



2022 COMMUNITY DEVELOPMENT PROGRAMS

Plans & Progress

**Funded by the Sullivan County Legislature
Administered by the Division of Planning & Community Development**

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Attachments

- A. Application Form: Plans & Progress**

1.0 BACKGROUND

Over the past two decades, Sullivan County, through its Division of Planning & Community Development, has been providing financial support and technical assistance to local municipalities and community organizations as an incentive to complete new projects promoting economic development, historic preservation, expansion of cultural programs, and other County objectives. Initiated in the late 1990's as the Economic Development Assistance Program (EDAP), the program operated for a number of years as the Historic and Cultural Assistance Program (HCAP) before being refashioned in 2015 into the Plans & Progress Program. In its first five years, Plans & Progress has funded 98 projects, including park and trail improvements, a new chamber orchestra, historic building upgrades, municipal planning, marketing and website improvements, signage, and more.

This document provides guidelines for the Plans & Progress program.

2.0 OVERVIEW OF PROGRAM

Plans & Progress

The purpose of the Plans & Progress Program is to assist local municipalities and community and not-for-profit organizations throughout Sullivan County with projects related to tourism, community and economic development, image enhancement, trails development, health improvement, agricultural and farmland protection, and other county goals. The program supports new capital projects and initiatives and may not be used for operating expenses.

3.0 PLANS & PROGRESS PROGRAM

3.1.1. Funding

This program has been seeded with \$100,000 for FY2022 and applicants may apply for awards of up to \$10,000. It is the intent of the program to distribute funds throughout the county as broadly as possible, with a minimum of \$10,000 in funding to each of the County's nine legislative districts. Funds that remain unallocated after review of the second round of applications will be released from geographic restrictions, and may be awarded based on need and compliance with program objectives regardless of project location. Funding is provided as a reimbursement once documentation of project completion and all incurred expenses are submitted.

3.2 Minimum Eligibility

In order to be eligible for the Plans & Progress Program, applications must meet the following minimum criteria:

- 3.2.1 The applicant organization must be either a municipality of Sullivan County or a not-for-profit agency or organization operating within Sullivan County that is not part of County government;
- 3.2.2 The proposed activity must be located within Sullivan County;

- 3.2.3 The funded activity must be a new and discreet project with a schedule and demonstrated outcome. Organizational operating expenses are not an eligible activity for program funding, nor is funding for projects and/or programs traditionally undertaken on an annual basis.
- 3.2.4 The applicant must demonstrate that at least 50% of the approved project/program cost will be provided by sources other than the Plans & Progress Program. Acceptable sources of matching funds include local, state and federal funding, in-kind services by municipalities or organizations, donations of materials and professional services from private for-profit businesses, and not-for-profit sweat equity. Funding recipients should review Section 9.0 below for requirements on documenting the match.
- 3.2.5 The proposed activity advances the Sullivan County Division of Planning's goals, as identified in such County planning documents as the Sullivan County 2020 Plan, the draft Sullivan County Economic Development Strategy, the Sullivan County Agricultural and Farmland Protection Plan, the Comprehensive Coordinated Transportation Plan, and the draft Local Waterfront Revitalization Program (LWRP), and/or the work of County task forces, committees and working groups, such as the Trails Task Force. Prospective applicants are encouraged to contact the Sullivan County Division of Planning and Community Development for assistance in identifying how their proposed activity relates to County plans and projects.

3.3 Preference Criteria

Projects that meet the minimum eligibility requirements will be ranked based on the degree to which they meet the following additional criteria:

- 3.3.1 The project is a stated County priority;
- 3.3.2 The project will enhance life in Sullivan County;
- 3.3.3 The project leverages County funding with matching funds higher than the required minimum 50%;
- 3.3.4 The project has demonstrated support from the host municipality and the broader community;
- 3.3.5 Impacts of the project will extend beyond the host community;
- 3.3.6 Impacts of the project will be long term and measurable;
- 3.3.7 Whether the applicant receives other sources of County funding during FY2022;
- 3.3.8 If applicant has previously been awarded funding, they have a positive track record and have demonstrated compliance with program guidelines.

3.4 Ineligible Projects

The following projects and activities are not eligible for funding under this program:

- 3.4.1 Organizational operating expenses.
- 3.4.2 Projects and/or programs traditionally undertaken on an annual basis.

