

NEW YORK STATE AGREEMENT

CONTRACT FACE PAGE

Local Government Efficiency Grant Program 2011-2012

STATE AGENCY

NYS Department of State
One Commerce Plaza, 10th Floor
99 Washington Avenue
Albany, NY 12231

NYS CONTRACT #: T1000012**ORIGINATING AGENCY CODE:** 3800000**TYPE OF PROGRAM:**

2011-2012 Local Government Efficiency Grant

State 100% Federal 0%**CONTRACTOR (Name and Address):**

Village of Lyons
76 William Street
Lyons, NY14489

FEDERAL FUNDS CFDA #: NA**INITIAL CONTRACT PERIOD:****FROM:** 04/01/2011 **TO:** 03/31/2014**MULTI-YEAR TERM:****FROM:** NA **TO:** NA**VENDOR IDENTIFICATION****NUMBER** n/a**FEDERAL TAX IDENTIFICATION****NUMBER:** 15-6001329**MUNICIPAL CODE#** 540449102820**TOTAL PROJECT COST** \$55,000.00**STATE FUNDING** \$49,500.00**LOCAL SHARE** \$5,500.00**STATUS**

Sectarian entity? Yes ___ No X
Not-for-profit organization? Yes ___ No X

CHARITIES REGISTRATION NUMBER _____ - _____ - _____ / **EXEMPTION (E-2)** - _____ **ESTATES, POWERS AND TRUSTS LAWS REPORTING EXEMPTION (E-3)** - _____

If you did not claim an exemption to both of the items above, you must check the applicable response in the following:
Contractor has ___ / has not ___ timely filed with the Attorney General's Charities Bureau all required periodic or annual written reports.

APPENDICES ATTACHED TO AND PART OF THIS AGREEMENT

APPENDIX A: Standard clauses as required by the Attorney General for all state contracts
APPENDIX A1: Agency-Specific Clauses
APPENDIX B: Budget
APPENDIX C: Payment and Reporting Schedule
APPENDIX D: Program Work Plan
APPENDIX F: Notices
APPENDIX X: Modification Agreement Form (to accompany modified appendices for changes in term or consideration on an existing period or for renewal periods)

IN WITNESS THEREOF, the parties hereto have executed or approved this AGREEMENT on the dates below their signatures.

CONTRACTOR:

STATE AGENCY:

Village of Lyons

New York State Department of State

By: Corrine Kleisle

By: _____

Corrine Kleisle
(Print Name)

Title: Mayor

Title: _____

Date: November 26, 2012

Date: _____

State Agency Certification

"In addition to the acceptance of this contract, I also certify that original copies of this signature page will be attached to all other exact copies of this contract."

GOVERNMENTAL BODY

State of New York

County of Wayne)ss:

On this 26 day of November, 2012, before me personally came Corrine Kleisle to me known, who, being by me duly sworn, did depose and say 5 he is the Mayor of Village of Lyons the municipality described in and which executed the above instrument; and that 5 he signed his/her name thereto by order of the local legislative body of the above mentioned municipality.

DENISE M. DARCANGELIS
Notary Public, State of New York
No. 01DA6158391
Qualified in Wayne County
Commission Expires Jan 2, 2015

Denise M. Darcangelis
NOTARY PUBLIC

Approved: New York State Attorney General
Eric T. Schneiderman

Approved: New York State Comptroller
Thomas P. DiNapoli

Title: _____

Title: _____

Date: _____

Date: _____

STATE OF NEW YORK AGREEMENT

The AGREEMENT is hereby made by and between the State of New York agency (STATE) and the public or private agency (CONTRACTOR) identified on the face page hereof.

WITNESS TO:

WHEREAS, the STATE has the authority to regulate and provide funding for the establishment and operation of program services and desires to contract with skilled parties possessing the necessary resources to provide such services; and

WHEREAS, the CONTRACTOR is ready, willing and able to provide such program services and possesses or can make available all necessary qualified personnel, licenses, facilities and expertise to perform or have performed the services required pursuant to the terms of this AGREEMENT;

NOW, THEREFORE, in consideration of the promises, responsibilities and covenants herein, the STATE and the CONTRACTOR agree as follows:

I. Conditions of Agreement

- A. This AGREEMENT may consist of successive periods (PERIOD), as specified within the AGREEMENT or within a subsequent Modification Agreement(s) (Appendix X). Each additional or superseding PERIOD shall be on the forms specified by the particular State agency, and shall be incorporated into this AGREEMENT.
- B. Funding for the first PERIOD shall not exceed the funding amount specified on the face page hereof. Funding for each subsequent PERIOD, if any, shall not exceed the amount specified in the appropriate appendix for that PERIOD.
- C. This AGREEMENT incorporates the face pages attached and all of the marked appendices identified on the face page hereof.
- D. For each succeeding PERIOD of this AGREEMENT, the parties shall prepare new appendices, to the extent that any require modification, and a Modification Agreement (the attached Appendix X is the blank form to be used). Any terms of this AGREEMENT not modified shall remain in effect for each PERIOD of the AGREEMENT.

To modify the AGREEMENT within an existing PERIOD, the parties shall revise or complete the appropriate appendix form(s). Any change in the amount of consideration to be paid, or change in the term, is subject to the approval of the Office of the State Comptroller. Any other modifications shall be processed in accordance with agency provided guidelines and instructions.

- E. The CONTRACTOR shall perform all services to the satisfaction of the STATE. The CONTRACTOR shall provide services and meet the program objectives summarized in the Program Work Plan (Appendix D) in accordance with: provisions of the AGREEMENT, relevant laws, rules and regulations, administrative and fiscal guidelines; and where applicable, operating certificates for facilities or licenses for an activity or program.
- F. If the CONTRACTOR enters into subcontracts for the performance of work pursuant to this AGREEMENT, the CONTRACTOR shall take full responsibility for the acts and omissions of its subcontractors. Nothing in the subcontract shall impair the rights of the STATE under this AGREEMENT. No contractual relationship shall be deemed to exist between the subcontractor and the STATE.
- G. Appendix A. (Standard Clauses for all New York State contracts) takes precedence over all other parts of the AGREEMENT.

II. Payment and Reporting

- A. The CONTRACTOR, to be eligible for payment, shall submit to the STATE's designated payment office (identified in Appendix C) any appropriate documentation as required by the Payment and Reporting Schedule (Appendix C) and by agency fiscal guidelines, in a manner acceptable to the STATE.

- B. The STATE shall make payments and any reconciliations in accordance with the Payment and Reporting Schedule (Appendix C). The STATE shall pay the CONTRACTOR, in consideration of contract services for a given PERIOD, a sum not to exceed the amount noted on the face page hereof or in the respective Appendix designating the payment amount for that given PERIOD. This sum shall not duplicate reimbursement from other sources for CONTRACTOR costs and services provided pursuant to this AGREEMENT.
- C. The CONTRACTOR shall meet the audit requirements specified by the STATE.

III. Terminations

1. This AGREEMENT may be terminated at any time upon mutual written consent of the STATE and the CONTRACTOR.
2. The STATE may terminate the AGREEMENT immediately, upon written notice of termination to the CONTRACTOR, if the CONTRACTOR fails to comply with the terms and conditions of this AGREEMENT and/or with any laws, rules, regulations, policies or procedures affecting this AGREEMENT.
3. The STATE may also terminate this AGREEMENT for any reason in accordance with provisions set forth in Appendix A1.
4. Written notice of termination, where required, shall be sent by personal messenger service or by certified mail, return receipt requested. The termination shall be effective in accordance with terms of the notice.
5. Upon receipt of notice of termination, the CONTRACTOR shall cancel, prior to the effective date of any prospective termination, all outstanding obligations, and agrees not to incur any new obligations after receipt of the notice without approval by the STATE.
6. The STATE shall be responsible for payment on claims pursuant to services provided and costs incurred pursuant to terms of the AGREEMENT. In no event shall the STATE be liable for expenses and obligations arising from the program(s) in this AGREEMENT after the termination date.

