

THE PUTNAM COUNTY LEGISLATURE

40 Gleneida Avenue

Carmel, New York 10512

(845) 808-1020 Fax (845) 808-1933

Toni E. Addonizio *Chairwoman*
Neal L. Sullivan *Deputy Chair*
Diane Schonfeld *Clerk*
Robert Firriolo *Counsel*



| | |
|-------------------|---------|
| Nancy Montgomery | Dist. 1 |
| William Gouldman | Dist. 2 |
| Toni E. Addonizio | Dist. 3 |
| Ginny Nacerino | Dist. 4 |
| Carl L. Albano | Dist. 5 |
| Paul E. Jonke | Dist. 6 |
| Joseph Castellano | Dist. 7 |
| Amy E. Sayegh | Dist. 8 |
| Neal L. Sullivan | Dist. 9 |

April 2020

Message From Putnam County Legislative Chairwoman Toni Addonizio:

Please be advised, it is anticipated that, effective March 26, 2020, during this time of the State of Emergency the public will be able to access All Putnam County Legislature Meetings via an Audio Webcast. During said time there will be no public attendance at the Putnam County Legislature Meetings. This is in accordance to the Federal and State recommendation relative to the restriction of Public Gatherings as a result of the COVID-19 outbreak.

The Audio Webcast link for each meeting will be posted, prior to the start of the meeting. It will be posted on the Putnam County Legislature Webpage:
<https://www.putnamcountyny.com/legi/>

Note: Please scroll to view the Agenda (s)

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**REGULAR MEETING
OF THE
PUTNAM COUNTY LEGISLATURE
HELD VIA AUDIO WEBINAR PURSUANT TO TEMPORARY EMERGENCY ORDERS**

Tuesday April 7, 2020 7:00 P.M.

1. Pledge of Allegiance
2. Legislative Prayer
3. Roll Call

PROCLAMATIONS

(For Informational Purposes Only – Proclamations will be Mailed to Relevant Parties)

Alcohol Awareness Month

Child Abuse Prevention Month

Developmental Disabilities Awareness Month & Autism Awareness Month

Healthy Teen Brain Day – April 20, 2020

Keep Putnam Beautiful

National Library Week – April 19 – 25, 2020

Peers Influence Peers Month

Teen Driver Safety Awareness Month

National Telecommunicators' Week April 12 – 18, 2020

4. Approval of Minutes – Special Meeting – March 26, 2020
5. Correspondence
 - a) County Auditor

6. Pre-filed resolutions:

PROTECTIVE SERVICES COMMITTEE
(Chairman Jonke, Legislators Nacerino & Sullivan)

- 6a. Approval/ Budgetary Amendment (20A008)/ District Attorney/ Asset Forfeiture Program/ Partnership Initiative/ License Plate Readers for Cold Spring Police Department

RULES, ENACTMENTS & INTERGOVERNMENTAL RELATIONS COMMITTEE
(Chairman Sullivan, Legislator Albano & Castellano)

- 6b. Approval/ Litigation Settlement/ Denton-Lotts v. County of Putnam

PERSONNEL COMMITTEE
(Chairwoman Nacerino, Legislators Jonke & Montgomery)

- 6c. Approval/ Ratification/ PBA Contract
- 6d. Approval/ Budgetary Transfer (20T062)/ Commissioner of Finance/ Ratified Contract Settlement between Putnam County and PBA

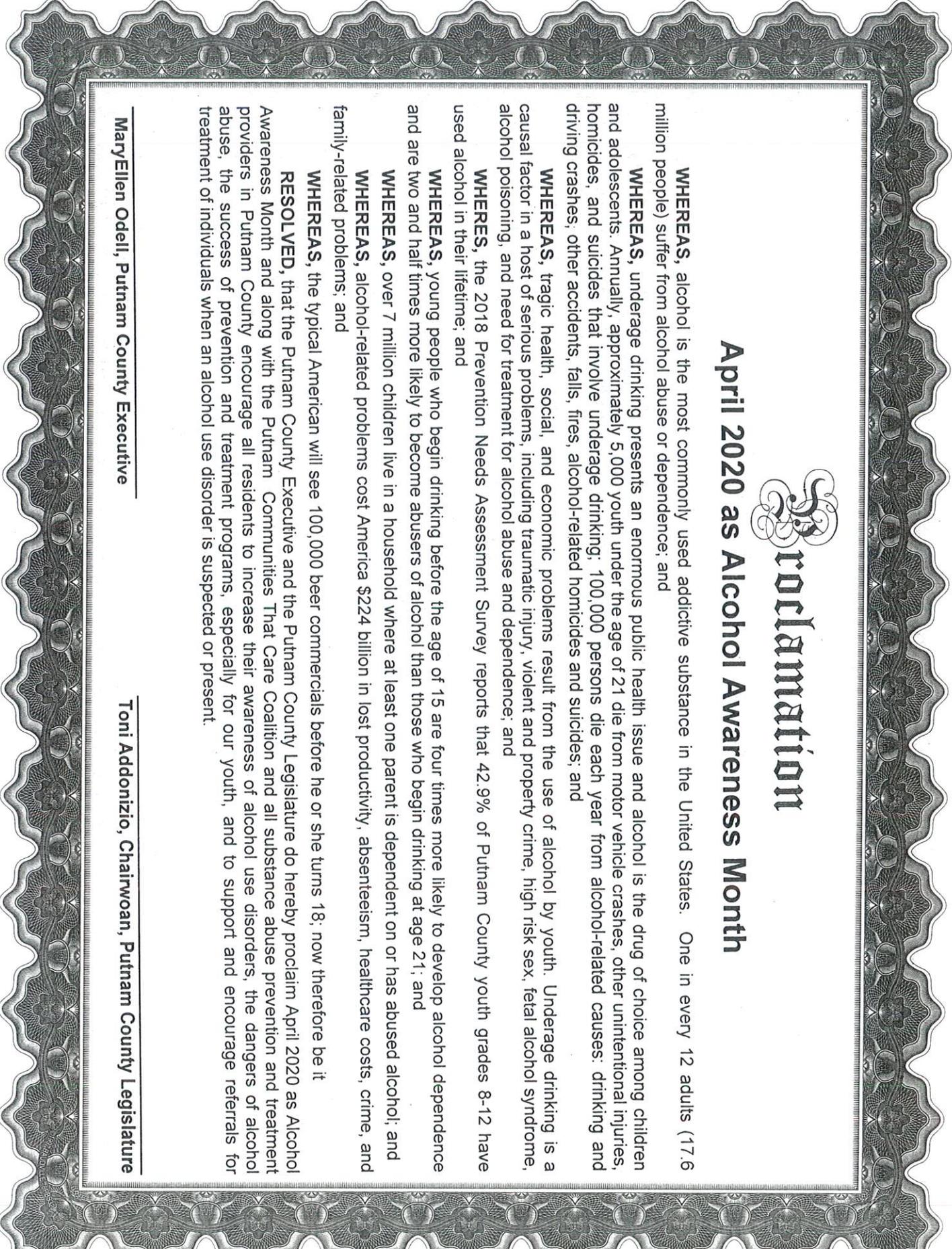
PHYSICAL SERVICES COMMITTEE
(Chairman Albano, Legislators Gouldman & Nacerino)

- 6e. Support/Approve Continuing the Putnam County Parking and Transfer Program and Intercity Bus/Mass Transportation Joint Service Agreement to Operate the Croton Falls Commuter Shuttle
- 6f. Approval/ Sale of County Property Pursuant to Chapter 31 of the Putnam County Code/ Town of Carmel, 113 Longdale Road Tax Map #65.10-1-32
- 6g. Approval/ Sale of County Property Pursuant to Chapter 31 of the Putnam County Code/ Town of Southeast, 86 North Brewster Road Tax Map #56.28-1-43
- 6h. Approval/ Sale of County Property Pursuant to Chapter 31 of the Putnam County Code/ Town of Putnam Valley, 7 Evergreen Road Tax Map #62.11-1-23
- 6i. Approval/ Sale of County Property Pursuant to Chapter 31 of the Putnam County Code/ Town of Patterson, 56 Fairfield Drive Tax Map #36.30-1-8
- 6j. Approval/ Sale of County Property Pursuant to Chapter 31 of the Putnam County Code/ Town of Southeast, 55-61 Main Street Tax Map #67.34-2-51

- 6k. Approval/Sale of County Property Pursuant to Chapter 31 of the Putnam County Code/ Town of Putnam Valley, 23 Point Drive South Tax Map #83.74-1-8
- 6L. Approval/ Highways & Facilities/ Use of Capital Facility Reserve (20CP03) (Water Systems)
- 6m. Approval/ Lead Agency/ SEQRA Determination/ Mill Street Culvert Rehabilitation
- 6n. Approval/ Bond Resolution/ Bridges & Culverts/ \$500,000

AUDIT & ADMINISTRATION COMMITTEE
(Chairman Castellano, Legislators Gouldman & Sayegh)

- 6o. Approval/ Budgetary Amendment (20A011)/ Social Services/ Child Advocacy Center Grant Award
- 6p. Approval/ Budgetary Amendment (20A017) /Bureau of Emergency Services /Putnam County Sheriff's Department/ FY2019 State Homeland Security Program Grant (SHSP)
- 6q. Approval/ Grant Application/ Bureau of Emergency Services/ FY2020 State Homeland Security Program Grant (SHSP)
- 6r. Approval/ Grant Application/ Office for Senior Resources/ Field Hall Foundation/ Caregiver Respite Grant
- 6s. Approval/ Resolution Calling on Members of the NYS Senate and Assembly to Reject the Governor's SFY 2020-21 Executive Budget Proposal to Shift 100% of the Cost of 730.20 Competency Restoration Services to the County Mental Health Commissioners
- 6t. Approval/ Financing of County's Energy Performance Contract with Ameresco, Inc. (Equipment Lease)
- 7. Other Business
- 8. Recognition of Legislators
- 9. Adjournment



Proclamation

April 2020 as Alcohol Awareness Month

WHEREAS, alcohol is the most commonly used addictive substance in the United States. One in every 12 adults (17.6 million people) suffer from alcohol abuse or dependence; and

WHEREAS, underage drinking presents an enormous public health issue and alcohol is the drug of choice among children and adolescents. Annually, approximately 5,000 youth under the age of 21 die from motor vehicle crashes, other unintentional injuries, homicides, and suicides that involve underage drinking; 100,000 persons die each year from alcohol-related causes: drinking and driving crashes; other accidents, falls, fires, alcohol-related homicides and suicides; and

WHEREAS, tragic health, social, and economic problems result from the use of alcohol by youth. Underage drinking is a causal factor in a host of serious problems, including traumatic injury, violent and property crime, high risk sex, fetal alcohol syndrome, alcohol poisoning, and need for treatment for alcohol abuse and dependence; and

WHEREAS, the 2018 Prevention Needs Assessment Survey reports that 42.9% of Putnam County youth grades 8-12 have used alcohol in their lifetime; and

WHEREAS, young people who begin drinking before the age of 15 are four times more likely to develop alcohol dependence and are two and half times more likely to become abusers of alcohol than those who begin drinking at age 21; and

WHEREAS, over 7 million children live in a household where at least one parent is dependent on or has abused alcohol; and

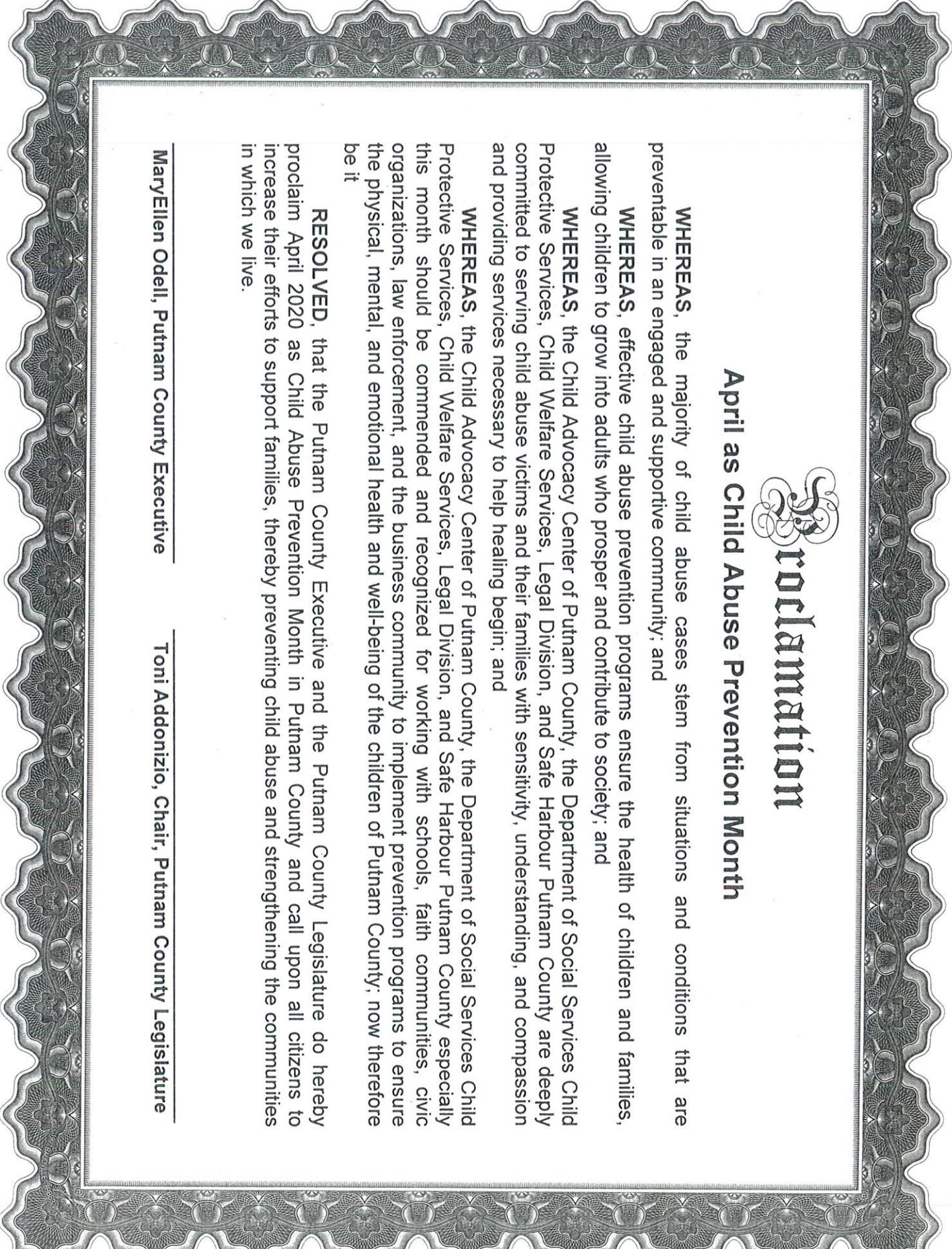
WHEREAS, alcohol-related problems cost America \$224 billion in lost productivity, absenteeism, healthcare costs, crime, and family-related problems; and

WHEREAS, the typical American will see 100,000 beer commercials before he or she turns 18; now therefore be it

RESOLVED, that the Putnam County Executive and the Putnam County Legislature do hereby proclaim April 2020 as Alcohol Awareness Month and along with the Putnam Communities That Care Coalition and all substance abuse prevention and treatment providers in Putnam County encourage all residents to increase their awareness of alcohol use disorders, the dangers of alcohol abuse, the success of prevention and treatment programs, especially for our youth, and to support and encourage referrals for treatment of individuals when an alcohol use disorder is suspected or present.

MaryEllen Odell, Putnam County Executive

Toni Addonizio, Chairwoman, Putnam County Legislature



Proclamation

April as Child Abuse Prevention Month

WHEREAS, the majority of child abuse cases stem from situations and conditions that are preventable in an engaged and supportive community; and

WHEREAS, effective child abuse prevention programs ensure the health of children and families, allowing children to grow into adults who prosper and contribute to society; and

WHEREAS, the Child Advocacy Center of Putnam County, the Department of Social Services Child Protective Services, Child Welfare Services, Legal Division, and Safe Harbour Putnam County are deeply committed to serving child abuse victims and their families with sensitivity, understanding, and compassion and providing services necessary to help healing begin; and

WHEREAS, the Child Advocacy Center of Putnam County, the Department of Social Services Child Protective Services, Child Welfare Services, Legal Division, and Safe Harbour Putnam County especially this month should be commended and recognized for working with schools, faith communities, civic organizations, law enforcement, and the business community to implement prevention programs to ensure the physical, mental, and emotional health and well-being of the children of Putnam County; now therefore be it

RESOLVED, that the Putnam County Executive and the Putnam County Legislature do hereby proclaim April 2020 as Child Abuse Prevention Month in Putnam County and call upon all citizens to increase their efforts to support families, thereby preventing child abuse and strengthening the communities in which we live.

MaryEllen Odell, Putnam County Executive

Toni Addonizio, Chair, Putnam County Legislature

Proclamation

Developmental Disabilities Awareness Month & Autism Awareness Month

WHEREAS, The Arc Mid-Hudson is an integral part of our community, serving both as a business and as a human services agency with the mission to empower people with intellectual and other developmental disabilities to achieve and experience the highest quality of life; and

WHEREAS, for over sixty-five years, The Arc Mid-Hudson has been the leading provider of services in Putnam County for children and adults with intellectual and developmental disabilities from birth through advanced age; and

WHEREAS, The Arc Mid-Hudson is one of the leading employers in Putnam County and also offers Vocational Training and Rehabilitation to participants so they can provide quality work to the business community, training employees in both supported and competitive placements; and

WHEREAS, The Arc Mid-Hudson educates and assists over 50 children with autism and special needs through its Preschool to reach their fullest potential and retain their success through their participation in the public school system; and

WHEREAS, The Arc Mid-Hudson's Residential program provides for more than 130 people in both homes and apartments throughout Putnam County; and

WHEREAS, The Arc Mid-Hudson's Day Habilitation programs offer the opportunity to expand social, communication, and life skills to over 150 adults with developmental disabilities; and

WHEREAS, The Arc Mid-Hudson provides Community Habilitation, Respite, Educational Advocacy and Traumatic Brain Injury services to over 70 children and adults living at home with their families throughout Putnam County; and

WHEREAS, The Arc Mid-Hudson's clinic, Mid-Hudson Health Specialties, offers clinical services for over 200 individuals with intellectual and developmental disabilities in Putnam County and their families, including psychology, social work, occupational, physical, and speech therapies, podiatry, psychiatry, and medical services, as well as behavioral supports for families in their homes; now therefore be it

RESOLVED, that the Putnam County Executive and the Putnam County Legislature do hereby proclaim April 2020 as Developmental Disabilities Awareness Month and Autism Awareness Month, and recognize and commend The Arc Mid-Hudson for the valuable services this agency provides to people with disabilities, their families, and the business community.

MaryEllen Odell, Putnam County Executive

Toni Addonizio, Chair, Putnam County Legislature

Proclamation

April 20, 2020 as Healthy Teen Brain Day

WHEREAS, Our youth are our greatest joy and our hope for the future so it is necessary for us to support them in making safe and healthy decisions, while creating a supportive environment that safeguards their future; and

WHEREAS, Many of our youth are making very healthy and safe decisions to remain marijuana-free and providing leadership in their schools and communities to help other youth remain marijuana-free; and

WHEREAS, There is strong objective evidence that marijuana is harmful to the adolescent brain, with the potential to cause distorted perceptions, difficulty with thinking and problem solving, disrupted learning and memory, and impaired reaction time, attention span, judgment, balance and coordination; and

WHEREAS, It is with special pleasure that we join with the youth and adult leaders of the Putnam Communities That Care Coalition in celebrating the first "Healthy Teen Brain Day" to applaud and support our youth who are making healthy decisions; and

WHEREAS, On behalf of the citizens of Putnam County, we are pleased and proud to join all associated with the inception of "Healthy Teen Brain Day" and urge all citizens to acknowledge this very important day.

RESOLVED, that the Putnam County Executive and the Putnam County Legislature do hereby proclaim April 20, 2020 to be Healthy Teen Brain Day in Putnam County and proudly join my fellow residents in marking this very special occasion.

MaryEllen Odell, Putnam County Executive

Toni Addonizio, Chairwoman, Putnam County Legislature

Proclamation

Keep Putnam Beautiful

WHEREAS, Putnam County is one of the most unique counties in New York State as it is located in close proximity to large cities, but remains a quiet, pastoral community where many natural and historic sites can be enjoyed, and

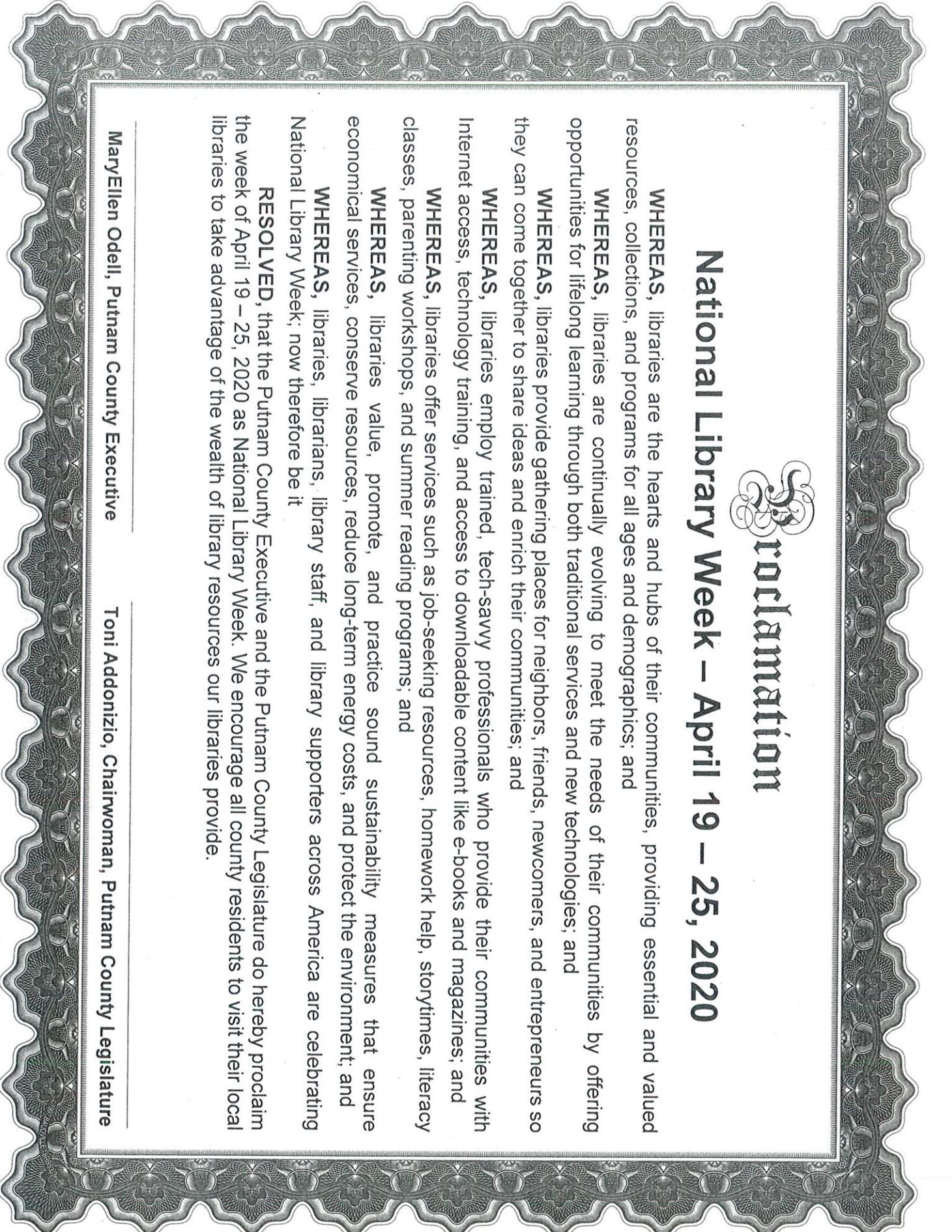
WHEREAS, Acknowledging the bucolic nature of Putnam County and the importance of preserving it, the County of Putnam established the Keep Putnam Beautiful program in 2005. Led by Program Coordinator Walt Thompson, Keep Putnam Beautiful utilized an education and community volunteerism approach to work toward their goal of not only preserving the environment, but enhancing it along the way. The collaborative effort set forth involved the towns and villages within the County to achieve a common goal; and

WHEREAS, Legislator Ginny Nacerino recognized that the need to maintain and even improve the environment in Putnam County is ever-present and thereby has launched a campaign to reintroduce the *Keep Putnam Beautiful* slogan and reestablish the program. The Putnam County Health Department and Tourism Department join in the effort with Towns, Villages, and Individual Community Volunteers to make the prevention of litter and preservation of the environment a priority in our community. By employing the same spirit and concerted effort as the original program, a renewed pride will be instilled in our County and Putnam will remain the idyllic home and destination it is and has always been; now therefore be it

RESOLVED, that Putnam County Executive MaryEllen Odell and the Putnam County Legislature, hereby proclaim April as Keep Putnam Beautiful Month and encourage all residents to remain cognizant of their impact on the environment.

MaryEllen Odell, Putnam County Executive

Toni Addonizio, Chair, Putnam County Legislature



Proclamation

National Library Week – April 19 – 25, 2020

WHEREAS, libraries are the hearts and hubs of their communities, providing essential and valued resources, collections, and programs for all ages and demographics; and

WHEREAS, libraries are continually evolving to meet the needs of their communities by offering opportunities for lifelong learning through both traditional services and new technologies; and

WHEREAS, libraries provide gathering places for neighbors, friends, newcomers, and entrepreneurs so they can come together to share ideas and enrich their communities; and

WHEREAS, libraries employ trained, tech-savvy professionals who provide their communities with Internet access, technology training, and access to downloadable content like e-books and magazines; and

WHEREAS, libraries offer services such as job-seeking resources, homework help, storytimes, literacy classes, parenting workshops, and summer reading programs; and

WHEREAS, libraries value, promote, and practice sound sustainability measures that ensure economical services, conserve resources, reduce long-term energy costs, and protect the environment; and

WHEREAS, libraries, librarians, library staff, and library supporters across America are celebrating National Library Week; now therefore be it

RESOLVED, that the Putnam County Executive and the Putnam County Legislature do hereby proclaim the week of April 19 – 25, 2020 as National Library Week. We encourage all county residents to visit their local libraries to take advantage of the wealth of library resources our libraries provide.

MaryEllen Odell, Putnam County Executive

Toni Addonizio, Chairwoman, Putnam County Legislature

Proclamation

April 2020 as Peers Influence Peers Month

WHEREAS, the use of alcohol and illegal drugs cause serious health, social, and educational problems for our young people; and one in four high school girls will suffer from an abusive relationship before they graduate; and

WHEREAS, it has been empirically proven that substance abuse is significantly involved in the three leading causes of death for young people – car crashes, homicides, and suicides – and is also a major factor in school dropouts, violence, and vandalism as well as HIV/AIDS, teenage pregnancy, rapes, and sexual assaults; and

WHEREAS, the recent upturns in drug and alcohol usage, as documented in state and national surveys, show that we must target effective prevention strategies at key population groups, such as middle and high school students; and

WHEREAS, the Peers Influence Peers Partnership has demonstrated a great deal of initiative and sophistication in developing proactive media messages against dating and domestic violence as well as alcohol and other drug use; and

WHEREAS, that work, which has been aired through numerous schools and cable TV systems throughout our state, has won praise from many authorities; now therefore be it

RESOLVED, that the Putnam County Executive and the Putnam County Legislature do hereby recognize April 2020 as Peers Influence Peers Month in hope that this declaration and a joint effort of all agencies and authorities to encourage young people to help others by encouraging them to live safe and healthy lives, may one day rid our children and their children's children of the scourge of drug and alcohol abuse.

MaryEllen Odell, Putnam County Executive

Toni Addonizio, Chair, Putnam County Legislature

Proclamation

April 2020 as Teen Driver Safety Awareness Month

WHEREAS, statistics and experience demonstrate that the greatest danger to our youth in Putnam County, and throughout our country, are the dangers posed from traffic crashes; and

WHEREAS, highway crash statistics inform us that although teen drivers make up only 7% of the driving population, they comprise 11% of the injury related automobile crashes; and

WHEREAS, the leading cause of accidental deaths to our youthful population throughout the United States are automobile accidents; and

WHEREAS, analysis shows us that the reasons for teen overrepresentation in injury related automobile crashes include: driver inexperience, excessive speed, unnecessary risk taking, inattentive driving, and use of alcohol and drugs; and

WHEREAS, in Putnam County, we have too often experienced a tragedy with the death of a teen driver at the wheel. Many of these deaths have occurred during the spring and summer months with a high incidence rate during the period leading up to prom season; and

WHEREAS, all accidents are preventable and crash rates can be lowered through the use of education and awareness programs through the use of our school systems, law enforcement programs and youth services organizations such as Boy Scouts, Girl Scouts, Junior RTC programs and the Civil Air Patrol, just to name a few; and

WHEREAS, these programs work best when there is a period set aside for local government at every level, our school districts and churches, synagogues, and youth service organizations coming together to provide these educational programs; now therefore be it

RESOLVED, that the Putnam County Executive and the Putnam County Legislature do hereby proclaim April 2020 as Teen Driver Safety Awareness Month in Putnam County. We encourage all levels of government, our school districts, law enforcement, our churches and synagogues, our youth service organizations and all the citizens of Putnam County to support programs that promote teen driver safety awareness in Putnam County, thereby protecting one of our most precious resources, our children and grandchildren.

MaryEllen Odell, Putnam County Executive

Toni Addonizio, Chairwoman, Putnam County Legislature

Proclamation

April 12 – 18, 2020 as National Telecommunicators' Week

WHEREAS, the Putnam County 911 Center answered 88,895 calls for help and dispatched Fire, EMS, and Police agencies 11,735 times during 2019; and

WHEREAS, emergencies can occur at any time that require police, fire, or emergency medical services; and
WHEREAS, when an emergency occurs the prompt response of police officers, firefighters, and paramedics is critical to the protection of life and preservation of property; and

WHEREAS, the safety of our police officers, firefighters, and emergency medical services personnel is dependent upon the quality and accuracy of information obtained from citizens who telephone the Putnam 911 communications center; and

WHEREAS, Emergency Service Dispatchers are the first and most critical contact our citizens have with emergency services; and

WHEREAS, Emergency Service Dispatchers are the single vital link for our police officers, firefighters, and emergency medical services by monitoring their activities by radio, providing them information and insuring their safety; and

WHEREAS, Emergency Service Dispatchers of the Putnam 911 communications center have contributed substantially to the apprehension of criminals, suppression of fires and treatment of patients; and

WHEREAS, each dispatcher has exhibited compassion, understanding and professionalism during the performance of their job in the past year; now therefore be it

RESOLVED, that the Putnam County Executive and the Putnam County Legislature do hereby proclaim the week of April 12th through April 18th, 2020 to be National Telecommunicators' Week in Putnam County, in honor of the men and women whose diligence and professionalism keep our County and its citizens safe.

MaryEllen Odell, Putnam County Executive

Toni Addonizio, Chairwoman, Putnam County Legislature

#4

**SPECIAL MEETING
OF THE
PUTNAM COUNTY LEGISLATURE
CALLED BY THE CLERK AT THE REQUEST OF THE CHAIRWOMAN
HELD VIA AUDIO WEBINAR PURSUANT TO TEMPORARY EMERGENCY ORDERS**

Thursday

March 26, 2020

(Immediately following Rules Committee mtg. starting at 6:00 P.M.)

The meeting was called to order at 6:20 P.M. by Chairwoman Addonizio who lead in the Pledge of Allegiance and Legislative Prayer. Upon roll call, Legislators Montgomery, Gouldman, Nacerino, Albano, Jonke, Castellano, Sayegh, Sullivan and Chairwoman Addonizio were present. Also present was Legislative Counsel Firriolo.

Item #4 – Approval/ Temporary Procedures and Policies for Legislative Meetings during State of Emergency concerning COVID-19 Outbreak was next.

Chairwoman Addonizio moved the following; seconded by Legislator Albano.

Legislator Sullivan explained that, during these unprecedented times, it was still important for the Legislature to conduct County business in the best way possible; protecting ourselves and the public from unnecessary exposure during the pandemic. He explained that this was a good policy to put in place for Legislative meetings during the State of Emergency.

Legislator Jonke concurred. He stated that this is something new for all of us. He commended the Legislative staff, Legislative Counsel and the IT Department for putting this all together in order to make the best of a bad situation.

Legislator Nacerino stated that these are uncharted waters. She stated that we are doing the best we can to serve our constituency; keeping them and ourselves safe. She thanked all those who were instrumental in organizing this virtual meeting.

Chairwoman Addonizio called for a Roll Call Vote.

RESOLUTION #69

APPROVAL/TEMPORARY PROCEDURES AND POLICIES FOR LEGISLATIVE MEETINGS DURING STATE OF EMERGENCY CONCERNING COVID-19 OUTBREAK.