- 3.4.3 Any component of a project for which work has commenced prior to approval by the County Legislature of award.
- 3.4.4 Projects that create products intended for sale or resale, whether or not a profit is realized, and costs related to any activity for which individuals are charged a fee, including the advertisement and marketing of same.

3.5 Selection Process

Applications will be reviewed by a committee consisting of:

- The County Manager, or designee
- The Commissioner of Planning and Community Development, or designee
- The Grants Administration Supervisor, or designee
- Two representatives from organizations engaged in economic development, tourism, and community enhancement in Sullivan County

Committee recommendations will be presented to the County Legislature for review and authorization. Funding of the particular project shall only be authorized upon resolution of the County Legislature.

4.0 AVAILABILITY OF FUNDS

These programs are *reimbursement* programs. To receive funds, participants must document expenditures and any required matches, as defined and outlined in Section 9.0.

- 4.1 Funding will be tied to project cost. If the actual project expenditures are less than projected in the application, funding may be reduced accordingly.
- 4.2 Successful applicants are strongly encouraged to review County requirements for documentation of project costs and the required match. These are discussed below under Section 9.0.
- 4.3 All eligible services for reimbursement must be incurred after the date of the project authorization by the Sullivan County Legislature.
- 4.4 The Committee has the sole discretion to determine how much, if any, of an applicant's request is to be approved. The County Legislature may amend these guidelines from time to time.

5.0 THE APPLICATION

Applications should be made using the attached application forms, and providing supplementary material as appropriate. Applications may be submitted in one of the following ways:

- Complete and submit the application on-line via a fillable PDF form on the Sullivan County website. The application form may be found on the Division of Planning page, under Technical Assistance and Funding Programs.
- Submit the application and supporting documentation as email attachments to Planning@sullivanny.us. If desired, contact the Division of Planning and Community Development for a version of the application that may be completed in MS Word.
- Mail, or hand deliver, the printed application and supporting documentation to the

**Sullivan County Division of Planning & Community Development, County Government
Center, 100 North Street, Monticello, NY 12701.**

Applications for these programs are due on **Friday, March 4th, 2022 at 4pm**. To the extent the total funds are not expended in the first round there will be subsequent rounds. The second round will look at applications received by **4:00 p.m. Friday, May 6th, 2022** and the third round will assess applications received by **4:00 p.m. Friday, July 8th, 2022**. The later round(s) of application reviews will take place only in the event there are funds remaining after the initial awards have been made.

6.0 TRACKING & PERFORMANCE REVIEW

The County Division of Planning and Community Development will be charged with preparing an annual report to the Legislature with information on the following:

- Activities to promote these programs
- Number of applicants and types of projects
- Awards made
- Performance of awardees and status of projects
- Identified benchmarks to track project impacts

7.0 CONTRACTS & AGREEMENTS

Sullivan County will require a contract with all program recipients for the community development programs, based on the sample provided below. Each contract will require an attached schedule of services (created by the Division of Planning, Community Development & Real Property) which details what the funding recipient will accomplish in order to receive reimbursement funding. **Applicants should review the contract prior to submission in order to ensure they will be able to comply with its requirements.**

**PROGRAM
AGREEMENT BETWEEN COUNTY OF SULLIVAN
AND**

AGREEMENT made as of the ____ day of _____, 2022, consists of the following terms and conditions:

1. **PARTIES:** This Agreement is by and between the County of Sullivan, a municipal corporation of the State of New York with its offices at the Sullivan County Government Center, 100 North Street, Monticello, New York 12701, hereinafter, designated as "County" and _____ with an address of _____, hereinafter designated as "Funding Recipient".
2. **SERVICES:** The Funding Recipient shall provide services as described in the Schedule of Services attached hereto as Schedule "A".
3. **PAYMENTS:** The County shall pay the Funding Recipient a total amount not to exceed \$_____.
4. **DOCUMENTATION:** The _____ Program is a reimbursement program. In order for the

Funding Recipient to be eligible for the receipt of payment provided in Section No. 3 above, the Funding Recipient must submit a voucher to the Sullivan County Division of Planning and Community Development, together with proof of expenditures such as invoices, itemized receipts, copies of cancelled checks, records of in-kind services provided, Expense Certification Form, if applicable, and/or other fiscal information as may be required by the Office of Audit and Control and pursuant to the _____ Program guidelines.

