Costly alternative:

Efforts made to share costs with another agency or governmental entity:

Specify Compliance with Procurement Procedures (Bid, Request for Proposal, Quote, etc.)
_____ *Not Applicable* _____

Person(s) responsible for monitoring contract (Title): _____

Pre-Legislative Approvals:

- A. Director of Purchasing: *Kathy Jones* Date *8/8/16*
- B. Management and Budget: *Jahmy* Date *8/9/16*
- C. Law Department: *Thomas J. Cowley* Date *8/9/16*
- D. County Manager: *John Brown* Date *8/9/16*
- E. Other as Required: _____ Date _____

Vetted in _____ Committee on _____

RESOLUTION NO. ____-16 , INTRODUCED BY THE MANAGEMENT & BUDGET COMMITTEE TO ADOPT AN AMENDED AND RESTATED GRANTS ADMINISTRATION MANUAL AND RESCIND RESOLUTION NO. 89-12.

WHEREAS, in March 2012, Resolution 89-12 was adopted by the Sullivan County Legislature to require all discretionary (*i.e.*, competitive) grants/funding sources sought by any division, department, office, agency or unit of the County (each a "Department") be first approved by the County's Department of Grants Administration ("DGA") and requiring certain additional steps with respect to approvals by (a) the County Manager or the Chairman of the County Legislature and (b) the County Treasurer; and

WHEREAS, in 2013, the DGA presented to the Sullivan County Legislature a Grants Administration Manual which outlined DGA's policies and procedures, including Resolution 89-12, relating to the Grants process for all Departments; and

WHEREAS, beginning in January 2016, the DGA undertook a review and revision of its policies, under the supervision of the Office of Management and Budget ("OMB") and the County Manager, and on June 9, 2016, reported to the Management and Budget Committee its proposed changes to the grants administration process and related amendment to the Grant Administration Manual; and

WHEREAS, the Commissioner of Management and Budget and the County Manager believe that the revised Grants Administration Manual, once adopted by the Sullivan County Legislature, would obviate the need for Resolution No. 89-12.

NOW, THEREFORE, BE IT RESOLVED, by the Sullivan County Legislature that:

1. The draft Grants Administration Manual, dated August 3, 2016, be and hereby is adopted.
 2. Resolution No. 89-12 be and hereby is rescinded.
-

Grants Administration Manual



Arthur Hussey, Supervisor
Victoria Goddard, Program Specialist

*Sullivan County
Department of Grants
Administration-
Division of Management
and Budget*

*This manual describes how the Department of Grants
Administration can assist County Government
Departments in seeking, applying for, and
administering grants.*

Telephone: (845) 807-0468

Fax: (845) 807-0156

8/3/2016 version

GRANTS ADMINISTRATION DEPARTMENT

DIVISION OF MANAGEMENT AND BUDGET

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TABLE OF CONTENTS

| | | |
|-------|---|-----|
| I. | INTRODUCTION | 1 |
| A. | Role of Department of Grants Administration | 1 |
| B. | Short-Term Goals..... | 1 |
| C. | Long-Term Goals..... | 1 |
| II. | THE GRANTS ADMINISTRATION PROCESS | 2 |
| A. | Overview..... | 2 |
| B. | Research to Find Funding Opportunities..... | 2 |
| C. | Decision to Apply..... | 2 |
| D. | Preparing a Grant Application | 2 |
| E. | Management of a Grant | 3 |
| F. | Evaluation | 3 |
| III. | A DEPARTMENT’S RESPONSIBILITY WITH RESPECT TO GRANTS | 3 |
| IV. | DISCRETIONARY FUNDING OPPORTUNITY - GRANT POLICY & PROCEDURE | 4 |
| A. | Pre-Application:..... | 4 |
| B. | Post – Application:..... | 4 |
| V. | CENTRALIZED TRACKING OF FUNDING | 5 |
| VI. | DGA FUNDING PROPOSAL EVALUATION PROCESS..... | 6 |
| VII. | LEGISLATIVE RESOLUTIONS | 7 |
| VIII. | REGULATORY REQUIREMENTS AND COMPLIANCE | 8 |
| IX. | PROCUREMENT POLICY | 9 |
| X. | REPORTING REQUIREMENTS | 10 |
| | DGA GRANT CONCEPT APPROVAL FORM | A-1 |
| | DGA SUMMARY SHEET..... | B-1 |
| | COMBINED LEGISLATIVE MEMORANDUM, CERTIFICATE OF AVAILABILITY OF FUNDS, AND RESOLUTION COVER LETTER | C-1 |
| | PREPARING A WINNING GRANT PROPOSAL..... | D-1 |

Mission Statement

The mission of the Department of Grants Administration (or *DGA*) is to facilitate access to discretionary, external funding for divisions, departments, agencies and other units of the Sullivan County government ("*Departments*") while improving the administration of existing funding/grant resources.

I. INTRODUCTION

A. Role of Department of Grants Administration (DGA)

The role of the DGA is to:

- Identify funding needs within the County;
- Identify funding needs within each Department;
- Prioritize the funding needs for the County;
- Match identified needs and priorities with funding opportunities;
- Centralize grants management;
- Manage a centralized grants database, which provides the Division of Management and Budget and the County Treasurer's Office with timely and accurate information.

DGA gives priority to grant requests from divisions, departments, agencies and other units of the Sullivan County government ("*Departments*"), the County Legislature and the County Manager. Assistance for municipalities and 501(c)(3) organizations will be determined by the availability of DGA staff and by the constraints of other grant deadlines. The decision to provide external assistance is made by the County Legislature and/or the County Manager, and is based on DGA staff availability.