IV. Indemnification

- A. The CONTRACTOR shall be solely responsible and answerable in damages for any and all accident and/or injuries to person (including death) or property arising out of or related to the services to be rendered by the CONTRACTOR or its subcontractors pursuant to this AGREEMENT. The CONTRACTOR shall indemnify and hold harmless the STATE and its officers and employees from claims, suits, actions, damages and costs of every nature arising out of the provision of services pursuant to this AGREEMENT.
- B. The CONTRACTOR is an independent contractor and may neither hold itself out nor claim to be an officer, employee or subdivision of the STATE nor make any claim, demand or application to or for any right based upon any different status.

V. Property

Any equipment, furniture, supplies or other property purchased pursuant to this AGREEMENT is deemed to be the property of the STATE except as may otherwise be governed by Federal or State laws, rules or regulations, or as stated in Appendix A1.

VI. Safeguards for Services and Confidentiality

- A. Services performed pursuant to this AGREEMENT are secular in nature and shall be performed in a manner that does not discriminate on the basis of religious belief, or promote or discourage adherence to religion in general or particular religious beliefs.
- B. Funds provided pursuant to this AGREEMENT shall not be used for any partisan political activity, or for activities that may influence legislation or the election or defeat of any candidate for public office.
- C. Information relating to individuals who may receive services pursuant to this AGREEMENT shall be maintained and used only for the purposes intended under the contract and in conformity with applicable provisions of laws and regulations, or specified in Appendix A1.

APPENDIX A
STANDARD CLAUSES FOR NYS CONTRACTS
December 2011

STANDARD CLAUSES FOR NYS CONTRACTS

The parties to the attached contract, license, lease, amendment or other agreement of any kind (hereinafter, "the contract" or "this contract") agree to be bound by the following clauses which are hereby made a part of the contract (the word "Contractor" herein refers to any party other than the State, whether a contractor, licenser, licensee, lessor, lessee or any other party):

1. EXECUTORY CLAUSE. In accordance with Section 41 of the State Finance Law, the State shall have no liability under this contract to the Contractor or to anyone else beyond funds appropriated and available for this contract.

2. NON-ASSIGNMENT CLAUSE. In accordance with Section 138 of the State Finance Law, this contract may not be assigned by the Contractor or its right, title or interest therein assigned, transferred, conveyed, sublet or otherwise disposed of without the State's previous written consent, and attempts to do so are null and void. Notwithstanding the foregoing, such prior written consent of an assignment of a contract let pursuant to Article XI of the State Finance Law may be waived at the discretion of the contracting agency and with the concurrence of the State Comptroller where the original contract was subject to the State Comptroller's approval, where the assignment is due to a reorganization, merger or consolidation of the Contractor's business entity or enterprise. The State retains its right to approve an assignment and to require that any Contractor demonstrate its responsibility to do business with the State. The Contractor may, however, assign its right to receive payments without the State's prior written consent unless this contract concerns Certificates of Participation pursuant to Article 5-A of the State Finance Law.

3. COMPTROLLER'S APPROVAL. In accordance with Section 112 of the State Finance Law (or, if this contract is with the State University or City University of New York, Section 355 or Section 6218 of the Education Law), if this contract exceeds \$50,000 (or the minimum thresholds agreed to by the Office of the State Comptroller for certain S.U.N.Y. and C.U.N.Y. contracts), or if this is an amendment for any amount to a contract which, as so amended, exceeds said statutory amount, or if, by this contract, the State agrees to give something other than money when the value or reasonably estimated value of such consideration exceeds \$10,000, it shall not be valid, effective or binding upon the State until it has been approved by the State Comptroller and filed in his office. Comptroller's approval of contracts let by the Office of General Services is required when such contracts exceed \$85,000 (State Finance Law Section 163.6.a).

4. WORKERS' COMPENSATION BENEFITS. In accordance with Section 142 of the State Finance Law, this contract shall be void and of no force and effect unless the Contractor shall provide and maintain coverage during the life of this contract for the benefit of such employees as are required

to be covered by the provisions of the Workers' Compensation Law.

5. NON-DISCRIMINATION REQUIREMENTS. To the extent required by Article 15 of the Executive Law (also known as the Human Rights Law) and all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor will not discriminate against any employee or applicant for employment because of race, creed, color, sex, national origin, sexual orientation, age, disability, genetic predisposition or carrier status, or marital status. Furthermore, in accordance with Section 220-e of the Labor Law, if this is a contract for the construction, alteration or repair of any public building or public work or for the manufacture, sale or distribution of materials, equipment or supplies, and to the extent that this contract shall be performed within the State of New York, Contractor agrees that neither it nor its subcontractors shall, by reason of race, creed, color, disability, sex, or national origin: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. If this is a building service contract as defined in Section 230 of the Labor Law, then, in accordance with Section 239 thereof, Contractor agrees that neither it nor its subcontractors shall by reason of race, creed, color, national origin, age, sex or disability: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. Contractor is subject to fines of \$50.00 per person per day for any violation of Section 220-e or Section 239 as well as possible termination of this contract and forfeiture of all moneys due hereunder for a second or subsequent violation.

6. WAGE AND HOURS PROVISIONS. If this is a public work contract covered by Article 8 of the Labor Law or a building service contract covered by Article 9 thereof, neither Contractor's employees nor the employees of its subcontractors may be required or permitted to work more than the number of hours or days stated in said statutes, except as otherwise provided in the Labor Law and as set forth in prevailing wage and supplement schedules issued by the State Labor Department. Furthermore, Contractor and its subcontractors must pay at least the prevailing wage rate and pay or provide the prevailing supplements, including the premium rates for overtime pay, as determined by the State Labor Department in accordance with the Labor Law. Additionally, effective April 28, 2008, if this is a public work contract covered by Article 8 of the Labor Law, the Contractor understands and agrees that the filing of payrolls in a manner consistent with Subdivision 3-a of Section 220 of the Labor Law shall be a condition precedent to payment by the State of any State approved sums due and owing for work done upon the project.

7. NON-COLLUSIVE BIDDING CERTIFICATION. In accordance with Section 139-d of the State Finance Law, if this contract was awarded based upon the submission of bids, Contractor affirms, under penalty of perjury, that its bid was arrived at independently and without collusion aimed at restricting competition. Contractor further affirms that, at the time Contractor submitted its bid, an authorized and responsible person executed and delivered to the State a non-collusive bidding certification on Contractor's behalf.

8. INTERNATIONAL BOYCOTT PROHIBITION. In accordance with Section 220-f of the Labor Law and Section 139-h of the State Finance Law, if this contract exceeds \$5,000, the Contractor agrees, as a material condition of the contract, that neither the Contractor nor any substantially owned or affiliated person, firm, partnership or corporation has participated, is participating, or shall participate in an international boycott in violation of the federal Export Administration Act of 1979 (50 USC App. Sections 2401 et seq.) or regulations thereunder. If such Contractor, or any of the aforesaid affiliates of Contractor, is convicted or is otherwise found to have violated said laws or regulations upon the final determination of the United States Commerce Department or any other appropriate agency of the United States subsequent to the contract's execution, such contract, amendment or modification thereto shall be rendered forfeit and void. The Contractor shall so notify the State Comptroller within five (5) business days of such conviction, determination or disposition of appeal (2NYCRR 105.4).

9. SET-OFF RIGHTS. The State shall have all of its common law, equitable and statutory rights of set-off. These rights shall include, but not be limited to, the State's option to withhold for the purposes of set-off any moneys due to the Contractor under this contract up to any amounts due and owing to the State with regard to this contract, any other contract with any State department or agency, including any contract for a term commencing prior to the term of this contract, plus any amounts due and owing to the State for any other reason including, without limitation, tax delinquencies, fee delinquencies or monetary penalties relative thereto. The State shall exercise its set-off rights in accordance with normal State practices including, in cases of set-off pursuant to an audit, the finalization of such audit by the State agency, its representatives, or the State Comptroller.

10. RECORDS. The Contractor shall establish and maintain complete and accurate books, records, documents, accounts and other evidence directly pertinent to performance under this contract (hereinafter, collectively, "the Records"). The Records must be kept for the balance of the calendar year in which they were made and for six (6) additional years thereafter. The State Comptroller, the Attorney General and any other person or entity authorized to conduct an examination, as well as the agency or agencies involved in this contract, shall have access to the Records during normal business hours at an office of the Contractor within the State of New York or, if no such office is available, at a mutually agreeable and reasonable venue within the State, for the term specified above for the purposes of inspection, auditing and copying. The State shall take reasonable steps to protect from public disclosure any of the

Records which are exempt from disclosure under Section 87 of the Public Officers Law (the "Statute") provided that: (i) the Contractor shall timely inform an appropriate State official, in writing, that said records should not be disclosed; and (ii) said records shall be sufficiently identified; and (iii) designation of said records as exempt under the Statute is reasonable. Nothing contained herein shall diminish, or in any way adversely affect, the State's right to discovery in any pending or future litigation.