5. **WAIVER OF LIABILITY:** The Funding Recipient shall defend, indemnify, and hold harmless the County, its officers, employees, and agents, against and from any and all losses, claims, actions, damages, expenses or liabilities, including reasonable attorneys' fees, as a result of a negligent act, omission or willful misconduct of the Funding Recipient, its employees, representatives, agents, subcontractors or assigns.
6. **INDEPENDENT CONTRACTOR:** The Funding Recipient agrees that its relationship to the County is that of an independent contractor and that neither it nor its employees or agents will hold themselves out as, nor claim to be, officers or employees of the County, or of any department, agency or unit thereof, and they will not make any claim, demand or application to or for any right or privilege applicable to an officer or employee of the County, including, but not limited to, Worker's Compensation coverage, health coverage, Unemployment Insurance Benefits, Social Security coverage or employee retirement membership or credit. The Funding Recipient shall not act as agent, or be an agent, of the County. As an independent contractor, the Funding Recipient shall be solely responsible for determining the means and methods of performing the services and shall have complete charge and responsibility for the Funding Recipient's personnel engaged in the performance of the services. However, if any personnel of the Funding Recipient act in a manner that is detrimental to the County, the County may require the Funding Recipient to remove or replace such personnel with respect to the performance of services required.
7. **TERMINATION:** The County may, by written notice to the Funding Recipient effective upon mailing, terminate this Agreement at any time upon the Funding Recipient's default.
8. **MODIFICATION:** This Agreement may be modified only by a writing signed by both parties.
9. **AUTHORIZATION:** This Agreement is authorized by Resolution No. ____-22, adopted by the Sullivan County Legislature on _____, 2022.

IN WITNESS WHEREOF, the parties have executed this Agreement on the date noted above.

[NAME OF FUNDING RECIPIENT]

COUNTY OF SULLIVAN

By:

By: Joshua Potosek, County Manager

APPROVED AS TO FORM

By: Assistant County Attorney

8.0 COMPLIANCE WITH APPLICABLE LAWS

Project must comply with the following requirements, as applicable:

Affirmative Action/Equal Employment Opportunity:

EQUAL EMPLOYMENT OPPORTUNITY POLICY STATEMENT

The County of Sullivan will take positive action to ensure equal employment opportunity without regard to age, race, religion, creed, color, national origin, sex, disability, marital status, and other non-merit factors in compliance with state and federal law.

The activities encompassed by the Affirmative Action Plan include advertising, recruiting, interviewing, testing, training, transfers, compensation, promotion, discipline, termination, employee benefits, supplier relations, access to programmatic benefits, and maintenance of Sullivan County facilities on a non-discriminatory basis.

Sullivan County will employ all necessary procedures to ensure that this employment policy continues to be fully supported and expects that all elected or appointed department heads, in all activities, undertake a personal commitment to assure themselves that the principles of equal employment opportunity are fully implemented in every action they take.

Sullivan County is committed to programs of Affirmative Action. Article 15A of the Executive Law pertains to Minority and Women-owned Business Enterprises (MWBE) Equal Employment Opportunity (EEO). Municipalities will be required to document and certify their compliance with these regulations.

Environmental Review: Capital projects receiving funds under County community development programs shall meet the requirements of the State Environmental Quality Review Act, where applicable.

Historic Review: Any project that involves a building that is listed on the State or National Register of Historic Places must conform to the Secretary of the Interior's Standards and Guidelines for Archeology and Historic Preservation. Approval of the scope of proposed work by the New York State Historic Preservation Office shall be required for all structures on the State/National Register.

Building Code Requirements: All relevant projects will need to comply with the Uniform Fire Prevention and Building Code and the American with Disabilities Act. A letter from the municipal building inspector or code enforcement officer stating that such conditions have been met shall be provided prior to project commencement.

9.0 DOCUMENTATION OF PROJECT EXPENSES & MATCH

In order to obtain the awarded funding under the reimbursement programs, funding recipients must provide detailed documentation of project activities and expenses, along with proof of the committed match. Please note the following documentation requirements; reimbursement payments cannot be processed without adequate documentation.

9.1 Proof of Purchase

Funding recipients will be required to submit proofs that the goods and services funded by the program have been provided. In order for proof to be accepted, the following information must be provided for each expense on either an invoice or a receipt:

- transaction date;
- an itemization of the materials and/or services provided;
- total cost;
- amount paid and the method of payment (such as cash, check, or credit card); and
- an indication that the balance has been paid in full.