B. Short-Term Goals

DGA's short-term goals are to:

- Provide searches that focus on grant funding opportunities for County priority projects;
- Eliminate duplicating search efforts;
- Find funding opportunities that are a good fit for needed projects;
- Provide brief, timely descriptions of grant opportunities;
- Ensure that a decision to proceed on a grant application is made prior to utilizing funds and staff resources;
- Assist Departments to determine whether and when to pursue a funding source;
- Prevent multiple Departments from competing for the same funding stream or from submitting similar projects;
- Facilitate the involvement of key players from the community when a collaborative effort strengthens an application; and
- Focus on high priority project applications so that grant writing and assistance is provided in a planned and efficient manner.

C. Long-Term Goals

DGA's long term goals are to:

- Encourage each Department to take responsibility for the regulatory compliance and reporting requirements that accompany grant funding;
- Prevent deficient audit findings that pertain to grant reimbursements;

- Avoid the return of any grant funds due to lack of reporting, poor management oversight, or for any other reason;
- Learn from both successful and unsuccessful grant applications;
- Find ways to improve the claims process with the County Treasurer's Office; and
- Conduct post-grant evaluations to assess the effectiveness of the grants administration process and improve its efficiency.

II. THE GRANTS ADMINISTRATION PROCESS

A. Overview

The administration of grants consists of five components:

- Researching Funding Opportunities
- Deciding whether to Apply
- Preparing a Grant Application
- Managing the Grant
- Evaluating the Grant Program.

B. Research to Find Funding Opportunities

DGA staff researches funding opportunities for County priority projects. The results provide high probability funding opportunities which are summarized and given to the appropriate parties in a timely manner.

C. Decision to Apply

Ideally, deciding whether to proceed with a grant application should be done before monies and significant County staff resources are expended. DGA will work to prevent multiple Departments from competing for the same funding stream or from submitting similar projects.

DGA has a direct line of communication with the County Manager and the Commissioner of OMB so that internal decisions can be made quickly regarding whether to proceed with an application. DGA also helps to facilitate the legislative review process for Departments.

In general, County staff can rely on the work and expertise of DGA staff to find suitable funding sources in part by their use of federal/state/foundations grant notification system.

DGA will work with each division/Department to establish a grant contact person within the respective division/Department, who will work with the DGA in the pursuit and administration of funding sources.

D. Preparing a Grant Application

DGA prioritizes applications so that assistance with grant writing and overall coordination of the application is provided in a planned and efficient manner. DGA Staff assesses the capacity of a Department to administer a funding award and undertake a project / program.

E. Management of a Grant

Each Department is responsible for handling the compliance and reporting requirements that pertain to their specific grant. DGA works with Departments to both prevent deficient audit findings that pertain to grant reimbursement and to avoid the return of funds for lack of reporting, lack of management oversight or for any other reason.

DGA will work with and assist Departments in the identification, procurement and administration of grant funding. DGA Staff will also provide technical assistance and oversight for grant administration, where needed.

In the future, DGA will seek to purchase grants management software that will enhance grant funded project management, while continuing efforts with County Treasurer's Office to further implement the New World Project Accounting financial module.

F. Evaluation

There are lessons to be learned from both successful and unsuccessful grant applications and the actual grant funded programs/projects. Feedback from the funding source regarding strengths and weaknesses of the grant application and of the results of the funded program can help shape more successful future applications and programs.

DGA intends to re-establish their Department surveying process, wherein the Department that secured funding would receive a survey to evaluate a grant program and the grant process as it pertains to their specific grant.

III. A DEPARTMENT'S RESPONSIBILITY WITH RESPECT TO GRANTS

Department heads and key technical staff are responsible for helping to identify funding opportunities, participating in program planning and proposal writing, and managing the day to day functions associated with a successful funding/grant award.

The Department head is accountable for all funding /grants within his or her Departmental jurisdiction. For those instances where more than one Department is responsible for a grant, a lead Department should be designated for accountability.

Each Department head shall:

- Appoint a grant contact person for their Department;
- Designate a project manager for funding / grants awarded to the Department;
- Implement awarded grant projects according to the terms, conditions and regulatory requirements of each grant award, as identified within the respective funding source award agreement and/or Notice of Funding Availability (NOFA), Request for Proposal (RFP), Request for Application (RFA), etc.;

- Ensure that the designated funding/grant liaison for the Department tracks grant awards and consults with the DGA on a regular basis;
- Ensure that the grant contact person and all project managers know how to designate project expense codes, complete grant drawdown forms, and monitor project funding;
- Ensure that requests for grant funds are promptly submitted to minimize the advancement or prolonged use of County funds; and
- Ensure that project reporting requirements and deadlines for submission are observed.

All drawdowns of grant funding must conform to funding source and County policy pertaining to the receipt of grant funds

IV. DISCRETIONARY FUNDING OPPORTUNITY - GRANT POLICY & PROCEDURE

A. Pre-Application:

- Complete a Grant Concept Approval Form (*Appendix A*) for review by the DGA Supervisor and sign-off by the County Manager. When required (*usually on large and extensive projects/ programs*) a DGA Summary Sheet (*Appendix B*) may be requested by the DGA. DGA will meet with your staff to complete the Summary Sheet, if necessary.
- Recommendation by [the County Manager] as to whether or not to proceed with the application will be provided within forty-eight (48) hours;
- Prior to submitting an application for a discretionary funding opportunity, a Resolution requesting County legislative approval for the grant application must be placed on the applying Department's legislative committee Agenda as a discussion item. See the Resolution section of this manual for more detailed information; and
- Once the Grant Concept Approval Form has been approved, and the County Legislature approves the resolution to proceed, DGA will work with the Department, and the Office of the County Attorney to review the funding source regulatory requirements to ensure the regulations, certifications, assurances, etc. are acceptable to the County. DGA will also help with the development of the funding proposal. This is a collaborative effort between the DGA and the requesting Department.

B. Post – Application:

- The Department that has secured a funding/grant award is expected to adhere to, and comply with, all award agreement / contract regulatory requirements in accepting the award from the specific funding source;

- Any expenses associated with the funding/grant secured are the responsibility of the applying Department (*i.e. – Postage, office supplies, etc.*);
- Provide grant administration technical assistance when needed.