11. IDENTIFYING INFORMATION AND PRIVACY NOTIFICATION. (a) Identification Number(s). Every invoice or New York State Claim for Payment submitted to a New York State agency by a payee, for payment for the sale of goods or services or for transactions (e.g., leases, easements, licenses, etc.) related to real or personal property must include the payee's identification number. The number is any or all of the following: (i) the payee's Federal employer identification number, (ii) the payee's Federal social security number, and/or (iii) the payee's Vendor Identification Number assigned by the Statewide Financial System. Failure to include such number or numbers may delay payment. Where the payee does not have such number or numbers, the payee, on its invoice or Claim for Payment, must give the reason or reasons why the payee does not have such number or numbers.

(b) Privacy Notification. (1) The authority to request the above personal information from a seller of goods or services or a lessor of real or personal property, and the authority to maintain such information, is found in Section 5 of the State Tax Law. Disclosure of this information by the seller or lessor to the State is mandatory. The principal purpose for which the information is collected is to enable the State to identify individuals, businesses and others who have been delinquent in filing tax returns or may have understated their tax liabilities and to generally identify persons affected by the taxes administered by the Commissioner of Taxation and Finance. The information will be used for tax administration purposes and for any other purpose authorized by law. (2) The personal information is requested by the purchasing unit of the agency contracting to purchase the goods or services or lease the real or personal property covered by this contract or lease. The information is maintained in the Statewide Financial System by the Vendor Management Unit within the Bureau of State Expenditures, Office of the State Comptroller, 110 State Street, Albany, New York 12236.

12. EQUAL EMPLOYMENT OPPORTUNITIES FOR MINORITIES AND WOMEN. In accordance with Section 312 of the Executive Law and 5 NYCRR 143, if this contract is: (i) a written agreement or purchase order instrument, providing for a total expenditure in excess of \$25,000.00, whereby a contracting agency is committed to expend or does expend funds in return for labor, services, supplies, equipment, materials or any combination of the foregoing, to be performed for, or rendered or furnished to the contracting agency; or (ii) a written agreement in excess of \$100,000.00 whereby a contracting agency is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon; or (iii) a written agreement in excess of \$100,000.00 whereby the owner of a State assisted housing project is committed to expend or does expend funds for the acquisition,

construction, demolition, replacement, major repair or renovation of real property and improvements thereon for such project, then the following shall apply and by signing this agreement the Contractor certifies and affirms that it is Contractor's equal employment opportunity policy that:

(a) The Contractor will not discriminate against employees or applicants for employment because of race, creed, color, national origin, sex, age, disability or marital status, shall make and document its conscientious and active efforts to employ and utilize minority group members and women in its work force on State contracts and will undertake or continue existing programs of affirmative action to ensure that minority group members and women are afforded equal employment opportunities without discrimination. Affirmative action shall mean recruitment, employment, job assignment, promotion, upgradings, demotion, transfer, layoff, or termination and rates of pay or other forms of compensation;

(b) at the request of the contracting agency, the Contractor shall request each employment agency, labor union, or authorized representative of workers with which it has a collective bargaining or other agreement or understanding, to furnish a written statement that such employment agency, labor union or representative will not discriminate on the basis of race, creed, color, national origin, sex, age, disability or marital status and that such union or representative will affirmatively cooperate in the implementation of the Contractor's obligations herein; and

(c) the Contractor shall state, in all solicitations or advertisements for employees, that, in the performance of the State contract, all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status.

Contractor will include the provisions of "a", "b", and "c" above, in every subcontract over \$25,000.00 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 Contractor. Section 312 does not apply to: (i) work, goods or services unrelated to this contract; or (ii) employment outside New York State. The State shall consider compliance by a contractor or subcontractor with the requirements of any federal law concerning equal employment opportunity which effectuates the purpose of this section. The contracting agency shall determine whether the imposition of the requirements of the provisions hereof duplicate or conflict with any such federal law and if such duplication or conflict exists, the contracting agency shall waive the applicability of Section 312 to the extent of such duplication or conflict. Contractor will comply with all duly promulgated and lawful rules and regulations of the Department of Economic Development's Division of Minority and Women's Business Development pertaining hereto.

13. CONFLICTING TERMS. In the event of a conflict between the terms of the contract (including any and all attachments thereto and amendments thereof) and the terms of this Appendix A, the terms of this Appendix A shall control.

14. GOVERNING LAW. This contract shall be governed by the laws of the State of New York except where the Federal supremacy clause requires otherwise.

20. OMNIBUS PROCUREMENT ACT OF 1992. It is the

15. LATE PAYMENT. Timeliness of payment and any interest to be paid to Contractor for late payment shall be governed by Article 11-A of the State Finance Law to the extent required by law.

16. NO ARBITRATION. Disputes involving this contract, including the breach or alleged breach thereof, may not be submitted to binding arbitration (except where statutorily authorized), but must, instead, be heard in a court of competent jurisdiction of the State of New York.

17. SERVICE OF PROCESS. In addition to the methods of service allowed by the State Civil Practice Law & Rules ("CPLR"), Contractor hereby consents to service of process upon it by registered or certified mail, return receipt requested. Service hereunder shall be complete upon Contractor's actual receipt of process or upon the State's receipt of the return thereof by the United States Postal Service as refused or undeliverable. Contractor must promptly notify the State, in writing, of each and every change of address to which service of process can be made. Service by the State to the last known address shall be sufficient. Contractor will have thirty (30) calendar days after service hereunder is complete in which to respond.

18. PROHIBITION ON PURCHASE OF TROPICAL HARDWOODS. The Contractor certifies and warrants that all wood products to be used under this contract award will be in accordance with, but not limited to, the specifications and provisions of Section 165 of the State Finance Law, (Use of Tropical Hardwoods) which prohibits purchase and use of tropical hardwoods, unless specifically exempted, by the State or any governmental agency or political subdivision or public benefit corporation. Qualification for an exemption under this law will be the responsibility of the contractor to establish to meet with the approval of the State.

In addition, when any portion of this contract involving the use of woods, whether supply or installation, is to be performed by any subcontractor, the prime Contractor will indicate and certify in the submitted bid proposal that the subcontractor has been informed and is in compliance with specifications and provisions regarding use of tropical hardwoods as detailed in §165 State Finance Law. Any such use must meet with the approval of the State; otherwise, the bid may not be considered responsive. Under bidder certifications, proof of qualification for exemption will be the responsibility of the Contractor to meet with the approval of the State.

19. MACBRIDE FAIR EMPLOYMENT PRINCIPLES. In accordance with the MacBride Fair Employment Principles (Chapter 807 of the Laws of 1992), the Contractor hereby stipulates that the Contractor either (a) has no business operations in Northern Ireland, or (b) shall take lawful steps in good faith to conduct any business operations in Northern Ireland in accordance with the MacBride Fair Employment Principles (as described in Section 165 of the New York State Finance Law), and shall permit independent monitoring of compliance with such principles.

policy of New York State to maximize opportunities for the

participation of New York State business enterprises, including minority and women-owned business enterprises as bidders, subcontractors and suppliers on its procurement contracts. Information on the availability of New York State subcontractors and suppliers is available from:

NYS Department of Economic Development
Division for Small Business
30 South Pearl St -- 7th Floor
Albany, New York 12245
Telephone: 518-292-5220
Fax: 518-292-5884
<http://www.empire.state.ny.us>

A directory of certified minority and women-owned business enterprises is available from:

NYS Department of Economic Development
Division of Minority and Women's Business Development
30 South Pearl St -- 2nd Floor
Albany, New York 12245
Telephone: 518-292-5250
Fax: 518-292-5803
<http://www.empire.state.ny.us>

The Omnibus Procurement Act of 1992 requires that by signing this bid proposal or contract, as applicable, Contractors certify that whenever the total bid amount is greater than \$1 million:

- (a) The Contractor has made reasonable efforts to encourage the participation of New York State Business Enterprises as suppliers and subcontractors, including certified minority and women-owned business enterprises, on this project, and has retained the documentation of these efforts to be provided upon request to the State;
- (b) The Contractor has complied with the Federal Equal Opportunity Act of 1972 (P.L. 92-261), as amended;
- (c) The Contractor agrees to make reasonable efforts to provide notification to New York State residents of employment opportunities on this project through listing any such positions with the Job Service Division of the New York State Department of Labor, or providing such notification in such manner as is consistent with existing collective bargaining contracts or agreements. The Contractor agrees to document these efforts and to provide said documentation to the State upon request; and
- (d) The Contractor acknowledges notice that the State may seek to obtain offset credits from foreign countries as a result of this contract and agrees to cooperate with the State in these efforts.