WHEREAS, Article 7 of the New York State Public Officers Law is known as the “Open Meetings Law” and generally requires that every meeting of a public body shall be open to the general public, subject to certain exceptions and exemptions; and

WHEREAS, the Putnam County Legislature has effectuated relevant requirements of the Open Meetings Law in its procedural rules and policies, which are set forth in the Legislative Manual adopted on January 7, 2020; and

WHEREAS, pursuant to Legislative Manual section IV (“Rules of Order and Procedure”), each and every meeting of the Putnam County Legislature and its committees, boards, and commissions shall be open to all members of the public, unless otherwise specified by law; and

WHEREAS, pursuant to Legislative Manual section III.B.6 (“Meetings of Committees”), no committee meetings of the Putnam County Legislature shall be closed to the public, except by majority vote of its membership and only for the reasons specified in applicable law; and

WHEREAS, pursuant to Legislative Manual section II.H.1.c.3. (“Powers and Duties of the Clerk of the Legislature”), verbatim minutes of any segment of a meeting are not to be taken unless specifically requested by a member of the Legislature or the Chair of the Legislature; and

WHEREAS, pursuant to the same section, audio tapes of meetings primarily serve as a work product for the preparation of the actual minutes and, as such, shall not be copied or given out without the express authorization of the Chair of the Legislature, who may invoke Freedom of Information procedures; and

WHEREAS, on March 12, 2020, Governor Andrew M. Cuomo signed Executive Order Number 202.1 (“Continuing Temporary Suspension and Modification of Laws Relating to the Disaster Emergency”), which temporarily suspends and modifies requirements of the Open Meetings Law, stating in relevant part:

[P]ursuant to the authority vested in me by Section 29-a of Article 2-B of the Executive Law to temporarily suspend or modify any statute, local law, ordinance, order, rule, or regulation, or parts thereof, of any agency during a State disaster emergency, if compliance with such statute, local law, ordinance, order, rule, or regulation would prevent, hinder, or delay action necessary to cope with the disaster emergency or if necessary to assist or aid in coping with such disaster, I hereby temporarily suspend or modify, for the period from the date of this Executive Order through April 11, 2020 the following:

Suspension of law allowing the attendance of meetings telephonically or other similar service:

- Article 7 of the Public Officers Law, to the extent necessary to permit any public body to meet and take such actions authorized by the law without permitting in public in-person access to meetings and authorizing such meetings to be held remotely by conference call or similar service, provided that the public has the ability to view or listen to such proceeding and that such meetings are recorded and later transcribed; and

WHEREAS, pursuant to the powers vested in her by New York State Executive Law Article 2-B, Putnam County Executive MaryEllen Odell declared a State of Emergency on March 13, 2020, due to an outbreak of respiratory illness caused by a novel coronavirus, now known as COVID-19; and

WHEREAS, in accordance with this Declaration of Emergency, on March 15, 2020, Putnam County Executive MaryEllen Odell signed Emergency Order #4 pursuant to the powers vested in her by New York State Executive Law Article 2-B; thereby, all public events and gatherings where it is anticipated that attendance will exceed twenty (20) or more people were ordered to be canceled or postponed; and

WHEREAS, Putnam County Emergency Order #4 took effect at 12:00 a.m. Monday, March 16, 2020, and will remain in effect for (5) days unless sooner revoked or extended for additional periods during the pendency of the local State of Emergency; and

WHEREAS, the Putnam County Legislature recognizes the importance of continuing to perform the duties and responsibilities delegated to it by the Putnam

County Charter while balancing the need to protect the public as well as the employees and officials of Putnam County during the current State of Emergency; and

WHEREAS, the Putnam County Legislature desires to make temporary modifications to policies and procedures set forth in the Legislative Manual to allow the Legislature to hold its meetings in compliance with NYS Executive Order Number 202.1, Putnam County Emergency Order #4, and with all other applicable federal, state, or local orders, laws, rules and regulations that may be promulgated during the current State of Emergency; now therefore be it

RESOLVED, that notwithstanding any policy or procedure contained within the Legislative Manual or elsewhere, the Putnam County Legislature hereby adopts the following “Emergency Legislative Temporary Procedures and Policies”:

- 1) Members of the Legislature may attend and/or participate in any meeting or proceeding of a committee of the Legislature, or any meeting or proceeding of the full Legislature, remotely by conference call or similar service, to the extent that such method is deemed practical, and is approved by, the Chair of the Legislature. The approval or disapproval of the Chair of any method shall be subject to override by a majority vote of the full Legislature. The attendance of a Legislator by conference call or similar service shall count for purposes of a quorum and shall entitle the Legislator to participate in all votes on which the Legislator would be entitled to vote if present in-person at such meeting or proceeding.
- 2) All meetings and proceedings of the Legislature and of Legislative committees other than public hearings shall be closed to the general public. This provision shall not apply to: members of the Legislature; Legislative staff; Legislative Counsel; the County Auditor; persons invited to attend a meeting or proceeding by the Chair of the Legislature; employees or officials of the County of Putnam with business before the Legislature at a given meeting or proceeding; employees or officials of the County of Putnam providing services or information to the Legislature at a given meeting or proceeding; or persons with valid credentials identifying them as members of the working press. The number of persons present at any one time in the room where the Legislature is meeting shall be subject to limitation by the Chair of the Legislature, or by the Chair of a Standing Committee at meetings of such committee.
- 3) Any proceeding of the Legislature or of a Legislative committee that is closed to the public shall be conducted in such manner that the public shall have the ability to view or listen to such proceeding while it is being conducted, to the fullest extent technologically feasible and practicable. In the event that a technical problem prevents or interrupts the video or audio feed of a proceeding in real time, a recording of the meeting shall be made available on the Legislature’s website as soon as reasonably practical after the conclusion of the proceeding.
- 4) The Clerk of the Legislature is authorized to take all necessary measures, including but not limited to working with the Putnam County Department of Information Technology/GIS and the retention of private stenographic services, to ensure that any meeting of the Legislature or of Legislative committees that is closed to the public shall be recorded and later transcribed.
- 5) To the fullest extent practical, all meetings and proceedings of the Legislature and of Legislative committees shall have their agendas limited to business that is time-sensitive and/or essential to the efficient, continuing

operation of Putnam County government or for the provision of essential services to residents of Putnam County. All other business items, including action on any item that would require a public hearing, should be deferred, if feasible, until such time as the current State of Emergency is ended.

6) Notwithstanding the above restrictions on in-person public attendance at Legislative meetings, the Legislature shall continue to make best efforts to provide timely public notice of all meetings. To ensure that the public has an opportunity to hear and/or observe remotely any meeting of the Legislature that would be open to the public absent the current State of Emergency, such public notice shall include: 1) notice that the meeting is closed to the general public; 2) attachment of non-confidential backup for each agenda item; 3) instructions on how to access the audio and/or video feed of the meeting; and 4) notice that a transcription will be made available at a later date.

7) The above policies or procedures may be revised without a vote of the Legislature solely to comply with the terms of NYS Executive Order Number 202.1 (or a subsequent Executive Order) in the event that either the Putnam County Law Department or Legislative Counsel advises the Legislature that such revisions are necessary or appropriate in light of guidance or interpretation regarding said order from Governor Cuomo or a relevant New York State agency, or because of an order or opinion issued by any court of competent jurisdiction.

And be it further

RESOLVED, that these Emergency Legislative Temporary Procedures and Policies shall take effect immediately, and shall continue in effect until such time as the earlier of either of the following events: 1) the provisions of NYS Executive Order Number 202.1, or of another Executive Order by the Governor, suspending provisions of the Open Meetings Law are no longer in effect; or 2) a State of Emergency in Putnam County is discontinued.

BY ROLL CALL VOTE: CARRIED UNANIMOUSLY. MOTION CARRIES.

There being no further business, at 6:25 P.M., Chairwoman Addonizio made a motion to adjourn; seconded by Legislator Sullivan. All in favor.

Respectfully submitted by Diane Schonfeld, Clerk.

THE PUTNAM COUNTY LEGISLATURE

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

Toni E. Addonizio *Chairwoman*
Neal L. Sullivan *Deputy Chair*
Diane Schonfeld *Clerk*
Robert Firriolo *Counsel*



| | |
|-------------------|---------|
| Nancy Montgomery | Dist. 1 |
| William Gouldman | Dist. 2 |
| Toni E. Addonizio | Dist. 3 |
| Ginny Nacerino | Dist. 4 |
| Carl L. Albano | Dist. 5 |
| Paul E. Jonke | Dist. 6 |
| Joseph Castellano | Dist. 7 |
| Amy E. Sayegh | Dist. 8 |
| Neal L. Sullivan | Dist. 9 |

**AGENDA
SPECIAL MEETING
OF THE
PUTNAM COUNTY LEGISLATURE
CALLED BY THE CLERK AT THE REQUEST OF THE CHAIRWOMAN
TO BE HELD IN ROOM 318
PUTNAM COUNTY OFFICE BUILDING
CARMEL, NEW YORK 10512**

Thursday March 26, 2020
(Immediately following Rules Mtg. starting at 6:00 P.M.)

- 1. Pledge of Allegiance**
- 2. Legislative Prayer**
- 3. Roll Call**
- 4. Approval/ Temporary Procedures and Policies for Legislative Meetings
During State of Emergency Concerning COVID-19 Outbreak**
- 5. Other Business**
- 6. Adjournment**

Michele Alfano- Sharkey
County Auditor

Francine Romeo
Deputy County Auditor



COUNTY AUDITOR

#5a

County Office Building
40 Gleneida Avenue
Carmel, New York 10512
Main (845)808-1040
Fax (845)808-1900

TO: Putnam County Legislature

FROM: Michele Alfano-Sharkey
County Auditor *MAS*

DATE: March 31, 2020

RE: Refund of Taxes

This is the report for March 31, 2020 as provided by
Real Property Tax Law – Section 556 §550 Paragraph (b).

**REFUND OF TAXES REPORT
REQUIRED BY
REAL PROPERTY TAX LAW -
SECTION 556, PARAGRAPH (2)a**

| APPROVED | REFUND AMOUNT | SCHOOL DISTRICT | FISCAL IMPACT | LOCATION |
|---------------------|--------------------------|----------------------------|--------------------------|-----------------------|
| Fabbri Living Trust | \$2,189.05 | Carmel | \$181.90 | TM# 55.14-1-11.1-3735 |

#6a

Committee Mtg _____ Resolution # _____
 Introduced By _____ Regular Mtg _____
 Seconded By _____ Special Mtg _____

APPROVAL/ BUDGETARY AMENDMENT/ DISTRICT ATTORNEY/ ASSET FORFEITURE PROGRAM/ PARTNERSHIP INITIATIVE/ LICENSE PLATE READERS FOR COLD SPRING POLICE DEPARTMENT

WHEREAS, the District Attorney has requested a budgetary amendment (20A008) to utilize Forfeited Asset Reserve funds to enter into a Partnership Initiative for four (4) Automated License Plate Readers (ALPR) for the Cold Spring Police Department; and

WHEREAS, the Protective Services Committee, at its meeting convened on March 10, 2020, reviewed and approved said budgetary amendment contingent upon the Putnam County Sheriff Department's adoption of an ALPR Policy; and

WHEREAS, the Protective Committee stipulated the following requirements:

- The Cold Spring Police Department must adhere to Putnam County's ALPR Policy; and
- Policy would include revised verbiage related to: sanction for misuse of data, the sharing of data and editing the retention of data to state three (3) years; and

WHEREAS, the proposed three (3) requests have been included in the attached ALPR Policy; and

WHEREAS, the Audit & Administration Committee has reviewed and approved said budgetary amendment; now therefore be it

RESOLVED, that the following budgetary amendment be made:

Increase Revenue:

| | | |
|----------|--------------------------|--------|
| 10001000 | District Attorney | |
| 427152 | Asset Forfeiture Program | 13,399 |

Increase Appropriations:

| | | |
|----------|---|--------|
| 10001000 | District Attorney Asset Forfeiture Program Partnership Initiative | |
| | | 13,399 |

2020 Fiscal Impact – 0 –
 2021 Fiscal Impact – 0 –

Legislator Albano _____
 Legislator Castellano _____
 Legislator Gouldman _____
 Legislator Jonke _____
 Legislator Montgomery _____
 Legislator Nacerino _____
 Legislator Sayegh _____
 Legislator Sullivan _____
 Chairwoman Addonizio _____

WILLIAM J. CARLIN, Jr. CPA
Commissioner Of Finance



CALL
Prot
Audit

RESO

ANITA Z. GILBERT
Chief Deputy Commissioner Of
Finance

SHEILA BARRETT
Deputy Commissioner of Finance

DEPARTMENT OF FINANCE

2020 MAR - 5 PM 3:31
LEGISLATURE
PUTNAM COUNTY
CARMEL, NY

February 28, 2020

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

Dear Ms. Schonfeld,

Pursuant to Code Section 5-1, A dated February 14, 2010, I am advising you of the following request to amend the District Attorney's **2020 Budget** which was submitted for approval:

Increase Revenue:

| | | |
|----------|--------------------------|-----------------|
| 10001000 | District Attorney | |
| 427152 | Asset Forfeiture Program | <u>\$13,399</u> |

Increase Appropriation:

| | | |
|----------|--|-----------------|
| 10001000 | District Attorney Asset Forfeiture Program | |
| 54936 | Partnership Initiative | <u>\$13,399</u> |

2020 Fiscal Impact -0-
2021 Fiscal Impact -0-

The District Attorney respectfully requests the use of forfeited asset reserve funds to enter into ~~two~~ ^a partnership initiatives ~~as~~ outlined on the attached memo.

AUTHORIZATION:

3/2/2020
Date Department of Finance/Designee: Initiation by – between \$0 - \$5,000.00
Anita Z Gilbert

3.5.20
Date County Executive/Designee: Authorized for Legislative Consideration - between \$5,000.01 - \$10,000.00
Patricia Amore For me

Date Chairperson – Audit between \$0 - \$10,000.00

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

20A008

#6b

Approval/ Litigation Settlement

Denton-Lotts v. County of Putnam

#60

Committee Mtg _____ Resolution # _____
Introduced By _____ Regular Mtg _____
Seconded By _____ Special Mtg _____

APPROVAL/RATIFICATION/PBA CONTRACT

WHEREAS, the Putnam County Sheriff’s Department Police Benevolent Association (“PBA”) and the County of Putnam are parties to a Collective Bargaining Agreement (“CBA”) which expired on December 31, 2016; and

WHEREAS, negotiations with PBA for a new and/or amended CBA took place on many dates, over the course of the past three (3) years, and many proposals and counter-proposals were exchanged over that same period of time; and

WHEREAS, a Declaration of Impasse was filed by PBA on July 17, 2019 with the Office of Conciliation of the Public Employment Relations Board; and

WHEREAS, mediation sessions took place between PBA and the County of Putnam with mediator Lori Matles on December 20, 2019, January 31, 2020, and March 5, 2020; and

WHEREAS, on March 12, 2020 a letter recommendation from mediator Lori Matles was received as a result of the aforementioned mediation sessions, a copy of which is attached hereto; and

WHEREAS, a Memorandum of Agreement (“MOA”) was executed by Putnam County Executive MaryEllen Odell, by Sheriff Robert L. Langley and County Attorney Jennifer S. Bumgarner and PBA President Daniel Hunsberger, in which the specific changes to the underlying Collective Bargaining Agreement were outlined, a copy of which is attached hereto; and

WHEREAS, the Personnel Committee of the Putnam County Legislature held a meeting on March 30, 2020 to discuss the terms of the MOA; and

WHEREAS, the Putnam County Legislature held a meeting on April 7, 2020 to discuss the terms of the MOA; and

WHEREAS, the Legislature is in agreement with the administration, the negotiating team and the mediator’s recommendation that the MOA is in the best interests of the County of Putnam, its taxpayers and the Membership of PBA; now therefore be it

RESOLVED that the Putnam County Legislature hereby approves and ratifies the attached Memorandum of Agreement, dated March 13, 2020, which was entered into with PBA for the period of January 1, 2017 up to and including December 31, 2022.

Legislator Albano _____
Legislator Castellano _____
Legislator Gouldman _____
Legislator Jonke _____
Legislator Montgomery _____
Legislator Nacerino _____
Legislator Sayegh _____
Legislator Sullivan _____
Chairwoman Addonizio _____

6ed

Committee Mtg _____ Resolution # _____
Introduced By _____ Regular Mtg _____
Seconded By _____ Special Mtg _____

APPROVAL/ BUDGETARY TRANSFER/ COMMISSIONER OF FINANCE/ RATIFIED CONTRACT SETTLEMENT BETWEEN PUTNAM COUNTY AND PBA

WHEREAS, the Commissioner of Finance has requested a budgetary transfer (20T062) to provide funding for the 2020 Salary and Benefit Costs pursuant to ratified Contract Settlement between Putnam County and the Putnam County Sheriff's Department Police Benevolent Association (PBA) Resolution # _____ of 2020; and

WHEREAS, the Personnel Committee and the Audit & Administration Committee have reviewed and approved said budgetary transfer; now therefore be it

RESOLVED, that the following budgetary transfer be made:

Increase Estimated Appropriations:

| | | |
|----------------|--------------------|----------------|
| 10311000 51000 | Personnel Services | 10,972 |
| 10311000 58002 | Social Security | 839 |
| 13311000 51000 | Personnel Services | 38,251 |
| 13311000 58002 | Social Security | 2,926 |
| 14311000 51000 | Personnel Services | 87,187 |
| 14311000 58002 | Social Security | 6,670 |
| 15311000 51000 | Personnel Services | 28,696 |
| 15311000 58002 | Social Security | 2,195 |
| 16311000 51000 | Personnel Services | 128,442 |
| 16311000 58002 | Social Security | 9,826 |
| 17311000 51000 | Personnel Services | 357,826 |
| 17311000 58002 | Social Security | 27,374 |
| 19005060 51000 | Personnel Services | 9,268 |
| 19005060 58002 | Social Security | 709 |
| 19311000 51000 | Personnel Services | 9,268 |
| 19311000 58002 | Social Security | 709 |
| 20311000 51000 | Personnel Services | 10,160 |
| 20311000 58002 | Social Security | 777 |
| 32311000 51000 | Personnel Services | 123,544 |
| 32311000 58002 | Social Security | 9,451 |
| | | <u>865,090</u> |

Decrease Estimated Appropriations:

| | | |
|----------------|-------------|---------|
| 10199000 54980 | Contingency | 865,090 |
|----------------|-------------|---------|

2020 Fiscal Impact - 865,090

2021 Fiscal Impact - 886,717

Legislator Albano _____
Legislator Castellano _____
Legislator Gouldman _____
Legislator Jonke _____
Legislator Montgomery _____
Legislator Nacerino _____
Legislator Sayegh _____
Legislator Sullivan _____
Chairwoman Addonizio _____



cc:all
Pers.
A+A.

Reso

WILLIAM J. CARLIN, Jr. CPA
Commissioner Of Finance

DEPARTMENT OF FINANCE

MEMORANDUM

To: Diane Schonfeld, Legislative Clerk
From: William J. Carlin, Jr., Commissioner of Finance
Re: Budgetary Amendment - 20T062
Date: March 24, 2020

WJC

2020 MAR 24 AM 11:26
LEGISLATURE
PUTNAM COUNTY
CARMEL, NY

At the request of the Commissioner of Finance, the following budgetary transfer is required.

Increase estimated appropriations:

| | | |
|----------------|--------------------|----------------|
| 10311000 51000 | Personnel Services | 10,972 |
| 10311000 58002 | Social Security | 839 |
| 13311000 51000 | Personnel Services | 38,251 |
| 13311000 58002 | Social Security | 2,926 |
| 14311000 51000 | Personnel Services | 87,187 |
| 14311000 58002 | Social Security | 6,670 |
| 15311000 51000 | Personnel Services | 28,696 |
| 15311000 58002 | Social Security | 2,195 |
| 16311000 51000 | Personnel Services | 128,442 |
| 16311000 58002 | Social Security | 9,826 |
| 17311000 51000 | Personnel Services | 357,826 |
| 17311000 58002 | Social Security | 27,374 |
| 19005060 51000 | Personnel Services | 9,268 |
| 19005060 58002 | Social Security | 709 |
| 19311000 51000 | Personnel Services | 9,268 |
| 19311000 58002 | Social Security | 709 |
| 20311000 51000 | Personnel Services | 10,160 |
| 20311000 58002 | Social Security | 777 |
| 32311000 51000 | Personnel Services | 123,544 |
| 32311000 51000 | Social Security | 9,451 |
| | | <u>865,090</u> |

2.

Decrease Estimated Appropriations:

| | | |
|----------------|-------------|---------|
| 10199000 54980 | Contingency | 865,090 |
|----------------|-------------|---------|

Fiscal Impact - 2020 - \$ 865,090

Fiscal Impact - 2021 - \$ 886,717

This Resolution is required to provide for the funding for the 2020 salary and benefit costs pursuant to the ratified contract settlement between Putnam County and the Putnam County Sheriff's Department PBA.

Please forward to the appropriate committee.

Approved:

MaryEllen Odell
County Executive

#6e

Committee Mtg _____ Resolution # _____
Introduced By _____ Regular Mtg _____
Seconded By _____ Special Mtg _____

SUPPORT/ APPROVE CONTINUING THE PUTNAM COUNTY PARKING AND TRANSFER PROGRAM AND INTERCITY BUS/MASS TRANSPORTATION JOINT SERVICE AGREEMENT TO OPERATE THE CROTON FALLS COMMUTER SHUTTLE

WHEREAS, the County of Putnam and the New York State Department of Transportation entered into a Federal Aid Municipal Service Contract for the Putnam County Parking and Transfer Program encompassed by New York State Contract No. C017679 dated October 2, 2002, together with Supplemental Agreement Nos. 1, 2, and 3 dated October 1, 2004, January 1, 2007/November 13, 2009, and June 22, 2018 respectively, which have all now expired; and

WHEREAS, the County of Putnam and the New York State Department of Transportation entered into an Intercity Bus/Mass Transportation Joint Service Agreement in connection with the Putnam County Parking and Transfer Program, formerly Project ID Number 8822.84.12A, and Putnam County Croton Falls Commuter Shuttle, formerly Project ID Number 8822.44.12H, collectively Comptroller's Contract No. D035345 and Supplemental Agreement Nos. 1, 2 and 3, dated August 10, 2016, November 24, 2017/June 22, 2018 and February 4, 2020 respectively, which have all now expired; and

WHEREAS, the County of Putnam and the New York State Department of Transportation continue their combined efforts to improve and enhance transportation services in Putnam County, such services provided by and through the Putnam Area Rapid Transit (PART) system, and includes, without limitation, expanding and/or making regional connections to the regional transit services network, as set forth in the Intercity Bus/Mass Transportation Joint Service Agreement No. C040127 attached hereto as Schedule "A"; and

WHEREAS, the County of Putnam transportation system's undertaking to operate the Croton Falls Commuter Shuttle between Mahopac and Croton Falls will continue to improve, enhance and expand transportation services in Putnam County in support of the aforesaid collaborative efforts between the County of Putnam and the New York State Department of Transportation; and

WHEREAS, the Putnam County Legislature, together with the County Executive, recommends and approves the continuation of the Putnam County Parking and Transfer Program and Putnam County transportation system to operate the Croton Falls Commuter Shuttle, as aforesaid; now, therefore, be it

Legislator Albano _____
Legislator Castellano _____
Legislator Gouldman _____
Legislator Jonke _____
Legislator Montgomery _____
Legislator Nacerino _____
Legislator Sayegh _____
Legislator Sullivan _____
Chairwoman Addonizio _____

Committee Mtg _____ Resolution # _____
Introduced By _____ Regular Mtg _____
Seconded By _____ Special Mtg _____

RESOLVED, that the County of Putnam be and is hereby authorized to enter into the Intercity Bus/Mass Transportation Joint Service Agreement No. C040127, attached hereto as Schedule "A," with the New York State Department of Transportation for the maintenance of the Park and Ride Lots in Putnam County and payment for passenger transfers between PART and other commuter transportation systems, as well as for the operation of the Croton Falls Commuter Shuttle, collectively Project ID Number 8823.88; and be it further

RESOLVED, that payments made to the County of Putnam under the Intercity Bus/Mass Transportation Joint Service Agreement No. C040127 between the County of Putnam and the New York State Department of Transportation for the Putnam County Parking and Transfer Program shall not, except as otherwise may hereafter be agreed to between Putnam County and New York State, exceed \$52,000 in reimbursements (Federal: \$41,600; State: \$10,400; County: \$0) for period January 1, 2020 through December 31, 2020, or such period as otherwise may be agreed to between Putnam County and New York State, exclusive of any other/Federal and/or State participation amounts; and be it further

RESOLVED, that payments made to the County of Putnam under Intercity Bus/Mass Transportation Joint Service Agreement No. C040127 between Putnam County and New York State for the operation of the Croton Falls Commuter Shuttle shall not, except as otherwise may hereafter be agreed to between Putnam County and New York State, exceed \$418,000, inclusive of the aforementioned Park & Ride maintenance reimbursement, as follows (Federal: \$300,000; Operating Revenues: \$13,000; State: \$102,000; County: \$3,000) for period January 1, 2020 through December 31, 2020, or such period as otherwise may be agreed to between Putnam County and New York State, exclusive of any other/Federal and/or State participation amounts; and be it further

RESOLVED, that the Putnam County Legislature authorizes the County Executive or his/her duly appointed designee to take such actions and execute such documents as may be necessary and appropriate to effectuate the intents and purposes set forth hereinabove.

Legislator Albano _____
Legislator Castellano _____
Legislator Gouldman _____
Legislator Jonke _____
Legislator Montgomery _____
Legislator Nacerino _____
Legislator Sayegh _____
Legislator Sullivan _____
Chairwoman Addonizio _____



Putnam County
Department of Planning, Development,
and Public Transportation

*cc: all
Phys.
Reso*

Sandra M. Fusco
Commissioner

www.putnamcountyny.com
841 Fair Street
Carmel, NY 10512

Phone: (845) 878-3480
Fax: (845) 808-1948

MEMORANDUM

TO: Carl Albano
Chair, Physical Services Committee

CC: Toni Addonizio
Chair, Putnam County Legislature

FROM: Sandra M. Fusco, Commissioner
Department of Planning, Development and Public Transportation

DATE: March 13, 2020

RE: Putnam County Park and Ride Transfer Program/Croton Falls Commuter Shuttle

Attached hereto is a Resolution in connection with the above referenced matter, which the undersigned respectfully requests be placed for consideration and approval on the agenda of the Physical Services Committee Meeting scheduled for March 24, 2020.

Thank you.

cc: MaryEllen Odell/County Executive
William J. Carlin/Commissioner of Finance
Jennifer S. Bumgarner/County Attorney
Fred Pena/Commissioner of Highways and Facilities
John Tully/Deputy Commissioner of Highways and Facilities
Vincent Tamagna/Transportation Manager

LEGISLATURE
PUTNAM COUNTY
CARMEL, NY

2020 MAR 16 PM 2:46

SUPPORT/APPROVE CONTINUING THE PUTNAM COUNTY PARKING AND TRANSFER PROGRAM AND INTERCITY BUS/MASS TRANSPORTATION JOINT SERVICE AGREEMENT TO OPERATE THE CROTON FALLS COMMUTER SHUTTLE

WHEREAS, the County of Putnam and the New York State Department of Transportation entered into a Federal Aid Municipal Service Contract for the Putnam County Parking and Transfer Program encompassed by New York State Contract No. C017679 dated October 2, 2002, together with Supplemental Agreement Nos. 1, 2, and 3 dated October 1, 2004, January 1, 2007/November 13, 2009, and June 22, 2018 respectively, which have all now expired; and

WHEREAS, the County of Putnam and the New York State Department of Transportation entered into an Intercity Bus/Mass Transportation Joint Service Agreement in connection with the Putnam County Parking and Transfer Program, formerly Project ID Number 8822.84.12A, and Putnam County Croton Falls Commuter Shuttle, formerly Project ID Number 8822.44.12H, collectively Comptroller's Contract No. D035345 and Supplemental Agreement Nos. 1, 2 and 3, dated August 10, 2016, November 24, 2017/June 22, 2018 and February 4, 2020 respectively, which have all now expired; and

WHEREAS, the County of Putnam and the New York State Department of Transportation continue their combined efforts to improve and enhance transportation services in Putnam County, such services provided by and through the Putnam Area Rapid Transit (PART) system, and includes, without limitation, expanding and/or making regional connections to the regional transit services network, as set forth in the Intercity Bus/Mass Transportation Joint Service Agreement No. C040127 attached hereto as Schedule "A"; and

WHEREAS, the County of Putnam transportation system's undertaking to operate the Croton Falls Commuter Shuttle between Mahopac and Croton Falls will continue to improve, enhance and expand transportation services in Putnam County in support of the aforesaid collaborative efforts between the County of Putnam and the New York State Department of Transportation; and

WHEREAS, the Putnam County Legislature, together with the County Executive, recommends and approves the continuation of the Putnam County Parking and Transfer Program and Putnam County transportation system to operate the Croton Falls Commuter Shuttle, as aforesaid; now, therefore, be it

RESOLVED, that the County of Putnam be and is hereby authorized to enter into the Intercity Bus/Mass Transportation Joint Service Agreement No. C040127, attached hereto as Schedule "A," with the New York State Department of Transportation for the maintenance of the Park and Ride Lots in Putnam County and payment for passenger transfers between PART and other commuter transportation systems, as well as for the operation of the Croton Falls Commuter Shuttle, collectively Project ID Number 8823.88; and be it further

RESOLVED, that payments made to the County of Putnam under the Intercity Bus/Mass Transportation Joint Service Agreement No. C040127 between the County of Putnam and the New

York State Department of Transportation for the Putnam County Parking and Transfer Program shall not, except as otherwise may hereafter be agreed to between Putnam County and New York State, exceed \$52,000 in reimbursements (Federal: \$41,600; State: \$10,400; County: \$0) for period January 1, 2020 through December 31, 2020, or such period as otherwise may be agreed to between Putnam County and New York State, exclusive of any other/Federal and/or State participation amounts; and be it further

RESOLVED, that payments made to the County of Putnam under Intercity Bus/Mass Transportation Joint Service Agreement No. C040127 between Putnam County and New York State for the operation of the Croton Falls Commuter Shuttle shall not, except as otherwise may hereafter be agreed to between Putnam County and New York State, exceed \$418,000, inclusive of the aforementioned Park & Ride maintenance reimbursement, as follows (Federal: \$300,000; Operating Revenues: \$13,000; State: \$102,000; County: \$3,000) for period January 1, 2020 through December 31, 2020, or such period as otherwise may be agreed to between Putnam County and New York State, exclusive of any other/Federal and/or State participation amounts; and be it further

RESOLVED, that the Putnam County Legislature authorizes the County Executive or his/her duly appointed designee to take such actions and execute such documents as may be necessary and appropriate to effectuate the intents and purposes set forth hereinabove.

Intercity Bus/Mass Transportation Joint Service Agreement

Comptroller's Contract No. C040127

This Agreement is made this **1st Day of January, 2020** by and between:

The New York State Department of Transportation, ("NYSDOT"),
Having its principal office at 50 Wolf Road, Albany, New York 12232;
and,

Putnam County, NY (the "Contractor"),
Having its principal place of business at **40 Gleneida Avenue, 3rd Floor, Carmel, NY 10512**
Acting by and through the **County Executive, MaryEllen Odell**

W I T N E S S E T H:

WHEREAS, The United States has provided for the apportionment of Federal aid funds to the State for the purpose of providing federal financial assistance for surface transportation projects to be administered by the States pursuant to the appropriate sections of Title 23 U.S. Code as administered by the Federal Highway Administration (FHWA); and

WHEREAS, the Governor of the State has designated the NYSDOT to receive and administer federal funds under this Surface Transportation Flexible Program Funding; and

WHEREAS, NYSDOT is authorized by Transportation Law §14 to assist in the operation of transportation facilities and services in the State, including mass transit facilities and services; and

WHEREAS, Transportation Law §14-g (added by Chapter 626 of the Laws of 1982) authorizes NYSDOT, subject to the concurrence of the Director of the Budget, to enter into joint service agreements on behalf of the State with any intercity bus company, the federal government, any other State agency or instrumentality, public authority or municipality for the purpose of providing, maintaining and improving intercity bus passenger service or local or commuter services provided by an intercity bus company; and

WHEREAS, Transportation Law §18-b provides for a Statewide Mass Transportation Operating Assistance ("STOA") program for the purpose of making payments toward the operating expenses of public transportation systems inclusive of any person, firm, or corporation performing "intercity bus passenger service" (as defined in section 14-g) serving two or more counties in New York State, which is under contract with NYSDOT pursuant to section 14-g; and

WHEREAS, State Finance Law §88-a provides for a supplemental state operating assistance program for systems receiving aid under the Section 18-b STOA program; and,

WHEREAS, Chapter 329, 330 and 331 of the Laws of 1991 relating to the establishment of the New York State Dedicated Highway and Bridge Trust Fund permits the use of the Fund for transportation related activities.

Documents Forming the Agreement. This Agreement shall consist of this document, and the following attached appendices, and any laws, rules, regulations and procedures referred to herein.

| | |
|--------------|---|
| Schedule A | Project Funding |
| Schedule B | Work Program |
| Appendix A | Standard Clauses for New York State Contracts |
| Appendix A-1 | Supplemental Title VI Provisions (Civil Rights Act) |
| Appendix B | Federal Clauses |

Now, therefore, the parties agree as follows:

1. *Contractor Provision of Mass Transportation/Intercity Bus Services.*

1.1 The Contractor now provides mass transportation services, also constituting intercity bus passenger services, serving Northern Fairfield County in Connecticut and Putnam and Westchester counties in New York State and agrees to continue to do so during the duration of this agreement. Specifically, the Contractor agrees to provide the mass transportation services agreed upon by NYSDOT and the Contractor and described in Schedule B attached hereto. Such service shall be provided in accordance with publicly posted schedules and the Contractor is responsible for marketing and promoting the bus service.