V. CENTRALIZED TRACKING OF FUNDING

The centralized tracking of funding includes oversight of any revenue source that is not derived from the General Fund. DGA works with each Department in tracking the funding they receive or opt to pursue. The tracking of awarded funds, and active funding application proposals is shared with the Office of Management and Budget (*OMB*) and the County Treasurer's Office on a monthly basis via the DGA Funding Award and Activity Chart. Therefore, it is important that each Department notify the DGA when pursuing a funding source for a specific identified need and when funding is awarded and. This is accomplished by completing the DGA Grant Concept Approval Form (*GCAF*) (*Appendix A*).

The types of funding awards and funding applications in development that are tracked by DGA include the following:

- *Discretionary* – funding which is awarded following a **competitive process**. The funding source reviews the legislative and regulatory requirements and published selection criteria established for the program. The review process gives the funding source discretion to determine which applications best address the program requirements and are therefore, most suitable and competitive;
- *Formula Allocation* – non-competitive funding awards with the amount of the awards based upon local statistics – *e.g.*, population. Formula allocations are typically made on an annual basis;
- *Entitlement* – funding that is written into law. These funds must be spent on behalf of any individual who meets the qualifications specified in the authorizing legislation; the total amount of spending fluctuates based on the number of persons who qualify for programs such as Medicare, Medicaid, and Social Security; and
- *Foundation/Corporate* – this is a category of competitive, discretionary funding which is offered by foundations. Generally, foundations are nonprofit organizations which donate funds to organizations through a competitive process.

Specific to discretionary and private foundation (*competitive*) funding - the *GCAF* is required to be submitted to DGA for County Manager approval prior to presenting a Legislative Resolution which will authorize the submission of the application and acceptance of the funding award, should one be granted.

With respect to formula allocation, legislative member item and /or entitlement funding - the *GCAF* is to be submitted as a means of notifying the DGA when a Department receives notification of being selected for this type of award. The form is to be returned to the DGA, as the County Manager must

review /approve the concept and proceeding with the application. A Legislative Resolution is not required to submit the application. However, a Legislative Resolution must be presented to and approved by the County Legislature in order to accept the award and authorize the execution of the award agreement by the appropriate party (*either the County Manager or Legislative Chairman*) as required by the funding source.

VI. DGA FUNDING PROPOSAL EVALUATION PROCESS

IMPORTANT NOTE

DGA reviews Department requests for assistance and will provide such assistance as DGA time and workload permits. DGA review and assistance is afforded in order of priority as set by the County Legislature and / or County Manager.

The following table provides a brief overview of the criteria and rating system used by DGA in evaluating funding proposal applications.

| CRITERIA | DISCUSSION |
|--|---|
| Grant Scoping and Project Readiness | Is there anyone in the Department who can write and deliver a work plan? |
| Does the funding application address a priority County objective? | Does the grant funding further County objectives as identified in the current State of the County Address, in the Budget Message, in the County's Economic Development Strategy or in Department goals as presented in Annual Reports? |
| Is there a required local match? | No required match is a plus. An in-kind match is the second preference. A cash match has to be approved by the OMB, County Manager, and County Legislature. If a cash match is required, is there a source for it? |
| Does the proposed program require the addition of new staff? | If a funding proposal is for the hiring of NEW staff or requires the County to fund a position after the funding runs out, the County Manager and Legislature must approve. |
| What level of assistance does the applicant need from DGA in handling the funding application? | DGA will provide all or any of the following assistance as requested by the applicant: <ul style="list-style-type: none"> • Coordinate preparation of the application (track progress and internal deadlines, obtain signatures, support letters, etc.); • Facilitate collaboration between Departments, towns, villages, agencies, organizations, etc.; • Review the grant and provide a final edit; • Prepare grant packaging; • Write the grant narrative, documentation, etc. • None – review and approve only. |

**CONSIDERATIONS FOR DEPARTMENTS BEFORE REQUESTING
A FUNDING APPLICATION**

- Whether the funding will be used for establishing a new position – *Exception: If there is a means to sustain the position OR if approved by the County Manager/County Legislature;*
- Whether the funding source/program requires a cash match;
- Whether the Department has the capacity to effectively administer the funding –*e.g., its Staff is over-extended with respect to in-kind contributions on previously awarded funding;*
- Whether the Department has the means to satisfy any matching or other program requirements;
- Whether the costs to administer the funding exceed the anticipated award amount;
- Whether the funding source Request for Proposal (RFP) directions have been followed;
- Whether the funding program deadline is practical to meet;
- Whether the proposed submission matches the funding source’s interest;
- Whether a funding proposal is based on beliefs and assumptions and not based on facts; and
- Whether a funding proposal is focused on or benefits the residents and businesses of the County or is connected to one of the many developed County plans.

VII. LEGISLATIVE RESOLUTIONS

The County’s Legislative office should be consulted as to when a Legislative resolution is required.

- Legislative Resolutions are required prior to applying for and/or accepting discretionary or private foundation funding;
- Legislative Resolutions are not required in order to submit an application for an allocation, legislative member item or entitlement; *and*
- Legislative Resolutions must be approved by the County Legislature in order to accept any funding award and authorize the execution of the award agreement by the appropriate party (*either the County Manager or Legislative Chairman*) as required by the funding source.

In accordance with Resolution No.: 150-13, a “Combined Legislative Memorandum, Certificate of Availability of Funds, and Resolution Cover Memo” is used for all grant resolutions (See Appendix C). The new form also is available on the Sullivan County Portal as a fill-in PDF. Please read the directions carefully, and should you have any questions please contact the County Manager’s Office at (845) 807-0450.