21. RECIPROCITY AND SANCTIONS PROVISIONS.

Bidders are hereby notified that if their principal place of business is located in a country, nation, province, state or political subdivision that penalizes New York State vendors, and if the goods or services they offer will be substantially produced or performed outside New York State, the Omnibus Procurement Act 1994 and 2000 amendments (Chapter 684 and Chapter 383, respectively) require that they be denied contracts which they would otherwise obtain. NOTE: As of May 15, 2002, the list of discriminatory jurisdictions subject to this provision includes the states of South Carolina, Alaska, West Virginia, Wyoming, Louisiana and Hawaii. Contact NYS Department of Economic Development for a current list of jurisdictions subject to this

provision.

22. COMPLIANCE WITH NEW YORK STATE INFORMATION SECURITY BREACH AND NOTIFICATION ACT.

Contractor shall comply with the provisions of the New York State Information Security Breach and Notification Act (General Business Law Section 899-aa; State Technology Law Section 208).

23. COMPLIANCE WITH CONSULTANT DISCLOSURE LAW.

If this is a contract for consulting services, defined for purposes of this requirement to include analysis, evaluation, research, training, data processing, computer programming, engineering, environmental, health, and mental health services, accounting, auditing, paralegal, legal or similar services, then, in accordance with Section 163 (4-g) of the State Finance Law (as amended by Chapter 10 of the Laws of 2006), the Contractor shall timely, accurately and properly comply with the requirement to submit an annual employment report for the contract to the agency that awarded the contract, the Department of Civil Service and the State Comptroller.

24. PROCUREMENT LOBBYING.

To the extent this agreement is a "procurement contract" as defined by State Finance Law Sections 139-j and 139-k, by signing this agreement the contractor certifies and affirms that all disclosures made in accordance with State Finance Law Sections 139-j and 139-k are complete, true and accurate. In the event such certification is found to be intentionally false or intentionally incomplete, the State may terminate the agreement by providing written notification to the Contractor in accordance with the terms of the agreement.

25. CERTIFICATION OF REGISTRATION TO COLLECT SALES AND COMPENSATING USE TAX BY CERTAIN STATE CONTRACTORS, AFFILIATES AND SUBCONTRACTORS.

To the extent this agreement is a contract as defined by Tax Law Section 5-a, if the contractor fails to make the certification required by Tax Law Section 5-a or if during the term of the contract, the Department of Taxation and Finance or the covered agency, as defined by Tax Law 5-a, discovers that the certification, made under penalty of perjury, is false, then such failure to file or false certification shall be a material breach of this contract and this contract may be terminated, by providing written notification to the Contractor in accordance with the terms of the agreement, if the covered agency determines that such action is in the best interest of the State.

APPENDIX A1

Agency-Specific Clauses

I. This Agreement has been entered into pursuant to the following understandings:

- A. The 2011-2012 Fiscal Year Budget provides aid to municipalities under the Local Government Efficiency (LGE) Grant Program to assist Local Governments develop projects that will achieve savings and improve municipal efficiency.
- B. The Department is authorized to evaluate and determine eligibility of applications for funding of projects.
- C. Based upon information, representations and certifications contained in Contractor's application for funding, including the Work Program as set forth in Appendix D, the Department has made a determination of eligibility of funding for Contractor's project under such Budget Act.
- D. State funds (Funding Amount set forth on the Face Page) for this Project (Appendix D Program Work Plan) are provided pursuant to an appropriation of funds made by the 2011-2012 Fiscal Year Budget.

II. General

- A. For the purposes of this Agreement, the terms "State" and "Department" are interchangeable, unless the context requires otherwise.
- B. The contract period as set forth on the Face Page is the inclusive period within which the provisions of this Agreement shall be performed. No costs will be reimbursed for liabilities incurred outside of this period.
- C. Subject to the availability of funds, determination by the Department that it is in the best interest of the Project and the State, and upon mutual execution of an Appendix X and approval by the Office of State Comptroller, the term of this Agreement may be extended by two Contract Periods not to exceed twelve (12) months each.
- D. No liabilities are to be incurred beyond the termination date and no costs will be reimbursed for such liabilities unless: 1) funds have been reappropriated for the Project in the subsequent State fiscal year; 2) the Department determines that it is in the best interest of the Department and the State to provide additional time to complete the Project; and 3) an extension agreement is approved in accordance with Section IA of the Agreement.
- E. The Department shall not be liable for expenses of any kind incurred in excess of the State Funds as set forth on the Face Page, and shall not be responsible for seeking additional appropriations or other sources of funds for the Project.
- F. The Contractor shall perform all services to the satisfaction of the Department. The Contractor shall provide all services and meet the program objectives described in Appendix D in accordance with: provisions of this Agreement; relevant State, federal and local laws, rules and regulations, administrative and fiscal guidelines; where applicable, operating certificates for facilities or licenses for an activity or program, and conditions of applicable permits, administrative orders and judicial orders.
- G. The Contractor shall submit with its request for final payment a Final Project Summary Report in the format available on the Department of State's website, <http://www.dos.ny.gov/LG/lge-grant.html>.
- H. The Contractor agrees to proceed expeditiously with the Project and to complete the Project in accordance with the timetable set forth in the Work Plan (Appendix D) as well as with the conditions of any applicable permits, administrative orders, or judicial orders and this Agreement.
- I. The Department will provide Contractor with a Quarterly Contractor Report form, available on the Department of State's website, <http://www.dos.ny.gov/LG/lge-grant.html>, pursuant to the Department's Minority and Women-owned Business enterprises program as discussed in Section XIII in Appendix A1. Such report shall be provided to the Department at the address on the Quarterly Contractor Report.
- J. The Contractor shall submit two copies of a "Project Status Report", available on the Department of State's website, <http://www.dos.ny.gov/LG/lge-grant.html>, every six months from Contract execution date.

III. Reports, Documents and Maps

- A. The Contractor shall identify documents, reports, and maps produced in whole or in part under this Agreement by endorsing on said documents, reports, and maps the following:

"This (document, report, map, etc.) was prepared with funds provided by the New York Department of State under the Local Government Efficiency Grant Program."

- B. The Department of State requires a project sign at the site of all construction projects, which involve more than \$50,000 of LGE funds. The expense associated with meeting this requirement is an eligible expense and may be charged as a construction or administration expense.

The specifications for the sign are as follows:

Installation

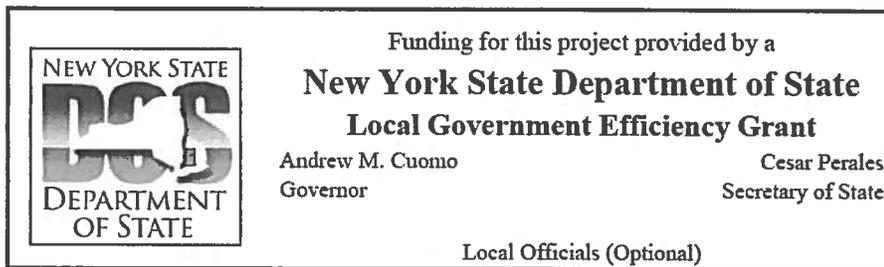
1. Install sign at the site within one week of the start of construction.
2. Erect sign in a prominent location, secure from vandalism.

Materials

1. Signboard: 4' X 8', 3/4" plywood, MDO B-B EXT-APA.
2. Primer: As recommended by finish coat manufacturer for the substrate and finish material.
3. Lettering and striping shall be uniform with sharp, neat profiles.
4. "Optional Information" included on sign shall be visually subordinate to other information provided.
5. Supports: Treated (Douglas Fir) posts.
6. The "New York State" Coat of Arms shall be at 2' x 2' in size.