1.2 The Contractor shall provide and maintain the service levels described in Schedule B throughout the term of this Agreement. Stops along the route shall be made in accordance with published schedules available to the public and serve as the definitive route and stop description. The Contractor shall maintain the capacity to provide such service by having available back-up equipment of similar type in the event of vehicle breakdown or other unforeseen disruption of service.

1.3 Although the Contractor may adjust its schedule times on route segments without prior written authorization, in order to most efficiently and economically meet travel demand, it may not add to the maximum number of runs operated per day to be used in the calculation of payments until the Contractor submits to NYSDOT an amendment to Schedule B and obtains written NYSDOT approval of such service level changes. The Contractor may not reduce the number of runs operated per day below minimum level specified in Schedule B unless the Contractor submits to NYSDOT an amended Schedule B and obtains written NYSDOT approval prior to making such service level changes.

1.4 When a request to amend Schedule B is received by NYSDOT, it shall have a period of 45 days in which to respond to the Contractor. If no response is sent at the end of that period, the revision requested by the Contractor will be considered to have been approved by NYSDOT, provided the request does not necessitate an increase in the maximum payable amount and/or the maximum amount of mass transportation operating assistance payable hereunder.

1.5 If such request from a Contractor is to eliminate its last service to any community, to reduce its frequency of service to fewer than one round trip daily, or to add new service (defined as an extension of one or more route terminus on an existing route, or an entirely new route), such request shall be accompanied by substantiating financial and ridership data to show why this route, or portion thereof, should no longer be operated, should be operated at such reduced frequency, or should be eligible to receive operating assistance. Such data shall show revenues, expenses, and subsidies received, allocated to the service in question, for each of the preceding two years, (for requests to eliminate or reduce frequencies of existing services); and, if applicable, a pro forma for the subsequent two years. Ridership data, for existing routes, should be based on a recent two-year period, and must show origin and destination of all passengers carried between route termini, as specified on the Contractor's Schedule B. For new services, the Contractor should provide a reasonable estimate of ridership, along with the methodology used to determine projected ridership. The 45-day response period shall not begin until such data is complete.

1.6 The Contractor shall post a service change or service discontinuation notice, approved by NYSDOT, in any vehicle used to provide service for this agreement 45 days in advance of the effective date of any service change or discontinuation.

1.7 NYSDOT may require that a public hearing be held in conjunction with any of the above requests for amendment or Schedule B. In the event of a public hearing or hearings, NYSDOT shall respond to the amendment request within a period of 90 days from the conclusion of the last public hearing.

1.8 The Contractor may at any time run additional service (subject to its operating authority) without any costs and/or revenue relating thereto being taken into account in connection with any NYSDOT funding hereunder.

2. *General Operating Requirements Applicable to the Contractor.*

The Contractor shall perform or act in accordance with the following:

2.1 At all times, the Contractor agrees to comply with all applicable local, State, and Federal laws and regulations, including those pertaining to interstate and intrastate bus line operation and bus transportation. These include, but are not limited to: the Statewide Rules and Regulations of NYSDOT pursuant to the Transportation Law, Motor Vehicle Law or Title 17 of the NYCRR as related to State Mass Transportation Operating Assistance, the Public Transportation Safety Board, Traffic & Safety, and Operating Authority; Title 15 of the NYCRR as related to licensing; Article 19A of the Vehicle and Traffic Law, and vehicle registration requirements. NYSDOT or the State shall not be responsible, nor shall this contract be construed to authorize or waive, any violation by the Contractor of such laws or regulations.

2.2 Vehicles used by the Contractor in this service shall be generally known in the bus industry to adequately serve the contracted operations and be appropriately sized to serve the ridership demand, which will be fully climate controlled and offer a accepted comfortable ride unless otherwise authorized by NYSDOT. The Contractor shall inform NYSDOT's Designated Representative (See Section 10) monthly, or more frequently if directed by NYSDOT, by mail, of the occurrence of trips not made or trips made with vehicles not conforming to this specification.

2.3 The Contractor shall maintain the vehicles in accordance with the manufacture's specifications and shall keep the exterior and interior of vehicles reasonably clean. All vehicles shall have fully functioning air conditioning and heating systems. The public portion of passenger terminal facilities provided by the Contractor for the subject services shall also be kept reasonably clean by the Contractor. The Contractor's employees and representatives shall present a neat appearance and conduct themselves in a courteous, professional and efficient manner.

2.4 The Contractor shall provide accessible service when requested. The Americans with Disabilities Act (ADA) requires a wheelchair lift equipped bus to be made available along the designated intercity bus route upon 48 hours notice provided by the passenger. A vehicle on-demand approach is acceptable. Route deviation beyond the designated intercity bus route is not required for intercity bus service. However, the Contractor, at its discretion, may provide route deviation on an equitable basis to all passengers and communities along the route.

3. *Penalties and Liquidated Damages.*

Penalties and liquidated damages may be assessed by NYSDOT for unauthorized substitutions, poor vehicle condition, breakdowns, missed stops, failure to adhere to schedule and inspection Out-of-Service (OOS) rates exceeding NYSDOT standards. NYSDOT's Designated Representative shall make the determination to assess liquidated damages based upon company records, field investigations and/or passenger complaints. Any penalties or liquidated damages assessed shall be withheld from quarterly STOA payments. Documented circumstances beyond the Contractor's control, such as weather, construction, or traffic congestion/accidents, shall not be subject to liquidated damages.

3.1 *Trips Missed or Not Completed:* In addition to any other penalty prescribed by statute or by the rules and regulations of NYSDOT, where more than 1.2% of a Contractor's minimum contracted one-way trips per quarter are not operated, no operating assistance will be credited or provided for the trips not operated, and the following penalties may be imposed in addition:

3.1.1 Over 1.2% and up to 2.5% of trips missed, an amount equal to all the revenue vehicle miles not run multiplied by the current mileage formula rate, will be noted and subtracted from the amount of next payment to the operator.

3.1.2 Over 2.5%, an amount equal to two times all the revenue vehicle miles not run multiplied by the actual mileage factor, will be subtracted from the next operating assistance payment to the operator.

3.2 *Use of Non-Conforming Vehicles:* In addition to any other penalty prescribed by statute, or by the rules and regulations of NYSDOT, where more than 2.5% of a Contractor's contracted trips per quarter submitted for STOA are performed by non-conforming vehicles, the following reductions in operating assistance may be made:

3.2.1 Over 2.5% and up to 5% of trips performed with non-conforming vehicles, all the trips so operated will receive assistance at 65% of the current mileage formula rate and 80% of the current passenger formula rate.

3.2.2 Over 5% of trips performed with non-conforming vehicles, all the trips so operated will receive assistance at 45% of the current revenue vehicle mile formula rate and 80% of the current passenger formula rate.

3.3 *Missed Stops or Failure to Adhere to Schedule Times:* The Contractor shall make a good faith effort to serve all scheduled stops and serve those stops on-time. Service shall be considered on-time if the bus arrives no later than 15 minutes after the scheduled arrival time of the published schedule and not later than five minutes prior to the scheduled departure of connecting service. No bus shall depart a scheduled stop before the scheduled departure time or miss a scheduled stop. The Contractor may be subject to liquidated damages of \$100 per incident when over 5% of the quarterly scheduled stops are missed and/or arrived at 15 minutes beyond the published arrival time or less than 5 minutes prior to the scheduled departure of a connecting service.

3.4 *Vehicle Breakdown:* In the event of a vehicle breakdown and the wait for a substitute bus exceeds 90 minutes from the time of breakdown, NYSDOT may assess liquidated damages of \$500 per occurrence.

3.5 *Vehicles & Condition:* In the event the Contractor's vehicles are found not to be in compliance with the Section 2 of this agreement, NYSDOT may assess liquidated damages of up to \$200 per day for the first 5 days and up to \$500 per day thereafter.

3.6 The Department's policy for Inspection Out-of-Service (OOS) rates is equal to or less than 10%. The Contractor agrees to perform necessary maintenance to adhere to this standard. Penalties for non-compliance with the OOS standard are described in the Table 1 below. The Operator Identification Number(s) (ID's) will be used to determine the OOS rate for each carrier. NYSDOT's Office of Safety & Security Services shall be responsible for maintaining OOS data and certifying OOS rates.

| TABLE 1: Review Period is January - December | | |
|--|---------|--|
| Amount of Funds withheld will be the greater of: | | |
| For OOS Rates between: | Minimum | Maximum Percent of Authorized Project Amount |
| > 10% and <= 15% | \$2,500 | 2% |
| > 15% | \$5,000 | 5% |

3.7 NYSDOT may waive the penalties and/or liquidated damages, at its sole discretion, if the operator has: (i) Notified the NYSDOT Designated Representative through monthly service reports (or as otherwise directed by NYSDOT) as required hereunder; and, (ii) Provided acceptable reasons for the missed or not completed trips, use of non-conforming vehicles, missed stops, failure to adhere to the schedule times, excessive passenger wait times due to vehicle breakdown, and/or poor vehicle condition.

3.8 Nothing contained in this section shall be deemed to act as a forgiveness or permission to the Contractor to violate any statute, regulation, or order of NYSDOT in any respect. The penalties hereunder do not replace or substitute for any order, sanction, disallowance, penalty or liability that the Contractor may incur as a result of any such violation.

3.9 If the Contractor finds it necessary to change fare levels applicable to services described in Schedule B, the Contractor agrees to provide NYSDOT with at least forty-five (45) days advance written notice prior to the effective date of implementing any fare increase, except for services where another bus company under jurisdiction of federal authority raises fares on directly competing services. In such cases, only one day advanced notice is required for fare increases up to the level charged on the competing services. The Contractor will provide written notice to NYSDOT prior to implementing any fare decreases.

4. *Records.*

The Contractor shall maintain all accounting records in compliance with the applicable rules and regulations of NYSDOT of the State of New York in accordance with Article 7, Title 17 NYCRR and shall file all periodic statements and reports as may be requested by NYSDOT of the State of New York. NYSDOT and the State Comptroller, or their representatives, shall have the power to audit and examine the accounts, books, documents and papers of the Contractor, and any of its affiliated interests pursuant to Section 190 of the Transportation Law.

5. *Recovery of Overpayments.*

Any overpayment shall be repaid by the Contractor to NYSDOT, together with interest on the amount of the overpayment based on the tax underpayment rate established by the Department of Taxation and Finance.

6. *Termination Prior to End of Contract Term.*

This agreement may be terminated by NYSDOT, or by the Contractor, upon 90 days written notice to the other party. In such event the term of this agreement shall end following the 90th day after the date of mailing of such notice. Should the contract termination result in an orderly shut down of the service provided by the Contractor, the Contractor shall post a service discontinuation notice, approved by NYSDOT, in all vehicles used to provide the service 45 days before the service ends.

7. *Exculpation/Indemnification.*

7.1 *Exculpation.* NYSDOT's responsibilities and obligations are as specifically set forth in this contract, and neither NYSDOT nor any of its officers or employees shall be responsible or liable, nor shall the Contractor assert, make, or join in any claim or demand against NYSDOT, its officers or employees, for any damages or other relief based on any alleged failure of NYSDOT, its officers or employees, to undertake or perform any act, or for undertaking or performing any act, which is not specifically required or prohibited by this agreement.

7.2 *Indemnification.* The Contractor itself shall, and shall require its vendors or subcontractors who perform work contemplated by this agreement to, protect, indemnify and save harmless the Contractor and the State of New York, its officers and employees from and against any and all liabilities, liens, losses, claims, damages, judgments, penalties, causes of action, interest, costs and expenses (including, without limitation, court costs, attorney's fees and expenses) or imposed upon or incurred by or asserted against the Contractor, the State of New York or any officer or employee thereof resulting from, arising out of or relating to and, without limitation by enumeration, all other claims or demands of every character occurring or in anywise incident to, in connection with or arising directly or indirectly out of, this Agreement or the Contractor's or such vendor's or subcontractor's performance of this Agreement or the services required by this Agreement.

8. *Insurance.* Contractor agrees to procure and maintain without direct cost to the State except as noted during the pendency of this Agreement, insurance of the kinds and in amounts hereinafter provided by insurance companies authorized to do business in the State of New York or, if Contractor is a municipality that self-insures, an endorsement for such self insurance covering all operations under this Agreement whether performed by it or sub-contractors. Before commencing the work, Contractor shall furnish to NYSDOT a certificate or certificates, in a form satisfactory to NYSDOT, showing compliance with this section, which certificate or certificates, shall provide that such insurance shall not be changed or canceled until thirty (30) days written notice has been given to NYSDOT. The kinds and amounts of insurance required are as follows:

8.1 Policy covering the obligations of Contractor in accordance with the provisions of Chapter 41, Laws of 1914, as amended, known as the Worker's Compensation Law, and also by the provisions of Article 9 of the Worker's Compensation Law known as the Disability Benefits Law, and this Agreement shall be void and of no effect unless Contractor procures such policy and maintains it until final acceptance of all work described herein;

8.2 Comprehensive General Liability Insurance insuring Contractor and, as additional insureds, NYSDOT and its employees with respect to all operations under this Agreement by Contractor, including in such coverage any omissions and supervisory acts of the State and its employees. Policies of personal injury liability insurance of the types hereinafter specified, each with a combined single limit of \$1 million per occurrence/\$2 million aggregate for all damages arising out of personal injury, including death at any time resulting therefrom, sustained by one person in any one accident and, subject to that limit for each person, all damage arising out of bodily injury, including death at any time resulting therefrom, sustained by two or more persons in any one accident, damages arising out of injury to or destruction of property in any one accident and, subject to that limit per accident, for all damages arising out of injury to or destruction of property during the policy period.

8.3 Automobile Liability and Property Damage Insurance. Subject to the same required level of coverage set forth in §8.2 above, a policy covering the use in connection with the work covered by this Agreement of all owned, not owned and hired vehicles bearing or, under the circumstances under which they are being used required by New York State law to bear, license plates.

8.4 Limits for Transportation Services. If the services under this Agreement include public transportation or common Contractor services, the minimum insurance levels otherwise required by subsections 8.2 and 8.3 are hereby increased to \$5 million per occurrence/ \$10 million aggregate.

9. Notices.

9.1. 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:

| Notice Addressees | | |
|-------------------|--|--|
| Contractor: | Putnam County, NY | State of New York Department of Transportation |
| Name: | Sandra Fusco | Sandra D. Jobson, RA, RLA, AICP |
| Title: | Deputy Commissioner | Regional Planning and Program Manager |
| Address: | Department of Planning, Development & Public Transportation 841 Fair Street Carmel, NY 10512 | Eleanor Roosevelt State Office Building 4 Burnett Boulevard Poughkeepsie, NY 12603 |
| Telephone: | (845) 878-3480 | (845) 431-5723 |
| Facsimile: | (845) 808-1950 | (845) 431-7923 |
| E-Mail: | Sandra.Fusco@putnamcountyny.gov | Sandra.Jobson@dot.ny.gov |

9.2. 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.

9.3. 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.

10. *Force Majeure*. The obligations of the parties hereunder shall be subject to force majeure (which shall include riots, floods, accidents, acts of God and other causes or circumstances beyond the control of the party claiming such force majeure as an excuse for non-performance) but only so long as, and to the extent that, such force majeure shall prevent the performance of the obligation or portion thereof so affected.

11. *No Assignment without NYSDOT Consent*. The Contractor shall not assign this agreement or any interests herein without first obtaining NYSDOT's written consent thereto, which consent shall not be unreasonably withheld or delayed.

11.1 the Contractor shall not enter into or continue a separate agreement with any authority, county, city, or Indian tribe in New York State under the statewide mass transportation operating assistance program without first obtaining NYSDOT's written consent thereto.

11.2 All the covenants and obligations of the parties hereto shall bind their successors and assigns, and any document assigning same will incorporate language whereby the assignee will specifically accept and assume all such covenants and obligations.

12. *No Waiver*. Forbearance or indulgence by NYSDOT in any regard whatsoever shall not constitute a waiver of any covenant, requirement or condition to be performed by the Contractor and until complete performance by the Contractor of such covenant or condition, NYSDOT shall be entitled to invoke any remedy available to it under this agreement or by law or in equity despite such forbearance or indulgence.

13. *Entire Agreement.* This agreement and the appendices identified herein constitute the entire agreement and it shall not be amended, altered or changed except by a written agreement signed by all of the parties hereto.

14. *Independent Contractor.* The relationship of the Contractor to the State is that of an independent contractor, and the Contractor, in accordance with its status as such contractor, covenants and agrees that it will conduct itself consistent with such status, that it will neither hold itself out as nor claim to be an officer or employee of the State by reason hereof and that it will not, by reason hereof, make any claim, demand or application to or for any right or privilege applicable to an officer or employee of the State, including, but not limited to workers compensation coverage, retirement membership or credit.

15. This agreement shall be construed in accordance with and covered by the laws of the State of New York. All appendices attached hereto are an integral part of this agreement and the provisions set forth in the appendices bind the parties hereto to the same extent as if such provisions had been set forth in their entirety in the main body of this agreement. Nothing expressed or implied herein shall give or be construed to give to any person, firm, or corporation other than the Contractor and NYSDOT any legal or equitable right, remedy or claim under or in respect to this agreement. Neither this agreement nor any of the terms hereof may be terminated, amended, supplemented, waived or modified orally, but only by an instrument in writing, signed by NYSDOT and the Contractor unless a provision hereof expressly permits either of the parties to effect termination, amendment, supplementation, waiver or modification hereunder, in which event such action shall be taken in accordance with the terms of such provision.

16. *Term of Agreement.* Unless otherwise terminated hereunder, the term of this Agreement shall be for a period commencing **January 1, 2020**, and ending **December 31, 2020**. NYSDOT may, before the expiration of the term of this Agreement, notify the Contractor in writing that NYSDOT elects to extend the term of Agreement subject to the availability of funds therefore for a period of one year or such other period determined by NYSDOT. In such event the term of this Agreement shall be extended for the period provided in NYSDOT's Notice of Extension at the rate or rates and for the services described in the then current NYSDOT-approved Exhibit A.

16.1 Subject to the stated term hereof above cited, this agreement shall remain in effect so long as funding authorizations are in effect and funds are made available pursuant to the laws controlling such authorizations and availabilities. However, if such authorizations or availabilities lapse and are not renewed, continued or reenacted, as to funds encumbered or available and to the extent of such encumbrances or availabilities, this agreement shall remain in effect for the duration of such encumbrances or availabilities. Although the liquidity of encumbrances or the availability of funds may be affected by budgetary hiatuses, a federal or State budgetary hiatus will not by itself be construed to lapse this agreement, provided any necessary federal or State appropriations or other funding authorizations therefore are eventually enacted.

17. This Agreement shall be deemed executory only to the extent that funds are made available therefore

IN WITNESS WHEREOF, the parties have caused this Agreement to be executed by their duly authorized officials as of the date first above written.

Municipality/Sponsor:

By: _____

MaryEllen Odell

Title: Putnam County Executive

Municipality/Sponsor Attorney (If applicable)

By: _____

Printed Name

Title: _____

STATE OF NEW YORK

)ss.:

COUNTY OF _____

On this _____ day of _____, 20__ before me personally came _____ to me known, who, being by me duly sworn did depose and say that he/she resides at _____; that he/she is the _____ of the Municipal/Sponsor Corporation described in and which executed the above instrument; (except New York City) that it was executed by order of the _____ of said Municipal/Sponsor Corporation pursuant to a resolution which was duly adopted on _____ and which a certified copy is attached and made a part hereof; and that he/she signed his name thereto by like order.

NOTARY PUBLIC

APPROVED FOR NYSDOT:

BY: _____

For the Commissioner of Transportation 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.

Date: _____

APPROVED AS TO FORM:

STATE OF NEW YORK ATTORNEY GENERAL

BY: _____

Assistant Attorney General

COMPTROLLER'S APPROVAL:

BY: _____

For the New York State Comptroller Pursuant to State Finance Law §112

SCHEDULE A – Description of Project Phase, Funding and Deposit Requirements
 NYSDOT/ State-Local Agreement - Schedule A for PIN 8823.88

Schedule A (5/18)

OSC Municipal Contract #: C040127 Contract Start Date: 01/2020 (mm/dd/yyyy) Contract End Date: 03/2021 (mm/dd/yyyy)
 Check, if date changed from the last Schedule A

Purpose: Original Standard Agreement Supplemental Schedule A No.

Agreement Type: Locally Administered Municipality/Sponsor (Contract Payee): _____
 Other Municipality/Sponsor (if applicable): _____
 State Administered List participating Municipality(ies) and the % of cost share for each and indicate by checkbox which Municipality this Schedule A applies.
 Municipality: _____ % of Cost share
 Municipality: _____ % of Cost share
 Municipality: _____ % of Cost share

Authorized Project Phase(s) to which this Schedule applies: PE/Design ROW Incidentals
 ROW Acquisition Construction/CI/CS

Work Type: OTHER (See Footnotes) County (If different from Municipality): _____

Marchiselli Eligible Yes No (Check, if Project Description has changed from last Schedule A):

Project Description: A mobility program that includes bus service and park & ride facilities in Putnam County

Marchiselli Allocations Approved FOR ALL PHASES All totals will calculate automatically.

| Check box to indicate change from last Schedule A | State Fiscal Year(s) | Project Phase | | | TOTAL |
|---|-------------------------------------|---------------|---------------|--------------------|---------|
| | | PE/Design | ROW (RI & RA) | Construction/CI/CS | |
| <input type="checkbox"/> | Cumulative total for all prior SFYs | \$0.00 | \$0.00 | \$0.00 | \$ 0.00 |
| <input type="checkbox"/> | Current SFY | \$0.00 | \$0.00 | \$0.00 | \$ 0.00 |
| Authorized Allocations to Date: | | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 |

A. Summary of allocated MARCHISELLI Program Costs FOR ALL PHASES for each PIN Fiscal Share below shows current costs on the rows indicated as Current. Show the old costs from the previous Schedule A on the row indicated as Old. All totals will calculate automatically.

| PIN Fiscal Share | "Current" or "Old" entry indicator | Federal Funding | Total Costs | FEDERAL Participating Share | STATE MARCHISELLI Match | LOCAL Matching Share | LOCAL DEPOSIT AMOUNT (Required only if State Administered) |
|----------------------------|------------------------------------|-----------------|-------------|-----------------------------|-------------------------|----------------------|--|
| | Current | | \$ 0.00 | \$0.00 | \$0.00 | \$0.00 | \$0.00 |
| | Old | | \$ | \$0.00 | \$0.00 | \$0.00 | \$0.00 |
| | Current | | \$ 0.00 | \$0.00 | \$0.00 | \$0.00 | \$0.00 |
| | Old | | \$ | \$0.00 | \$0.00 | \$0.00 | \$0.00 |
| | Current | | \$ 0.00 | \$0.00 | \$0.00 | \$0.00 | \$0.00 |
| | Old | | \$ | \$0.00 | \$0.00 | \$0.00 | \$0.00 |
| | Current | | \$ 0.00 | \$0.00 | \$0.00 | \$0.00 | \$0.00 |
| | Old | | \$ | \$0.00 | \$0.00 | \$0.00 | \$0.00 |
| TOTAL CURRENT COSTS | | | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 |

NYS DOT/State-Local Agreement – Schedule A

Schedule A (5/18)

B. Summary of Other (including Non-allocated MARCHISELLI) Participating Costs FOR ALL PHASES (For all PIN Fiscal Shares show current costs on the rows indicated as 'Current'. Show the old costs from the previous Schedule A on the row indicated as 'Old'. All totals will calculate automatically.)

| Other PIN Fiscal Shares | 'Current' or 'Old' entry indicator | Funding Source | TOTAL | Other FEDERAL | Other STATE | Other LOCAL |
|-------------------------|------------------------------------|----------------|---------------|---------------|---------------|-------------|
| 8823.88.421 | Current | STP | \$ 750,000.00 | \$600,000.00 | \$150,000.00 | \$0.00 |
| | Old | | \$ | \$300,000.00 | \$75,000.00 | \$0.00 |
| | Current | | \$ 0.00 | \$0.0 | \$0.00 | \$0.00 |
| | Old | | \$ | \$0.0 | \$0.00 | \$0.00 |
| | Current | | \$ 0.00 | \$0.0 | \$0.00 | \$0.00 |
| | Old | | \$ | \$0.0 | \$0.00 | \$0.00 |
| | Current | | \$ 0.00 | \$0.0 | \$0.00 | \$0.00 |
| | Old | | \$ | \$0.0 | \$0.00 | \$0.00 |
| | Current | | \$ 0.00 | \$0.0 | \$0.00 | \$0.00 |
| | Old | | \$ | \$0.0 | \$0.00 | \$0.00 |
| | Current | | \$ 0.00 | \$0.0 | \$0.00 | \$0.00 |
| | Old | | \$ | \$0.0 | \$0.00 | \$0.00 |
| | Current | | \$ 0.00 | \$0.0 | \$0.00 | \$0.00 |
| | Old | | \$ | \$0.0 | \$0.00 | \$0.00 |
| | Current | | \$ 0.00 | \$0.0 | \$0.00 | \$0.00 |
| | Old | | \$ | \$0.0 | \$0.00 | \$0.00 |
| | | | \$ 750,000.00 | \$ 600,000.00 | \$ 150,000.00 | \$ 0.00 |

| | |
|--|---------|
| | \$ 0.00 |
| | \$ |
| | \$ 0.00 |

D. Total Project Costs (All totals will calculate automatically.)

| Total FEDERAL Cost | Total STATE MARCHISELLI Cost | Total OTHER STATE Cost | Total LOCAL Cost | Total ALL SOURCES Cost |
|--------------------|------------------------------|------------------------|------------------|------------------------|
| \$600,000.00 | \$ 0.00 | \$150,000.00 | \$ 0.00 | \$750,000.00 |

Name: Jennifer Russo
 Phone No: 845-431-2315

See Agreement (or Supplemental Agreement Cover) for required contract signatures.

| CONTRACTOR RESPONSIBILITIES | METHOD & BASIS FOR COMPENSATION | AMOUNT | | | | | | | | | | | | |
|---|--|---|--|---------------------------------|-----------|-------------------------|------------|----------------------|-----------|-----------------------------|----------|------------------------------|-----------|------------------|
| <p>Task 1 Core Bus Operations The County will operate an intercity/inter-municipal comprehensive bus service within Putnam County, NY, which will include connections to destinations in surrounding areas outside the County. The service will meet the goals and objectives of the County and the NYSDOT and be consistent with recommendations of the County's Transportation Task Force and other stakeholders to the extent feasible.</p> <p>The precise routes and schedules of the service will be mutually agreed upon between the County and NYSDOT and be publicly available and distributed in appropriate formats (e.g., paper and electronic) and written languages.</p> <p>The service and vehicles shall be in compliance with the and operated/maintained in accordance with the Transportation and Vehicle & Traffic Laws of the State of New York, applicable Federal motor vehicle safety standards, applicable safety rules, and regulations governing motor carriers of passengers. In addition, the County shall maintain optimized operations using innovative and cost effective service techniques to best serve the customers including but not limited to using appropriately sized vehicles commensurate with ridership demand, which will be fully climate controlled and offer a generally accepted comfortable ride.</p> | <p>Payment of the unfunded operating deficit by NYSDOT to the Contractor will be made on a reimbursement basis monthly or quarterly and not to exceed \$287,000 with the operating deficit as total operating cost minus farebox revenues, STOA and the required local match as shown below.</p> <p style="text-align: center;">Compensation Summary:</p> <table border="1" style="margin-left: auto; margin-right: auto;"> <tr> <td>January 1, 2020 through December 31, 2020</td> <td></td> </tr> <tr> <td>Predicted Total Operating Cost:</td> <td>\$330,000</td> </tr> <tr> <td>Less Predicted Farebox:</td> <td>-\$ 13,000</td> </tr> <tr> <td>Less Predicted STOA:</td> <td>-\$27,000</td> </tr> <tr> <td>Less Predicted Local Match:</td> <td>-\$3,000</td> </tr> <tr> <td>Predicted Operating Deficit:</td> <td>\$287,000</td> </tr> </table> <p>In support of any payment requests submitted for this task, the County will report expenses and revenues, as well as its required contribution of a local match to STOA, which is estimated to be at least \$ 3,000.</p> <p>Any modification to services, operations, or fares requires mutual agreement between the County and the NYSDOT and shall not be unreasonably denied. Modifications that result in cost savings will reduce the cost to the State in an amount equal to or greater than the total cost reduction or may be reinvested in other work tasks upon mutual agreement. Any increase in services will be permitted and may be included in the calculation of total operating costs, which may determine the state reimbursement to the Contractor contingent on available funding and the service expansion having prior NYSDOT approval.</p> | January 1, 2020 through December 31, 2020 | | Predicted Total Operating Cost: | \$330,000 | Less Predicted Farebox: | -\$ 13,000 | Less Predicted STOA: | -\$27,000 | Less Predicted Local Match: | -\$3,000 | Predicted Operating Deficit: | \$287,000 | <p>\$287,000</p> |
| January 1, 2020 through December 31, 2020 | | | | | | | | | | | | | | |
| Predicted Total Operating Cost: | \$330,000 | | | | | | | | | | | | | |
| Less Predicted Farebox: | -\$ 13,000 | | | | | | | | | | | | | |
| Less Predicted STOA: | -\$27,000 | | | | | | | | | | | | | |
| Less Predicted Local Match: | -\$3,000 | | | | | | | | | | | | | |
| Predicted Operating Deficit: | \$287,000 | | | | | | | | | | | | | |

Schedule B
 Tasks and Allocation of Responsibilities
 Putnam Moves Shuttle Network

Project Duration: January 1, 2020 through December 31, 2020

Contractor: Putnam County, NY
 Project Name: Putnam Moves Shuttle Network
 PROJECT ID Number (PIN): 8823.88
 OSC Contract Number: C040127

| | | |
|--|---|-----------------|
| <p>Task 2 Marketing and Promotion The County and/or service operator will promote the bus service using all appropriate opportunities (e.g., radio, TV, websites/online, social media, and print advertising); leveraging 'earned' media opportunities, attendance at employer transportation days and conferences; dissemination of literature on-board buses as well as other venues. The marketing plan and strategy shall be mutually agreed upon and any information that lists, cites, or references NYSDOT or the State of New York in any way, requires prior NYSDOT approval and coordination.</p> | <p>Reimbursement from the State will be made monthly or quarterly from a Payment Request Form or State Voucher and will include supported documentation of receipts and other forms of documentation for all expenses paid.</p> | <p>\$33,000</p> |
| <p>Task 3 Disposition of Farebox & Revenue The County/operator shall be deemed a trustee and agent with respect to the receipt of all Operating revenues (e.g., 'Farebox' including but not limited to: cash fare, multi-trip, monthly, MTA Metro-North Railroad's Unificket and any other forms of revenue such as advertising) raised from the operation of this bus service as specified under this contract. As such, the County/operator, will collect, receive, hold and administer revenue, notably the farebox as well as set fare structure in accordance to FTA requirements. As an incentive to increase ridership, the Contractor shall keep 100% of the farebox revenue above the predicted amount indicated in Task 1. All fare prices/costs and strategies shall be in concurrence with NYSDOT. Where actual revenues go to the County, in the case of Agency sponsored discounts, (e.g., Social Services, or MTA Metro-North Railroad Unificket) the County will provide an accounting of the revenue the County or Agency sponsor received and is attributable to each run of passenger service. Operating revenues will be segregated and reported by key components of the service.</p> | <p>Any cost of this task is fundamentally included in the Task 1 amount.</p> | <p>\$0</p> |
| <p>Task 4 Connecting Services To encourage passenger travel throughout the regional transit system, the County will provide discounted or free transfer fares to the extent possible to any passenger connecting from the Putnam County operated system (e.g., "PART, "Putnam Moves", etc.) to either the Westchester County operated system ("The Bee Line"), or the Housatonic Area Regional Transit ("HART") system, etc. The County will also reasonably cooperate or directly participate with or in other programs and services (e.g., Guaranteed Ride Program) to facilitate travelers' transit needs.</p> | <p>Any cost of this task is fundamentally included in the Task 1 amount.</p> | <p>\$3,000</p> |

Schedule B
 Tasks and Allocation of Responsibilities
 Putnam Moves Shuttle Network

Project Duration: January 1, 2020 through December 31, 2020

| | | | |
|--|--|--|------------|
| | <p>Task 5 Performance Monitoring The County will take all practical and necessary measures to ensure that the service is operated in a professional, customer friendly manner. This will require regular and unannounced random field inspections followed by any and all warranted corrective measures including County imposed penalties. Inspections will include: on-time performance; vehicle cleanliness; vehicle signs; driver courtesy; safe operation of vehicle; parking availability and efficiency of vehicle operation at park and ride lots; cleanliness; safety; maintenance of bus terminals; coordination of connections with other buses and modes of transportation; handling of passenger complaints and suggestions; communications directly to the public or through mass media; sale of all fare instruments, among other routine and non-routine aspects of operating and overseeing a regional bus service.</p> | <p>Any cost of this task is fundamentally included in the Task 1 amount.</p> | <p>\$0</p> |
| | <p>Task 6 Reporting The County will provide ridership reports on a quarterly basis on or before the 15th day of the subsequent quarter, in a format mutually agreeable to NYSDOT. The reports will detail ridership per trip/run, ridership per day, summarize the average ridership on a daily and monthly basis, and include monthly and yearly trend comparison. Service interruptions including but not limited to severe lateness, missed and non-completed trips are to be reported timely in accordance with a mutually agreeable communication plan, which will include protocols to notify impacted agencies and the traveling public. In addition to quarterly ridership reports, with each payment request, the County will submit financial and operational reports including but not limited to the following:</p> <ul style="list-style-type: none"> ◦ Operating costs, (due annually) ◦ Passenger and other operating revenue received. ◦ Other operating subsidies received, ◦ Number of vehicle trips per day, ◦ Vehicle hours / miles traveled (revenue & deadhead), ◦ Missed trips, non-completed trips, and lateness, ◦ Vehicle / Passenger Accident & Incident Reports ◦ Operational problems and issues inconsistent with intended delivery of services ◦ Annual reports will accompany the final payment application. <p>The Contractor, throughout the contract period, will meet all reasonable requests to meet with the State and operator and to provide summary reports, at least one of which will be an annual report, to be submitted no later than 45 days after the contract term.</p> | <p>Any cost of this task is fundamentally included in the Task 1 amount.</p> | <p>\$0</p> |

| | | |
|---|---|-------------------------|
| <p>Task 7. Provision of Park & Ride facilities In direct collaboration with NYSDOT, the County will continue to develop, provide, and operate park and ride facilities primarily to serve and promote bus services operations. The facilities shall be open and available to the traveling public 24 hours per day, 365 days per year (operational exceptions may apply), and operated on a 'first-come, first-served' basis with no preference given to place of residence or intended mode of travel.</p> <p>The park & ride facilities can be located on property owned and operated by the County, local municipality, private entity or any combination thereof but must be contractually dedicated to the intended use which will include all provisions for safe, efficient, and attractive operations. The facility and its use must comply with all applicable laws, ordinances, and regulations as well as all NYSDOT parameters and fully accessible and in compliance with the American with Disabilities Act. The lot location, characteristics, and features are subject to the approval of NYSDOT.</p> <p>This work task shall include all activities necessary to insure that the park & ride lots and appurtenances are maintained in a state of good repair and that the facilities are proper, safe, and adequately serve the needs of the traveling public. These activities may include but are not necessarily limited to the following: All reasonable pavement maintenance activities (e.g., timely removal of snow, ice, as well as other hazardous and objectionable materials, minor surface/pothole repairs, minor paving, seal coating, pavement striping/markings or curb repairs), law and operation enforcement, maintenance of drainage ways and structures, sign maintenance, garbage collection, lighting, landscaping, minor fence, and removal of abandoned or otherwise unwelcome vehicles or debris.</p> | <p>Reimbursement from the State will be made monthly or quarterly from a Payment Request Form or State Voucher and will include supported documentation of receipts and other forms of documentation for all expenses paid.</p> | <p>\$52,000</p> |
| <p>TOTAL</p> | | <p>\$375,000</p> |

*Amounts may be redistributed between tasks upon mutual agreement of the Contractor and NYSDOT.