Additional information is required for resolutions seeking approval for execution of a contract. Contracts must also be approved by the following Departments prior to submission of a resolution:

- Director of Purchasing;
- Office of Management & Budget;
- Law Department; and

- County Manager

Additional approvals may be required by the Legislature as needed. Resolutions to approve execution of contracts will not be considered by the Legislature until all required pre-legislative approvals have been secured. All resolutions requiring expenditure of funds must receive a verification signature from the Budget Office prior to consideration by the Legislature.

RESOLUTIONS MUST BE FILED WITH THE SULLIVAN COUNTY MANAGER'S OFFICE NO LESS THAN TWO WEEKS PRIOR TO THE APPROPRIATE LEGISLATIVE COMMITTEE MEETING.

VIII. REGULATORY REQUIREMENTS AND COMPLIANCE

A Department that has secured funding via Federal, State or Private Foundation funding sources is expected to comply with, and adhere to, the specific regulatory requirements that apply to the funding award.

Specific to funding secured from a Federal agency recipients are expected to comply with the Code of Federal Regulations (*CFR*). The *CFR* is the codification of the general and permanent rules published in the Federal Register by the executive Departments and agencies of the Federal Government. It is divided into 50 titles that represent broad areas subject to Federal regulation. Each volume of the *CFR* is updated once each calendar year and is issued on a quarterly basis.

- Titles 1-16 are updated as of January 1st
- Titles 17-27 are updated as of April 1st
- Titles 28-41 are updated as of July 1st
- Titles 42-50 are updated as of October 1st

Each title is divided into chapters, which usually bear the name of the issuing agency. Each chapter is further subdivided into parts that cover specific regulatory areas. Large parts may be subdivided into subparts. All parts are organized in sections, and most citations in the *CFR* are provided at the section level. A list of agencies and where they appear in the *CFR* may be found in **Appendix C** of the [U.S. Government Manual](#).

On December 26, 2013, the Office of Management and Budget (OMB) released its final "Uniform Administrative Requirements, Cost Principles, and Audit Requirements on Federal Awards." This guidance is applicable to grants and cooperative agreements and represents a comprehensive consolidation and revision of OMB Circulars currently governing Federal awards to non-Federal entities.

On July 14, 2015, OMB released its "2015 Compliance Supplement", which is applicable for audits of fiscal years beginning after June 30, 2014. It contains a number of changes that affect local governments that receive federal funding or grants. In addition, the title of the compliance supplement was changed to remove reference to OMB Circular A-133 and reflect OMB's new Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. The full list of changes for 2015 is available in Appendix V of the compliance supplement.

The entire ECFR is available by clicking here: <http://162.140.57.127/cgi-bin/ECFR?page=browse>.

More detailed information on the Code of Federal Regulations can be accessed via the following web-link: <http://www.gpoaccess.gov/cfr/index.html>

The DGA works with the respective Department staff and the County Attorney's Office to identify, review and deem acceptable Federal and/or New York State (*funding source agency specific*) regulations, as well as the regulations of Private Foundations. Specific regulations are normally identified within the funding sources Notice of Funding Availability (*NOFA*), Request for Proposal (*RFP*), Request for Application (*RFA*), and Sample Award Agreement.

Each Department head has the responsibility to ensure that grant projects/programs are implemented according to the terms, conditions and regulatory requirements of each grant award, as identified within the respective funding source award agreement and/or Notice of Funding Availability (*NOFA*), Request for Proposal (*RFP*), Request for Application (*RFA*), and Sample Award Agreement (*if available*).

The DGA will work with the grant person for the respective Department to identify, review and confirm the County's acceptance of the regulatory requirements. Once the DGA and Department grant liaison have identified all the applicable regulatory requirements, a meeting will be set-up with the County Attorney's Office to further the regulatory review, and ensure the County's acceptance of same; said action to be taken prior to the submission of the funding proposal application.

IX. PROCUREMENT POLICY

As authorized by Resolution #333-09 under the Government Services/County Legislative Committee of the County Government, the County adopted a revised Procurement Policy. A Department that has secured funding, and proposes to use the funding for the purchase of goods and/or services, must adhere to the County Procurement Policy.

The Department securing the funding must also adhere to and comply with the specific procurement regulations or requirements as required by the funding source and contained within the respective award agreement. The specific procurement regulations and requirements of the funder are identified at the time of the regulatory review, which is conducted by the Department that has secured the funding, by Purchasing / Central Services, by the DGA and by the County Attorney's Office.

Effective April 18, 2012, all requisitions requests for bids, RFP's and quotes which utilize grant funds or federal monies, must clearly state the grant or federal agency that will be funding the product or service. Also, all specific procurement information, including any special requirements, must be submitted with each request.

It is incumbent upon each Department to provide any unique or special requirements to Purchasing upon submission of any request described above. Should you have any procurement related questions or concerns, please feel free to contact Kathy Jones, Director of Purchasing and Central Services (845) 807-0515.

X. REPORTING REQUIREMENTS

Reporting requirements vary by funding source and the type of funding secured. Those Departments who have secured funding through Federal, State or Private Foundation sources are responsible for adhering to the reporting requirements as required by the specific funding source. This applies to any funding secured.

The responsibility of reporting accurate program data and information and ensuring adherence to reporting requirements is the responsibility of the Department in charge of the grant. The responsible Department must complete reporting (*whether monthly, bi-monthly, quarterly, semi-annual, annual or progress*) and submit it on a timely basis to the specific funding source, as stated in the executed award agreement / contract. Adhering to these reporting requirements is an important part of the overall effort to ensure that the County continues to realize a successful audit of its financial statements.

The DGA assists with any questions about funding source reporting requirements and lends technical assistance to help complete reporting forms.

DGA Grant Concept Approval Form

The Division of Management and Budget must acknowledge all funding sources (*which includes discretionary and private foundation [competitive], formula allocations, legislative member items and entitlements*) in concept prior to an application submission. This form must be submitted directly to the Department of Grants Administration within OMB, and subsequently approved by the County Manager.