Maintenance and Removal

1. Maintain the sign plumb and level for the duration of the work.
2. Remove the sign from the property within 10 days of final payment.



IV. License to Use and Reproduce Documents and Other Works:

By acceptance of this Agreement, Contractor transfers to the Department a nonexclusive license to use, reproduce in any medium, and distribute any work prepared for or in connection with the Project, including but not limited to reports, maps, designs, plans, analysis, and documents regardless of the medium in which they are originally produced. Contractor warrants to the Department that it has sufficient title or interest in such works to license pursuant to this Agreement. Such warranty shall survive the termination of this agreement. Contractor agrees to provide the original of each such work, or a copy thereof which is acceptable to the Department, to the Department before payments shall be made under this Agreement.

V. Property

Pursuant to the provisions set forth in Section V, page 4 of this Agreement, the ownership of all property described therein shall reside with the Contractor unless otherwise specified in writing by the Department at any time during the term of this Agreement and up to thirty (30) days following the issuance of the final payment.

VI. Year 2000 Warranty

NEW YORK STATE YEAR 2000 WARRANTY STANDARD

Updated: 6/2005

Date and Time Warranty

Contractor warrants that Product(s) furnished pursuant to this Agreement shall, when used in accordance with the Product documentation, be able to accurately process date/time data (including, but not limited to, calculating, comparing, and sequencing) transitions, including leap year calculations. Where a Contractor proposes, or/and acquisition requires that specific Products must

perform as a package or system, this warranty shall apply to the Products as a system.

Where Contractor is providing ongoing services, including but not limited to: i) consulting, integration, code or data conversion, ii) maintenance or support services, iii) data entry or processing, or iv) contract administration services (e.g. billing, invoicing, claim processing), Contractor warrants that services shall be provided in an accurate and timely manner without interruption, failure or error due to inaccuracy of Contractor's business operations in processing date/time data (including, but not limited to, calculating, comparing, and sequencing) various date/time transitions, including leap year calculations. Contractor shall be responsible for damages resulting from any delays, errors or untimely performance resulting therefrom, including but not limited to the failure or untimely performance of such services.

This Date/Time Warranty shall survive beyond termination or expiration of this Agreement through: a) ninety (90) days or b) the Contractor's or Product manufacturer/developer's stated date/time warranty term, whichever is longer. Nothing in this warranty statement shall be construed to limit any rights or remedies otherwise available under this Agreement for breach of warranty.

VII. Terminations

- A. In addition to any other actions authorized by this Agreement, the Department may terminate the Agreement in the best interests of the State of New York by providing written notice to the Contractor as provided in this Agreement.
- B. The Contractor shall complete the project as set forth in this Agreement, and failure to render satisfactory progress or to complete the project to the satisfaction of the State may be deemed an abandonment of the project and may cause the suspension or termination of any obligation of the State. In the event the Contractor should be deemed to have abandoned the project for any reason or cause other than a national emergency or an Act of God, all monies paid to the Contractor by the State and not expended in accordance with this Agreement shall be repaid to the State upon demand. If such monies are not repaid within one year after such demand, the State Comptroller of the State of New York may cause to be withheld from the Contractor any State assistance to which the Contractor would otherwise be entitled in an amount equal to the monies demanded.
- C. In the event that the Department has provided written notice to the Contractor directing that the Contractor correct any failure to comply with this Agreement, the Department reserves the right to direct that the Contractor suspend all work during a period of time to be determined by the Department. If the Contractor does not correct such failures during the period provided for in the notice, this Agreement shall be deemed to be terminated after expiration of such time period. During any such suspension, the Contractor agrees not to incur any new obligations after receipt of the notice without approval by the Department.

VIII. Subcontracting Requirements

The Contractor may subcontract for all or any portion of the activities covered by this Agreement as provided for in Appendix D subject to prior approval of the Department of the terms of any subcontract.

IX. Requirements for Contract Map Products

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X. Compliance with Procurement Requirements

- A. All contracts by municipalities for service, labor, and construction involving not more than \$35,000 and purchase contracts involving not more than \$20,000 are subject to the requirements of General Municipal Law §104-b, which requires such contracts to comply with the procurement policies and procedures of the municipality involved. All such contracts shall be awarded after and in accordance with such municipal procedures, subject to any additional requirements imposed by the State as set forth in Appendix D hereof.
- B. The municipal attorney, chief legal officer or financial administrator of the Contractor shall certify to the Department of State that applicable public bidding procedures of General Municipal Law §103 were followed for all service, labor, and construction contracts involving more than \$35,000 and all purchase contracts involving more than \$20,000. In the case of contracts by municipalities service, labor, and construction contracts involving not more than \$35,000 and purchase contracts involving not more than \$20,000, the municipal attorney, chief legal officer or financial administrator shall certify that the procedures of the municipality established pursuant to General Municipal Law §104-b were fully complied with.

XI. Payment and Records Retention

- A. Payments shall be made as set forth in Appendix C.
- B. The Contractor shall maintain, at its principal place of business, detailed books and accounting records supported by original documentation relating to the incurring of all expenditures, as well as payments made pursuant to this Agreement. The

Contractor shall make such records available for review by the Department upon request at any time. The Department shall have the right to conduct progress assessments and review books and records as necessary. The Department shall have the right to conduct an on-site review of the Project and/or books and records of the Contractor prior to, and for a reasonable time following, issuance of the FINAL payment. The Department shall be entitled to disallow any cost or expense, and/or terminate or suspend this Agreement, if the Contractor has misrepresented any expenditures or Project activities in its application to the Department, or in this Agreement, or in any progress reports or payment requests made pursuant hereto. The Contractor shall maintain such books and accounting records in a manner so that reports can be produced therefrom in accordance with generally accepted accounting principles. The Contractor shall maintain separate fiscal books and records for all funds received through the Department pursuant to this Agreement.

- C. During the term of this Agreement and for a period of six years after its termination, the Contractor shall make all such books and records available to the Department and the Office of the State Comptroller, or their designated representatives, for inspection and audit.

XII. Equal Opportunity

The Contractor hereby assures that it is, and shall be for the duration of this Agreement, in compliance with the Federal Equal Opportunity Act of 1972 (Public Law 92-261), as amended.

XIII. Article 15-A of The New York State Executive Law

The Department of State administers a Minority and Women-owned Business Enterprises (MWBE) Program as mandated by Article 15-A of the New York State Executive Law. This law supersedes any other provision in State law authorizing or requiring an equal employment opportunity program or a program for securing participation by minority and women-owned business enterprises. Under this law, all state agencies must, subject to certain exceptions, establish goals for minority and women-owned business participation in certain state contracts and grants. Where MWBE goals are required, even in circumstances where this goal is zero, a Quarterly Contractor Report is required to be submitted to the Minority and Women-owned Business Program of the Department available on the Department of State's website, <http://www.dos.ny.gov/LG/lge-grant.html>.

Article 15-A requires that rules and regulations be established for contracts entered into by the Department. In accordance with Article 15-A, goals must be set for contracts entered into by the Department in excess of \$25,000 for labor, services, supplies, equipment, and materials, or any combination of the foregoing, and for contracts entered into by the Department in excess of \$100,000 for acquisition, construction, demolition, replacement, major repair, renovation or improvement of real property. In applying these rules and regulations, the Department must consider the availability of certified minority and women-owned businesses in the region in which the state contract will be performed, the total dollar value of the contract, the scope of work to be performed, and the project size and term.

The Contractor will, when required as a part of the bid or proposal, submit a Staffing Plan on the form provided by the Department. This Plan will detail the work force anticipated in the performance of the state contract reported by ethnic background, gender, and Federal Occupational Categories.