APPENDIX A

STANDARD CLAUSES FOR NEW YORK STATE CONTRACTS

**PLEASE RETAIN THIS DOCUMENT
FOR FUTURE REFERENCE.**

October 2019

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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, licensor, 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 \$25,000, 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 § 163.6-a). However, such pre-approval shall not be required for any contract established as a centralized contract through the Office of General Services or for a purchase order or other transaction issued under such centralized contract.
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, nor subject any individual to harassment, because of age, race, creed, color, national origin, sexual orientation, gender identity or expression, military status, sex, disability, predisposing genetic characteristics, familial status, marital status, or domestic violence victim status or because the individual has opposed any practices forbidden under the Human Rights Law or has filed a complaint, testified, or assisted in any proceeding under the Human Rights Law. 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 (2 NYCRR § 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 Part 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 clause. 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.

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 (APPLICABLE ONLY IN NON-FEDERAL AID NEW YORK STATE CONTRACTS). 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.

20. OMNIBUS PROCUREMENT ACT OF 1992 (APPLICABLE ONLY IN NON-FEDERAL AID NEW YORK STATE CONTRACTS). It is the 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
Albany, New York 12245
Telephone: 518-292-5100
Fax: 518-292-5884
email: opa@esd.ny.gov

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
633 Third Avenue
New York, NY 10017
212-803-2414
email: mwbecertification@esd.ny.gov

<https://ny.newnycontracts.com/ProntEnd/VendorSearchPublic.asp>

The Omnibus Procurement Act of 1992 (Chapter 844 of the Laws of 1992, codified in State Finance Law § 139-i and Public Authorities Law § 2879(3)(n)-(p)) 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, codified in State Finance Law § 165(6) and Public Authorities Law § 2879(5)) require that they be denied contracts which they would otherwise obtain. NOTE: As of October 2019, the list of discriminatory jurisdictions subject to this provision includes the states of South Carolina, Alaska, West Virginia, Wyoming, Louisiana and Hawaii.

22. COMPLIANCE WITH BREACH NOTIFICATION AND DATA SECURITY LAWS. Contractor shall comply with the provisions of the New York State Information Security Breach and Notification Act (General Business Law § 899-aa and State Technology Law § 208) and commencing March 21, 2020 shall also comply with General Business Law § 899-bb.

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 §§ 139-j and 139-k, by signing this agreement the contractor certifies and affirms that all disclosures made in accordance with State Finance Law §§ 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 § 5-a, if the contractor fails to make the certification required by Tax Law § 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.

26. IRAN DIVESTMENT ACT. By entering into this Agreement, Contractor certifies in accordance with State Finance Law § 165-a that it is not on the "Entities Determined to be Non-Responsive Bidders/Offerers pursuant to the New York State Iran Divestment Act of 2012" ("Prohibited Entities List") posted at: <https://ogs.ny.gov/list-entities-determined-be-non-responsive-biddersofferers-pursuant-nys-iran-divestment-act-2012>

Contractor further certifies that it will not utilize on this Contract any subcontractor that is identified on the Prohibited Entities List. Contractor agrees that should it seek to renew or extend this Contract, it must provide the same certification at the time the Contract is renewed or extended. Contractor also agrees that any proposed Assignee of this Contract will be required to certify that it is not on the Prohibited Entities List before the contract assignment will be approved by the State.

During the term of the Contract, should the state agency receive information that a person (as defined in State Finance Law § 165-a) is in violation of the above-referenced certifications, the state agency will review such information and offer the person an opportunity to respond. If the person fails to demonstrate that it has ceased its engagement in the investment activity which is in violation of the Act within 90 days after the determination of such violation, then the state agency shall take such action as may be appropriate and provided for by law, rule, or contract, including, but not limited to, imposing sanctions, seeking compliance, recovering damages, or declaring the Contractor in default.

The state agency reserves the right to reject any bid, request for assignment, renewal or extension for an entity that appears on the Prohibited Entities List prior to the award, assignment, renewal or extension of a contract, and to pursue a responsibility review with respect to any entity that is awarded a contract and appears on the Prohibited Entities list after contract award.

27. ADMISSIBILITY OF REPRODUCTION OF CONTRACT.

Notwithstanding the best evidence rule or any other legal principle or rule of evidence to the contrary, the Contractor acknowledges and agrees that it waives any and all objections to the admissibility into evidence at any court proceeding or to the use at any examination before trial of an electronic reproduction of this contract, in the form approved by the State Comptroller, if such approval was required, regardless of whether the original of said contract is in existence.

APPENDIX A-1 SUPPLEMENTAL TITLE VI PROVISIONS (CIVIL RIGHTS ACT)

(To be included in all contracts)

During the performance of this contract, the contractor, for itself, its assignees and successors in interest (hereinafter referred to as the "contractor") agrees as follows:

- (1) Compliance with Regulations: The contractor shall comply with the Regulation relative to nondiscrimination in Federally assisted programs of the Department of Transportation of the United States, Title 49, Code of Federal Regulations, Part 21, and the Federal Highway Administration (hereinafter "FHWA") Title 23, Code of Federal Regulations, Part 200 as they may be amended from time to time, (hereinafter referred to as the Regulations), which are herein incorporated by reference and made a part of this contract.
- (2) Nondiscrimination: The Contractor, with regard to the work performed by it during the contract, shall not discriminate on the grounds of race, religion, age, color, sex or national origin, sex, age, and disability/handicap in the selection and retention of subcontractors, including procurements of materials and leases of equipment. The contractor shall not participate either directly or indirectly in the discrimination prohibited by 49 CFR, section 21.5 of the Regulations, including employment practices when the contract covers a program set forth in Appendix B of the Regulations.
- (3) Solicitations for Subcontractors, Including Procurements of Materials and Equipment: In all solicitations either by competitive bidding or negotiation made by the contractor for work to be performed under a subcontract, including procurements of materials or leases of equipment, each potential subcontractor or supplier shall be notified by the contractor of the contractor's obligations under this contract and the Regulations relative to nondiscrimination on the grounds of race, color, or national origin, sex, age, and disability/handicap.
- (4) Information and Reports: The contractor shall provide all information and reports required by the Regulations or directives issued pursuant thereto, and shall permit access to its books, records, accounts, other sources of information, and its facilities as may be determined by NYSDOT or the FHWA to be pertinent to ascertain compliance with such Regulations, orders and instructions. Where any information required of a contractor is in the exclusive possession of another who fails or refuses to furnish this information the contractor shall so certify to NYSDOT's Office of Civil Rights or FHWA, as appropriate, and shall set forth what efforts it has made to obtain the information.
- (5) Sanctions for Noncompliance: In the event of the contractor's noncompliance with the nondiscrimination provisions of this contract, NYSDOT shall impose such contract sanctions as it or the FHWA may determine to be appropriate, including, but not limited to:
 - a) Withholding of payments to the contractor under the contract until the contractor complies; and/or
 - b) Cancellation, termination or suspension of the contract, in whole or in part.
- (6) Incorporation of Provisions: The contractor shall include the provisions of paragraphs (1) through (6) in every subcontract, including procurements of materials and leases of equipment, unless exempt by the Regulations, or directives issued pursuant thereto.

The contractor shall take such action with respect to any subcontractor procurement as NYSDOT or the FHWA may direct as a means of enforcing such provisions including sanctions for non-compliance: Provided, however, that in the event a contractor becomes involved in, or is threatened with, litigation with a subcontractor or supplier as a result of such direction, the contractor may request NYSDOT to enter into such litigation to protect the interests of NYSDOT, and, in addition, the contractor may request the United States to enter into such litigation to protect the interests of the United States.

APPENDIX B
REQUIREMENTS FOR FEDERALLY-AIDED TRANSPORTATION PROJECTS
(June 2016)

There is a substantial body of requirements attached to the use of Federal highway or transportation aid. These requirements create or overlay processes, procedures, documentation requirements, authorizations, approvals and certifications that may be substantially greater or different from those that are not funded with Federal-aid and proceed under applicable State and local laws, customs and practices. Under Title 23 of the United States Code, the New York State Department of Transportation (NYSDOT) is responsible for the administration of transportation projects in New York State to which NYSDOT provides Federal highway or transportation-related aid. Through this Agreement, which provides or is associated with such funding, NYSDOT delegates various elements of project and funding administration as described elsewhere in this Agreement. In undertaking a Federally aided project, the Municipality/Sponsor, Authority or Project Manager designated under this Agreement with Federal-aid funding or project administration agrees to proceed in compliance with all the applicable Federal-aid requirements.

NYSDOT, in cooperation with FHWA, has assembled the body of Federal-aid requirements, procedures and practices in its Procedures for Locally Administered Federal-Aid Projects Manual (available through NYSDOT's web site at: <http://www.dot.ny.gov/plafap>). In addition, the Municipality/Sponsor, Authority or Project Manager designated under this Agreement for Federal-aid funding or project administration that enters into Federally aided project construction contracts is required to physically incorporate into all its Federally aided construction contracts and subcontracts there under the provisions that are contained in Form FHWA-1273 (available from NYSDOT or electronically at: <http://www.fhwa.dot.gov/programadmin/contracts/1273.htm>).

In addition to the referenced requirements, the attention of Municipality/Sponsor hereunder is directed to the following requirements and information:

NON DISCRIMINATION/EEO/DBE REQUIREMENTS

The Municipality/Sponsor and its contractors agree to comply with Executive Order 11246, entitled "Equal Employment Opportunity" and United States Department of Transportation (USDOT) regulations (49 CFR Parts 21, 23, 25, 26 and 27) and the following:

1. **NON DISCRIMINATION**. No person shall, on the ground of race, color, creed, national origin, sex, age or handicap, be excluded from participation in, or denied the benefits of, or be subject to, discrimination under the Project funded through this Agreement.
2. **EQUAL EMPLOYMENT OPPORTUNITY**. In connection with the execution of this Agreement, the Municipality/Sponsors contractors or subcontractors shall not discriminate against any employee or applicant for employment because of race, religion, age, color, sex or national origin. Such contractors shall take affirmative actions to ensure that applicants are employed, and that employees are treated during their employment, without regard to their race, religion, color, sex, national origin or age. Such actions shall include, but not be limited to, the following: employment, upgrading, demotion or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship.

3. **DISADVANTAGED BUSINESS ENTERPRISES**. In connection with the performance of this Agreement, the Municipality/Sponsor shall cause its contractors to cooperate with the State in meeting its commitments and goals with regard to the utilization of Disadvantaged Business Enterprises (DBEs) and will use its best efforts to ensure that DBEs will have opportunity to compete for subcontract work under this Agreement. Also, in this connection the Municipality or Municipality/Sponsor shall cause its contractors to undertake such actions as may be necessary to comply with 49 CFR Part 26.

As a sub-recipient under 49 CFR Part 26.13, the Municipality/Sponsor hereby makes the following assurance.

The Municipality/Sponsor shall not discriminate on the basis of race, color, national origin, or sex in the award and performance of any United States Department of Transportation (USDOT)-assisted contract or in the administration of its Disadvantaged Business Enterprise (DBE) program or the requirements of 49 CFR Part 26. The Municipality/Sponsor shall take all necessary and reasonable steps under 49 CFR Part 26 to ensure nondiscrimination in the award and administration of the United States Department of Transportation-assisted contracts. The New York State Department of Transportation's DBE program, as required by 49 CFR Part 26 and as approved by the United States Department of Transportation, is incorporated by reference in this agreement. Implementation of this program is a legal obligation and failure to carry out its terms shall be treated as a violation of this agreement. Upon notification to the recipient of its failure to carry out its approved program, the USDOT may impose sanctions as provided for under part 26 and may, in appropriate cases, refer the matter for enforcement under 18 U.S.C. 1001 and/or the Program Fraud Civil Remedies Act of 1986 (31 U.S.C. 3801 et seq.).

FEDERAL SINGLE AUDIT REQUIREMENTS

Non-Federal entities that expend \$750,000 or more in a year in Federal awards from all sources are required to comply with the Federal Single Audit Act provisions contained in U.S. Office of Management and Budget (OMB) Circular No. A-133, Audits of States, Local Governments, and Non-Profit Organizations. Non-Federal entities that expend Federal awards from a single source may provide a program specific audit, as defined in the Circular. Non-Federal entities that expend less than the amount above in a year in Federal awards from all sources are exempt from Federal audit requirements for that year, except as noted in Sec. 215 (a) of OMB Circular A-133 Subpart B--Audits, records must be available for review or audit by appropriate officials of the cognizant Federal agency¹ the New York State Department of Transportation, the New York State Comptrollers Office and the U.S. Governmental Accountability Office (GAO).

Non-Federal entities are required to submit a copy of all audits, as described above, within 30 days of issuance of audit report, but no later than 9 months after the end of the entity's fiscal year, to the New York State Department of Transportation, Contract Audit Bureau, 50 Wolf Road, Albany, NY 12232. Unless a time extension has been granted by the cognizant Federal Agency and has been filed with the New York State Department of Transportation's Contract Audit Bureau, failure to comply with the requirements of OMB Circular A-133 may result in suspension or termination of Federal award payments.

¹ The designated cognizant agency for audit shall be the federal awarding agency that provides the predominant amount of direct funding to a recipient unless OMB changes it.

THE CATALOG OF FEDERAL DOMESTIC ASSISTANCE

The Catalog of Federal Domestic Assistance (CFDA²), is an on-line database of all Federally-aided programs available to State and local governments (including the District of Columbia); Federally recognized Indian tribal governments; Territories (and possessions) of the United States; domestic public, quasi-public, and private profit and nonprofit organizations and institutions; specialized groups; and individuals.

THE CFDA IDENTIFICATION NUMBER

OMB Circular A-133 requires all Federal-aid recipients to identify and account for awards and expenditures by CFDA Number. The Municipality/Sponsor is required to identify in its accounts all Federal awards received and expended, and the Federal programs under which they were received. Federal program and award identification shall include, as applicable, the CFDA title and number, award number and year, name of the Federal agency, and name of the pass-through entity.

The most commonly used CFDA number for the Federal Aid Highway Planning and Construction program is 20.205.

Additional CFDA numbers for other transportation and non-transportation related programs are:

- 20.215 Highway Training and Education
- 20.219 Recreational Trails Program
- 20.XXX Highway Planning and Construction - Highways for LIFE;
- 20.XXX Surface Transportation Research and Development;
- 20.500 Federal Transit-Capital Investment Grants
- 20.505 Federal Transit-Metropolitan Planning Grants
- 20.507 Federal Transit-Formula Grants
- 20.509 Formula Grants for Other Than Urbanized Areas
- 20.600 State and Community Highway Safety
- 23.003 Appalachian Development Highway System
- 23.008 Appalachian Local Access Roads

PROMPT PAYMENT MECHANISMS

In accordance with 49 CFR 26.29, and NY State Finance Law 139-f or NY General Municipal Law 106-b(2) as applicable:

(a) You must establish, as part of your DBE program, a contract clause to require prime contractors to pay subcontractors for satisfactory performance of their contracts no later than 7 calendar days from receipt of each payment you make to the prime contractor.

(b) You must ensure prompt and full payment of retainage from the prime contractor to the subcontractor within 7 calendar days after the subcontractor's work is satisfactorily completed. You must use one of the following methods to comply with this requirement:

(1) You may decline to hold retainage from prime contractors and prohibit prime contractors from holding retainage from subcontractors.

(2) You may decline to hold retainage from prime contractors and require a contract clause obligating prime contractors to make prompt and full payment of any retainage kept by

² <http://www.cfda.gov/>

prime contractor to the subcontractor within 7 calendar days after the subcontractor's work is satisfactorily completed.

(3) You may hold retainage from prime contractors and provide for prompt and regular incremental acceptances of portions of the prime contract, pay retainage to prime contractors based on these acceptances, and require a contract clause obligating the prime contractor to pay all retainage owed to the subcontractor for satisfactory completion of the accepted work within 7 calendar days after your payment to the prime contractor.

(c) For purposes of this section, a subcontractor's work is satisfactorily completed when all the tasks called for in the subcontract have been accomplished and documented as required by the recipient. When a recipient has made an incremental acceptance of a portion of a prime contract, the work of a subcontractor covered by that acceptance is deemed to be satisfactorily completed.

(d) Your DBE program must provide appropriate means to enforce the requirements of this section. These means may include appropriate penalties for failure to comply, the terms and conditions of which you set. Your program may also provide that any delay or postponement of payment among the parties may take place only for good cause, with your prior written approval.

(e) You may also establish, as part of your DBE program, any of the following additional mechanisms to ensure prompt payment:

(1) A contract clause that requires prime contractors to include in their subcontracts language providing that prime contractors and subcontractors will use appropriate alternative dispute resolution mechanisms to resolve payment disputes. You may specify the nature of such mechanisms.

(2) A contract clause providing that the prime contractor will not be reimbursed for work performed by subcontractors unless and until the prime contractor ensures that the subcontractors are promptly paid for the work they have performed.

(3) Other mechanisms, consistent with this part and applicable state and local law, to ensure that DBEs and other contractors are fully and promptly paid.

CARGO PREFERENCE ACT REQUIREMENTS – U.S. FLAG VESSELS

In accordance with 46 CFR 381, the contractor agrees:

- (a) To utilize privately owned United States-flag commercial vessels to ship at least 50 percent of the gross tonnage (computed separately for dry bulk carriers, dry cargo liners, and tankers) involved, whenever shipping any equipment, material, or commodities pursuant to this contract, to the extent such vessels are available at fair and reasonable rates for United States-flag commercial vessels.
- (b) To furnish within 20 days following the date of loading for shipments originating within the United States or within 30 working days following the date of loading for shipments originating outside the United States, a legible copy of a rated, 'on-board' commercial ocean bill-of-lading in English for each shipment of cargo described in paragraph (b) (1) of this section to both the Contracting Officer (through the prime contractor in the case of subcontractor bills-of-lading) and to the Division of National Cargo, Office of Market Development, Maritime Administration, Washington, DC 20590.
- (c) To insert the substance of the provisions of this clause in all subcontracts issued pursuant to this contract.

#6f

**Approval/ Sale of County Property
Pursuant to Chapter 31 of the Putnam County Code
Town of Carmel, 113 Longdale Road
Tax Map #65.10-1-32**

#6g

**Approval/ Sale of County Property
Pursuant to Chapter 31 of the Putnam County Code
Town of Southeast, 86 North Brewster Road
Tax Map #56.28-1-43**

#6h

**Approval/ Sale of County Property
Pursuant to Chapter 31 of the Putnam County Code
Town of Putnam Valley, 7 Evergreen Road
Tax Map #62.11-1-23**

#6L

Committee Mtg _____ Resolution # _____
 Introduced By _____ Regular Mtg _____
 Seconded By _____ Special Mtg _____

APPROVAL/ HIGHWAYS & FACILITIES/ USE OF CAPITAL FACILITY RESERVE (20CP03)
 (Water Systems)

WHEREAS, by Resolutions #55 and #56 of 2020, the Putnam County Legislature approved the use of the Capital Project Reserve fund for projects; 20CP01 and 20CP02, for a total expenditure not to exceed \$119,000; and

WHEREAS, the Commissioner of Highways & Facilities has proposed the use of \$135,000 from the Capital Facility Reserve to fund Project #20CP03 – Water Systems, to allow the continuing design and subsequent implementation of the new treatment system at the Putnam Valley Senior Center, to allow a backup well to be drilled at the Putnam Valley Senior Center, and for our efforts to design upgrades for all of our treatment systems Countywide to move forward; and

WHEREAS, the Physical Services Committee has reviewed and approved this request; now therefore be it

RESOLVED, that the Putnam County Legislature approves and authorizes the expenditure of \$135,000 from the County Facility Reserve fund budget line 55197000 53000 51509 as follows:

20CP03 – Water Systems

Project cost not to exceed \$135,000

Legislator Albano _____
 Legislator Castellano _____
 Legislator Gouldman _____
 Legislator Jonke _____
 Legislator Montgomery _____
 Legislator Nacerino _____
 Legislator Sayegh _____
 Legislator Sullivan _____
 Chairwoman Addonizio _____

*cc: all
Phys.*



Fred Pena
Commissioner

John Tully
Deputy Commissioner

DEPARTMENT OF
HIGHWAYS & FACILITIES
842 Fair Street
Carmel, New York 10512
Phone: 845-878-6331 Fax: 845-808-1908

MEMORANDUM

TO: Diane Schonfeld, Clerk, Putnam County Legislature
FROM: Alexis Hawley, Assistant Supervisor of Planning & Design *AMCA*
DATE: March 17, 2020
RE: Physical Services Committee - 20CP03 - Water Systems

2020 MAR 17 PM 3:50
LEGISLATURE
PUTNAM COUNTY
CARMEL, NY

Please approve the necessary resolution to authorize 20CP03 in an amount not to exceed \$135,000.

The County water supply at the Putnam Valley Senior Center has recently been found to contain petroleum products. This development, along with the site's existing water quality issues, means that the water is currently not potable nor can it be used for hygiene or food preparation/cooking purposes. The County has hired a Consultant to work cooperatively with the Highways & Facilities Department and the Health Department to design a water treatment system to address these issues.

The County has also had to, on an emergency basis, procure a temporary outside water source for supply, to allow essential services to be provided and the facility to remain open to our Seniors, until such time when treatment is successfully installed.

Additionally, the County has been systematically pursuing dual water sources at our facilities that serve as shelters during times of emergency. This would include the Putnam Valley Senior Center. A backup, redundant water source would allow the facility to remain open should one water source have to be shut down for any reason. There are potentially viable locations on site at the Putnam Valley Senior Center to drill an additional well.

Finally, the County has recognized that our regulated water systems throughout the County require upgrades to their treatment systems. This will require the hiring of an experienced outside Consultant to assess each existing system and the current source water quality and then design upgrades accordingly.

This request, 20CP03, is to allow the continuing design and subsequent implementation of the new treatment system at the Putnam Valley Senior Center, to allow a backup well to be drilled at the Putnam Valley Senior Center and for our efforts to design upgrades for all of our treatment systems Countywide to move forward.

cc: Fred Pena, P.E., Commissioner
John Tully, Deputy Commissioner
William Carlin, Commissioner of Finance

#6M

Committee Mtg _____ Resolution # _____
 Introduced By _____ Regular Mtg _____
 Seconded By _____ Special Mtg _____

APPROVAL/ LEAD AGENCY/ SEQRA DETERMINATION/ MILL STREET CULVERT REHABILITATION

WHEREAS, the Putnam County Legislature is considering the approval of a Putnam County Department of Highways and Facilities project that involves the rehabilitation of an existing culvert in the Town of Putnam Valley along Mill Street (Putnam Route 23) crossing Shrub Oak Brook, a Class C stream, which existing culvert is deteriorating and requires rehabilitation. The proposed work includes removal of the existing culvert deck, pouring new concrete culvert abutments behind the existing abutments, and setting a new precast concrete culvert deck on the new abutments. Ancillary work includes asphalt pavement, overhead utility relocation, guide rails, and stream stabilization (rip-rap). The clear span of the existing culvert is 16.7 feet long and 21.3 feet wide with approximately 6.5 feet between the bottom of the deck and the stream channel bed. The proposed design will construct new abutments behind the existing abutments. The existing abutments will remain in place during and after construction thereby mitigating disturbance to the watercourse. The new culvert deck will be thinner, increasing the height between the bottom of the deck and the channel bed to 7.5 feet. Flow through the culvert will not be changed by the construction. The road will be closed throughout the duration of construction and a detour posted; and

WHEREAS, the proposed action is subject to review under the State Environmental Quality Review Act (SEQRA) and the regulations promulgated thereunder, 6 NYCRR Part 617 *et seq.*; and

WHEREAS, other potential involved or interested agencies have been identified in connection with the proposed action; and

WHEREAS, the Putnam County Legislature hereby declares its intent to act as the Lead Agency under the procedures and requirements of SEQRA;

WHEREAS, a full Environmental Assessment Form (EAF) has been prepared for the proposed project along with supporting documentation; and

WHEREAS, the Putnam County Legislature, after a review of 6 NYCRR Part 617 *et seq.*, finds that the proposed action is an Unlisted action; now therefore be it

RESOLVED, that the Putnam County Legislature will conduct a coordinated SEQRA environmental review for the proposed action; and be it further

RESOLVED, that the Putnam County Legislature hereby declares its intent to serve as the Lead Agency under the procedures and requirements of SEQRA, and will circulate a Lead Agency Notice along with the EAF and associated documentation to all involved and/or interested agencies, and will follow protocol in accordance with and as required by all relevant rules and regulations therefor.

Legislator Albano _____
 Legislator Castellano _____
 Legislator Gouldman _____
 Legislator Jonke _____
 Legislator Montgomery _____
 Legislator Nacerino _____
 Legislator Sayegh _____
 Legislator Sullivan _____
 Chairwoman Addonizio _____

cc: all
Phys.
Reso

Diane Schonfeld

From: Sandra Fusco
Sent: Monday, March 23, 2020 1:21 PM
To: Diane Schonfeld; Diane Trabulsy
Cc: Fred Pena; John Tully; Alexis Hawley; Lillian Moynihan
Subject: FW: Mill St. Culvert
Attachments: Mill St. Traffic Count.pdf; Detour Map 1.pdf; Detour Map 2.pdf; Mill Street response for lead agency.docx; Lead Agency Notice, Mill Street Rehabilitation.docx; Mill Street site plan 2020-03-16.pdf; Mill Street FEA 2020-03-16.pdf; DEC General Permit.pdf; Mill Street SEQR Reso-Mar 18, 20.docx

Please see attached for placement on the Physical Services committee meeting agenda scheduled for March 30, 2020. Thank you.

Sandra Fusco

2020 MAR 23 PM 1:37
LEGISLATURE
PUTNAM COUNTY
CARMEL, NY

LEAD AGENCY/ SEQRA DETERMINATION/ MILL STREET CULVERT REHABILITATION

WHEREAS, the Putnam County Legislature is considering the approval of a Putnam County Department of Highways and Facilities project that involves the rehabilitation of an existing culvert in the Town of Putnam Valley along Mill Street (Putnam Route 23) crossing Shrub Oak Brook, a Class C stream, which existing culvert is deteriorating and requires rehabilitation. The proposed work includes removal of the existing culvert deck, pouring new concrete culvert abutments behind the existing abutments, and setting a new precast concrete culvert deck on the new abutments. Ancillary work includes asphalt pavement, overhead utility relocation, guide rails, and stream stabilization (rip-rap). The clear span of the existing culvert is 16.7 feet long and 21.3 feet wide with approximately 6.5 feet between the bottom of the deck and the stream channel bed. The proposed design will construct new abutments behind the existing abutments. The existing abutments will remain in place during and after construction thereby mitigating disturbance to the watercourse. The new culvert deck will be thinner increasing the height between the bottom of the deck and the channel bed to 7.5 feet. Flow through the culvert will not be changed by the construction. The road will be closed throughout the duration of construction and a detour posted; and

WHEREAS, the proposed action is subject to review under the State Environmental Quality Review Act (SEQRA) and the regulations promulgated thereunder, 6 NYCRR Part 617 *et seq.*; and

WHEREAS, other potential involved or interested agencies have been identified in connection with the proposed action; and

WHEREAS, the Putnam County Legislature hereby declares its intent to act as the Lead Agency under the procedures and requirements of SEQRA;

WHEREAS, a full Environmental Assessment Form (EAF) has been prepared for the proposed project along with supporting documentation; and

WHEREAS, the Putnam County Legislature, after a review of 6 NYCRR Part 617 *et seq.*, finds that the proposed action is an Unlisted action; now therefore be it

RESOLVED, that the Putnam County Legislature will conduct a coordinated SEQRA environmental review for the proposed action; and be it further

RESOLVED, that the Putnam County Legislature hereby declares its intent to serve as the Lead Agency under the procedures and requirements of SEQRA, and will circulate a Lead Agency Notice along with the EAF and associated documentation to all involved and/or interested agencies, and will follow protocol in accordance with and as required by all relevant rules and regulations therefor.

*Full Environmental Assessment Form
Part 1 - Project and Setting*

Instructions for Completing Part 1

Part 1 is to be completed by the applicant or project sponsor. Responses become part of the application for approval or funding, are subject to public review, and may be subject to further verification.

Complete Part 1 based on information currently available. If additional research or investigation would be needed to fully respond to any item, please answer as thoroughly as possible based on current information; indicate whether missing information does not exist, or is not reasonably available to the sponsor; and, when possible, generally describe work or studies which would be necessary to update or fully develop that information.

Applicants/sponsors must complete all items in Sections A & B. In Sections C, D & E, most items contain an initial question that must be answered either "Yes" or "No". If the answer to the initial question is "Yes", complete the sub-questions that follow. If the answer to the initial question is "No", proceed to the next question. Section F allows the project sponsor to identify and attach any additional information. Section G requires the name and signature of the applicant or project sponsor to verify that the information contained in Part 1 is accurate and complete.