Date Form is Submitted: _____ Grant Deadline: _____

Type of Funding: _____ Discretionary/Private Foundation _____ Allocation, Legislative Member Item or Entitlement

Type of Grant Submission: Hard Copy e-File _____ (Name) Other: _____

CFDA # (if applicable): _____ American Recovery & Reinvestment Act (ARRA) Funding Yes No

DUNS #: _____

Contact Person/Title and Department Name: _____

Grant Title and Granting Agency/Organization: _____

Amount Requested: _____ Term of the Grant: _____ to _____
Start End

How will this grant benefit the Division/Department? _____

Matching Funds:

1. Will a CASH Match be required for the grant? Yes No *If yes, specify amount and how the match will be met.*

2. Explain other match requirements and County obligations of the grant (staff time, space, technology, equipment, etc.).

3. Does the grant involve the acquisition of technology? (E.g., software, hardware, etc.) Yes No

Personnel:

4. Does this grant create new county government positions? Yes No

If Yes, justify the hiring of a new staff vs. sub-contracting a service or explain if existing staff can be utilized: _____

County Obligations:

5. Is the county required to initially use county funds in order to be reimbursed by the grant? Yes No

If Yes, please explain the timeframe for advance funding and reimbursement: _____

6. What is the plan for after the grant expires?

A. The program/project will be discontinued and all grant funded positions terminated? Yes No

B. *If no, please describe alternatives:* _____

7. Will there be any ongoing impact on county budgets after the grant expires? Yes No *If yes, please describe:*

8. What will happen with the equipment and/or assets purchased with grant funds after the grant expires?

Owned by and available to the county County-owned and used by the Department

Other: _____

Grant Assistance: (Requests are reviewed and will receive assistance, if available, in order of priority set by the County Manager)

9. What assistance will you need to submit this application?

- None – review and approval only
- Coordinate application (track progress and internal deadlines, obtain signatures, support letters, etc.)
- Facilitate collaboration between Departments, towns, villages, agencies, organization, etc.
- Grant Review and Final Edit
- Grant Packaging
- Grant narrative, documentation and financial analysis

DGA Summary Sheet

Date Submitted: _____

Date Received: _____

Name: _____
(Division or Department)

Address: _____

Commissioner: _____

Department Head: _____

Staff Liaison/Project Manager:

(Person to be contacted) (Telephone) (Fax)

Project/Program Title: _____

Funding source: Federal State Private Block Grant

Formula Allocation Other *(please explain)* _____

Name of Funding source AND Grant Program: _____

Is the Grant Reimbursable: Yes No

Grant Application Due Date: _____ Funding Request: \$ _____

Committee Name and Meeting Date: _____

Date Resolution to be Adopted: _____

Provide a brief summary of eligible uses of grant funds: _____

Summary Description of Project/Program Goals: _____

Summarize Project or Program Need (who will benefit, population served, etc.): _____

How is the proposed project/program consistent with the Sullivan 2020 Comprehensive Plan, Integrated County Plan, Rural Economic Area Partnership (REAP) and/or other county-wide strategic plan? _____

Capacity:

Please describe the availability of existing, qualified staff that has the technical expertise and time to implement the proposed project/program. _____

Will additional staff need to be hired to accomplish the goals of the project/program? Yes No

If yes, please describe what impact that has on the County, Division and Department. Please include details on budget, length of employment, physical placement of staff, infrastructure needs (telephone, fax, copier, computer, printer, vehicle, etc.) records retention requirements and impact on other staff workload and supervisory capacity.

Please describe the project/program impact on other County Offices, including, but not limited to County Attorney, County Treasurer, Audit, Personnel, OMB, DPW, MIS and Risk Management: _____

Have other partners and/or collaborating agencies been identified? Yes No

If yes, please describe: _____

Do the proposed partner(s) and/or collaborating agency(ies) have the capacity (staff, budget, recordkeeping, etc.) to accomplish the goals of the project/program within the allocated timeframe of the grant?

If yes, please explain: _____

Budget, Reporting, Timeframes & Obligations:

What are the budget implications for application of the grant? _____

Has a Capital Budget Request Form been completed? Yes No (If yes, please attach.)

1. Are there any match requirements? (i.e., Cash, in-kind, donation/volunteer, forced account, etc.)

Yes No Amount \$ _____

If yes, please answer the following:

A. Type of match?

- Cash - funds available and allocated specifically for a project/program
- In-kind - non-cash assistance offered through goods, services, equipment, space, and/or technical assistance that is a budget component of delivering the project/program
- Donation/Volunteer – services or goods provided to a project/program that are not considered a component of the budget
- Forced Account – the term used to define labor performed and equipment owned by the applicant.

What is the dollar amount for each type of match? If in-kind match is used, how much staff time has been allocated for the project/program? How much staff time has been allocated and dedicated toward other projects/programs with match requirements?

Cash \$ _____ In-kind \$ _____ Donation \$ _____

Volunteer \$ _____ Forced Account \$ _____

B. How was the match calculated? (e.g., Are salaries being calculated hourly, are they being tracked, are the fringe and indirect costs associated with salary included, etc.?) _____

C. How does the project/program budget affect the Department, division and county budget?

- i. Are the funds reimbursed to the applicant? Yes No
- ii. What is the timeframe for reimbursement? _____
- iii. Who is responsible to track the funding? _____
- iv. What are the documentation requirements to request and receive funding? _____

- v. Does the project/program require separate bank Accounts? _____

- vi. Which OMB Circular(s) is relevant to the grant funds?
 A-87 A-102 A-110 A-122 A-133
- vii. What are the insurance requirements of the grant? _____

- viii. Has Risk Management been consulted? Yes No
- ix. Are there additional costs related to the insurance requirements? Yes No
- x. May grant funds be used to cover this potential cost? Yes No

| Estimated Project/Program Costs | 2016 | 2017 | 2018 | 2019 | 2020 | 2021 |
|---------------------------------|------|------|------|------|------|------|
| County Obligation | | | | | | |
| Funding source: _____ | | | | | | |
| Funding source: _____ | | | | | | |
| Funding source: _____ | | | | | | |
| Funding source: _____ | | | | | | |
| Total Cost | | | | | | |

List All Sources & Status of Other Funding:

- 1. _____
 Committed Letter of Support Letter of Interest Other: please explain
- 2. _____
 Committed Letter of Support Letter of Interest Other: please explain

3. _____
 Committed Letter of Support Letter of Interest Other: please explain

Reporting requirements and time commitments?