After a bid opening and prior to the award of a state contract, the Contractor will submit an Equal Employment Opportunity (EEO) Policy Statement to the Department within the time frame established by the Department. The law requires that, as a precondition to entering into a valid and binding state contract, the Contractor will agree to the following stipulations and will include them in the EEO Policy Statement:

- The Contractor will not discriminate against any employee or applicant for employment because of race, creed, color, national origin, sex, age, disability or marital status.
- The Contractor will undertake or continue existing programs of affirmative action 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, affirmative action applies in areas of recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff, or termination and rates of pay or other forms of compensation.
- The Contractor will make active and conscientious efforts to employ and to utilize minority group members and women at all levels and in all segments of its work force on state contracts, and the Contractor will document these efforts.
- The Contractor will state in all solicitations and advertisements for employees that, in the performance of the state contract, all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status.
- The Contractor will, at the request of the Department, request each employment agency, labor union, or authorized

representative of workers with which it has a collective bargaining or other agreement or understanding, to furnish a written statement that such employment agency, labor union, or representative will not discriminate because of race, creed, color, national origin, sex, age, disability or marital status, and that such union or representative will affirmatively cooperate in the implementation of the Contractor's obligations herein.

- The Contractor will include the provisions regarding the EEO Policy Statement and the Staffing Plan enumerated above in each and every subcontract of a state contract in such a manner that the subcontractor is bound by these requirements.
- Failure to provide an EEO Policy Statement and a Staffing Plan without reasonable written justification or commitment to provide these requirements by a specified date will result in rejection of the Contractor's bid or proposal.
- After the award of a state contract, the Contractor will submit to the Department a Workforce Employment Utilization Report, on the form supplied by the Department, detailing the work force actually utilized on the state contract, by ethnic background, gender and Federal Occupational Categories, as specified on the form. This Report will be submitted to the Department on a quarterly basis throughout the life of the contract.
- The Contractor, and any of its subcontractors, may be required to submit compliance reports relating to their operations and implementation of their affirmative action or equal employment opportunity program in effect as of the date the state contract is executed.

Questions regarding this program should be directed to the Department's Minority and Women-owned Business Program by calling (518) 474-6740. Potential Contractors can access the NYS Directory of Certified Minority and Women-owned Business Enterprises on-line through the Empire State Development website at: <http://www.empire.state.ny.us> and click on NY ♡ BIZ. From the list on the top left of the page, click on **Small and Growing Business** and, from that drop-down menu, click on: **Minority and Women-Owned Business**. On the top of the page click on the heading "MWBE Directory."

The Department makes no representation with respect to the availability or capability of any business listed in the Directory.

XIV. Submission of all Correspondence, Project Documentation and Meeting Notification

- A. The Contractor agrees to provide the Department with one original and an electronic version (Word or PDF) of all documentation relating to this Project, including, but not limited to: notices of public meetings, products described in Appendix D, payment request documentation as described in Appendix C and press articles.
- B. The Contractor agrees to provide the Department with timely notification of all meetings and events associated with the Project.
- C. All information as described in XIV. A. above shall include the NYS Comptroller's # as indicated on the Face Page of this Agreement.

XV. Environmental Review

- A. Contractor agrees to provide the Department, in a timely manner, with all documentation, including but not limited to, permit applications, environmental assessments, designs, plans, studies, environmental impact statements, findings, and determinations, relating to the Project.
- B. Contractor acknowledges that compliance with the State Environmental Quality Review Act is a material term and condition of this Agreement. In no event shall any payments be made under this Agreement until Contractor has provided Department with appropriate documentation that Contractor has met any requirements imposed on Contractor by the State Environmental Quality Review Act.

XVI. Fully-Executed Agreement or Amendment Thereto

- A. If this Agreement or amendments thereto, allocates funds totaling \$50,000 or less, it shall be deemed to be fully executed when approved and signed by the Contractor and the Department.
- B. If this Agreement or amendments thereto, allocates funds totaling more than \$50,000, it shall be deemed to be fully executed when approved by the Office of the State Comptroller.

APPENDIX B
Budget
Budget Summary Sheet

A. PERSONNEL SERVICES	\$ _____	0.00
B. NON-PERSONNEL SERVICES	\$ _____	4,700.00
C. CONTRACTUAL SERVICES	\$ _____	50,300.00
D. EQUIPMENT	\$ _____	0.00
TOTAL	\$ _____	55,000.00
Total State Share Funds (90% of Total)	\$ _____	49,500.00
Total Local Share (10% of Total)	\$ _____	5,500.00

Describe the anticipated project costs for each of the above cost categories in detail on the following pages (i.e., the title and pay rate of employees to work on the project, type of equipment and materials to be purchased).

The **TOTAL** of your **BUDGET** must equal the sum of the State Funding and the Local Share amounts as shown on the **CONTRACT FACE PAGE!**

The **BUDGET** is intended to show the items of expense which will be funded under this Contract. Please do not show the entire cost of the project if it exceeds the amount of funding by this Contract.

Budget Detail Sheet

C. CONTRACTUAL SERVICES

Please list what services will be provided by a sub-contractor.

Review village financial & operational data & create a brief report of the financial impact
of dissolution EXPEDITED ASSISTANCE.....\$3,250.00

Development of Dissolution Plan if Yes vote in 1st referendum.....\$47,050.00

TOTAL CONTRACTUAL SERVICES

\$ 50,300.00

D. EQUIPMENT

Please list each item of equipment that exceeds \$200.00 per item and has a useful life of one year or more. Group items of less than \$200.00 each into general categories indicating total cost per category.

TOTAL EQUIPMENT

\$ 0.00

TOTAL OF ALL CATEGORIES

\$ 55,000.00

APPENDIX C

Payment and Reporting Schedule

This contract is a true cost reimbursement Agreement. The Contractor may claim and be reimbursed for eligible project costs incurred and paid for by the Contractor. Eligible project costs must be incurred and goods and services must be received and accepted by the Contractor within the contract period. The total of such reimbursement shall not exceed the funding amount for this Agreement as outlined in the most recently approved Appendix B and shall be claimed by the Contractor in accordance with the approved contract.

I. Payment Terms and Conditions

- A. The State may, at its discretion, make an advance payment to the Contractor, during the initial or any subsequent period, in an amount to be determined by the State but not to exceed 50 percent of the maximum amount indicated in the budget as set forth in the most recently approved Appendix B. If this payment is to be made, it will be due within thirty calendar days upon submission of a properly executed payment request, excluding legal holidays, after the later of either: The first day of the contract term specified in the Initial Contract Period identified on the face page of the Agreement or if renewed, in the period identified in the Appendix X. Re-payment of advance payments shall taken from payment requests until said advance is repaid in full.
- B. The Department may make interim payments for eligible costs incurred up to an amount not to exceed 90% of the State Funds Awarded. Depending on the type of project, the Department may retain more than 10% of the State Funds Awarded. The final payment will be made upon satisfactory completion of the Project activities funded pursuant to this Agreement.
- C. Not more frequently than once every 30 days, and included with every Project Status Report, a properly executed payment request, on forms as prescribed by the Department, and any work products documenting completion of one or more of the tasks set forth in Appendix D. Program Work Plan, and **total project costs incurred to date**, may be submitted.
 1. Payment, provided above, shall be made to the Contractor upon the submission by the Contractor of a properly executed payment request. Such request shall contain the following:
 - a) "Documentation Forms" as provided by the Department, for reimbursement of actual and eligible expenditures,
 - b) the required report and work products (documentation of the completion of all or portions of Appendix D.)
 - c) certification of procurement requirements and
 - d) a properly executed State Voucher.
 2. Payment requests will be reviewed in accordance with the terms and conditions of this Agreement to determine total allowable project costs incurred and the level of project completion to date. For the purpose of determining the level of reimbursement, otherwise allowable project costs may be reduced if the level of project completion is deemed insufficient.
 3. Total allowable project costs, adjusted pursuant to 2 above, will be prorated between State Funds and Local Share costs in the same proportions as Total State Funds and Total Local Share as set forth on the Face Page of this Agreement.
 4. The final payment will be issued upon receipt and approval of a payment request marked "FINAL" documenting all project costs incurred and tasks completed and submission of the Final Project Summary

Report. Such final payment request shall be submitted within 60 days following the ending date of this Agreement.

II. Reporting

- A. Payment requests as described in I.C., above, shall be certified by a duly authorized representative of the Contractor as accurately representing such accomplishments and expenses as recorded in the Contractor's accounting records, including, where goods or services are provided by third parties not party to this Agreement, a certification that any payment obligations arising from the provision of such goods or services have been paid by the Contractor and do not duplicate reimbursement or costs and services received from other sources.
- B. Notwithstanding the above requirements, upon written notification by the Department, the Contractor may be required to submit source documentation and additional verification of allowable expenditures.