A. Project and Applicant/Sponsor Information.

| | | |
|---|--------------|--|
| Name of Action or Project: Mill Street Culvert | | |
| Project Location (describe, and attach a general location map): Mill Street and Lovers Lane | | |
| Brief Description of Proposed Action (include purpose or need): The existing culvert along Mill Street (Putnam Rte 23) crossing Shrub Oak Brook (a Class C stream) is deteriorating and requires rehabilitation. The proposed work includes remove existing culvert deck, pour new concrete culvert abutments behind the existing abutments, and set a new precast concrete culvert deck on the new abutments. Ancillary work includes asphalt pavement, overhead utility relocation, guide rails, and stream stabilization (rip-rap). The clear span of the existing culvert is 16.7 feet and 21.3 feet wide with approximately 6.5 feet between the bottom of the deck and the stream channel bed. The proposed design will construct new abutments behind the existing abutments. The existing abutments will remain in place during and after construction thereby mitigating disturbance to the watercourse. The new culvert deck will be thinner increasing the height between the bottom of the deck and the channel bed to 7.5 feet. Flow through the culvert will not be changed by the construction. The road will be closed throughout the duration of construction. Refer to the detour information. | | |
| Name of Applicant/Sponsor: Joe Bellucci, Putnam County Dept of Highways | | Telephone: 845-878-6331 |
| | | E-Mail: putnamhighway@putnamcountyny.gov |
| Address: 842 Fair Street | | |
| City/PO: Carmel | State: NY | Zip Code: 10512 |
| Project Contact (if not same as sponsor; give name and title/role): James J. Hahn, PE, Consulting Engineer | | Telephone: 845-279-2220 |
| | | E-Mail: jhahn@hahn-eng.com |
| Address: 1689 Route 22 | | |
| City/PO: Brewster | State: NY | Zip Code: 10509 |
| Property Owner (if not same as sponsor): | | Telephone: |
| | | E-Mail: |
| Address: | | |
| City/PO: | State: | Zip Code: |

B. Government Approvals

B. Government Approvals, Funding, or Sponsorship. (“Funding” includes grants, loans, tax relief, and any other forms of financial assistance.)

| Government Entity | If Yes: Identify Agency and Approval(s) Required | Application Date (Actual or projected) |
|---|--|--|
| a. City Counsel, Town Board, <input type="checkbox"/> Yes <input type="checkbox"/> No or Village Board of Trustees | | |
| b. City, Town or Village Planning Board or Commission <input type="checkbox"/> Yes <input type="checkbox"/> No | | |
| c. City, Town or Village Zoning Board of Appeals <input type="checkbox"/> Yes <input type="checkbox"/> No | | |
| d. Other local agencies <input type="checkbox"/> Yes <input type="checkbox"/> No | | |
| e. County agencies <input type="checkbox"/> Yes <input type="checkbox"/> No | | |
| f. Regional agencies <input type="checkbox"/> Yes <input type="checkbox"/> No | | |
| g. State agencies <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No | NYSDEC General Permit | 1/31/20 |
| h. Federal agencies <input type="checkbox"/> Yes <input type="checkbox"/> No | | |
| i. Coastal Resources. <ul style="list-style-type: none"> i. Is the project site within a Coastal Area, or the waterfront area of a Designated Inland Waterway? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No ii. Is the project site located in a community with an approved Local Waterfront Revitalization Program? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No iii. Is the project site within a Coastal Erosion Hazard Area? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | | |

C. Planning and Zoning

| | |
|--|---|
| C.1. Planning and zoning actions. | |
| Will administrative or legislative adoption, or amendment of a plan, local law, ordinance, rule or regulation be the only approval(s) which must be granted to enable the proposed action to proceed? | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| <ul style="list-style-type: none"> • If Yes, complete sections C, F and G. • If No, proceed to question C.2 and complete all remaining sections and questions in Part 1 | |
| C.2. Adopted land use plans. | |
| a. Do any municipally- adopted (city, town, village or county) comprehensive land use plan(s) include the site where the proposed action would be located? | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| If Yes, does the comprehensive plan include specific recommendations for the site where the proposed action would be located? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| b. Is the site of the proposed action within any local or regional special planning district (for example: Greenway; Brownfield Opportunity Area (BOA); designated State or Federal heritage area; watershed management plan; or other?) | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| If Yes, identify the plan(s): | |
| _____ | |
| _____ | |
| _____ | |
| c. Is the proposed action located wholly or partially within an area listed in an adopted municipal open space plan, or an adopted municipal farmland protection plan? | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| If Yes, identify the plan(s): | |
| _____ | |
| _____ | |
| _____ | |

C.3. Zoning

a. Is the site of the proposed action located in a municipality with an adopted zoning law or ordinance. Yes No
 If Yes, what is the zoning classification(s) including any applicable overlay district?
County Road in the Town of Putnam Valley's Rural Residential (RR) District

b. Is the use permitted or allowed by a special or conditional use permit? Yes No

c. Is a zoning change requested as part of the proposed action? Yes No
 If Yes,
 i. What is the proposed new zoning for the site? _____

C.4. Existing community services.

a. In what school district is the project site located? Putnam Valley CSD

b. What police or other public protection forces serve the project site?
Putnam County Sheriff's Department

c. Which fire protection and emergency medical services serve the project site?
Putnam Valley Volunteer Fire Department & Putnam Valley Volunteer Ambulance Corps

d. What parks serve the project site?
N/A

D. Project Details

D.1. Proposed and Potential Development

a. What is the general nature of the proposed action (e.g., residential, industrial, commercial, recreational; if mixed, include all components)? Highway

b. a. Total acreage of the site of the proposed action? _____ 0.2 acres
 b. Total acreage to be physically disturbed? _____ 0.2 acres
 c. Total acreage (project site and any contiguous properties) owned or controlled by the applicant or project sponsor? _____ 8.6 acres

c. Is the proposed action an expansion of an existing project or use? Yes No
 i. If Yes, what is the approximate percentage of the proposed expansion and identify the units (e.g., acres, miles, housing units, square feet)? % _____ Units: _____

d. Is the proposed action a subdivision, or does it include a subdivision? Yes No
 If Yes,
 i. Purpose or type of subdivision? (e.g., residential, industrial, commercial; if mixed, specify types) _____
 ii. Is a cluster/conservation layout proposed? Yes No
 iii. Number of lots proposed? _____
 iv. Minimum and maximum proposed lot sizes? Minimum _____ Maximum _____

e. Will the proposed action be constructed in multiple phases? Yes No
 i. If No, anticipated period of construction: _____ 2.5 months
 ii. If Yes:
 • Total number of phases anticipated _____
 • Anticipated commencement date of phase 1 (including demolition) _____ month _____ year
 • Anticipated completion date of final phase _____ month _____ year
 • Generally describe connections or relationships among phases, including any contingencies where progress of one phase may determine timing or duration of future phases: _____

f. Does the project include new residential uses? Yes No
 If Yes, show numbers of units proposed.

| | One Family | Two Family | Three Family | Multiple Family (four or more) |
|-----------------------------|------------|------------|--------------|--------------------------------|
| Initial Phase | _____ | _____ | _____ | _____ |
| At completion of all phases | _____ | _____ | _____ | _____ |

g. Does the proposed action include new non-residential construction (including expansions)? Yes No
 If Yes,
 i. Total number of structures 1 Culvert
 ii. Dimensions (in feet) of largest proposed structure: 15 height; 26 width; and 27 length
 iii. Approximate extent of building space to be heated or cooled: 0 square feet

h. Does the proposed action include construction or other activities that will result in the impoundment of any liquids, such as creation of a water supply, reservoir, pond, lake, waste lagoon or other storage? Yes No
 If Yes,
 i. Purpose of the impoundment: _____
 ii. If a water impoundment, the principal source of the water: Ground water Surface water streams Other specify: _____
 iii. If other than water, identify the type of impounded/contained liquids and their source. _____
 iv. Approximate size of the proposed impoundment. Volume: _____ million gallons; surface area: _____ acres
 v. Dimensions of the proposed dam or impounding structure: _____ height; _____ length
 vi. Construction method/materials for the proposed dam or impounding structure (e.g., earth fill, rock, wood, concrete): _____

D.2. Project Operations

a. Does the proposed action include any excavation, mining, or dredging, during construction, operations, or both? Yes No
 (Not including general site preparation, grading or installation of utilities or foundations where all excavated materials will remain onsite)
 If Yes:
 i. What is the purpose of the excavation or dredging? Excavation to construct culvert abutments
 ii. How much material (including rock, earth, sediments, etc.) is proposed to be removed from the site?
 • Volume (specify tons or cubic yards): 65 +/- CY
 • Over what duration of time? 1 month
 iii. Describe nature and characteristics of materials to be excavated or dredged, and plans to use, manage or dispose of them.
In-situ soils will be excavated and disposed of on-site and stabilized or trucked off-site.
 iv. Will there be onsite dewatering or processing of excavated materials? Yes No
 If yes, describe. Dewatering will be required during excavation.
 v. What is the total area to be dredged or excavated? _____ <0.1 acres
 vi. What is the maximum area to be worked at any one time? _____ <0.1 acres
 vii. What would be the maximum depth of excavation or dredging? _____ approx. 12 feet
 viii. Will the excavation require blasting? Yes No
 ix. Summarize site reclamation goals and plan: _____
Area shall be restored to existing conditions using topsoil, seed, and erosion control blankets.

b. Would the proposed action cause or result in alteration of, increase or decrease in size of, or encroachment into any existing wetland, waterbody, shoreline, beach or adjacent area? Yes No
 If Yes:
 i. Identify the wetland or waterbody which would be affected (by name, water index number, wetland map number or geographic description): Shrub Oak Brook

ii. Describe how the proposed action would affect that waterbody or wetland, e.g. excavation, fill, placement of structures, or alteration of channels, banks and shorelines. Indicate extent of activities, alterations and additions in square feet or acres:
 Construction will be performed adjacent to Shrub Oak Brook. No alterations or modifications to the stream are proposed. The existing abutments will remain in place. New abutments, to support the new precast deck, will be constructed behind the existing abutments. Dewatering basins will be placed adjacent to the stream and discharge into the stream. A temporary turbidity curtain will be placed across the stream as a precaution.

iii. Will the proposed action cause or result in disturbance to bottom sediments? Yes No
 If Yes, describe: _____

iv. Will the proposed action cause or result in the destruction or removal of aquatic vegetation? Yes No
 If Yes:

- acres of aquatic vegetation proposed to be removed: _____
- expected acreage of aquatic vegetation remaining after project completion: _____
- purpose of proposed removal (e.g. beach clearing, invasive species control, boat access): _____
- proposed method of plant removal: _____
- if chemical/herbicide treatment will be used, specify product(s): _____

v. Describe any proposed reclamation/mitigation following disturbance: _____
 Upon completion all disturbed areas adjacent to the stream shall be restored to existing conditions.

c. Will the proposed action use, or create a new demand for water? Yes No
 If Yes:

i. Total anticipated water usage/demand per day: _____ gallons/day

ii. Will the proposed action obtain water from an existing public water supply? Yes No
 If Yes:

- Name of district or service area: _____
- Does the existing public water supply have capacity to serve the proposal? Yes No
- Is the project site in the existing district? Yes No
- Is expansion of the district needed? Yes No
- Do existing lines serve the project site? Yes No

iii. Will line extension within an existing district be necessary to supply the project? Yes No
 If Yes:

- Describe extensions or capacity expansions proposed to serve this project: _____
- Source(s) of supply for the district: _____

iv. Is a new water supply district or service area proposed to be formed to serve the project site? Yes No
 If, Yes:

- Applicant/sponsor for new district: _____
- Date application submitted or anticipated: _____
- Proposed source(s) of supply for new district: _____

v. If a public water supply will not be used, describe plans to provide water supply for the project: _____

vi. If water supply will be from wells (public or private), what is the maximum pumping capacity: _____ gallons/minute.

d. Will the proposed action generate liquid wastes? Yes No
 If Yes:

i. Total anticipated liquid waste generation per day: _____ gallons/day
 ii. Nature of liquid wastes to be generated (e.g., sanitary wastewater, industrial; if combination, describe all components and approximate volumes or proportions of each): _____

iii. Will the proposed action use any existing public wastewater treatment facilities? Yes No
 If Yes:

- Name of wastewater treatment plant to be used: _____
- Name of district: _____
- Does the existing wastewater treatment plant have capacity to serve the project? Yes No
- Is the project site in the existing district? Yes No
- Is expansion of the district needed? Yes No

| | |
|---|--|
| <ul style="list-style-type: none"> • Do existing sewer lines serve the project site? <input type="checkbox"/> Yes <input type="checkbox"/> No • Will a line extension within an existing district be necessary to serve the project? <input type="checkbox"/> Yes <input type="checkbox"/> No <p>If Yes:</p> <ul style="list-style-type: none"> • Describe extensions or capacity expansions proposed to serve this project: _____ | |
| <p>iv. Will a new wastewater (sewage) treatment district be formed to serve the project site? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If Yes:</p> <ul style="list-style-type: none"> • Applicant/sponsor for new district: _____ • Date application submitted or anticipated: _____ • What is the receiving water for the wastewater discharge? _____ | |
| <p>v. If public facilities will not be used, describe plans to provide wastewater treatment for the project, including specifying proposed receiving water (name and classification if surface discharge or describe subsurface disposal plans):</p> <p>_____</p> <p>_____</p> | |
| <p>vi. Describe any plans or designs to capture, recycle or reuse liquid waste: _____</p> <p>_____</p> <p>_____</p> | |
| <p>e. Will the proposed action disturb more than one acre and create stormwater runoff, either from new point sources (i.e. ditches, pipes, swales, curbs, gutters or other concentrated flows of stormwater) or non-point source (i.e. sheet flow) during construction or post construction? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>If Yes:</p> <p>i. How much impervious surface will the project create in relation to total size of project parcel?</p> <p style="padding-left: 20px;">_____ Square feet or _____ acres (impervious surface)</p> <p style="padding-left: 20px;">_____ Square feet or _____ acres (parcel size)</p> <p>ii. Describe types of new point sources. _____</p> <p>_____</p> <p>iii. Where will the stormwater runoff be directed (i.e. on-site stormwater management facility/structures, adjacent properties, groundwater, on-site surface water or off-site surface waters)?</p> <p>_____</p> <p>_____</p> <ul style="list-style-type: none"> • If to surface waters, identify receiving water bodies or wetlands: _____ _____ _____ • Will stormwater runoff flow to adjacent properties? <input type="checkbox"/> Yes <input type="checkbox"/> No | |
| <p>iv. Does the proposed plan minimize impervious surfaces, use pervious materials or collect and re-use stormwater? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> | |
| <p>f. Does the proposed action include, or will it use on-site, one or more sources of air emissions, including fuel combustion, waste incineration, or other processes or operations? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>If Yes, identify:</p> <p>i. Mobile sources during project operations (e.g., heavy equipment, fleet or delivery vehicles)</p> <p>_____</p> <p>ii. Stationary sources during construction (e.g., power generation, structural heating, batch plant, crushers)</p> <p>_____</p> <p>iii. Stationary sources during operations (e.g., process emissions, large boilers, electric generation)</p> <p>_____</p> | |
| <p>g. Will any air emission sources named in D.2.f (above), require a NY State Air Registration, Air Facility Permit, or Federal Clean Air Act Title IV or Title V Permit? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>If Yes:</p> <p>i. Is the project site located in an Air quality non-attainment area? (Area routinely or periodically fails to meet ambient air quality standards for all or some parts of the year) <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>ii. In addition to emissions as calculated in the application, the project will generate:</p> <ul style="list-style-type: none"> • _____ Tons/year (short tons) of Carbon Dioxide (CO₂) • _____ Tons/year (short tons) of Nitrous Oxide (N₂O) • _____ Tons/year (short tons) of Perfluorocarbons (PFCs) • _____ Tons/year (short tons) of Sulfur Hexafluoride (SF₆) • _____ Tons/year (short tons) of Carbon Dioxide equivalent of Hydrofluorocarbons (HFCs) • _____ Tons/year (short tons) of Hazardous Air Pollutants (HAPs) | |

h. Will the proposed action generate or emit methane (including, but not limited to, sewage treatment plants, landfills, composting facilities)? Yes No

If Yes:

i. Estimate methane generation in tons/year (metric): _____

ii. Describe any methane capture, control or elimination measures included in project design (e.g., combustion to generate heat or electricity, flaring): _____

i. Will the proposed action result in the release of air pollutants from open-air operations or processes, such as quarry or landfill operations? Yes No

If Yes: Describe operations and nature of emissions (e.g., diesel exhaust, rock particulates/dust): _____

j. Will the proposed action result in a substantial increase in traffic above present levels or generate substantial new demand for transportation facilities or services? Yes No

If Yes:

i. When is the peak traffic expected (Check all that apply): Morning Evening Weekend
 Randomly between hours of _____ to _____.

ii. For commercial activities only, projected number of truck trips/day and type (e.g., semi trailers and dump trucks): _____

iii. Parking spaces: Existing _____ Proposed _____ Net increase/decrease _____

iv. Does the proposed action include any shared use parking? Yes No

v. If the proposed action includes any modification of existing roads, creation of new roads or change in existing access, describe: _____

vi. Are public/private transportation service(s) or facilities available within ½ mile of the proposed site? Yes No

vii. Will the proposed action include access to public transportation or accommodations for use of hybrid, electric or other alternative fueled vehicles? Yes No

viii. Will the proposed action include plans for pedestrian or bicycle accommodations for connections to existing pedestrian or bicycle routes? Yes No

k. Will the proposed action (for commercial or industrial projects only) generate new or additional demand for energy? Yes No

If Yes:

i. Estimate annual electricity demand during operation of the proposed action: _____

ii. Anticipated sources/suppliers of electricity for the project (e.g., on-site combustion, on-site renewable, via grid/local utility, or other): _____

iii. Will the proposed action require a new, or an upgrade, to an existing substation? Yes No

l. Hours of operation. Answer all items which apply.

| | | | |
|--------------------------|-------------------|--------------------------|------------------------|
| i. During Construction: | | ii. During Operations: | |
| • Monday - Friday: _____ | Road Closed _____ | • Monday - Friday: _____ | Road Always Open _____ |
| • Saturday: _____ | Road Closed _____ | • Saturday: _____ | Road Always Open _____ |
| • Sunday: _____ | Road Closed _____ | • Sunday: _____ | Road Always Open _____ |
| • Holidays: _____ | Road Closed _____ | • Holidays: _____ | Road Always Open _____ |

m. Will the proposed action produce noise that will exceed existing ambient noise levels during construction, operation, or both? Yes No

If yes:

i. Provide details including sources, time of day and duration:
 During normal construction hours (M-F, 7:30 am - 4:00 pm) the use of construction equipment (excavators, concrete trucks, crane) will be required

ii. Will the proposed action remove existing natural barriers that could act as a noise barrier or screen? Yes No
 Describe: _____

n. Will the proposed action have outdoor lighting? Yes No

If yes:

i. Describe source(s), location(s), height of fixture(s), direction/aim, and proximity to nearest occupied structures:

ii. Will proposed action remove existing natural barriers that could act as a light barrier or screen? Yes No
 Describe: _____

o. Does the proposed action have the potential to produce odors for more than one hour per day? Yes No
 If Yes, describe possible sources, potential frequency and duration of odor emissions, and proximity to nearest occupied structures: _____

p. Will the proposed action include any bulk storage of petroleum (combined capacity of over 1,100 gallons) or chemical products 185 gallons in above ground storage or any amount in underground storage? Yes No

If Yes:

i. Product(s) to be stored _____

ii. Volume(s) _____ per unit time _____ (e.g., month, year)

iii. Generally, describe the proposed storage facilities: _____

q. Will the proposed action (commercial, industrial and recreational projects only) use pesticides (i.e., herbicides, insecticides) during construction or operation? Yes No

If Yes:

i. Describe proposed treatment(s):

ii. Will the proposed action use Integrated Pest Management Practices? Yes No

r. Will the proposed action (commercial or industrial projects only) involve or require the management or disposal of solid waste (excluding hazardous materials)? Yes No

If Yes:

i. Describe any solid waste(s) to be generated during construction or operation of the facility:

- Construction: _____ 50 +/- tons per _____ 1 week (unit of time)
- Operation : _____ 0 tons per _____ day (unit of time)

ii. Describe any proposals for on-site minimization, recycling or reuse of materials to avoid disposal as solid waste:

- Construction: Some existing steel may be able to be recycled by the contractor.
- Operation: N/A

iii. Proposed disposal methods/facilities for solid waste generated on-site:

- Construction: Material will be collected in trucks and removed from the site.
- Operation: N/A

s. Does the proposed action include construction or modification of a solid waste management facility? Yes No

If Yes:

i. Type of management or handling of waste proposed for the site (e.g., recycling or transfer station, composting, landfill, or other disposal activities): _____

ii. Anticipated rate of disposal/processing:

- _____ Tons/month, if transfer or other non-combustion/thermal treatment, or
- _____ Tons/hour, if combustion or thermal treatment

iii. If landfill, anticipated site life: _____ years

t. Will the proposed action at the site involve the commercial generation, treatment, storage, or disposal of hazardous waste? Yes No

If Yes:

i. Name(s) of all hazardous wastes or constituents to be generated, handled or managed at facility: _____

ii. Generally describe processes or activities involving hazardous wastes or constituents: _____

iii. Specify amount to be handled or generated _____ tons/month

iv. Describe any proposals for on-site minimization, recycling or reuse of hazardous constituents: _____

v. Will any hazardous wastes be disposed at an existing offsite hazardous waste facility? Yes No

If Yes: provide name and location of facility: _____

If No: describe proposed management of any hazardous wastes which will not be sent to a hazardous waste facility: _____

E. Site and Setting of Proposed Action

E.1. Land uses on and surrounding the project site

a. Existing land uses.

i. Check all uses that occur on, adjoining and near the project site.

- Urban Industrial Commercial Residential (suburban) Rural (non-farm)
 Forest Agriculture Aquatic Other (specify): Highway/roadway

ii. If mix of uses, generally describe:

The project area consists of roadway. Adjacent areas include rural residential with forested areas. Shrub Oak Brook is a Class C stream.

b. Land uses and covertypes on the project site.

| Land use or Covertype | Current Acreage | Acreage After Project Completion | Change (Acres +/-) |
|--|-----------------|----------------------------------|--------------------|
| • Roads, buildings, and other paved or impervious surfaces | 0.1 | 0.1 | 0.0 |
| • Forested | | | |
| • Meadows, grasslands or brushlands (non-agricultural, including abandoned agricultural) | | | |
| • Agricultural (includes active orchards, field, greenhouse etc.) | | | |
| • Surface water features (lakes, ponds, streams, rivers, etc.) | | | |
| • Wetlands (freshwater or tidal) | | | |
| • Non-vegetated (bare rock, earth or fill) | | | |
| • Other Describe: Roadside | 0.1 | 0.1 | 0.0 |

c. Is the project site presently used by members of the community for public recreation? Yes No
i. If Yes: explain: _____

d. Are there any facilities serving children, the elderly, people with disabilities (e.g., schools, hospitals, licensed day care centers, or group homes) within 1500 feet of the project site? Yes No
 If Yes,
i. Identify Facilities:

e. Does the project site contain an existing dam? Yes No
 If Yes:
i. Dimensions of the dam and impoundment:

- Dam height: _____ feet
- Dam length: _____ feet
- Surface area: _____ acres
- Volume impounded: _____ gallons OR acre-feet

ii. Dam's existing hazard classification: _____
iii. Provide date and summarize results of last inspection:

f. Has the project site ever been used as a municipal, commercial or industrial solid waste management facility, or does the project site adjoin property which is now, or was at one time, used as a solid waste management facility? Yes No
 If Yes:
i. Has the facility been formally closed? Yes No

- If yes, cite sources/documentation: _____

ii. Describe the location of the project site relative to the boundaries of the solid waste management facility:

iii. Describe any development constraints due to the prior solid waste activities: _____

g. Have hazardous wastes been generated, treated and/or disposed of at the site, or does the project site adjoin property which is now or was at one time used to commercially treat, store and/or dispose of hazardous waste? Yes No
 If Yes:
i. Describe waste(s) handled and waste management activities, including approximate time when activities occurred:

h. Potential contamination history. Has there been a reported spill at the proposed project site, or have any remedial actions been conducted at or adjacent to the proposed site? Yes No
 If Yes:
i. Is any portion of the site listed on the NYSDEC Spills Incidents database or Environmental Site Remediation database? Check all that apply: Yes No
 Yes – Spills Incidents database Provide DEC ID number(s): _____
 Yes – Environmental Site Remediation database Provide DEC ID number(s): _____
 Neither database
ii. If site has been subject of RCRA corrective activities, describe control measures: _____

iii. Is the project within 2000 feet of any site in the NYSDEC Environmental Site Remediation database? Yes No
 If yes, provide DEC ID number(s): _____
iv. If yes to (i), (ii) or (iii) above, describe current status of site(s):

v. Is the project site subject to an institutional control limiting property uses? Yes No

- If yes, DEC site ID number: _____
- Describe the type of institutional control (e.g., deed restriction or easement): _____
- Describe any use limitations: _____
- Describe any engineering controls: _____
- Will the project affect the institutional or engineering controls in place? Yes No
- Explain: _____

E.2. Natural Resources On or Near Project Site

a. What is the average depth to bedrock on the project site? _____ 6 feet

b. Are there bedrock outcroppings on the project site? Yes No
 If Yes, what proportion of the site is comprised of bedrock outcroppings? _____ <1% %

c. Predominant soil type(s) present on project site: _____ Leicester Loam (LcB) _____ 100 %
 _____ %
 _____ %

d. What is the average depth to the water table on the project site? Average: _____ 1.5 feet

e. Drainage status of project site soils: Well Drained: _____ 70 % of site
 Moderately Well Drained: _____ % of site
 Poorly Drained _____ 30 % of site

f. Approximate proportion of proposed action site with slopes: 0-10%: _____ 50 % of site
 10-15%: _____ 10 % of site
 15% or greater: _____ 40 % of site

g. Are there any unique geologic features on the project site? Yes No
 If Yes, describe: _____

h. Surface water features.

i. Does any portion of the project site contain wetlands or other waterbodies (including streams, rivers, ponds or lakes)? Yes No

ii. Do any wetlands or other waterbodies adjoin the project site? Yes No
 If Yes to either *i* or *ii*, continue. If No, skip to E.2.i.

iii. Are any of the wetlands or waterbodies within or adjoining the project site regulated by any federal, state or local agency? Yes No

iv. For each identified regulated wetland and waterbody on the project site, provide the following information:

- Streams: Name 864-616 Shrub Oak Brook Classification C(TS)
- Lakes or Ponds: Name _____ Classification _____
- Wetlands: Name Federal Waters, Federal Waters, Federal Waters, ... Approximate Size _____
- Wetland No. (if regulated by DEC) _____

v. Are any of the above water bodies listed in the most recent compilation of NYS water quality-impaired waterbodies? Yes No
 If yes, name of impaired water body/bodies and basis for listing as impaired: _____

i. Is the project site in a designated Floodway? Yes No

j. Is the project site in the 100-year Floodplain? Yes No

k. Is the project site in the 500-year Floodplain? Yes No

l. Is the project site located over, or immediately adjoining, a primary, principal or sole source aquifer? Yes No
 If Yes:
 i. Name of aquifer: _____

| | | |
|--|------------------------------|---|
| m. Identify the predominant wildlife species that occupy or use the project site: | | _____ |
| White Tailed Deer _____ | Black-Capped Chickadee _____ | _____ |
| Grey Squirrel _____ | Bullfrog _____ | _____ |
| Chipmunk _____ | American Toad _____ | _____ |
| n. Does the project site contain a designated significant natural community? | | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| If Yes: | | |
| <i>i.</i> Describe the habitat/community (composition, function, and basis for designation): _____ _____ | | |
| <i>ii.</i> Source(s) of description or evaluation: _____ | | |
| <i>iii.</i> Extent of community/habitat: | | |
| <ul style="list-style-type: none"> • Currently: _____ acres • Following completion of project as proposed: _____ acres • Gain or loss (indicate + or -): _____ acres | | |
| o. Does project site contain any species of plant or animal that is listed by the federal government or NYS as endangered or threatened, or does it contain any areas identified as habitat for an endangered or threatened species? | | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| If Yes: | | |
| <i>i.</i> Species and listing (endangered or threatened): _____ _____ | | |
| p. Does the project site contain any species of plant or animal that is listed by NYS as rare, or as a species of special concern? | | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| If Yes: | | |
| <i>i.</i> Species and listing: _____ _____ | | |
| q. Is the project site or adjoining area currently used for hunting, trapping, fishing or shell fishing? | | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| If yes, give a brief description of how the proposed action may affect that use: _____ _____ | | |
| E.3. Designated Public Resources On or Near Project Site | | |
| a. Is the project site, or any portion of it, located in a designated agricultural district certified pursuant to Agriculture and Markets Law, Article 25-AA, Section 303 and 304? | | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| If Yes, provide county plus district name/number: _____ | | |
| b. Are agricultural lands consisting of highly productive soils present? | | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| <i>i.</i> If Yes: acreage(s) on project site? _____ | | |
| <i>ii.</i> Source(s) of soil rating(s): _____ | | |
| c. Does the project site contain all or part of, or is it substantially contiguous to, a registered National Natural Landmark? | | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| If Yes: | | |
| <i>i.</i> Nature of the natural landmark: <input type="checkbox"/> Biological Community <input type="checkbox"/> Geological Feature | | |
| <i>ii.</i> Provide brief description of landmark, including values behind designation and approximate size/extent: _____ _____ | | |
| d. Is the project site located in or does it adjoin a state listed Critical Environmental Area? | | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| If Yes: | | |
| <i>i.</i> CEA name: _____ | | |
| <i>ii.</i> Basis for designation: _____ | | |
| <i>iii.</i> Designating agency and date: _____ | | |

| | |
|--|---|
| e. Does the project site contain, or is it substantially contiguous to, a building, archaeological site, or district which is listed on the National or State Register of Historic Places, or that has been determined by the Commissioner of the NYS Office of Parks, Recreation and Historic Preservation to be eligible for listing on the State Register of Historic Places? | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| If Yes: | |
| i. Nature of historic/archaeological resource: <input type="checkbox"/> Archaeological Site <input type="checkbox"/> Historic Building or District | |
| ii. Name: _____ | |
| iii. Brief description of attributes on which listing is based: _____ | |
| f. Is the project site, or any portion of it, located in or adjacent to an area designated as sensitive for archaeological sites on the NY State Historic Preservation Office (SHPO) archaeological site inventory? | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| g. Have additional archaeological or historic site(s) or resources been identified on the project site? | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| If Yes: | |
| i. Describe possible resource(s): _____ | |
| ii. Basis for identification: _____ | |
| h. Is the project site within five miles of any officially designated and publicly accessible federal, state, or local scenic or aesthetic resource? | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |
| If Yes: | |
| i. Identify resource: Taconic Parkway & Donald J. Trump State Park | |
| ii. Nature of, or basis for, designation (e.g., established highway overlook, state or local park, state historic trail or scenic byway, etc.): Scenic Byway & State Park, respectively | |
| iii. Distance between project and resource: 1.4 & 1.6 miles. | |
| i. Is the project site located within a designated river corridor under the Wild, Scenic and Recreational Rivers Program 6 NYCRR 666? | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| If Yes: | |
| i. Identify the name of the river and its designation: _____ | |
| ii. Is the activity consistent with development restrictions contained in 6NYCRR Part 666? | <input type="checkbox"/> Yes <input type="checkbox"/> No |

F. Additional Information

Attach any additional information which may be needed to clarify your project.

If you have identified any adverse impacts which could be associated with your proposal, please describe those impacts plus any measures which you propose to avoid or minimize them.

G. Verification

I certify that the information provided is true to the best of my knowledge.

Applicant/Sponsor Name _____ Date _____

Signature _____ Title _____

**RESPONSE TO REQUEST THAT
THE PUTNAM COUNTY LEGISLATURE
SERVE AS LEAD AGENCY FOR
*Mill Street Culvert Rehabilitation***

On behalf of _____ (Involved or Interested Agency), I
acknowledge receipt of the Lead Agency notice in this matter.

The above named agency hereby: (Please check one)

CONSENTS to the Putnam County Legislature serving as lead agency in this application, and requests that the undersigned continue to be notified of SEQR determinations, proceedings and hearings in this matter.

DOES NOT CONSENT to the Putnam County Legislature serving as lead agency in this application and wishes that _____ serve as lead agency.

To contest lead agency designation, the undersigned intends to follow the procedures outlined in 6 NYCRR 617.6(e).

TAKES NO POSITION on lead agency designation.

Date _____

Signature: _____

Printed: _____

Agency: _____

PLEASE RETURN TO: Barbara Barosa, AICP, Senior Planner
Putnam County Department of Planning, Development & Public Transportation
2 Route 164
Patterson, NY 12563
Barara.barosa@putnamcountyny.gov

PUTNAM COUNTY LEGISLATURE
(Lead Agency)

LIST OF INVOLVED/ INTERESTED AGENCIES:

| | |
|--|---|
| Town of Putnam Valley 265 Oscawana Lake road Putnam Valley, NY 10579 | |
| New York State Department of Environmental Conservation. Attn: Commissioner 625 Broadway Albany, NY 12233 | New York State Department of Environmental Conservation. Attn: Regional Director 21 South Putt Corners New Paltz, NY 12561 |

#6n

Committee Mtg _____ Resolution # _____
 Introduced By _____ Regular Mtg _____
 Seconded By _____ Special Mtg _____

EXTRACT OF MINUTES

**Meeting of the County Legislature of
 the County of Putnam, New York**

April 7, 2020

* * *

A regular meeting of the County Legislature of the County of Putnam, New York, was held at the Historic County Courthouse, Gleneida Avenue, Carmel, New York, on April 7, 2020, at _____ o'clock P.M. (Prevailing Time).

The following Legislators were present: Toni Addonizio, Chair, and

There were absent:

Also present: Diane Schonfeld, Clerk of the County Legislature
 * * *

Legislator _____ offered the following resolution and moved its adoption:

- Legislator Albano _____
- Legislator Castellano _____
- Legislator Gouldman _____
- Legislator Jonke _____
- Legislator Montgomery _____
- Legislator Nacerino _____
- Legislator Sayegh _____
- Legislator Sullivan _____
- Chairwoman Addonizio _____

BOND RESOLUTION OF THE COUNTY OF PUTNAM, NEW YORK, ADOPTED APRIL 7, 2020, AUTHORIZING THE REHABILITATION AND/OR RECONSTRUCTION OF VARIOUS COUNTY-OWNED BRIDGES AND CULVERTS; STATING THE ESTIMATED TOTAL COST THEREOF IS \$500,000; APPROPRIATING SAID AMOUNT THEREFOR; AND AUTHORIZING THE ISSUANCE OF \$500,000 SERIAL BONDS OF SAID COUNTY TO FINANCE SAID APPROPRIATION.

THE COUNTY LEGISLATURE OF THE COUNTY OF PUTNAM, NEW YORK, HEREBY RESOLVES (by the favorable vote of not less than two-thirds of all the members of said Legislature) AS FOLLOWS:

Section 1. The County of Putnam, New York (herein called "County"), is hereby authorized to rehabilitate and/or reconstruct various County-owned bridges and culverts. The estimated total cost thereof, including preliminary costs and costs incidental thereto and to the financing thereof, is \$500,000, and said amount is hereby appropriated therefor. The plan of financing, includes the issuance of \$500,000 serial bonds of the County to finance said appropriation, and the levy and collection of taxes on all the taxable real property in the County to pay the principal of said bonds and the interest thereon as the same shall become due and payable.