1. Does the funding source require monthly, quarterly, bi-annual and/or annual reports? _____

2. Who is responsible for completing, authorizing and submitting the reporting documents? _____

3. What is the contract period for the grant? _____

| Milestone | Month 1 | Month 2 | Month 3 | Month 4 | Month 5 | Months 6-12 | Post Grant |
|--------------------------------|---------|---------|---------|---------|---------|-------------|------------|
| Grant Concept / Summary Forms | | | | | | | |
| Committee Meeting & Resolution | | | | | | | |
| Grant packaging and submission | | | | | | | |
| Award | | | | | | | |
| Contract Execution | | | | | | | |
| Project/Program Period | | | | | | | |
| Closeout | | | | | | | |
| Monitoring | | | | | | | |

The number of months is for example and illustration only and will not be appropriate for every grant submission. This is a tool to be used in the design for each grant project/program.

4. What is the mechanism for grant extensions if needed? _____

5. What affect do grant extensions have on future grant opportunities from the grantor? _____

6. What are the requirements prior to submission, post award, closeout, etc.? _____

Citizen Participation & Public Hearing Requirements:

1. Advertisement requirements, agency notification, newspapers: _____

2. If public comment is heard, what are the requirements? _____

Combined Legislative Memorandum, Certificate of Availability of Funds, and Resolution Cover Letter

INSTRUCTIONS

FOR ALL RESOLUTIONS:

1. Include the name and title of the individual that is requesting the resolution, as well as their Department.
2. Provide the title of the resolution in the "Re:" line.
3. The date provided should be the date that the requestor fills out the form.
4. Purpose of Resolution: State the intent of the resolution, what it will accomplish, and a justification for approval.
5. State whether the subject of the resolution is mandated; if yes, cite the source of the mandate, describe the minimum requirements of the mandate, and how the resolution satisfies these requirements in your explanation.
6. If the resolution requires the expenditure of funds, you must:
 - a. Provide the amount to be authorized;
 - b. State whether or not the funds are already budgeted;
 - c. If funds are budgeted, provide the appropriation code;
 - d. If funds are not budgeted, you must specify a proposed source of funds;
 - e. You must provide an estimated breakdown of expenditures by funding source; and
 - f. You must obtain verification from the Budget Office.
7. Specify whether or not the resolution requests authority to enter into a contract:
 - a. If no, the form is complete and you may submit it with the resolution for consideration.
 - b. If yes, you must provide the information requested on page 2 of the form.
8. Obtain all required pre-legislative approvals on page 3 prior to submitting the resolution to committee for consideration.

FOR CONTRACTS:

1. Provide the name and address of the entity that your Department is seeking a contract with.
2. Choose the nature of the subject entity from the drop down list (i.e.: individual, not-for-profit, etc.). If an adequate description is not available please provide your own description under "Other."
3. State the beginning and end dates for the proposed contract (mm/dd/yyyy).
4. Indicate whether or not this is a renewal of a prior contract. If yes, please provide:
 - a. Beginning and end dates for the prior contract (mm/dd/yyyy);
 - b. Amount authorized by the prior contract; and
 - c. The resolution number(s) authorizing the prior contract.
5. State whether the contract includes options for renewal and what those options are.
6. If the contract is mandated, cite the mandate source and describe how the contract satisfies the requirements of the mandate.

7. Provide justification for contracts providing for non-mandated goods and services.
8. Provide the total cost of the contract, or the "not to exceed" amount.
9. Describe all efforts made by your Department to find a less costly alternative to the proposed contract.
10. Describe all efforts made by your Department to find cost sharing opportunities for the proposed contract.
11. Specify the method utilized to comply with procurement requirements, such as a bid, RFP, quote, etc.
12. Identify the individual responsible for monitoring the contract by position title and number

Form Begins on the Next Page

COMBINED: LEGISLATIVE MEMORANDUM, CERTIFICATE OF AVAILABILITY OF FUNDS
AND RESOLUTION COVER MEMO

To: Sullivan County Legislature

From:

Re: Request for Consideration of a Resolution:

Date:

1. Purpose of Resolution: [Provide a detailed statement of what the Resolution will accomplish, as well as a justification for approval by the Sullivan County Legislature.]

2. Is subject of Resolution mandated? Explain:

3. Does Resolution require expenditure of funds? Yes ___ No ___

If "Yes, provide the following information:

Amount to be authorized by Resolution: \$ _____

Are funds already budgeted? Yes ___ No ___

If "Yes" specify appropriation code(s): _____

If "No", specify proposed source of funds: _____

Estimated Cost Breakdown by Source: _____

County: \$ _____

State: \$ _____

Federal Government: \$ _____

Grant(s): \$ _____

Other: \$ _____

(Specify) _____

Verified by Budget Office: _____

4. Does Resolution request Authority to Enter into a Contract? Yes ___ No ___

If "Yes", provide information requested on Pages 2. If "NO", please go straight to Page 3 and acquire all pre-legislative approvals.