Payment requests shall be submitted to:

NYS Department of State
Attention: LGE Coordinator
One Commerce Plaza, 10th Floor
99 Washington Avenue
Albany, NY 12231

Claimed expenditures per cost category may not exceed the amounts indicated in the Budget, Appendix B, by ten percent (10%), or greater, without approval of the Department, provided that the Total Project Cost as set forth in Appendix B, Budget Summary, is not exceeded. Any expenditure in excess of such 10% or that changes the State Share or Local Share funding amount or changes in scope of work shall require an amendment to the Project Budget submitted in writing by the Contractor and approved by the Department and may require approval of the Office of the State Comptroller. No expenditures shall be allowed for items not set forth in the Project Budget without written approval of the Department.

III. Other

- A. Notwithstanding the submission of timely and properly executed payment requests, the Department shall be under no obligation to make payment for expenditures incurred without the prior Department approvals and/or amendments required under this Agreement and, further, shall have the right to withhold any such payment pending the execution of such approval and/or amendment.
- B. Interest income earned on funds received pursuant to this Agreement shall be used to further the purpose of this Project or shall be deducted from total eligible cost to determine the net eligible costs to be reimbursed by the Department.
- C. The Department shall have the right to conduct on-site progress assessments and reviews of the Project and Contractor's books and records during the life of this Agreement and for a reasonable time following issuance of the FINAL payment. The Contractor shall furnish proper facilities, where necessary or useful, for such access and inspection.
- D. The Department shall be entitled to disallow any cost or expense, or terminate or suspend this Agreement, if found that the Contractor has misrepresented any expenditures or project activities in this Agreement, or in any progress reports or payment requests made pursuant hereto.
- E. The Contractor shall maintain separate fiscal books and records for all funds received through the Department and

project activities conducted pursuant to this Agreement, and shall make all such books and records available to the Department, the Office of the State Comptroller, or their designated representatives for inspection and audit for a period of six years following termination of this Agreement.

- F. By submission of this Agreement and payment requests provided for herein, the Contractor warrants that funds claimed and received pursuant to this Agreement do not duplicate reimbursements or payments from any other source.
- G. The Contractor shall provide complete and accurate billing invoices to the Agency in order to receive payment. Billing invoices submitted to the Agency must contain all information and supporting documentation required by the Contract, the Agency and the State Comptroller. Payment for invoices submitted by the Contractor shall only be rendered electronically unless payment by paper check is expressly authorized by the Commissioner, in the Commissioner's sole discretion, due to extenuating circumstances. Such electronic payment shall be made in accordance with ordinary State procedures and practices. The Contractor shall comply with the State Comptroller's procedures to authorize electronic payments. Authorization forms are available at the State Comptroller's website at www.osc.state.ny.us/epay/index.htm, by email at epunit@osc.state.ny.us, or by telephone at 518-474-4032. Contractor acknowledges that it will not receive payment on any invoices submitted under this Contract if it does not comply with State Comptroller's electronic payment procedures, except where the Commissioner has expressly authorized payment by paper check as set forth above.
- H. The Contractor will be entitled to receive payments for work, projects, and services rendered as detailed and described in the approved Appendix D. Billing vouchers submitted to the Agency must contain all information and supporting documentation required by the Contract, the Agency and the State Comptroller. Payment for vouchers submitted by the Contractor shall be rendered electronically unless payment by paper check is expressly authorized by the Secretary of State, in the Secretary's sole discretion, due to extenuating circumstances. Such electronic payment shall be made in accordance with ordinary State procedures and practices. The Contractor shall comply with the State Comptroller's procedures to authorize electronic payments. Authorization forms are available at the State Comptroller's website at www.osc.state.ny.us/epay/index.htm, by email at epunit@osc.state.ny.us or by telephone at (518) 474-6019. The Contractor acknowledges that it will not receive payment on any vouchers submitted under this contract if it does not comply with the State Comptroller's electronic payment procedures, except where the Secretary of State has expressly authorized payment by paper check as set forth above.
- I. Notwithstanding the submission of timely and properly executed payment requests, the Department shall be under no obligation to make payment for expenditures incurred without the prior Department approvals and/or amendments required under this Agreement and, further, shall have the right to withhold any such payment pending the execution of such approval and/or amendment.
- J. Claimed expenditures per cost category may not exceed the amounts indicated in the Appendix B (Budget) without prior written approval of the Department. Changes to the cost categories in excess of 10% will require prior approval by the Office of the State Comptroller for contracts greater than \$50,000 in addition to the approval of the Department. No expenditures shall be allowed for items not set forth in the Project Budget.

APPENDIX D PROGRAM WORK PLAN

(To Be Developed By Contractor in Consultation with DOS)

1. Project Description

Detailed description of:

- A. Project
- B. Geographic Area
- C. Partners
- D. Goals and Objectives
- E. Studies
- F. History of Project
- G. Relationship to Other Projects etc.

2. Project Components

- A. Problems: A description of the problems to be addressed by the proposed activity.
- B. Objectives: A description of the objectives to be achieved by undertaking the activity or as a result of the activity.
- C. Tasks: Identify the project's component tasks to be funded by this program, include the following information for each task.
 - a. Task Name
 - b. Deliverable
 - c. Budget
 - d. Schedule
- D. Procurement: Must be in accord with Municipality's procurement policy and General Municipal Law §103 if applicable. (See Certification of Grantee form, available on the Department of State's website, <http://www.dos.ny.gov/LG/lge-grant.html>.)
- E. Other:
 - a. Documentation: The Contractor shall identify documents, reports, and maps produced in whole or in part under this Agreement by endorsing on said documents, reports, and maps the following "This (document, report, map, etc.) was prepared with funds provided by the New York State Department of State under the Local Government Efficiency Grant Program."
 - b. Environmental Review: An environmental review will be completed as required in Section XV of this agreement and transmitted to the Department of State
 - c. Deliverables: A complete list of deliverables as outlined with the tasks shall be included.

F. Schedule: See "Tasks." Provide the proposed starting date (must be anytime on or after April 1st, 2011) of the project, a schedule for the completion of component tasks, and the expected completion date of the project. Reminder: tasks funded by this program must be completed within 36 months of the project start date.

3. Review and Status

- A. DOS shall review Project Components for consistency with the application.
- B. Contractor shall provide Project Status Reports every six months. Please build these reports into the work schedule.

Items which should be considered by Contractor include:

- (i) Public participation process
- (ii) Other tasks and deliverables based upon application and meeting. Depending on nature of project, tasks and deliverables could include:
 - a. Feasibility study on consolidation/dissolution
 - b. Dissolution plan
 - c. Intermunicipal agreement
 - d. Joint service plan
 - e. Analysis of infrastructure in participating municipalities
 - f. Action plan/strategies
 - g. Fiscal-Impact
 - h. Other

4. Project Closeout

Contractor shall provide:

- (i) Final Deliverables
- (ii) Final Project Summary Report
- (iii) Before & After Photos (when applicable)
- (iv) Final Payment Request

Please attach additional pages as necessary.

**APPENDIX D
PROGRAM WORK PLAN**

Contractor: Village of Lyons
Project Title: Expedited Re-Organization Assistance/Dissolution Plan
Contract No. T1000012

1) **Project Description**

- a) **Project:** The Village of Lyons will conduct a dissolution referendum
- b) **Geographic Area:** The Village of Lyons and surrounding town
- c) **Partners:** N/A
- d) **Goals and Objectives:** The Village of Lyons has received an elector initiated petition pursuant to Article 17-A, Title 3, Section 779 of the General Municipal Law, which requires a referendum on the question of local government re-organization.
- e) **Studies:** A town/village shared services study was conducted in 2010; this study was supported by the DOS LGE program in the amount of \$26,000, contract # T-098811. The result was a shared codes enforcement officer.
- f) **History of Project:** See "Studies" above
- g) **Relationship to Other Projects:** The town, village and school district have a shared services committee which meets regularly. A shared maintenance facility and shared equipment has been developed as a result.