Section 2. Bonds of the County in the principal amount of \$500,000 are hereby authorized to be issued pursuant to the provisions of the Local Finance Law, constituting Chapter 33-a of the Consolidated Laws of the State of New York (herein called "Law"), to finance said appropriation.

Section 3. The period of probable usefulness of the object or purpose for which said bonds are authorized to be issued, within the limitations of Section 11.00 a. 10 of the Law, is twenty (20) years.

Section 4. The proceeds of the bonds herein authorized and any bond anticipation notes issued in anticipation of said bonds may be applied to reimburse the County for expenditures made after the effective date of this resolution for the purpose for which said bonds are authorized. The foregoing statement of intent with respect to reimbursement is made in conformity with Treasury Regulation Section 1.150-2 of the United States Treasury Department.

Section 5. Each of the bonds authorized by this resolution, and any bond anticipation notes issued in anticipation of the sale of said bonds, shall contain the recital of validity as prescribed by Section 52.00 of the Law and said bonds, and any notes issued in anticipation of said bonds, shall be general obligations of the County, payable as to both principal and interest by general tax upon all the taxable real property within the County. The faith and credit of the County are hereby irrevocably pledged to the punctual payment of the principal of and interest on said bonds, and any notes issued in anticipation of the sale of said bonds, and provision shall be made annually in the budget of the County by appropriation for (a) the amortization and redemption of the bonds and any notes in anticipation thereof to mature in such year and (b) the payment of interest to be due and payable in such year.

Section 6. Subject to the provisions of this resolution and of the Law and pursuant to the provisions of Section 21.00 relative to the authorization of the issuance of bonds having substantially level or declining annual debt service, Section 30.00 relative to the authorization of the issuance of bond anticipation notes or the renewals thereof, and Sections 50.00, 56.00 to 60.00 and 168.00 of the Law, the powers and duties of the County Legislature relative to authorizing bond anticipation notes, or the renewals thereof, and relative to providing for substantially level or declining annual debt service, and prescribing the terms, form and contents, and as to the sale and issuance of the

bonds herein authorized, and of any bond anticipation notes issued in anticipation of said bonds, and the renewals of said notes, as well as to executing agreements for credit enhancements, are hereby delegated to the Commissioner of Finance, the chief fiscal officer of the County.

Section 7. The validity of the bonds authorized by this resolution, and of any notes issued in anticipation of the sale of said bonds, may be contested only if:

(a) such obligations are authorized for an object or purpose for which the County is not authorized to expend money, or

(b) the provisions of law which should be complied with at the date of the publication of such resolution, or a summary thereof, are not substantially complied with,

and an action, suit or proceeding contesting such validity is commenced within twenty days after the date of such publication, or

(c) such obligations are authorized in violation of the provisions of the constitution.

Section 8. This bond resolution shall take effect upon the approval of the Putnam County Executive, and the Clerk of the County Legislature is hereby authorized and directed to publish the foregoing resolution, in summary, together with a Notice attached in substantially the form prescribed by §81.00 of the Law in "*The Putnam County Courier*," "*The Putnam Press*," and "*The Putnam County News & Recorder*," three newspapers, each having a general circulation in the County and hereby designated as the official newspapers of the County for such publications.

* * *

The adoption of the foregoing resolution was seconded by Legislator

_____ and duly put to a vote on roll call, which resulted as

follows:

AYES:

NOES:

The resolution was declared adopted.

CERTIFICATE

I, Diane Schonfeld, Clerk to the County Legislature of the County of Putnam, State of New York, HEREBY CERTIFY that the Resolution No.____-2020 contained in the foregoing annexed extract from the minutes of a meeting of the County Legislature of said County of Putnam duly called and held on April 7, 2020, has been compared by me with the original minutes as officially recorded in my office in the Minute Book of said County Legislature and is a true, complete and correct copy thereof and of the whole of said original Resolution, which was duly adopted by the County Legislature of the County of Putnam on April 7, 2020 and approved by the County Executive on May ____, 2020.

IN WITNESS WHEREOF, I have hereunto set my hand and affixed the corporate seal of said County of Putnam this ____ day of March, 2020.

(SEAL)

Diane Schonfeld
Clerk to the County Legislature

NOTICE

The resolution, a summary of which is published herewith, has been adopted on April 7, 2020, and the validity of the obligations authorized by such resolution may be hereafter contested only if such obligations were authorized for an object or purpose for which the COUNTY OF PUTNAM, New York, is not authorized to expend money or if the provisions of law which should have been complied with as of the date of publication of this Notice were not substantially complied with, and an action, suit or proceeding contesting such validity is commenced within twenty days after the publication of this Notice, or such obligations were authorized in violation of the provisions of the constitution.

Diane Schonfeld
Clerk to the County

Legislature

BOND RESOLUTION OF THE COUNTY OF PUTNAM, NEW YORK,
ADOPTED APRIL 7, 2020, AUTHORIZING THE REHABILITATION
AND/OR RECONSTRUCTION OF VARIOUS COUNTY-OWNED BRIDGES
AND CULVERTS; STATING THE ESTIMATED TOTAL COST THEREOF IS
\$500,000; APPROPRIATING SAID AMOUNT THEREFOR; AND
AUTHORIZING THE ISSUANCE OF \$500,000 SERIAL BONDS OF SAID
COUNTY TO FINANCE SAID APPROPRIATION.

Object or purpose: the rehabilitation and/or reconstruction of various County-
owned bridges and culverts

Period of probable
usefulness: twenty (20) years

Amount of obligations
to be issued: \$500,000

A complete copy of the bond resolution summarized above shall be available for public inspection during normal business hours at the office of the Clerk to the Legislature, at the County Office Building, 40 Gleneida Avenue, Carmel, New York.

Dated: April 7, 2020
 Carmel, New York



cc: All
Phups

PHONE: 212-820-9300
FAX: 212-514-8425

7 WORLD TRADE CENTER
250 GREENWICH STREET
NEW YORK, NY 10007
WWW.HAWKINS.COM

NEW YORK
WASHINGTON
NEWARK
HARTFORD
LOS ANGELES
SACRAMENTO
SAN FRANCISCO
PORTLAND
ANN ARBOR

(212) 820-9563

February 11, 2020

County of Putnam, New York
\$500,000 Serial Bonds for Bridge and Culvert Reconstruction
(Our File Designation: 4867/001098)

Mr. William J. Carlin, Jr., CPA
Commissioner of Finance
County of Putnam
40 Gleneida Avenue
Carmel, New York 10512

Dear Bill:

Pursuant to your request, I have prepared and enclose herewith a draft Extract of Minutes of the County Legislature meeting to be held on March 5, 2020, showing adoption of the above-referenced bond resolution and providing for publication, in summary.

Please note that the bond resolution is to be adopted by at least a two-thirds vote of the entire County Legislature membership.

A copy of the summary form of the bond resolution with the prescribed form of Clerk's statutory notice affixed in readiness for publication in the official County newspapers is also enclosed as *the last page of the attachment*. You will recall that publication of the bond resolution, in summary, commences a 20-day statute of limitations period pursuant to the provisions of Section 80.00 et seq. of the Local Finance Law. Please obtain and forward to me a certified copy of the Extract of Minutes and an original Affidavits of Publication, when available.

As you know, the final findings and determinations with respect to the State Environmental Quality Review Act ("SEQRA") must be made by the County Legislature prior to the adoption of the resolution attached hereto. I would kindly ask that you send me a certified copy of such SEQRA resolution, when available.

With all best wishes, I am

Very truly yours,

Daniel G. Birmingham

2020 MAR 17 AM 10:54
LEGISLATURE
PUTNAM COUNTY
CARMEL, NY

DGB:wy
Enclosures

#60

Committee Mtg _____ Resolution # _____
 Introduced By _____ Regular Mtg _____
 Seconded By _____ Special Mtg _____

APPROVAL/ BUDGETARY AMENDMENT/ SOCIAL SERVICES/ CHILD ADVOCACY CENTER GRANT AWARD

WHEREAS, the Commissioner of Social Services has requested an amendment to the 2020 budget to account for a grant awarded to the Child Advocacy Center in accordance with a cooperative agreement with the National Children’s Alliance for the period January 1, 2020 through December 31, 2020, CFDA #16.834; and

WHEREAS, the 17 ½ Part-Time Prevention & Community Outreach Coordinator, Budget Line #601005103, will work an additional 9 hours per week to handle said grant award through December 31, 2020; and

WHEREAS, the Commissioner of Social Services has requested a budgetary amendment (20A011) to account for said grant award; and

WHEREAS, the Audit & Administration Committee has reviewed and approved said budgetary amendment; now therefore be it

RESOLVED, that the following budgetary amendment be made:

Increase Estimated Revenues:

| | | |
|-----------------|------------------------------|--------|
| 22073000 446132 | National Children’s Alliance | 48,932 |
|-----------------|------------------------------|--------|

Increase Appropriations:

| | | |
|-------------------|-----------------------------------|---------------|
| 22073000 | OEOP National Children’s Alliance | |
| 51000 (601005103) | Personnel Services | 12,341 |
| 54640 | Education/Training | 29,023 |
| 54782 | Software/Accessories | 3,825 |
| 58001 | Retirement | 1,816 |
| 58002 | Social Security | 944 |
| 58003 | Disability | 21 |
| 58004 | Workers Comp | 33 |
| 58007 | Life Insurance | 88 |
| 58011 | Flex | 841 |
| | | <u>48,932</u> |

2020 Fiscal Impact – 0 –
 2021 Fiscal Impact – 0 –

Legislator Albano _____
 Legislator Castellano _____
 Legislator Gouldman _____
 Legislator Jonke _____
 Legislator Montgomery _____
 Legislator Nacerino _____
 Legislator Sayegh _____
 Legislator Sullivan _____
 Chairwoman Addonizio _____

WILLIAM J. CARLIN, Jr. CPA
Commissioner of Finance



*Cc: all
Health
ATA*

Reso

ANITA Z. GILBERT
Chief Deputy Commissioner of Finance

SHEILA BARRETT
Deputy Commissioner of Finance

DEPARTMENT OF FINANCE

2020 MAR -5 PM 3:11
LEGISLATURE
PUTNAM COUNTY
CARMEL, NY

March 2, 2020

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

Dear Ms. Schonfeld,

Pursuant to Code Section 5-1, D dated February 14, 2010, I am advising you of the following request to amend the 2020 Department of Social Services budget.

Increase Estimated Revenues:

22073000 446132 National Children's Alliance \$ 48,932

Increase Appropriations:

| | | |
|----------|-----------------------------------|------------------|
| 22073000 | OEOP National Children's Alliance | |
| 51000 | Personnel Services | \$ 12,341 |
| 54640 | Ed/Training | 29,023 |
| 54782 | Software/Accessories | 3,825 |
| 58001 | Retirement | 1,816 |
| 58002 | Social Security | 944 |
| 58003 | Disability | 21 |
| 58004 | Workers Comp | 33 |
| 58007 | Life Insurance | 88 |
| 58011 | Flex | 841 |
| | | <u>\$ 48,932</u> |

2020 Fiscal Impact -0-

2021 Fiscal Impact -0-

This amendment to the 2020 Social Services budget includes funds awarded to the Child Advocacy Center in accordance with a cooperative agreement with the National Children's Alliance for the period January 1, 2020 through December 31, 2020. The CFDA number is 16.834.

no match -

AUTHORIZATION:

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

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

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

20A011

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

MARYELLEN ODELL
County Executive

MICHAEL J. PIAZZA, Jr.
Commissioner
37A298@dfa.state.ny.us

JOSEPH A. DeMARZO
Deputy Commissioner
Joseph.Demarzo@putnamcountyny.gov

GRACE M. BALCER
Fiscal Manager
37A279@dfa.state.ny.us



JOANNA GRAINGER
Director of Eligibility
37A252@dfa.state.NY.US

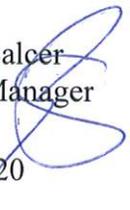
FRANK MAROCCO, ESQ.
Director of Children and
Family Services
Frank.Marocco@dfa.state.ny.us

FAYE THORPE, ESQ.
Counsel for DSS
Faye.Thorpe@dfa.state.ny.us

**DEPARTMENTS OF MENTAL HEALTH
SOCIAL SERVICES AND YOUTH BUREAU**

MEMORANDUM

TO: William Carlin
Commissioner of Finance

FROM: Grace Balcer
Fiscal Manager  

DATE: 2/20/2020

RE: 2020 DSS Budgetary Amendment

Your approval is requested to amend the 2020 DSS budget to include funds awarded to the Child Advocacy Center in accordance with a cooperative agreement with the National Children's Alliance for the period January 1, 2020 through December 31, 2020. (Supporting documentation attached)

Increase Appropriations:

| | | |
|----------|--|----------|
| 22073000 | OEOP Nat. Child Alliance | |
| 51000 | Personnel Services | |
| | 601005103 Prevention & Comm. Outreach Coord. | \$12,341 |
| | 3/12/20 – 12/31/20 9 hrs/wk. | |
| 54640 | Ed/Training | 29,023 |
| 54782 | Software/Accessories | 3,825 |
| 58001 | Retirement | 1,816 |
| 58002 | Social Security | 944 |
| 58003 | Disability | 21 |
| 58004 | Workers Comp | 33 |
| 58007 | Life Insurance | 88 |
| 58011 | Flex | 841 |
| | Total Appropriations | \$48,932 |

(2)

Increase Estimated Revenues:

| | | |
|----------|---|----------|
| 22073000 | OEOP Nat Child Alliance | |
| 446132 | Nat. Childrens Alliance CFDA #: 16.834 | \$48,932 |
| | Total Estimated Revenues | \$48,932 |
| | Fiscal Impact (20) | -0- |
| | Fiscal Impact (21) | -0- |

Should you require additional information, please do not hesitate to contact me.

cc: M. Behler
F. Marocco



National Children's Alliance
516 C Street NE
Washington DC 20002
202 548 0090 telephone
202 548 0099 facsimile

Cooperative Agreement between Award Recipient and NCA 2020 Award

This form is for National Children's Alliance (NCA) 2020 approved sub-awardees. This is an official agreement between your agency and NCA acknowledging that your agency accepts the funding awarded by NCA through a cooperative agreement with the United States Department of Justice and will follow all requirements and special conditions: **below, outlined in the Grant Award Notification, NCA Electronic Grantee Handbook, and Request for Proposals.** By signing and accepting this award on behalf of the recipient, the authorized recipient official accepts all material requirements of the award, and specifically adopts all such assurances or certifications. The recipient agrees to comply with the financial and administrative requirements set forth in the current edition of the Department of Justice (DOJ) Grants Financial Guide and OMB 2 CFR 200 - Uniform Guidance.

The recipient agrees to cooperate with NCA and OJP monitoring of this award pursuant to NCA's and OJP's guidelines, protocols, procedures and special award conditions, and to cooperate with NCA (including the grant manager for this award and the Office of Chief Financial Officer (OCFO)) requests related to such monitoring, including requests related to desk reviews and/or site visits. The recipient agrees to provide to NCA all documentation necessary for NCA to complete its monitoring tasks, including documentation related to any subawards made under this award. Further, the recipient agrees to abide by the deadlines set by NCA for providing the requested documents. Failure to cooperate with NCA's monitoring activities may result in actions that affect the recipient's NCA awards, including, but not limited to: **imposing additional special conditions on the award, withholdings and/or other restrictions on the recipient's access to award funds; designation of the recipient as a DOJ High Risk grantee; or termination of an award(s).**

National Children's Alliance has elected to enter into a Cooperative Agreement rather than a grant with the recipient. This decision reflects the mutual interest of the recipient and NCA in the operation of the project as well as the anticipated level of NCA involvement in this project. NCA's participatory role in the project is as follows:

- a. Review and approve major work plans, including changes to such plans, and key decisions pertaining to project operations. This will include a quarterly review of stated expenditure of funds from the approved budget. Any deviation to the spending plan will be reported promptly to NCA. NCA will provide guidance on the de-obligation of funds when projected spending of funds does not meet the timelines.
- b. Review and approve major project generated documents and materials used in the provision of project services.
- c. Provide guidance in significant project planning meetings, and participate in project sponsored training events or conferences. NCA will provide technical assistance to all entities utilizing funds under the NCA awards including but not limited to responding to direct inquiries, inclusion in customized webinars, conference calls and site visits.

d. Any deviation from the timeline provided in the application or revised grant program implementation plan must receive prior approval from NCA.

e. NCA will conduct a final review of all recipients' detailed budgets between October 15th and November 13th through Budget Modifications requests (BMRs) and conduct the de-obligation process. For chapter recipients, the inclusion in the final November disbursed payment batch is contingent upon approval of the detailed grant budget by NCA.

The recipient:

e. The recipient agrees to budget and send one staff member to attend the 2020 NCA Leadership Conference.

f. The recipient agrees to ensure that key grantee staff members complete the webinar and in-person NCA grant trainings as posted on the NCA website.

g. The recipient agrees to comply with additional Terms and Conditions, as established by DOJ and NCA in the Grantee Handbook.

h. If the award amount is equal or greater than \$25,000, the recipient is required to report to NCA the information under the Federal Funding Accountability and Transparency Act (FFATA) as specified in Appendix One.

i. All recipients of CAC award types (i.e. Program Improvement; Program Development; Program Expansion; Tribal Expansion of CAC Services; Victim Advocacy; Improving CAC Response to Physical Abuse; Coordination of CACs Services for Military Installations; CAC Response in US District of Columbia and US Territories, Improving CAC Response to CP Cases and Provision of Services to Victims of CP and HT, and Training Awards on Technology-Facilitated CSEC/CP) with annual actual expenses (as determined by United States generally accepted accounting principles) in excess of \$500,000 are required to submit an electronic copy of their audit no later than 9 months after the recipient's fiscal year end. If there are any audit communications with those charged with governance and/or communicated internal controls identified in the audit, it must be included with the audit report.

j. All recipients of CAC award types with annual actual expenses (as determined by United States generally accepted accounting principles) at or below \$500,000 and above \$200,000 are required to submit an electronic copy of their financial review documents no later than 9 months after the recipient's fiscal year end. The review must be in compliance with SSARS 19. If a management letter is prepared by the independent accountant (CPA), it must be included with the review report.

k. All CAC sub-recipients of hardship sub-awards under the Chapter tier grants are required to submit any management letters/audit communications that may have been issued as part of the most current audit or financial review cycle. If there are any audit communications with those charged with governance and/or communicated internal controls identified in the audit/financial review, they must be included as part of the sub-awardee application.

l. All recipients of Chapter award types (i.e. State Chapter Support to Children's Advocacy Centers for CAC Quality Improvement and Accreditation Advancement) are required to conduct an annual audit and to submit electronic copies of the subsequent audits no later than 9 months after each recipient's fiscal year end. If there are any audit communications with those charged with governance and/or communicated internal controls identified in the audit, they must be included with the audit report.

m. Based on the grant performance, financial stability of the recipient, and other special circumstances, NCA may require an audit to be submitted/conducted by any of the recipient entities regardless of their budget size.

n. All recipients that expend \$750,000 or more in their fiscal year must follow the audit requirements in the OMB 2 CFR 200 - Uniform Guidance.

o. All recipients must permit NCA and auditors to have access to the records and financial statements as part of a scheduled desk review or site visit.

p. If a recipient of Program Improvement and Improving CAC Response to Physical Abuse award, the recipient agrees to submit de-identified mental health outcome data, utilizing NCAtrak as designated software platform to evaluate the improved outcomes for children.

q. If a Chapter recipient, the recipient agrees to meet the participation requirements of the annual GAP Analysis and OMS Projects.

r. If a Chapter recipient, all proposed changes to the sub-awardee process as established by NCA (including the sub-award RFP and application materials) must be submitted to NCA for review and approval prior to the planned release of publication.

s. If a Chapter recipient, the estimate for all regularly scheduled disbursement amounts must reflect the funds that will be expended within that reporting period and as close as possible to the disbursement date to ensure that Federal cash on hand is at the minimum needed level. These funds must be spent within the reporting cycle in which they were disbursed. Chapter recipients may be required to return any unspent funds to NCA as part of the ongoing reporting process.

t. If a Chapter recipient, all sub-awardee reimbursements need to be made within 10 days of receiving the payment from NCA in order to ensure that the Federal cash on hand is at the minimum needed level.

u. If a Chapter recipient, an ACH account with NCA must be established to facilitate disbursement of grant funds. Any changes in related bank account information must be conveyed to NCA no later than 15 business days prior to the next established payment/report schedule.

v. The recipient (and any subrecipient) must ensure that, as part of the hiring process for any position within the United States that is or will be funded (in whole or in part) with award funds, properly verifies the employment eligibility of the individual who is being hired, consistent with the provisions of 8 U.S.C. 1324a(a)(1) and (2). Nothing in this condition shall be understood to relieve any recipient, any subrecipient at any tier, or any person or other entity, of any obligation otherwise imposed by law, including 8 U.S.C. 1324a(a)(1) and (2). Employment eligibility will be confirmed with E-Verify. The compliance with the condition is part of NCA monitoring responsibilities.

As part of the recordkeeping for the award (including pursuant to the Part 200 Uniform Requirements), the recipient is required to maintain records of all employment eligibility verifications pertinent to compliance with this award condition in accordance with Form I-9 record retention requirements, as well as records of all pertinent notifications and trainings. For detailed information on this conditions please refer to the document on the special DOJ conditions on the NCA awards posted on the NCA website (www.nca-online.org)

w. If NCA funds are to be used for any product or service in excess of \$10,000.00, at least three quotes must be obtained to ensure that the selection process is competitive. The procurement process is outlined in DOJ Guide to Procurement Procedures, which is included as part of the Electronic Grantee Handbook on the NCA website (www.nca-online.org). Consideration must be given to ensure more economical, cost effective, and efficient ways to obtain or use common or shared goods or services as well as assessment of available resources. Any charges for such expenditures or requests for sole source contracts are subject to prior approval by NCA and review of the procurement documentation to ensure it meets DOJ guidelines. The procurement entity must avoid "splitting" of purchases or transactions to circumvent the dollar threshold limitations.

x. The recipient, and any subrecipient ("subgrantee") at any tier, must comply with all applicable requirements to obtain specific advance approval to use a noncompetitive approach in any procurement

contract that would exceed the Simplified Acquisition Threshold (currently, \$250,000).

y. No recipient (or subrecipient, at any tier) may (in any procurement transaction) discriminate against any person or entity on the basis of such person or entity's status as an "associate of the federal government" (or on the basis of such person or entity's status as a parent, affiliate, or subsidiary of such an associate), except as expressly set out in 2 C.F.R. 200.319(a) or as specifically authorized by USDOJ. The recipient's monitoring responsibilities include monitoring of subrecipient compliance with this condition.

z. If NCA funds are used to support any part of a revenue producing venture, such as a training or conference at which registration fees are charged, revenues shall be considered program income. The award recipient will report any related program income to NCA within 30 days and submit a budget modification request showing how those revenues will be used to further the purpose of the approved NCA grant. Revenues must be expended within the grant year that they were accrued.

aa. Copyright; Data rights: The recipient acknowledges that OJP reserves a royalty-free, non-exclusive, and irrevocable license to reproduce, publish, or otherwise use, and authorize others to use (in whole or in part, including in connection with derivative works), for Federal purposes: (1) any work subject to copyright developed under an award or subaward (at any tier); and (2) any rights of copyright to which a recipient or subrecipient (at any tier) purchases ownership with Federal support. "Data" includes data as defined in Federal Acquisition Regulation (FAR) provision 52.227-14 (Rights in Data - General). It is the responsibility of the recipient (and of each subrecipient (at any tier), if applicable) to ensure that the provisions of this condition are included in any subaward (at any tier) under this award and to obtain from subrecipients, contractors, and subcontractors (if any) all rights and data necessary to fulfill the recipient's obligations to the Government under this award.

ab. All recipients must disclose, in a timely manner, in writing to NCA all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal award. Per 2 CFR § 200.113, recipients that have received a Federal award including the term and condition for recipient Integrity and Performance Matters are required to report certain civil, criminal, or administrative proceedings to SAM. Failure to make required disclosures may place the recipient in bad standing with NCA and may result in establishment of special conditions and/or forfeiture of grant funds or other provisions outlined in 2 CFR § 200.338.

ac. All Recipients of OJP grants and cooperative agreements (and any subrecipients at any tier) must comply with, and are subject to, all applicable provisions of 41 U.S.C. 4712, including all applicable provisions that prohibit, under specified circumstances, discrimination against an employee of an OJP recipient by the OJP recipient as reprisal for the employee's disclosure of information related to gross mismanagement of a federal grant, a gross waste of federal funds, an abuse of authority relating to a federal grant, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to a federal grant.

Award Specifications

Grant Award Identification Number (AIN): BREW-NY-TDTVF20

Grant Award Type and Purpose: 2020 DTVF TRAINING

Grant Award Period: January 1, 2020 - December 31, 2020

Catalog of Financial Domestic Assistance (CFDA) #: 16.834

Total Awarded Amount: \$50,000.00

I, the undersigned, have read and understand the conditions outlined in the award notification, the Request for Proposals, NCA Electronic Grantee Handbook, and the conditions below required for the receipt of grant funding from National Children's Alliance. By signing this statement, I am agreeing to comply with the requirements outlined in the grant award notification, the Request for Proposals, NCA Electronic Grantee Handbook, and herein. I understand the term of this grant in January 1, 2020 to December 31, 2020 and that all approved activities must occur within that time period.

- I certify that the recipient agency is a member in good standing with National Children's Alliance. I understand that remaining in good standing is a requirement of receiving these funds. This includes the timely submission of statistical reports as a condition of membership, in January and July.
- I agree to submit, on deadline, all required fiscal and narrative reports as required in NCA Electronic Grantee Handbook. I understand that failure to submit timely reports will result in forfeiture of funds.
- I understand that National Children's Alliance can only reimburse federally allowable expenses that fit within the requirements of the NCA Electronic Grantee Handbook, NCA RFP, and as designated by the U.S. Dept. of Justice and under the OMB 2 CFR 200 - Uniform Guidance. Submissions that fall outside these constraints will be disallowed. NCA may change its requirements regarding allowable expenses at any time to reflect changes in federally allowable costs or policies approved by the NCA Board of Directors. Awardees will be promptly notified of any changes.
- I understand that up to two budget modifications are granted at NCA's discretion and must be submitted no later than November 30 of the current grant year.
- I understand that grant extensions for CAC grants are rarely approved, but that to request one I must submit that request at least 30 days prior to the end of the grant period. These are approved at NCA's sole discretion. As a chapter grant recipient, I understand that there are no grant extensions available.
- I understand that failure to show reasonable progress toward meeting the deliverables agreed upon under this Cooperative Agreement and those outlined in the Electronic Handbook for Grantees may result in additional special conditions from NCA and/or termination of the agreement.
- I understand that our organization needs to provide upon request to the National Children's Alliance (NCA) and the Department of Justice (DOJ) additional fiscal documentation demonstrating the expenditures included in the grant reports such as:
 - 1) Bank statements for personnel, fringe benefits, consultant/contractors, travel, equipment, supplies, & other expenditures;
 - 2) ACH transactions for personnel expenditures; &
 - 3) Proof of payment for credit card transactions and all requested documentation will be submitted to NCA within five business days.
- All backup fiscal documentation will be kept on file for five years after the closeout of the sub-award grant year.
- I understand that any resource material developed under this grant, such as training materials, bibliographies, etc., submitted through this agreement will become property of NCA and will display the logo of NCA and DOJ. There are co-branding and attribution requirements for resource materials. The grant recipient must coordinate with NCA at the beginning of the grant period to determine what will be included in those materials.
- By my signature I am committing to meet the goals and objectives outlined in the grant and approved by National Children's Alliance.

Appendix One
Required Federal Funding Accountability and Transparency Act (FFATA)
Supplemental Information

NCA is required to report all awardees information listed below into the FFATA Sub-award Reporting System (FSRS) for awards greater than or equal to \$25,000.

Awardee Required Information:

1. Name of the Entity
2. Amount of the Award
3. Award Title Description and Purpose
4. DUNS Number (Data Universal Numbering System) of the entity receiving the award.

If the awarded entity does not have DUNS #, refer to the PDF file "How to obtain a DUNS Number", explaining the process to obtain the DUNS #.

NCA is required to report Executive Compensation of the awardee if the entity in the preceding fiscal year 1) received 80 percent or more of its annual gross revenues in Federal awards, and \$25,000,000 or more in annual gross revenues from Federal awards; and 2) if the public does not have access to this information about the compensation through periodic reports filed (i.e. IRS tax return 990).

DUNS Number of the Awardee

(If you are not an independent entity but are under an umbrella organization, please enter the DUNS number of your umbrella agency)

_____110655516_____

Executive Compensation

Answers: (Y/N)

(If you are not an independent entity but are under an umbrella organization, please answer the questions in regards to your umbrella agency)

1. Did you receive 80 percent or more of your annual gross revenues in Federal awards and \$25,000,000 or more in annual gross revenues from Federal awards? **no**_____

2. Does the public **not** have access to information about the compensation through periodic reports filed? (i.e. reports-IRS tax return 990) **yes**_____

If you answer yes to either of the "Executive Compensation" questions above, please fill the required information for the top 5 highly compensated officers of the awarded entity:

| Name | Title | Annual Salary |
|-----------------------|---------------------|---------------|
| Marla Behler | program coordinator | 85,540 |
| Marie Fabiano | Senior Case Worker | 80,663 |
| Yeny McIntyre-Nalbore | Victim Advocate | 54,866 |
| | | |
| | | |

Contact Information and Signature page

All future inquiries regarding your grant will be made to the appropriate designee at your agency. Please carefully consider who should be the appropriate grant designee. The grant designee will receive all updates. Her/his email address would be used for sending notifications. All funding will be disbursed in the agency name only. These funds will not be disbursed to those affiliated with the agency including the programmatic or fiscal contact person listed on this agreement, consultants or multidisciplinary team members. Funding checks will be mailed to the address indicated on this form only. If this information changes at any time during the grant period, promptly notify National Children's Alliance in writing.

After filling out the form and signing this document, please scan it in a .pdf format and save a copy for your files. Go to https://www.grantrequest.com/SID_1093/?SA=AM, log in to your account that you have created for your grant application and upload the document no later than 1/13/2020.

| Physical Address | Mailing Address (including checks) <i>Fill out only if different from the physical address</i> |
|--|---|
| Agency name: CAC of Putnam County | Agency name/Fiscal Agent: Putnam County Department of Social Services /Grace Balcer |
| Address: 121 Main Street | Address: 110 Old Route 6, Building 2 |
| City/State/Zip: Brewster, NY 10509 | City/State/Zip: Carmel, NY 10512 |

Authorized Agency Representative (Executive Director/Chapter State Coordinator)

Name/Title:

Marla Behler

Phone (845) 808-1400
marla.behler@putnamcountyny.gov

E-mail Address marla.behler@putnamcountyny.gov

Board President/Supervisor

Name/Title:

Michael J. Piazza, Jr.

Phone: 845-808-1500
michael.piazzajr@dfa.state.ny.us:

E-mail Address _____

Board Treasurer

Name/Title:

Phone: _____ E-mail Address: _____

Authorized Fiscal Agent Representative for the Grant (Fill out only if the grantee agency uses a fiscal agent for the award)

Agency Name:

Putnam County Department of Finance

Name/Title:

William Carlin, Commissioner

Phone(845) 808-1075

E-mail

Address: william.carlin@putnamcountyny.gov

By my signature I am certifying that the provided information is current and accurate.

Authorized Agency Representative/Title (required):

Marla Behler/Program Director

Signature:

Marla Behler

Date:

1/10/2020

Board President/Supervisor (required):

Michael J. Piazza, Jr.

Signature:

Michael J. Piazza, Jr.

Date:

2/9/20

If using a fiscal agent for this grant, the section below is required. A signature denotes agreement with all aforementioned conditions.

Authorized Fiscal Agent Representative/Title:

William J. Carlin, Jr./Commissioner of Finance

Signature:

William J. Carlin Jr

Date: 1/8/2020

Sincerely,

Teresa Huizar

Teresa Huizar
Executive Director
National Children's Alliance

Irina V. Hein

Irina V. Hein
Director of Member Relations & Grants
National Children's Alliance

6p

Committee Mtg _____ Resolution # _____
Introduced By _____ Regular Mtg _____
Seconded By _____ Special Mtg _____

**APPROVAL/ BUDGETARY AMENDMENT /BUREAU OF EMERGENCY SERVICES /
PUTNAM COUNTY SHERIFF'S DEPARTMENT/ FY2019 STATE HOMELAND SECURITY
PROGRAM GRANT (SHSP)**

WHEREAS, by Resolution #111 of 2019, the Putnam County Legislature approved and authorized the Putnam County Bureau of Emergency Services to apply for a \$274,920 grant under the FY2019 State Homeland Security Program (SHSP) and State Law Enforcement Terrorism Prevention Program (SLETPP); and

WHEREAS, Putnam County has been awarded \$274,920 in funding provided by the U.S. Department of Homeland Security, Federal Emergency Management Agency (FEMA) which is administered by the NYS Division of Homeland Security and Emergency Services (DHSES); and

WHEREAS, this grant requires no matching County funds; and

WHEREAS, the performance period of the grant is from September 1, 2019 through August 31, 2022; and

WHEREAS, the Commissioner of Finance has requested a budgetary amendment (20A017) to account for this grant award; and

WHEREAS, the Audit & Administration Committee has reviewed and approved said budgetary amendment; now therefore be it

RESOLVED, that the following budgetary amendment be made:

Increase Appropriations:

| | | |
|----------------------|--|----------------|
| 10398901 54379 10157 | FY19 Homeland Security – Training Supplies | 28,650 |
| 10398901 52680 10157 | FY19 Homeland Security – Other Equip | 146,270 |
| 10364501 52680 10157 | FY19 Homeland Security – Other Equip | 35,000 |
| 10364501 54646 10157 | FY19 Homeland Security – Contracts | <u>65,000</u> |
| | | <u>274,920</u> |

Increase Revenues:

| | | |
|-----------------------|------------------------|---------|
| 10398901 440891 10157 | FY19 Homeland Security | 274,920 |
|-----------------------|------------------------|---------|

2020 Fiscal Impact – 0 –

2021 Fiscal Impact – 0 –

Legislator Albano _____
Legislator Castellano _____
Legislator Gouldman _____
Legislator Jonke _____
Legislator Montgomery _____
Legislator Nacerino _____
Legislator Sayegh _____
Legislator Sullivan _____
Chairwoman Addonizio _____



cc: all
A+A
3/30/20

RESO

WILLIAM J. CARLIN, Jr. CPA
Commissioner Of Finance

ANITA Z. GILBERT
Chief Deputy Commissioner Of Finance

SHEILA BARRETT
Deputy Commissioner Of Finance

DEPARTMENT OF FINANCE

March 27, 2020

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

Dear Ms. Schonfeld,

Pursuant to Resolution #111 dated June 12, 2019, the following request to amend the Putnam County Bureau of Emergency Services and the Putnam County Sheriff Department's 2020 budgets has been submitted for approval.