5. Request for Authority to Enter into Contract with [_____] of
[_____]

6. Description of Other Party to Contract:

7. Term of Contract: From _____ To _____

8. Is this a renewal of a prior Contract? Yes ___ No ___

If "Yes" provide the following information:

Dates of prior contract(s): _____

Amount authorized by prior contract(s): _____

Resolutions authorizing prior contracts (Resolution #s): _____

Future Renewal Options if any: _____

9. Are the Goods/Services of the Contract Mandated? Yes ___ No ___

If "Yes" cite the mandate's source; describe how this contract satisfies the requirements:

If "No" provide other justification for County to enter into this Contract: [e.g., County does not have resources in-house, best source of the subject materials, required by grant, etc.]:

10. Total Contract Cost for [year or contract period]: (If specific sum is not known state maximum potential cost): _____

11. Efforts made to find Less Costly alternative:

12. Efforts made to share costs with another agency or governmental entity:

13. Specify Compliance with Procurement Procedures (i.e., Bid, Request for Proposal, Quote, etc.): _____

14. Person(s) responsible for monitoring contract (Title): _____

15. Pre-Legislative Approvals:

| Title | Signature | Date |
|-------------------------------|-----------|------|
| Director of Purchasing | | |
| Management and Budget | | |
| County Attorney's Office | | |
| County Manager | | |
| Other (as required): _____ | | |

16. Vetted in _____ on _____
Name of Committee Date

Grants Administration Manual – *Appendix D-1*



*Preparing a Winning
Grant Proposal*

PREPARING A STANDARD GRANT PROPOSAL

A standard grant proposal should include these sections:

- Summary
- Introduction to the Applicant Organization
- Problem or Needs Statement
- Objective
- Method
- Evaluation Plan
- Future Funding
- Budget

Summary

- Keep it short. If proposal is single spaced, make it a ½ page; if double spaced, make it a full page;
- Include all elements of the proposal;
- Keep it interesting and deal with most compelling issue first; and
- Include what you're asking for within the summary.

Introduction to the Applicant Organization

- Address the organization's credibility and history.
- Rise above the competition.

The reviewer will expect to see the following information about your organization:

- Mission Statement or Goal
- How long in operation
- Performance history aka your track record
- Other funding sources currently being utilized by the applicant organization
- The number of clients served
- The number of clients that will benefit from this project
- Accreditations
- Uniqueness

Problem, Objective & Method

Problem –

- State why the organization is concerned about the problem identified;
- Address the - who, how many, where and what issues;
- Use research based data to make the case for what is causing the problem;
- Discuss what will happen if your organization does not act to address the problem ;
- Support the existence of the problem with statistics, quotes and analysis; and

Objective-

- Include information about what changes you want to see;
- The objectives should state who or what will be changed, in what direction, by how much and in what time frame;
- The objectives should be measurable, specific, achievable, time specific and relevant;
- There are three types of objectives:
 - 1) Proven Process – *already works- want to do more of it.*
 - 2) Outcome – *measuring the change in the incidence of problem.*
 - 3) Indicator- *measuring signs that the incidence of the problem is likely to decline (research-based).*
- You may have more than one objective for a single problem;
- Conduct a trial run of your objective to see what your results would be.

Method-

- Address the processes you will be using to meet the objectives;
- Clearly state who will do what and when;
- Address other options considered and make sure that your methods for meeting the objective are research based;
- Chart out your methods. Chart format could consist of the activity, timeframe, person / party responsible for carrying out the method, identification of the partners, where the method will be carried out and the costs involved;
- Organize your methods - chronologically, by target group, thematically, geographically and /or by objective; and
- Be specific about why the work will be done in a specific way, what challenges you expect and your strategy for dealing with those challenges.

Evaluation Plan

- It will help to ensure you are meeting the proposed program objectives; and
- It should be developed using research-based, proven plans of evaluation. Increasingly, funders want to see that you are making good use of the funds provided and that you are paying attention to future program development needs.

Future Funding

- What funds will you use to continue the program after the grant ends? Funders are interested in funding programs that show longevity;
- Who else is contributing to the project or program?

Budget

- The total budget for the project is made up of the amount of money requested and the amount being used from other sources;
- Include all line items and budget realistically;
- Refrain from rounding off to the nearest \$10, K and do not include cents in your figures;
- Involve fiscal staff in the budget process;
- Do not include a budget line item for Miscellaneous; and
- When drafting the budget justification, explain in brief how the calculations were arrived at. You can use bullet style in the budget justification.

Additional Points About How To Develop a Problem / Needs Statement

The Problem / Needs Statement delineate the problem within the community to be addressed. Data is provided to substantiate the need and a human interest story can be included to make the issue more personal.

The statement is used to educate the funder about the community problem or need the organization seeks to address. The statement will enable a reviewer to learn more about the issues by its presentation of the facts and of the evidence that supports the need for the project. This section of the grant proposal also establishes that the applicant understands the problem / need and therefore will be able to appropriately address it. The information used to support the case can come from authorities in the field, as well as from your own experience. The statement of need should be succinct, yet persuasive.

The Function & Importance of the Problem / Need Statement

The function of the statement is to discuss the problem/need in a way that makes the funder want to help with it.

- **Problem:** a community or external constituency need;
- **Action:** what your organization proposes to do to address the problem; and
- **Solution:** the positive outcome that results from the action effecting change on the problem;
- **Problem + Action = Solution;**

The statement demonstrates to the funder that there is a problem /need that is important and urgent. This statement must relate both to your organization's mission statement and to the funder's priorities.

Problem / Need Statement Should Include the Following Information:

- Description of the problem /need: What is the problem / need? Who? What? Where? When? Why?
- Recognition of the problem / need: Why is it a problem /need? Who else sees it as a problem /need? What are the views of community stakeholders about this problem / need? ;
- Need for resolution of the problem /need: What will happen to the population served and to the community if the problem / need is not resolved? Is there a cost to society? ;
- Hurdles that need to be overcome before the problem /need is solved: Clearly identify the challenges involved in addressing the problem /need. Describe the gap between what exists now and what ought to be. What has prevented resolution of the problem /need?
- Urgency required to address problem / need: Why does it need to be addressed now? What is currently being done about the problem /need? ;
- Human interest story: Provide a real example of how the problem is affecting someone's life and how the proposed program will impact his/her life. Make it real.