Invoices and/or receipts should be on business stationary or forms and feature the name of the legal business entity along with other contact details including current address, phone, and email address. **The funding recipient should sign and date the completed invoice or receipt, indicating that all items were received.**

Additionally, a signature of the vendor is required if the receipt has been hand written, if the payment has been made in cash, or if it is an invoice showing a balance due that has been marked as paid in full.

9.2 Proof of Payment

Because this is a reimbursement program, funding recipients must also provide proof of payment as well as proof of purchase. The required documentation will vary based on whether payment has been made by cash, check, credit card, or proof of expenditure or gift by a third party as further described below.

- 9.2.1 Cash Payments. If a purchase has been made in cash, funding recipients should have the vendor indicate on the invoice or receipt the amount of cash paid, and provide a signature.
- 9.2.2 Payments by Check. If the purchase has been made by check, then the funding recipient should submit a front and back photocopy of the cancelled check.
- 9.2.3 Credit Card Payments. If the purchase has been made by credit card, then reimbursement documentation should include a copy of the billing statement with the relevant purchase circled. Additional purchases that may appear on the billing statement but which are not part of this transaction may be redacted.

9.3 Documentation of Match

The County community development programs require contributions by the funding recipient as outlined in program sections. Submissions for reimbursement must demonstrate that match requirements have been met. Documentation will vary depending on how the match has been provided, however, all submissions for reimbursement should include a statement detailing the

total project budget, the portion of the budget to be considered as a match, and the source(s) of the match.

- 9.3.1 Monetary contribution. Commonly referred to as a “cash match,” this type of match occurs when the funding recipient pays for a portion of the project cost. Any “cash match” should include proof of purchase and proof of payment, as detailed above in sections 9.1 and 9.2.
- 9.3.2 In-kind services. In-kind services are non-monetary contributions to a project that include, but are not limited to, organizational staff or volunteer time given to a project, the use of existing equipment, or the use of existing facilities. Documentation of in-kind services should be made by providing a spreadsheet or table with information on the service provided, date(s) provided, the value of the contribution, and how that value was calculated. The submission should include a signature of the organizational representative attesting to the execution and completion of the in-kind contributions. A sample table is provided below, followed by explanations for each column entry.

Description of Service	Date of Service	Volunteer, Staff, Equipment, or Facility	Cost Basis (e.g. hourly rate)	Length of Service (e.g. hours worked)	Value of Contribution
Total Value of In-Kind Services					(sum of this column)

Description of Service: Information in this column should address the type of in-kind contribution (personnel time, equipment, or facilities) and, when relevant, the activities that were performed.

Date of Service: Each date on which services were provided should be given its own entry. So if an individual donated a total of 50 hours to a project spread but that time was spread over 10 days, there should be an entry for each of those 10 days.

Cost Basis: Hourly personnel rates should be based on salary, excluding fringe benefits. Volunteer contributions may be valued at a flat rate of \$25/hour. Professional services may be given a higher value, but should be documented per the requirements of 9.3.3 below, addressing donated goods and services.

Staff, Equipment or Facility: For most in-kind services, this column will feature the name of the individual providing the service. However, if the in-kind service involves use of equipment of a facility (e.g. the use of a Town Hall for a public meeting), the name of the equipment or facility should be indicated in this column.

Length of Service: This column should show the number of hours the service was provided on that date only.

Value of Contribution: This column should equal the cost basis times the length of service.

- 9.3.3 Donated goods and services. Calculation of the match may also include donated project materials (e.g. lumber, stone, paint) or services (e.g. installation, construction, design, promotion). These should be documented with a “receipt” for the goods provided by the donor, and containing all of the information required above for a proof of purchase (9.1).

9.4 Documentation of Project Completion

To assist the County in documenting and tracking the impact of this program, successful program participants are asked to provide documentation of their projects that can be used in reports. Such documentation may include, but is not limited to, before and after photos, project narratives, testimonials, news coverage, etc. Funding recipients may be asked to schedule a site visit with County staff during and/or after project completion.

10.0 PROGRAM ORIENTATION

Following award, successful applicants will be invited to attend a workshop on successful project monitoring and proper reimbursement procedures. If a representative from the applicant’s organization cannot attend, a separate meeting can be arranged with Division staff. Attendance at this program will prepare the applicant for a successful project and clear reimbursement process.

11.0 CONTACT

For questions regarding these programs, or assistance with project development, please contact the Division of Planning and Community Development at Planning@sullivanny.us or (845) 807-0527.