2020 MAR 29 PM 11:35
LEGISLATIVE
PUTNAM COUNTY
CARMEL, NY

Increase Appropriations:

| | | |
|----------------------|--|---------------------|
| 10398901 54379 10157 | FY19 Homeland Security-Training Supplies | \$ 28,650.00 |
| 10398901 52680 10157 | FY19 Homeland Security-Other Equipment | 146,270.00 |
| 10364501 52680 10157 | FY19 Homeland Security-Other Equipment | 35,000.00 |
| 10364501 54646 10157 | FY19 Homeland Security-Contracts | 65,000.00 |
| | | <u>\$274,920.00</u> |

Increase Revenues:

| | | |
|-----------------------|------------------------|--------------|
| 10398901 440891 10157 | FY19 Homeland Security | \$274,920.00 |
|-----------------------|------------------------|--------------|

2020 Fiscal Impact -0-
2021 Fiscal Impact -0-

Putnam County has been awarded \$274,920 under the FY2019 State Homeland Security Program. Funding for the grant is provided by the U.S. Department of Homeland Security, Federal Emergency Management Agency (FEMA) and is administered by the NYS Division of Homeland Security and Emergency Services (DHSES). The grant, which does not require matching funds, is effective from September 1, 2019 through August 31, 2022.

AUTHORIZATION:

20A017

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

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

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

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

PUTNAM COUNTY LEGISLATURE

Resolution #111

Introduced by Legislator: Paul Jonke on behalf of the Protective Services Committee at a Regular Meeting held on June 4, 2019.

page 1

APPROVAL/ GRANT APPLICATION/ BUREAU OF EMERGENCY SERVICES/ FY2019 STATE HOMELAND SECURITY PROGRAM GRANT (SHSP)

WHEREAS, the Bureau of Emergency Services has requested permission to apply for grant funding through the FY2019 State Homeland Security Program (SHSP) and State Law Enforcement Terrorism Prevention Program (SLETPP) in the amount of \$274,920; and

WHEREAS, activities implemented under the SHSP & SLETPP must support terrorism preparedness, by building or sustaining capabilities that relate to terrorism preparedness, protection, and/or response activities; and

WHEREAS, this grant requires no matching funds on the part of the County but requires at least 25% (\$68,730) be law enforcement terrorism prevention activities; and

WHEREAS, the performance period for this grant is 36 months, estimated to be from September 1, 2019 through August 31, 2022; and

WHEREAS, the Protective Services Committee has reviewed and approved of this grant application; now therefore be it

RESOLVED, that the Putnam County Legislature approves and authorizes the Putnam County Bureau of Emergency Services to apply for a \$274,920 grant under the FY2019 State Homeland Security Program (SHSP) and State Law Enforcement Terrorism Prevention Program (SLETPP).

BY POLL VOTE: ALL AYES. CARRIED UNANIMOUSLY.



Vote:
State Of New York

ss:

County of Putnam

I hereby certify that the above is a true and exact copy of a resolution passed by the Putnam County Legislature while in session on June 4, 2019.

Dated: June 7, 2019

Signed: *Diane Schonfeld*

Diane Schonfeld
Clerk Of The Legislature Of Putnam County



**Homeland Security
and Emergency Services**

ANDREW M. CUOMO
Governor

PATRICK A. MURPHY
Commissioner

August 20, 2019

The Honorable MaryEllen Odell
Putnam County Executive
Putnam County Office Building
40 Gleneida Avenue - 3rd Floor
Carmel, NY 10512

Dear Ms. Odell:

I am pleased to inform you that Putnam County is awarded \$274,920 under the FY2019 State Homeland Security Program (SHSP). Funding for this grant is provided by the U.S. Department of Homeland Security, Federal Emergency Management Agency (FEMA). The New York State Division of Homeland Security and Emergency Services (DHSES) will administer this funding on behalf of FEMA.

As per Federal guidelines, at least 25 percent (\$68,730) of your award must be directed towards law enforcement terrorism prevention activities. These activities should be consistent with the efforts of your local Counter Terrorism Zone (CTZ). In addition, as a requirement of FY2019 SHSP federal funding, DHS/FEMA is requiring that all subrecipients complete the Nationwide Cyber Security Review (NCSR) by December 31, 2019. The NCSR enables agencies to benchmark and measure progress of improving their cybersecurity posture and is available at no cost to the user. More information on this requirement can be located in Information Bulletin 439 at: <https://www.fema.gov/media-library/assets/documents/176414>.

The performance period for this grant is from September 1, 2019 through August 31, 2022. Grant extensions beyond this date are highly unlikely. DHSES grants management staff will work with your designated SHSP grant program point of contact to provide additional administrative guidance in executing this award.

Thank you for your continued support of New York State's homeland security efforts. DHSES remains committed to providing you with outstanding support in the administration of your homeland security programs. If you have any questions, please contact me at (518) 242-5000 or my Director of Grants, Shelley Wahrlich, at (518) 402-2123.

Sincerely,

A handwritten signature in black ink, appearing to read "Patrick A. Murphy".

Patrick A. Murphy
Commissioner



**PUTNAM COUNTY
BUREAU OF EMERGENCY SERVICES**



MaryEllen Odell, County Executive

Kenneth W. Clair
Commissioner

Robert A. Lipton
Deputy Commissioner

Casey B. Quake
Director of EMS

MEMORANDUM

To: Anita Gilbert, Chief Deputy Commissioner
From: Heidi Zatkovich
Date: March 26, 2020
Re: 2019 State Homeland Security Grant

FY19 State Homeland Security Program
SH19-1038-D00

Please create the following budget lines:

| | |
|---------------------------|----------------------|
| 10398901 -- 54379 - 10157 | \$28,650.00 |
| 10398901 -- 52680 - 10157 | \$146,270.00 |
| | |
| SHERIFF'S OFFICE | |
| 10364501 -- 52680 - 10157 | \$ 35,000.00 |
| 10364501 -- 54646 - 10157 | \$ 65,000.00 |
| | |
| Revenue Line: | |
| 10398901.440891.10157 | \$ 274,920.00 |
| TOTAL GRANT | \$ 274,920.00 |

Rescue Phone, Inc.

8280 PATUXENT RANGE ROAD, SUITE B JESSUP, MD 20794
TELEPHONE: 410-451-7300 FAX: 410-451-1452 TOLL FREE: 800-737-2832
www.RescuePhone.us EMAIL: info@RescuePhone.us
FEIN/TIN 52-1864804 CAGE CODE: 09UP4 DUNS: 87-711-3852

March 19, 2020

Kevin McManus
Putnam County Sheriff's Department
3 County Center
Carmel, New York 10512

PLEASE NOTE:

As of October 1, 2018, we are required to collect a Sales Tax Exemption Certificate for our records.
Please submit with purchase order to: info@RescuePhone.us

In response to your request, I am submitting the following price quote for Rescue Phone® products. Rescue Phone, Inc. sells its products directly to law enforcement agencies. We have no distributors or sales representatives. Rescue Phone, Inc. is the sole source for its products. All Rescue Phone® products are covered by a five year warranty. If you have any questions or concerns, please e-mail or call.

Pricing and ordering information for our hostage negotiator telephone systems are as follows:

RESCUE PHONE SNIPER VIDEO SYSTEM **\$ 19,995.00**

The SNIPER VIDEO COMMAND SYSTEM consists of the following:

- Command Module housed in a Pelican® 1500 custom foamed hard shell case
- Vizio LED LCD 7" Video Monitor with remote control
- Video Throw Phone with 6 Color Cameras, that auto adjust to .01 LUX B&W mode, housed in a Pelican® 1400 hard shell case with a top video access port and 75' of 10 conductor copper video cable
- Infrared illuminators to light up a darkened room
- Walker Handset Phone Assembly with a 19" Stainless Steel Armored Cable
- Overhear Microphone
- 12 Volt Power Supply, 3 foot Audio/Video Cable
- Video Wire Spool is all metal, open reel on 10" pneumatic tires for easy transport. It has a collapsible handle for easy and convenient storage
- Cable connections use reinforced MIL Spec metal connectors

STANDARD FEATURES –SNIPER VIDEO SYSTEM:

1. Command Unit is built into its own Pelican case which also stores the video monitor, cables and accessories.
2. All metal, open wire spool on wheels with brake to control speed while winding or unwinding wire.
3. Video phone has a total of 6 color cameras which switch to black and white mode under low light conditions.
4. Infrared illuminators to light up a darkened room
5. System is modular and connects to all Rescue Phones.
6. Dimmer switch for the LED lighting on the Command Unit.

This price includes shipping to your location and is valid through June 30, 2020. This is an interstate mail order item not subject to Maryland state sales tax. We accept government purchase orders, American Express, Master Card and Visa. If I can be of further assistance, please call.

Sincerely,

Rachel Hicks
Office Manager



66 Firemens way
 Poughkeepsie NY 12603
 United States

Quote

Date 03/25/2020
 Quote # QT1351109
 Expires 04/24/2020
 Sales Rep Marino, Jeffrey R
 PO #
 Shipping Method FedEx Ground

Bill To
 PUTNAM COUNTY BUREAU OF EMERG. SERV
 112 OLD ROUTE 6
 TOPS BUILDING
 CARMEL NY 10512

Ship To
 PUTNAM COUNTY BUREAU OF EMERG. SERV
 112 OLD ROUTE 6
 TOPS BUILDING
 CARMEL NY 10512

| QTY | Alt. Item # | Units | Description | QTY | Unit Sales Pri | Amount |
|-----|----------------|-------|--|-----|----------------|-----------|
| | X8814021005304 | | Air-Pak X3 Pro SCBA (2018 Edition) with CGA Cylinder Connection, 4.5, Standard Harness with Parachute Buckles, Standard Belt with No Escape Rope, E-Z Flo Regulator with Standard Hose, No EBSS Accessory Hose, No Airline Connection, No Spare Harness Kit, Pak-Tracker, No Case, Packaged 2 SCBA Per Box (Black) NYS CONTRACT PC66804 | 10 | 6,283.20 | 62,832.00 |
| | 804722-01 | | CYL&VLV ASSY,CARB,45MIN,4500 SCOTT 4500PSI 45 MINUTE CYLINDERVALVE ASSY NYS CONTRACT PC66804 | 10 | 1,265.88 | 12,658.80 |
| | 201215-22 | | AV3000 HT with Kevlar lining and 4-strap harness-Red, Medium NO CHARGE WITH PURCHASE OF SCBA (1 PER) | 10 | 0.00 | 0.00 |

Subtotal 75,490.80
Shipping Cost (FedEx Ground) 0.00
Total \$75,490.80

This Quotation is subject to any applicable sales tax and shipping & handling charges that may apply. Tax and shipping charges are considered estimated and will be recalculated at the time of shipment to ensure they take into account the most current local tax information.

All returns must be processed within 30 days of receipt and require a return authorization number and are subject to a restocking fee.

Custom orders are not returnable. Effective tax rate will be applicable at the time of invoice.



QT1351109



66 Firemens way
Poughkeepsie NY 12603
United States

Quote

Date 11/15/2019
Quote # QT1313465
Expires 12/15/2019
Sales Rep Marino, Jeffrey R
PO #
Shipping Method FedEx Ground

Bill To
PUTNAM COUNTY BUREAU OF EMERG. SERV
112 OLD ROUTE 6
TOPS BUILDING
CARMEL NY 10512

Ship To
PUTNAM COUNTY BUREAU OF EMERG. SERV
112 OLD ROUTE 6
TOPS BUILDING
CARMEL NY 10512

| Item | Alt. Item # | Units | Description | QTY | Unit Sales Pri... | Amount |
|--------------------|---------------|-------|---|-----|-------------------|-----------|
| Scott Compressor | AF21102210401 | | AF21102210401 Scott Compressor REVOLVAIR FILL STATION WITH 4-BANK CASCADE CONTROLS NYS CONTRACT PC66804 | 1 | 11,504.50 | 11,504.50 |
| Scott Compressor | AC0403361110 | | AC0403361110 Scott Compressor SIMPLE AIR 6000PSI BREATHING AIR COMPRESSOR 208V/3 PHASE, 10HP WITH CO AND DEWPOINT MONITORS WITH CAL KIT NYS CONTRACT PC66804 | 1 | 24,006.50 | 24,006.50 |
| Scott Compressor | AR1404C4001 | | AR1404C4001 Scott Compressor SCOTT 4 BANK ASME STORAGE SYSTEM MOUNTED TO BACK OF FILL STATION-6000PSI NYS CONTRACT PC66804 | 1 | 12,530.50 | 12,530.50 |
| Compressor Install | | | Compressor Install | 1 | 1,500.00 | 1,500.00 |

Subtotal 49,541.50
Shipping Cost (FedEx Ground) 0.00
Total \$49,541.50

This Quotation is subject to any applicable sales tax and shipping & handling charges that may apply. Tax and shipping charges are considered estimated and will be recalculated at the time of shipment to ensure they take into account the most current local tax information.

All returns must be processed within 30 days of receipt and require a return authorization number and are subject to a restocking fee.

Custom orders are not returnable. Effective tax rate will be applicable at the time of invoice.



QT1313465

Streamlight Stinger DS LED Rechargeable Flashlight

No Reviews yet

SKU: 75810-STR

MSRP: \$176.51 Save: 44% \$99.35

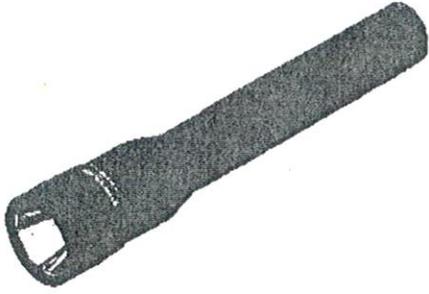
Details

Stinger DS LED Dual Switch Rechargeable Flashlight

This all purpose flashlight is designed for the broadest range of lighting needs at the best value.

- **DUAL SWITCH TECHNOLOGY** – Access three lighting modes and strobe via the tail cap or the head-mounted switch. Switches operate independently
- 3 modes and strobe:
 - **High** for a bright/super-bright beam
 - 350 lumens
 - 24,000 candela (peak beam intensity)
 - 310m beam distance
 - Runs 2 hours
 - **Medium** for a bright light and longer run times
 - 175 lumens
 - 12,000 candela (peak beam intensity)
 - 219m beam distance
 - Runs 3.75 hours
 - **Low** for light without glare and extended run times
 - 85 lumens
 - 6,000 candela (peak beam intensity)
 - 155m beam distance
 - Runs 7.25 hours
 - **Strobe** for disorienting or signaling your location
 - Runs 5.5 hours
- Deep-dish parabolic reflector produces a concentrated beam with optimal peripheral illumination
- **C4® LED technology**, impervious to shock with a 50,000 hour lifetime
- Regulated run time provides consistent performance throughout battery life
- 3-cell, 3.6 Volt Ni-Cd sub-C battery, rechargeable up to 1000 times
- 3-cell, 3.6 Volt Ni-MH sub-C battery, rechargeable up to 1000 times
- 10 hr. steady charge, 2.5 hr. fast charge, or PiggyBack charger options
- Machined aircraft aluminum body with non-slip rubberized comfort grip
- IPX4 water-resistant; 1 meter impact resistance tested
- Unbreakable polycarbonate lens with scratch-resistant coating
- Includes anti-roll rubber ring
- 8.85", 12.8 oz.
- Serialized for positive identification
- Limited Lifetime Warranty

54379



Streamlight Stinger DS LED Rechargeable Flashlight

\$99.35

SKU: 75810-STR

Quantity:

Amount: \$993.50

EditSave for LaterRemove

Product information "HAIX Airpower XR2 Winter"

| | |
|-----------------------|--|
| Item number: | 605122 |
| Primary use: | EMS |
| Product type: | Factory fits |
| Gender: | Male |
| Certification: | NFPA 1999, ASTM F 2413, CAN/CSA-Z195 (SL) Safety Line, Protective Sole, Composite Toe Cap, Protective Over Cap made of Rubber or TPE, (AS) Arch Support, Climate, Lacing, Sun Reflector, CROSSTECH®, Chemical UL, Classified UL Canada Biocidal Hazard Resistance |
| Technologies: | Yes |
| Waterproof: | Yes |
| Upper material: | Smooth leather |
| Inner liner: | CROSSTECH® |
| Sole: | AIRPOWER® XR Sole |
| Shank: | Fiberglass TRU-T |
| Fastener: | Zipper, Lace up |
| Conductivity: | Electrical hazard |
| Safety toe: | Composite toe |
| Puncture protection: | Non-metallic |
| Leg height in inches: | 8 inches |
| Color: | Black |

HAIX® is excited to announce the release of our new Airpower® XR2 EMS Winter boots! We took our most popular Station/EMS boot for men and winterized it! What sets this new boot apart is the newly developed rubber winter sole which is extremely slip-resistant on ice and snow. Those who have already tested it say the grip is unbelievable on slick terrain.

Just like the Airpower® XR2, the inner liner is CROSSTECH® so this EMS winter boot offers the same level of heat insulation as our standard model. Our thicker HAIX® leather, the CROSSTECH® inner liner, and the built in climate system all work in tandem to keep your feet dry and comfortable no matter how much the temperature drops outside. These new winter EMS boots for men still have our durable soles that are heat, fuel and oil resistant. The Airpower® XR2 Winter is NFPA certified for emergency medical operations as well as certified to ASTM and CAN/CSA for toe protection, puncture, and electrical hazards. Also, see our discount EMS boots for a more affordable option.

Station and EMS boot with NFPA certification

Designed for the EMT, Paramedic and First Responder, you need a boot that lets you act on a moment's notice while at the same time giving your feet the comfort they crave when faced with long days on shift duty. The quick in and out feature of the laced in front zipper allows you the advantage of a custom fit boot that can also put on in a hurry. Just adjust the lacing for a fit personalized to you. Slip on, zip, and go.

Built with an ultra-light composite toe, HAIX Airpower® XR2 Winter boots offer the ultimate in toe protection and comfort with its roomy toe box. These men's cold weather boots offer chemical and bloodborne pathogen protection, and electrical hazard protection. NFPA certified for emergency medical operations for the EMS responder, the Airpower® XR2 Winter is also ASTM certified for electrical hazards. What more could you ask for in rescue boots you can also wear in the station?

Waterproof and Chemical Protection with CROSSTECH®

The HAIX Airpower® XR2 Winter features a CROSSTECH® inner liner which allows your boot to be not only breathable, but durably waterproof. CROSSTECH® also offers the added benefits of chemical and bloodborne pathogen protection. Not only that, the breathable inner liner works together with the HAIX® climate system to keep your footwear dry and comfortable in hot or cold weather or on wet or dry days. No worries when having to work out in the rain or at a messy accident scene, your footwear will keep you protected and comfortable on all fronts.

Built in Arch Support

The HAIX Airpower® XR2 Winter has much needed arch support built in to every boot. Proper arch support realigns the foot and ankle to their neutral position, helping, in many cases, to restore natural foot function. As a result, it will help alleviate problems in other parts of the body, like your knees and ankles. The cushioned insole offers all day wear comfort, especially when combined with the built in arch support.

Slip and Heat Resistant Soles and Quick Drying Insoles

The heat resistant soles of the HAIX Airpower® XR2 Winter are extremely slip resistant as well as resistant to oil and fuel. Accident scenes, especially ones that involve vehicle fires, are not an issue as you don't have to worry about your soles melting on hot asphalt or worry about exposing your soles to fuel and oil leaks. HAIX® soles keep you sure footed so you can focus on doing your job.

The insole's moisture wicking properties guarantee to combat the issue of sweaty feet, especially after a long day on the job. Not only do they help to absorb foot sweat, the antibacterial properties help to fight foot odor and reduce the presence of fungus and bacteria. With comfort cushioning, the separate heel cup aids in keeping your foot in the correct position for foot health. HAIX® insoles are machine washable and quickly air dry so you can get a quick refresh and be back on the job in no time.

Sun Reflect Technology and Secura Liner®

European craftsmanship is unmistakable when you look at this EMS winter boot. European leather guarantees your boots will stand the test of time. The added Sun Reflect technology in the leather of these safety boots prevents your boots from heating up on you when you are out in the sun. Your feet will feel the difference since cooler leather on the outside translates to cooler feet on the inside.

HAIX®'s patented Secura Liner® feature protects you from the irritation of liner pull out. Your inner liner stays securely in place since it is sealed along with the leather beneath the sole, and is not a "sock" that is glued in under the insole like you see in other boots. No other boot manufacturer offers this unique feature. Nothing worse than having your liner come out of the boot along with your foot. HAIX Airpower® XR2 Winter is your first choice for a Station/EMS safety boot.

- German engineered
- NFPA certified for EMS
- CROSSTECH® inner liner, waterproof, breathable, chemical and bloodborne pathogen resistant
- Secura liner® will never wrinkle up or pull out over time
- Arch Support System support your foot in its natural, ideal position
- Sun Reflect leather keeps feet cooler in direct sunlight
- HAIX® Climate System for temperature balance
- HAIX® Lacing System offers the quick on and off of a zipper boot with the personal fit of a lace up boot
- Lightweight composite toe cap and puncture protective sole
- Heat and extremely slip-resistant rubber sole
- ASTM certified for electrical hazard resistance (EH Rated Work Boots)
- HAIX Airpower XR2 Winter
- Customer favorite station/EMS boot with improved slip-resistance
- **\$314.00 ***
- * Sales tax and shipping may be extra



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All emergency worker equipment

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& Orders

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Achieve your New Year's goals

Tools & Home Improvement Best Sellers Deals & Savings Gift Ideas Power & Hand Tools Lighting & Ceiling Fans Kitchen & Bath Fixtures Smart Home Shop by Room

Amazon presents: Your New Year, New You Hub Explore here



Back to results



Roll over image to zoom in



Ironclad General Utility Work Gloves GUG, All-Purpose, Performance Fit, Durable, Machine Washable, (1 Pair), Large - GUG-04-L

by Ironclad

1,447 ratings

85 answered questions

List Price: ~~\$22.99~~

Price: **\$12.99** FREE Shipping on orders over \$25.00 shipped by Amazon or get Fast, Free Shipping with Amazon Prime & FREE Returns

You Save: \$10.00 (43%)

In Stock.

Want it tomorrow, Jan. 31? Order within 4 hrs 47 mins and choose One-Day Shipping at checkout.

Details
Ships from and sold by Amazon.com.

Size: Large

| | | |
|--------------------------|--------------------|---------------------|
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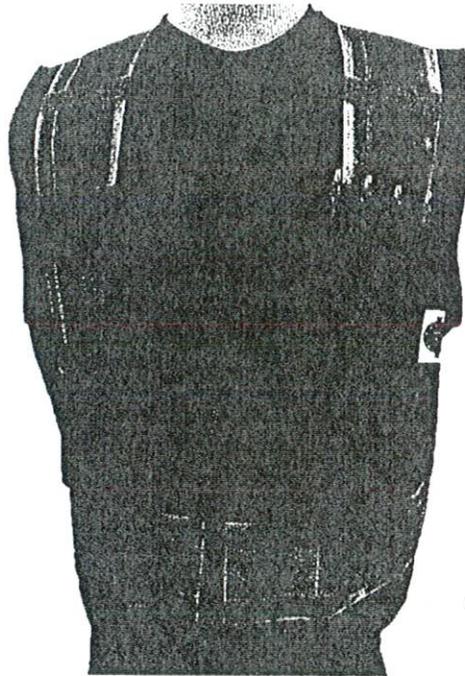


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#69

Committee Mtg _____ Resolution # _____
Introduced By _____ Regular Mtg _____
Seconded By _____ Special Mtg _____

**APPROVAL/ GRANT APPLICATION/ BUREAU OF EMERGENCY SERVICES/ FY2020
STATE HOMELAND SECURITY PROGRAM GRANT (SHSP)**

WHEREAS, the Bureau of Emergency Services has requested permission to apply for grant funding through the FY2020 State Homeland Security Program (SHSP) and State Law Enforcement Terrorism Prevention Program (SLETPP) in the amount between \$200,609 and \$262,521; and

WHEREAS, activities implemented under the SHSP and SLETPP must support terrorism preparedness, by building or sustaining capabilities that relate to terrorism prevention, protection, and/or response activities; and

WHEREAS, this grant requires no matching funds on the part of the County but requires at least 25% be used for law enforcement terrorism prevention activities; and

WHEREAS, the performance period for this grant is 36 months, estimated to be from September 1, 2020 through August 31, 2023; and

WHEREAS, the Audit & Administration Committee has reviewed and approved of this grant application; now therefore be it

RESOLVED, that the Putnam County Legislature approves and authorizes the Putnam County Bureau of Emergency Services to apply for a grant under the FY2020 State Homeland Security Program (SHSP) and State Law Enforcement Terrorism Prevention Program (SLETPP).

Legislator Albano _____
Legislator Castellano _____
Legislator Gouldman _____
Legislator Jonke _____
Legislator Montgomery _____
Legislator Nacerino _____
Legislator Sayegh _____
Legislator Sullivan _____
Chairwoman Addonizio _____



**PUTNAM COUNTY
BUREAU OF EMERGENCY SERVICES**

*per Paul
cc: all
ATA*



MaryEllen Odell, County Executive

Kenneth W. Clair
Commissioner

Robert A. Lipton
Deputy Commissioner

Casey P. Quake
Director of EMS

MEMORANDUM

To: Paul Jonke, Chairman, Protective Services
From: Robert A. Lipton, Dep. Comm.
Re: March Audit Meeting
Date: March 12, 2020

I would like to add the FY2020 State Homeland Security Program (SHSP) to the Audit agenda for March.

There are no matching funds required for this Grant and it will be used for equipment and supplies, support and maintenance of teams and other equipment. The information package is attached.

Thank you.

2020 MAR 12 PM 4:39
LEGISLATURE
PUTNAM COUNTY
CARMEL, NY



Homeland Security and Emergency Services

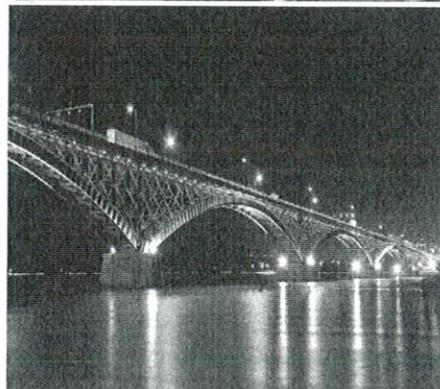
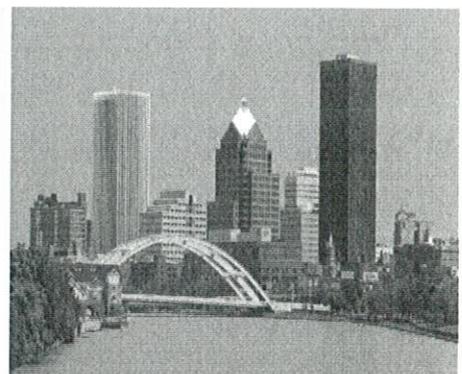
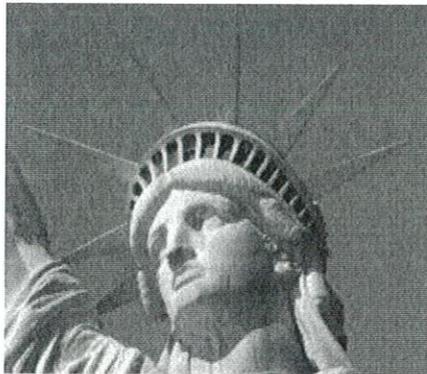
*per Paula.
cc:all
ATA*

FY2020

Local Sub-Recipient Program Guidance

State Homeland Security Program

State Law Enforcement Terrorism Prevention Program



NYS Division of Homeland Security and Emergency Services (DHSES)

March 2020

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Section I: Program Overview

Program Descriptions

The FY2020 State Homeland Security Program (SHSP) and the State Law Enforcement Terrorism Prevention Program (SLETPP) are the two-core homeland security grant programs in New York State. Every county in the State, along with the City of New York, receives funding under these programs. The SHSP and SLETPP are designed to build and sustain critical homeland security capabilities across the State.

The Federal Emergency Management Agency (FEMA) and the NYS Division of Homeland Security and Emergency Services (DHSES) identify key programmatic priorities for the SHSP and SLETPP grants. New to this funding cycle, FEMA has determined four (4) new National Priorities and is requiring spending requirements of 20% of our award within these areas of Cyber Security (with election security), Protection at Soft Targets/Crowded Places (with election security), Intelligence and Information Sharing, and Addressing Emerging Threats. This fundamental change will require a re-alignment of some of your projects to ensure that the spending goals are met. There still will be some flexibility in determining priorities based on your own unique risk profiles and some of your long-standing grant projects could apply to these priority areas. To ensure statewide coordination, all funding must be spent in support of the new priorities and the State's 2017-2020 Homeland Security Strategy and must be allowable per Federal and State guidelines.

Activities implemented under the SHSP and SLETPP must support terrorism preparedness, by building or sustaining capabilities that relate to terrorism prevention, protection, and/or response activities. However, many of the capabilities that support terrorism preparedness simultaneously support preparedness for other hazards. Sub-recipients must demonstrate this “dual-use” quality for any activities implemented under these grants that are not explicitly focused on terrorism preparedness. **Also, please note that ALL SLETPP funding must be used in support of law enforcement terrorism prevention-oriented planning, organization, equipment, training, and exercise activities.**

Important Funding Reminders

Drawdown of Funds/Interest: This is a reimbursement program; however, sub-recipients may request an advance of funds (if needed). If DHSES approves such a request, sub-recipients may drawdown funds for up to 120 days prior to expenditure/disbursement. Advanced funds must be placed in an interest-bearing account and are subject to the rules outlined in 2 C.F.R. Part 200. Sub-recipients must account for this interest earned. Local units of government may keep interest earned on Federal grant funds up to \$500 per fiscal year. This maximum limit is not per award; rather, it is inclusive of all interest earned as a result of all Federal grant programs received per year. Interest earned in excess of \$500 must be remitted to DHSES.

Notice of Waiver for FY2020 SHSP/SLETPP Grants: Jurisdictions may choose from the following options if they do not want to accept their FY2020 SHSP/SLETPP award:

1. Jurisdictions may request that the State retain the local unit of government's allocation of grant funds and spend it on their jurisdictions' behalf; or

2. Jurisdictions may refuse an allocation for their jurisdiction with the understanding that the allocation will be expended by the State of New York in direct support of other local homeland security efforts in accordance with FY2020 grant guidelines.

If your jurisdiction wishes to exercise either of the above options, please contact DHSES at (866) 837-9133.

NIMS Implementation: All sub-recipients must ensure and maintain adoption and implementation of the National Incident Management System (NIMS). Emergency management and incident response activities require carefully managed resources (personnel, teams, facilities, equipment, supplies) to meet incident needs. Information on FEMA's NIMS Resource Typing can be accessed online: <https://www.fema.gov/resource-management-mutual-aid>. **DHSES engages counties statewide regarding NIMS and annually captures information regarding NIMS compliance. Updates to NIMS Typing have occurred this year, please review carefully. Every county must maintain a NIMS point of contact and supply DHSES with any requested information in support of the NIMS compliance reporting.**

Section II: FY2020 State Priorities for the SHSP/SLETPP

Overview

New York State is committed to ensuring that SHSP/SLETPP funds are used effectively to build and sustain the critical capabilities that are needed to address the diverse risks that the State faces. New York State has been the target of at least 30 terrorism plots since 9/11 and the State has more Federal Disaster Declarations than all but three other states. In the past seven years alone, the State has endured the catastrophic impacts of Superstorm Sandy (2012), significant terrorist-linked bombing incidents (Chelsea Bombings, and the NYC Subway Bombings) as well as other major incidents ranging from natural disasters (i.e. Lake Ontario Flooding) to cyberattacks. The increased frequency and scope of these events has been coined the “**New Normal**” in New York State by Governor Cuomo. Given these risks, it is imperative that SHSP/SLETPP funds are leveraged effectively to build capabilities based on the State’s risk profile and in support of the State’s new Homeland Security Strategy.