Pitfalls to Avoid in Developing a Problem Statement

- Leaving out information asked for in the Request for Proposal (*RFP*)
- Proposing a project that is outside the scope of the RFP
- Using outdated or unsubstantiated information
- Providing insufficient data or too much statistical information
- Including unfamiliar concepts or terms
- Long, convoluted sentences.

General Tips for Writing A Grant Application

Use strong words that make your proposal lively and stand out from others. A good source for examples of creative wording is the book *Spunk and Bite*. Examples of weighty words:

- Innovative, ground-breaking, pioneering instead of new
- Impoverished, poverty-stricken, needy instead of poor

Make the language tight—pare down and condense — more is not necessarily better, especially if there are page limits!

The bottom line is that in order to develop a program that will be funded; the program must seek to solve the problem or address the need that both your organization and the funder are interested in and the project must generate results that are measurable.

Give the reviewer hope. The picture you paint should not be so grim that the solution appears hopeless. If you do that, the funder will wonder whether an investment in your solution would be worthwhile. Here's an example of a solid statement of need that is hopeful: *"Breast cancer kills. But statistics prove that regular check-ups catch most breast cancer in the early stages, reducing the likelihood of death. Hence, a program to encourage preventive check-ups will reduce the risk of death due to breast cancer."*

Decide whether you can demonstrate that your project / program addresses the need differently or better than others that preceded it. It is often difficult to describe the need for your project / program without being critical of the competition. Being critical of others will not be well received by the funder. It may cause the funder to look more carefully at your own project / program to see why you felt you had to build your case by demeaning others. The funder may have invested in these other projects or may begin to consider them, now that you

have brought them to the funder's attention. If possible, you should make it clear that you are cognizant of, and on good terms with, others doing work in your field.

Avoid circular reasoning. When you use circular reasoning, you would typically present the absence of your solution as the actual problem. Then your solution is offered as the way to solve the problem. For example, the circular reasoning for building a community swimming pool might go like this: *"The problem is that we have no pool in our community. Building a pool will solve the problem."* A more persuasive case would show what a pool has meant to a neighboring community, permitting it to offer recreation, exercise, and physical therapy programs. The statement might refer to a survey that underscores the target audience's planned usage of the facility and conclude with the connection between the proposed usage and potential benefits to enhance life in the community.

Using Data and Statistics

The role of data and statistics is to back up the issue that you are addressing, by utilizing reliable information sources. The data you use should be as current as possible and it should be unbiased. In order to make sure that you are using unbiased data, you need to be aware of who did the research and who funded it. In addition, use authoritative data that is considered reputable by others. Data functions to describe, compare, trend, predict and explain.

Decide which facts or statistics best support the project. Be sure the data you present is accurate. There are few things more embarrassing than to have the funder tell you that your information is out of date or incorrect. Information that is too generic or broad will not help you develop a winning argument for your project. Similarly, using information that does not relate to your organization or to the project you are presenting will cause the funder to question the entire proposal.

Data Searches and Useful Web Sites for Accessing Data / Statistics

Demographic information clearinghouses, federal agencies, state agencies, foundations and other nonprofits, databases, scholarly journals and articles, and industry publications are key resources for gathering statistics and data.

US Census Website

www.census.gov

Of particular interest is information about Sullivan County and its communities that is available through the US Census web site. A good starting point is to go to Sullivan County QuickFacts at <http://quickfacts.census.gov/qfd/states/36/36105.html> . You can also find a Fact Sheet for the city/town name or zip code that you are focusing on. The Fact Sheet will provide information such as population, median household income, number of individuals speaking languages other than English at home, poverty levels, etc. National comparisons are also available on the Fact Sheet. You can print a Fact Sheet out for New York which will allow you to compare your community to the state as a whole.

American Fact Finder

<http://factfinder2.census.gov/faces/nav/jsf/pages/index.xhtml>

This is another handy tool to provide you with statistics. The data is compiled from several censuses and from a number of separate surveys such as the American Community Survey and the American Housing Survey. You can obtain data at the state, county, municipality, town, zip code, census tract, and block group level. Reference maps are available so you can pinpoint the exact locations for which you need data. Information can be downloaded into Excel files.

FedStats & Federal Agency Websites

www.fedstats.gov

Search by keyword or topic and this site will link you to federal agencies who maintain those statistics. Search by location and you will pull up a fact sheet for that location (*also available on the Census website*). You can also search by agency. Many federal agencies maintain a lot of research information online.

A few examples include:

- Bureau of Labor Statistics: www.bls.gov. This is often fastest way to find information at the national, state, or local level is (*click on —Local Unemployment Rates on the right and scroll down to find NY information*);
- USDA Economic Research Service: www.ers.usda.gov (*Try —Publications or —Data Sources*);

- Department of Health & Human Services: www.hhs.gov/reference/;
- HHS Reference Collection: <http://datacenter.kidscount.org/>; and
- Administration for Children and Families: www.acf.hhs.gov

NYS Agency Websites

Websites from various agencies in New York State offer a wealth of information. See for example, the NYS Department of Health's web site to access details about Sullivan County's health status. <http://www.health.ny.gov/statistics/>

Another example is the NYS Office for the Aging web site which also provides data about both the State and County aging population. <http://www.aging.ny.gov/ReportsAndData/Index.cfm>

For assistance in locating other NYS Agency data / statistics – please feel free to contact DGA.

Demographics Now www.freedemographics.com

This is a free information service. Basic demographic data including income and employment statistics can be found on the website. You can search by the entire US, State, County, Census Tract, Block Group, US Places, ZIP Codes, etc. Information can be downloaded.