2) **Project Components**

- a) **Problems:** The Village of Lyons has received an elector initiated petition pursuant to Article 17-A, Title 3, Section 779 of the General Municipal Law, which requires a referendum on the question of local government re-organization. The purpose of the grant is to cover costs incurred by the Village for development and dissemination of information to the electors prior to the required referendum. If the vote is for dissolution the grant will also cover the development of the dissolution plan.
- b) **Objectives:** The Village of Lyons will conduct a referendum on the question of village dissolution on November 6 2012. If the vote is positive the village will prepare a dissolution plan.
- c) **Tasks:** See below

Task	Deliverable	Budget	Schedule
1. SEQRA Review	Letter stating findings and EAF if necessary	\$0.00	
2. Information Dissemination EXPEDITED ASSISTANCE		\$7,950.00 EXPEDITED	

Task	Deliverable	Budget	Schedule
a. Review village financial & operational data & create a brief report of the financial impact of dissolution	Copy of report, mailings, & ads created	\$3,250.00	
b. Creation of mailings to educate residents on dissolution impacts (positive & negative) & the legal process of dissolution	Copy of mailings, ads created, etc	\$3,900.00	
c. Hold public information workshops ahead of required vote	Invoices for materials, copies, legal ads etc.; copies of agenda, minutes, information distributed, legal ads etc	\$800.00	
3. Hold first referendum §779 §780	Notice of results	\$0.00	
4. Dissolution Plan Development (if referendum is yes)	Copy of draft & final plan	\$47,050.00	
a. Development of RFP and selection of consultant		\$0.00	
b. Creation of dissolution committee		\$0.00	
c. Development of dissolution plan, the plan will contain all provisions required by law (see below for list) § 782		\$33,000.00	
d. Development of dissolution alternatives		\$12,000.00	
e. Publish dissolution plan §783 & conduct public hearing §784		\$2,050.00	
5. Hold permissive referendum (if needed) §785	Notice of results – dissolution or second referendum or judicial hearing (§786)	\$0.00	
6. Project Status Report (every 6 months) and Final Project Report (at completion of project)	Project Status Report Form – Appendix A1 Attachment 3; Final Project Report Form - Appendix A1 – Attachment 1		Every 6 months from contract execution date; completion of project

Dissolution Plan Requirements under 17A

1. The name of the local government entity to be dissolved;
2. The territorial boundaries of the entity;
3. The type and/or class of the entity;
4. The entity's assets, including but not limited to real and personal property, and the fair value thereof in current money of the United States;
5. The entity's liabilities and indebtedness, bonded and otherwise, and the fair value thereof in current money of the United States;

6. Terms for the disposition of the entity's assets and the disposition of its liabilities and indebtedness, including the levy and collection of the necessary taxes and assessments therefore;
7. Any plan for the transfer or elimination of public employees;
8. Any agreements entered into with the town or towns in which the village is situated in order to carry out the dissolution;
9. Whether any local laws, ordinances, rules or regulations of the entity shall remain in effect after the effective date of the dissolution or shall remain in effect for a period of time other than as provided by state law
10. The manner and means by which the residents of the entity will continue to be furnished municipal services following the entity's dissolution;
11. A fiscal analysis of the effect of dissolution on the village and the area of the town or towns outside the village;
12. A fiscal estimate of the cost of dissolution;
13. Any other matters desirable or necessary to carry out the dissolution.
14. The effective date of the dissolution;

c) **Procurement:** In securing contractual services, the Village of Lyons will comply with Municipal procurement policy and General Municipal Law section 103. (See Appendix A-1 Attachment 4).

d) **Other:**

- i. **Taxpayer Impact:** *The grantee or its contractor will identify tax payer impact (e.g. cost or savings) during the course of the project and will include it as part of the report. Tax payer impact shall be expressed as Total Cost Impact, Cost Impact per Capita (based on the most recent US Census, Census estimates, or population survey), and Estimated Impact on Property Taxes resulting from the project, which is calculated by dividing each applicant's Total Cost Impact into the amount of its taxable assessed value (equalized full value multiplied by the equalization rate) and expressed as dollars per thousand of taxable assessed value
- ii. **Documentation:** **All documents created as part of grant funds must specify the following "This (document, report, map, etc.) was prepared with funds provided by the New York State Department of State under the Local Government Efficiency Grant Program."
- iii. **Environmental Review:** ***An environmental review will be completed as required in Section XV of this agreement and transmitted to the Department of State.
- iv. **Deliverables:** See "Tasks." Provide the proposed start date (must be anytime on or after April 1, 2011) of the project, a schedule for the completion of component tasks, and the expected completion date of the project. Reminder: tasks funded by this program must be completed within 36 months of the project start date.

e) **Schedule:** See "Tasks"

3) **Review and Status**

- a) Department of State shall review Project Components for consistency with the applications.

b) Contractor shall provide Project Status Reports every six months or when payment is requested. Please build these reports into the work schedule. Items which should be considered by Contractor include: (i) Public participation process, and (ii) Other tasks and deliverables based upon application and meeting. Depending on nature of project, tasks and deliverables could include: a. Feasibility study on consolidation/dissolution, b. Dissolution plan, c. Inter-municipal agreement, d. Joint service plan, e. Analysis of infrastructure in participating municipalities, f. Action plan/strategies

APPENDIX F

NOTICES

1. All notices permitted or required hereunder shall be in writing and shall be transmitted either:
 - (a) via certified or registered United States mail, return receipt requested;
 - (b) by facsimile transmission;
 - (c) by personal delivery;
 - (d) by expedited delivery service; or
 - (e) by e-mail.

Such notices shall be addressed as follows or to such different addresses as the parties may from time-to-time designate:

New York State Department of State

Name: Kyle Wilber
Title: Program Manager
Address: One Commerce Plaza, Suite 1015, 99 Washington Avenue, Albany, NY 12231
Telephone Number: (518) 473-3355
Facsimile Number: (518) 474-6572
E-Mail Address: LGEprogram@dos.state.ny.us

Contractor Name Village of Lyons

Name: Corrine Kleisle
Title: Mayor
Address: 76 William St. Lyons NY 14489
Telephone Number: 315-946-4531
Facsimile Number: 315-946-6206
E-Mail Address: svillag3@rochester.rr.com

2. Any such notice shall be deemed to have been given either at the time of personal delivery or, in the case of expedited delivery service or certified or registered United States mail, as of the date of first attempted delivery at the address and in the manner provided herein, or in the case of facsimile transmission or email, upon receipt.
3. The parties may, from time to time, specify any new or different address in the United States as their address for purpose of receiving notice under this Agreement by giving fifteen (15) days written notice to the other party sent in accordance herewith. The parties agree to mutually designate individuals as their respective representatives for the purposes of receiving notices under this Agreement. Additional individuals may be designated in writing by the parties for purposes of implementation and administration/billing, resolving issues and problems and/or for dispute resolution.

APPENDIX X

Agency Code: **3800000/DOS01**
Contract Period _____

Contract Number T1000012
Funding for Amendment \$ _____

This is an AGREEMENT between THE STATE OF NEW YORK, acting by and through the New York State Department of State, having its principal office in Albany, New York (hereinafter referred to as the STATE), and Village of Lyons (hereinafter referred to as the CONTRACTOR), for modification of contract number noted above, as amended herein and noted below.

Type of contract modification:

- Renewal. Revised total contract value: \$ _____ (renewals only)
- No Cost Time Extension -
- Amendment: _____
- Attached Appendices: _____

All other provisions of said AGREEMENT shall remain in full force and effect.

IN WITNESS THEREOF, the parties hereto have executed this AGREEMENT as of the dates appearing under their signatures.

CONTRACTOR SIGNATURE

STATE AGENCY SIGNATURE

By: _____

(print name)
Title: _____
Date: _____

By: _____

(print name)
Title: _____
Date: _____

State Agency Certification: "In addition to the acceptance of this Contract, I also certify that original copies of this signature page will be attached to all other exact copies of this Contract."

STATE OF NEW YORK)
COUNTY OF _____) ss:

On this _____ day of _____, in the year 20____, before me personally appeared _____, to me known and known to me to be the person who is the _____ of _____, the organization described in and which executed the above instrument; and that he/she has the authority to sign on behalf of said organization; and that he/she executed the foregoing agreement for and on behalf of said organization.

NOTARY PUBLIC

ATTORNEY GENERAL'S SIGNATURE

STATE COMPTROLLER'S SIGNATURE

By: _____
Date: _____

By: _____
Date: _____