NYS Homeland Security Strategy

The New York State Homeland Security Strategy was developed in conjunction with hundreds of local, State, and Federal stakeholders, and other partners from the “Whole Community”. The Strategy includes 10 major goals (ranging from Citizen Preparedness to Cyber Security). Each Goal has supporting Objectives and each Objective has associated Targets and Measures. **All SHSP/SLETPP funding must directly support of the State Homeland Security Strategy.** The Strategy is available online: <http://www.dhSES.ny.gov/media/documents/NYS-Homeland-Security-Strategy.pdf>

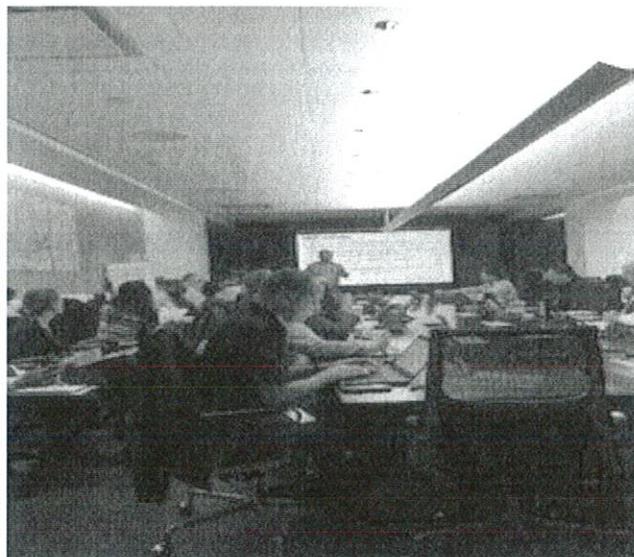
NYS Critical Capabilities List

In 2012, DHSES developed the NYS Critical Capabilities List to provide a capabilities-based framework for the State’s homeland security and emergency management efforts. The Critical Capabilities List includes 28 distinct capabilities that address the five primary mission areas identified by FEMA (prevent, protect, respond, recover, mitigate). These capabilities were developed in conjunction with State Agency Partners, the NYS Emergency Managers Association (NYSEMA), and other key local stakeholders. The Critical Capabilities List includes the functions that State and local governments actually perform in terms of homeland security and emergency management. That said, alignment to the DHS/FEMA’s Core Capabilities this year will be essential in your project discussions. A crosswalk from the DHS/FEMA’s Core Capabilities list to the NYS Target Capability List is available at Appendix C of this Program Guidance.

County Emergency Preparedness Assessment (CEPA) Program

In 2014, DHSES launched the County Emergency Preparedness Assessment (CEPA) Program. The CEPA is a framework and tool to help State and local stakeholders assess risk, capabilities, and the potential need for support and resources during emergencies or disasters. The CEPA Process was initially conducted in 2015, in which all New York State counties participated and then again in 2018. CEPA Updates happen on a three-year planning cycle. **Counties are strongly encouraged to use the results of their completed CEPAs to inform their priorities under the FY2020 SHSP/SLETPP grant programs.** It is important to note that the CEPA program does not impact how much funding counties receive under the SHSP/SLETPP grants (this is determined by the DHSES Risk Formula); rather, the CEPA results may inform how a county chooses to allocate their SHSP/SLETPP funding. This update occurs on a three-year

cycle – counties should use their most current CEPA results to inform their applications. In addition to CEPA, DHSES maintains the right to request (at any time during the life of the grant contract) information related to the nature and extent of any threats/hazards faced by the sub-recipient and the status of a sub-recipient’s capabilities related to these threats/hazards.



CEPA Update Session conducted in NYC

Statewide Engagement in Critical Programs

DHSES is committed to engaging key stakeholders across New York State in our preparedness efforts. **Funded recipients (and sub-recipients) must agree to attend and participate in any DHSES-sponsored conferences, training, workshops, or meetings (excluding those identified by DHSES as voluntary) that may be conducted by, and at the request of DHSES during the life of the grant contract.** This includes county participation in initiatives such as the County Emergency Preparedness Assessment (CEPA) Program and the Emergency Management Certification and Training (EMC & T) Program. Additionally, pursuant to Article 26 of NYS Executive law, DHSES is authorized to undertake periodic drills and simulations designed to assess and prepare responses to terrorist acts (or threats) and natural disasters. These efforts will generally involve local stakeholders.

FY2020 SHSP/SLETPP DHSES Priorities

DHSES has identified a series of Priorities for the FY2020 SHSP and SLETPP funding programs. In addition to meeting the requisite federal requirements and supporting the larger NYS Homeland Security Strategy, all Counties/Cities receiving FY2020 SHSP/SLETPP funding must certify compliance with the Preparedness Objectives outlined below. If these objectives have not been addressed, homeland security funding, or other local resources, must be dedicated to meet compliance in these areas. DHSES reserves the right to monitor compliance and withhold funding until compliance is achieved. A template for signature for the Priorities and Associated Preparedness Objectives can be found in Appendix A of this Program Guidance. **A signed copy of this form is due to DHSES along with your application by March 25, 2020.**

Priority 1 - Advancement of Regional Partnerships: DHSES continues to promote the advancement of multi-disciplinary, multi-jurisdictional regional partnerships across New York State. These partnerships allow capabilities to be developed in a coordinated and cost-effective way. Over the past 5-10 years, effective regional partnerships have been developed in a number of different areas, including regional Counter Terrorism Zones (CTZs), HazMat Partnerships, Interoperable Communications Consortia, Explosive Detection Canine Team partnerships, Tactical Team Partnerships (formalized via Inter-Municipal Agreements), Bomb Squad regional coordination efforts, etc. Under the FY2020 SHSP/SLETPP grants, support for these (and other) regional partnerships and programs are strongly encouraged.

- **Preparedness Objective 1:** Ensure the lead law enforcement agency in the County/City maintains active participation in Counter Terrorism Zone (CTZ) activities; including the Operation Safeguard and the Red Team Program. The County/City's lead law enforcement agency must attend at least one (1) CTZ meeting per quarter, support Operation Safeguard related taskings, and participate in Red Team exercises as requested by DHSES.

Priority 2 - Maturation of Citizen Preparedness Efforts: The presence of an active and engaged citizenry is a critical component of the State's preparedness posture. While several jurisdictions in the State have developed innovative citizen preparedness programs, the CEPA Program (along with other capability assessments) has found that this remains one of the lowest rated capabilities across the State. Under Governor Cuomo's leadership, the State has worked to address this issue through the State's Citizen Preparedness Corps Program, however, there is still additional work that local jurisdictions can do, building on and in support of existing models in the State. SHSP funds can be used for a variety of Citizen Preparedness projects, including the development (or sustainment) of citizen preparedness campaigns, training/outreach efforts involving Citizen Corps Councils and Community Emergency Response Teams, and for citizen preparedness kits and supplies.

- **Preparedness Objective 2:** Maintain a Citizen Preparedness Coordinator to collaborate on Citizen Preparedness efforts with New York State.

Priority 3 - Development of Effective Cyber Security Programs and Policies: All levels of government, the private sector, and the general public have been impacted by the dramatic increase in cyberattacks over the past five years. The proper detection, interdiction, and remediation of cyber vulnerabilities is critical. Through the CEPA program, DHSES has found that counties tend to be very concerned about the threat of cyberattacks, however, their capabilities to prevent and address these attacks are often underdeveloped. As such, DHSES is emphasizing the importance of cyber security in the FY2020 SHSP and SLETPP grant programs. This core capability is not only a focus of New York State but also a concern nationwide. To that end, DHS/FEMA has prioritized this capability by requiring 5% of SHSP/SLETPP grant funding be spent in the area of Cyber Security to include election security. Grant funding can be used for cyber security planning, cyber security enhancement equipment (including encryption software, malware protection, intrusion/detection prevention systems, and vulnerability scanning), cyber security training (which may require pre-approval; please consult with your Contracts Representative at DHSES); and cyber security exercises.

- **Preparedness Objective 3:** Maintain an Information Security Officer (ISO) to coordinate cyber security efforts with New York State.

Priority 4 - Enhancement of Law Enforcement Information-Sharing Capabilities: Since 9/11, the enhancement of law enforcement information-sharing capabilities has been a top priority in New York State. In addition, this core capability is a fundamental focus of DHS/FEMA and as such there is a requirement of 5% of your SHSP/SLETPP grant funding to be spent in the area of Intelligence and Information Sharing. The importance of this mission remains in the forefront, jurisdictions are encouraged to sustain and enhance their information-sharing efforts with the New York State Intelligence Center (NYSIC) and their local CTZ. Not only should the information-sharing efforts be from local, county, and state, but also must incorporate federal law enforcement intelligence agencies as well. Within this area, support for major outreach programs is prioritized, including participation in the Field Intelligence Officer (FIO) Program, and the engagement of Fire/EMS personnel in information-sharing activities through the Intelligence Liaison Officer (ILO) Program.

- **Preparedness Objective 4A:** Maintain participation in the Field Intelligence Officer (FIO) Program (to ensure information sharing between the New York State Intelligence Center and local law enforcement within your jurisdiction).
- **Preparedness Objective 4B:** Maintain participation in the Intelligence Liaison Officer (ILO) Program (to ensure information sharing between the New York State Intelligence Center and local Fire and Emergency Medical Services agencies within your jurisdiction).

Priority 5 - Continued Coordination of Emergency Management Planning Efforts: Proper Emergency Management planning provides the foundation for effective response, recovery, and mitigation activities. Jurisdictions are encouraged to utilize their grant awards to maintain and update critical plans including Comprehensive Emergency Management Plans (CEMPs), HazMat Response Plans, COOP/COG plans, and Fatality Management Plans. Planning gaps identified during your county's CEPA process can often be addressed by leveraging SHSP (or SLETPP) funding.

- **Preparedness Objective 5A:** Develop and maintain a Comprehensive Emergency Management Plan or basic emergency plan in accordance with Article 2-B of Executive Law. The plan should be reviewed annually and submitted by December 31 each year to the DHSES Office of Emergency Management.
- **Preparedness Objective 5B:** Participate in the Emergency Management Certification and Training (EMC & T) Program, to include the County Chief Elected Official (Tier 1) and the County Emergency Manager (Tier 2).
- **Preparedness Objective 5C:** Maintain a County Hazardous Materials Response Plan that is updated every three years and submitted to the DHSES Office of Fire Prevention and Control.

Priority 6 - Sustainment of Effective Programs and Existing Capabilities: In the last decade, New York State has effectively leveraged homeland security grant program funds to build critical programs to enhance our prevention, protection, response, recovery, and mitigation capabilities. Under the FY2020 SHSP/SLETPP grants, the sustainment and advancement of effective programs is a top priority in ensuring that core capabilities are maintained statewide.

Emphasis will be placed on building, maintaining, and assessing sustainable programs, rather than simply purchasing disparate pieces of equipment.

- **Preparedness Objective 6:** Participate in updates to the County Emergency Preparedness Assessment (CEPA) process every three years or as otherwise directed by DHSES.

Alignment of FY2020 SHSP/SLETPP to Requirements for Specialty Teams

Starting in FY2016, DHSES began to set standard priorities and requirements associated with Specialty Teams. DHSES will continue to support this alignment for FY2020.

Bomb Squads: Sub-recipients using FY2020 SHSP/SLETPP funding for Bomb Squads should:

- Align requests with the Bomb Squad's **Capability Assessment** conducted in conjunction with the DHS Office for Bombing Prevention (OBP) and that is updated annually.
- Ensure that incidents and activities as it relates to all counter-IED response operations are reported within the U.S. Bomb Data Centers' Bomb Arson and Tracking System (BATS).

Explosive Detection Canine Teams: Sub-recipients using FY2020 SHSP/SLETPP funding to develop or sustain an Explosive Detection Canine Team should:

- Ensure that the **Certification and Re-Certification** of the Canine Handler is done through a program that is certified by the NYS Division of Criminal Justice Services (DCJS).
- Align requests with the Team's **Capability Assessment** conducted in conjunction with DHS Office for Bombing Prevention (OBP).
- Note that construction of kennels (including concrete pads) are **not eligible** under the FY2020 SHSP/SLETPP Program.

Tactical Teams: Sub-recipients using FY2020 SHSP/SLETPP funding for Tactical Teams should:

- Ensure that existing capabilities are being sustained. New investments being made to increase Tactical Team capabilities should be in line with the NYS SWAT Team Standards issued by DCJS with the priority being focused on the team's attainment of DCJS certification, if not already a certified team.
- Note that all training requests for Tactical Teams under the FY2020 SHSP/SLETPP must be pre-approved by DHSES. Please refer to Section V for more details.

HazMat Teams: Sub-recipients using FY2020 SHSP/SLETPP funding for HazMat Teams should:

- Update your jurisdiction's **Hazardous Materials Response Plan** every three years and submit it to OFPC in accordance with the NYS Homeland Security Strategy.
- In 2016, HazMat teams were required to complete the HazMat Team Accreditation Program as a part of the HazMat Targeted Grant Program. The results of the HazMat Team Accreditation Program should be used to guide new investments into HazMat team capabilities.

- Note that all HazMat Team training requests under the FY2020 SHSP/SLETPP must be pre-approved by DHSES. Please refer to Section V for more details.
- Note that **biological detection** equipment is not eligible under the FY2020 SHSP/SLETPP.

Technical Rescue/USAR Teams: Sub-recipients using FY2020 SHSP/SLETPP funding for Technical Rescue/USAR Teams should:

- Align requests with DHSES Office of Fire Prevention and Control (OFPC) Typing Standards for Technical Rescue Teams.
- It is important to keep in mind that the purchase of SWIFT water equipment is not an allowable expense under FY2020 SHSP/SLETPP funding.
- Note that all training requests for Technical Rescue/USAR Teams under the FY2020 SHSP/SLETPP must be pre-approved by DHSES. Please refer to Section V for more details.

Section III: FEMA Priorities and Spending Requirements for the SHSP/SLETPP

FY2020 FEMA SHSP/SLETPP Priorities and Spending Requirements

For FY2020 SHSP/SLETPP program funding, DHS/FEMA has identified four (4) National priority areas and has required that at least twenty (20%) of your overall highest target allocation amount are spent in support of these key areas (at least 5% per priority). The National Priority areas are as follows:

- 1) Cyber Security (with election security);
- 2) Protection of Soft Targets/Crowded Places (with election security);
- 3) Intelligence and Information Sharing, and
- 4) Addressing Emerging Threats

DHS/FEMA has provided various resources in each area to assist subrecipients in development their projects and determining their needs. In addition, please be reminded your project for each of these priorities will be evaluated for Grant Effectiveness. Details on that scoring process are under Section IV

Cyber Security National Priority Project (Minimum Spending Requirement – 5%)

Cybersecurity investments must support the security and functioning of critical infrastructure and core capabilities as they relate to preventing, preparing for, protecting against, or responding to acts of terrorism. The frequency of and sophistication of cyber threats continues to evolve. Given the frequency of these threats and the severe risk cyber incidents pose to our government information systems and critical infrastructure, placing our security, economy, and public health and safety at risk, at least one project must be in support of improving your jurisdictions overall cyber security posture. Subrecipients are encouraged to utilize the Nationwide Cyber Security Review (NCSR) results to help inform their project development.

In addition, DHS/FEMA has designated the infrastructure used in elections as critical infrastructure, thus deeming these as systems of vital importance. Securing infrastructure and ensuring an election secure free from foreign interference are national priorities. Threats to election systems are constantly evolving, so defending these requires constant vigilance, innovation, and adaptation. Given the important, subrecipients should consider incorporating election security into their cyber investment. Additional resources and information regarding election security are available at the following link: <https://www.cisa.gov/sites/default/files/publications/CISA-Insights-FY20-Preparedness-Grant-Guidance.pdf>

Soft Target /Crowded Places National Priority Project (Minimum Spending Requirement - 5%)

Soft targets and crowded places are increasingly appealing to terrorists and other extremist actors because of their relative accessibility and the large number of potential targets. This challenge is complicated by the frequent use of simple tactics and less sophisticated attacks. Given the increased frequency for terrorist to target these types of

venues and inflict harm in public areas, it is vital that public and private sectors collaborate to enhance security of locations such as transportation centers, parks, restaurants, shopping centers, special event venues, and similar facilities. That said, at least one project must be in support of enhancing your jurisdiction's ability to prevent, prepare for, protect against, and respond these types of attacks. Subrecipients should also consider including an election security project within this investment which can include projects such as increasing patrols at polling stations during elections.

Additional resources and information regarding election security are available at the following link:
<https://www.cisa.gov/sites/default/files/publications/CISA-Insights-FY20-Preparedness-Grant-Guidance.pdf>

Intelligence and Information Sharing National Priority Project (Minimum Spending Requirement – 5%)

Effective homeland security operations rely on timely information sharing and actionable intelligence to accurately access and prevent threats against the United States. Given the importance of information sharing and collaboration to effective homeland security solutions, at least one project must be in support of your jurisdiction's efforts to enhance information sharing and cooperation with local, state, and federal agencies.

Emerging Threats National Priority Project (Minimum Spending Requirement – 5%)

The spread of rapidly evolving and innovative technology, equipment, techniques, and knowledge presents new and emerging dangers for homeland security in the years ahead. Terrorists remain intent on acquiring weapons of mass destruction capabilities working to develop, acquire and modernize WMDs so that can be used against the homeland. Meanwhile, biological and chemical materials and technologies have become more accessible throughout the global market. Devices such as unmanned aircraft systems, artificial intelligence, and biotechnology increase opportunities of threat actors to acquire and use them for harm. Given the importance of these emerging threats, at least one project must be in support of enhancing your jurisdiction's abilities to mitigate these threats.

Reminder - Mutual Aid Requirements

All new capabilities supported in part (or entirely) with FY2020 SHSP/SLETPP funding must be readily deployable to support emergency or disaster operations, per existing Emergency Management Assistance Compact (EMAC) agreements. In addition, funding may be used to sustain critical capabilities that may not be physically deployable but would support national response capabilities (e.g. interoperable communications systems).

Section IV: Application Process and Requirements

Application Process

Please review this Program Guidance document before completing your application materials. It will provide you with all the pertinent requirements for receiving funding under the FY2020 SHSP and SLETPP grants. Please note that only one application per county will be accepted. Coordination within your county will be required. All budgetary and programmatic information must be entered onto the Excel-Based Application Worksheet provided by DHSES. **This information must be submitted to DHSES by March 25, 2020 in order to receive funding.** Completed applications must be sent to the Grants Inbox (grant.info@dhSES.ny.gov).

Revised Excel-Based Application Worksheet

In an effort to ensure that your requested projects are aligned properly and the spending requirements within DHS/FEMA's national priority areas are met, the Application Worksheet has been modified extensively. Formulas have been embedded to calculate the percentage of your targeted allocation amount (highest amount) in an effort to verify that 20% of your projects meet those required thresholds. In addition to the alignment of your projects, DHS/FEMA will be evaluating the Grant Effectiveness of your projects that are within each of the four (4) National Priority areas. Much more detail will be required even at the application phase. Funding decisions will be based on the quality of your project and if it is deemed "effective". The following criteria is outlined in the Funding Opportunity will be required and will be used to make those decisions:

- 1) Implementation Strategy (30%): Proposals will be evaluated based on the quality and extent to which applicants describe an effective strategy that demonstrates that proposed projects support program objectives of preventing, preparing for, protecting against and responding to acts of terrorism, to meet its target capabilities, and otherwise reduce the overall risk to the high-risk urban area, the State, or Nation
- 2) Budget (10%): Proposals will be evaluated based on the extent to which applicants describe a budget plan for each investment demonstrating how the applicant will maximize cost effectiveness of grant expenditures.
- 3) Impact/Outcomes (30%): Proposals will be evaluated how this investment helps the jurisdiction close capability gaps identified in its Stakeholder Preparedness Review and addresses national priorities outlines in the FY2020 NOFO. Further, proposals will be evaluated on their identification and estimated improvement of core capabilities, the associated standardized targets that align to their proposed investment, and the ways in which the applicant will measure and/or evaluate improvement.
- 4) Collaboration (30%): Proposals will be evaluated based on the degree to which the proposal adequately details how the recipient will use investments and other means to overcome existing logistical, technological, legal, policy, and other impediments to collaborating, networking, sharing information, cooperating, and fostering a culture of national preparedness with federal, state, tribal, and local governments, as well as other regional and nonprofit partners in efforts to prevent, prepare for, protect against, and respond to acts of terrorism, to meet its target capabilities, support the national security mission of DHS and other federal agencies, and to otherwise reduce the

overall risk to the high-risk urban area, the State, or the Nation. In evaluating applicants under this factor FEMA will consider the information provided by the applicant and may also consider relevant information from other sources.

Please note that you may submit additional descriptions of your projects along with your application, if the space required is not enough to describe your project. This can be submitted as an additional attachment to your Excel-based Application Worksheet. DHSES will then collate the information and attach it to our application submission.

Bonus Projects (15% above your Highest Targeted Allocation Amount)

Subrecipients can submit one (1) project that is fifteen (15) percent over your overall highest target allocation amount. That said, this project must align to the four (4) Nation Priority Areas of Cyber Security, Intelligence and Information Sharing, Soft Targets/Crowded Places, or Emerging Threats. Calculations within the Application Worksheet will help to determine the funding level for that project, if you chose to submit one. As previously mentioned, DHS/FEMA will be making funding decisions by project so if there is a capability gap you have that you feel as though would fall under one of the four priority areas, we encourage you to submit that project.

Application Submission

Sub-recipients will not have to enter information directly into the E-Grants System; rather, staff from DHSES will enter application materials into E-Grants for sub-recipients after the Application Worksheet is submitted. Once this information is entered, DHSES will contact the sub-recipient's authorized Point of Contact to accept the certified assurances within E-Grants.

Please note that the Period of Performance for the FY2020 SHSP and SLETPP grants is 36 months; the anticipated performance period is estimated to be from 9/1/2020 through 8/31/2023. When you develop your applications for these funds, please be sure to select critical projects that can be implemented within a 36-month period. FEMA has indicated that extensions will not be issued, so projects must be completed within the performance period. As you develop your application for these funds, DHSES strongly recommends that your jurisdiction carefully consider what projects you prioritize and select this year. FEMA has dramatically increased the level of project detail required from sub-recipients and with the shifts in priority areas and spending requirements in the national priority, you must submit projects that you will complete within the period of performance. Changes to projects without a strong justification will not be possible to consider.

To assist with your application development process, DHSES has developed a **“Project Linkages Standardization Form”** for your use. This form will guide you through how projects should be linked appropriately to the new Investment Justifications (which include the four(4) National Priority Areas), the NYS Homeland Security Strategy, DHS/FEMA Core Capabilities List, FEMA NIMS Typing Standards, etc. This document has changed substantially, so please be sure to read it carefully and ask questions. Your Contract Representative will be available to assist with any questions throughout the entire application process. Alternatively, you may send an e-mail to the Grant Info mailbox at grant.info@dhses.ny.gov to obtain a written response, if needed.

Section V: Authorized Program Expenditures

SLETPP Reminder

All SLETPP funding must be used in support of allowable law enforcement terrorism prevention-oriented planning, organization, training, exercise, equipment activities, and/or management and administration (M&A) costs. Please be sure that you meet the minimum twenty-five (25) percent of your overall highest target allocation amount. As previously mentioned, new to this year, you must submit one application per county and coordinate appropriately across your jurisdiction to meet this requirement. Please note that a large number of projects that fall within the given National Priority areas (20% of your projects) would count towards meeting the twenty-five (25) percent Law Enforcement Terrorism Prevention activity requirement.

Grants Programs Directorate Information Bulletin (IB) 426:

This bulletin is in support of Executive Order 13809 and rescinds restrictions placed on certain controlled equipment that was previously articulated in Information Bulletins 407 and 407a issued by DHS/FEMA in March of 2016. In addition, IB#426 outlines specific policy and documentation requirements for some equipment which continues to require DHS/FEMA approval. Please note that specific guidance with regards to the information required for approvals of Unmanned Aerial Systems (UAS's) is articulated as they are categorized as aircraft. For further details on that process, please refer to the IB at: <https://www.fema.gov/media-library/assets/documents/128691>.

Interoperable Communications Reminder

Recipients (including sub-recipients) who receive awards under HSGP that wholly or partially provide funding for emergency communication projects and related activities must comply with the SAFECOM Guidance on Emergency Communications Grants. Additional information can be accessed online at: <http://www.dhs.gov/safecom/funding>. In addition, recipients must describe how proposed communications investments align to needs identified in the Statewide Communication Interoperability Plan (SCIP), which can be found at: <http://www.dhSES.ny.gov/oiec/plans-policies-guidelines/>, and coordinate the development of their communication investment with the Statewide Interoperability Coordinator (SWIC).

Additional Guidance for Cybersecurity Project Development

1. **Information Bulletin #429a:** In July of 2018, DHS/FEMA issued IB#429a outlining recommendations and resources to aid in the development of cyber security projects that recipients (including sub-recipients) who receive awards under HSGP are encouraged to consider. In addition, specific examples with regards to types of projects (planning, organization, equipment, training, and exercise costs) that are allowable and encouraged can be found at the following link: Information Bulletin #429a
2. **Required participation in the Nationwide Cybersecurity Review (NCSR):** Recipients of FY2020 SHSP/SLETPP awards will be required to complete the 2020 Nationwide Cybersecurity Review. This process will enable agencies to benchmark and measure progress of improving their cybersecurity posture. The CIO or CISO or

equivalent for each recipient should complete the NCSR. The NCSR will be open from October-December 2020. More detailed information can be found in Information Bulletin #439 – see link: [Information Bulletin #439](#)

Personnel Cap Reminder

Per the PRICE Act, there is a 50% cap on personnel-related costs associated with your FY2020 SHSP/SLETPP awards. Based on guidance from FEMA, the following costs count towards the 50% personnel cap:

- Organizational Costs:
 - Operational overtime, salaries and personnel costs.
 - Overtime to participate in information-sharing activities, as well as salaries and personnel costs for intelligence analysts.
- Salaries and personnel costs for planners, equipment managers, training coordinators, exercise coordinators, etc.
- Salaries and personnel costs (up to 5% of your award amount) for Management and Administrative (M&A) costs
- Overtime/backfill to participate in approved training and/or exercise deliveries
- Contractor/Consultant costs associated with performing the above duties. Note: A Contractor that is procured for a set period of time to produce a defined product or deliverable (i.e. the development of a HazMat Plan, installation of equipment items) does not count towards the personnel cap. However, if a Contractor is hired to do general support activities (i.e. a Training Director), then this expense would count towards the personnel cap.

Maintenance and Sustainment Reminder

The use of FEMA preparedness grant funds for maintenance contracts, warranties, repair or replacement costs, upgrades, and users' fees are allowable under all active and future grant awards, unless otherwise noted. With the exception of maintenance plans purchased incidental to the original purchase of the equipment, the period covered by a maintenance or warranty plan must not exceed the period of performance of the specific grant funds used to purchase the plan or warranty.

As outlined in Information Bulletin #379, FEMA allows preparedness grant funds to be used to sustain and maintain equipment that has previously been purchased with both Federal grant funding and equipment purchased using other funding sources. Sub-recipients still need to ensure that eligible costs for maintenance and sustainment be an allowable expenditure under applicable grant programs.

Differentiating maintenance and sustainment costs (vs. new costs) in your budget for FY2020 SHSP/SLETPP funding is important (as FEMA requires different information depending on what type of project is being funded). As you are completing your application for FY2020 SHSP/SLETPP funding (in the Excel template provided), please keep the following guidelines in mind (please refer to **Appendix B** for additional instructions and guidance on completing the federal programmatic reporting requirements collected in your application):

Planning

Planning activities are central to both the FY2020 SHSP/SLETPP grants. Funding can be used for a variety of allowable costs related to planning, including hiring part or full-time consultants and/or staff to develop and maintain critical homeland security plans.

Organizational – SHSP/SLETPP

Under the SHSP/SLETPP grant, up to 50% of your award may be spent on allowable organizational activities (outlined below). Please keep in mind that all organizational activities, count towards the 50% personnel cap.

1. **Overtime Costs:** Overtime costs are allowable for personnel to participate in information, investigative, and intelligence sharing activities specifically related to homeland security and specifically requested by a Federal Agency. Allowable costs are limited to overtime associated with federally requested participation in eligible fusion activities, including Anti-Terrorism Task Forces, Joint Terrorism Task Forces, Area Maritime Security Committees, DHSES Border Enforcement Security Task Forces, and Integrated Border Enforcement Teams. Grant funding can only be used in proportion to the Federal man-hour estimate, and only after funding for these activities from other Federal sources (e.g. FBI JTTF payments to State and local agencies) have been exhausted. **Under no circumstances should FEMA grant funding be used to pay for costs already supported by funding from another Federal source.**
2. **Intelligence Analysts:** SHSP/SLETPP funds may be used to hire new staff and/or contractor positions to serve as Intelligence Analysts to enable information/intelligence-sharing capabilities, as well as to support existing Intelligence Analysts funded with previous years' SHSP/SLETPP funding. In order to be hired as an Intelligence Analyst, staff and/or contract personnel must meet at least one of the following criteria:
 - a. Successfully complete training to ensure baseline proficiency in intelligence analysis and production within six months of being hired; and/or
 - b. Previously served as an Intelligence Analyst for a minimum of two years either in a Federal Intelligence Agency, the Military, or a State or Local Law Enforcement Intelligence Unit.

All fusion center analytic personnel must demonstrate qualifications that meet or exceed competencies identified in the *Common Competencies for State, Local, and Tribal Intelligence Analysts*, which outlines the minimum categories of training needed for intelligence analysts. **A certificate of completion of such training must be kept on file with DHSES and made available to FEMA upon request.**

3. **Operational Overtime:** Operational overtime costs are allowable for increased security measures at critical infrastructure sites or other high-risk locations and to enhance public safety during mass gatherings and high-profile events. In that regard, SHSP recipients are urged to consider using grant funding to support soft target preparedness activities. This is one of the project types that is listed under the Soft Target/Crowded Places National Priority and can be counted towards meeting the 5% spending requirement within that required category. **Important Note:** Prior approval in writing from the FEMA Administrator is required for all

Operational Overtime requested other than those that are security measures in response in the threat level under the National Terrorism Advisory System (NTAS) as an “elevated” or “imminent” alert status.

FY2020 SHSP/SLETPP funds may be used to support select operational expenses associated with increased security the following authorized categories (note this list is not exhaustive – DHS/FEMA retains the discretion to approve):

- a. National Security Special Event (NSSE) as deemed by DHS.
- b. Special Event Assessment Rating (SEAR) Level 1 through Level 4 event
- c. States of Emergency declared by the Governor associated with a terrorism-related threat or incident (excludes Presidentially declared major disasters or emergencies).
- d. National Critical Infrastructure Prioritization Program (NCIPP) – Protection of Level 1 and Level 2 facilities as defined by the NCIPP.
- e. Directed Transit Patrols – Targeted security patrols in airports and major transit hubs based on a terrorism-related threat to transportation systems.
- f. Other Related Personnel Overtime Costs – Overtime costs may be authorized for personnel assigned to support any of the security relating to the above categories.
- g. Operational Support to a Federal Agency - Overtime costs are allowable for personnel to participate in information, investigative, and intelligence sharing activities related to homeland security/terrorism preparedness and specifically requested by a federal agency.

Additional details with regards to these authorized categories can be found in the FEMA Preparedness Grants Manual on (A-17-A-19) at the following link: [Preparedness Grants Manual](#).

Important Reminders for Operational Overtime Requests: Requests for Operational Overtime should be completed in advance and must include the following details:

1. Written requests must clearly explain how the request meets the criteria of one or more of the authorized categories (listed above) with relevant details.
2. Request must be within the award’s period of performance. FEMA will consider requests for special events up to one year in advance.
3. Under no circumstances may SHSP/SLETPP funding be used to pay for costs already supported by funding from another federal source.
4. FEMA will consult and coordinate with appropriate DHS components as necessary to verify information used to support operational overtime requests. Start the process as soon as practical, especially for planned events.

Equipment

FY2020 SHSP funds may be used for equipment acquisition from the 21 equipment categories lists on the Authorized Equipment List (AEL). For more information on the AEL, please visit FEMA’s website at: <http://www.fema.gov/authorized-equipment-list>. Please note that activities eligible for use of LETPA focused funds are outlined in the *National Prevention Framework* (and where capabilities are shared with the protection mission area, the National Protection Framework). **Reminder on ALL vehicle purchases: All types of vehicles must be pre-approved by DHSES.**

Training

To support training activities, FY2020 SHSP/SLETPP funds can be used for OT/Backfill costs, for travel costs, and for the hiring of full-time or part-time staff or consultants to support training activities. Any non-DHS training course to be supported with SHSP/SLETPP funds must be submitted in advance to DHSES for written approval. Attendance at Conferences, Workshops, and/or Out-of-State travel for training opportunities will also require DHSES prior approval. **Training conducted using SHSP/SLETPP funds should address a performance gap identified through an After-Action Report/Improvement Plan or contribute to building a capability that will be evaluated via an exercise.** Any training gaps should be identified in the AAR/IP and addressed in the State or Urban Area's training cycle. All training and exercises conducted with SHSP/SLETPP funds should support the development and testing of the jurisdiction's Emergency Operations Plan (EOP), or specific annexes, where applicable.

If you have questions regarding training, please contact the Training and Exercise Section at DHSES's Office of Emergency Management (OEM) at OEM.Training@dhses.ny.gov or call 518-292-2351.

Exercises

All exercises conducted using SHSP/SLETPP funds should be designed in accordance with the Homeland Security Exercise and Evaluation Program (HSEEP) guidance. HSEEP highlights include:

- **Basic Guidelines:** HSEEP policy and guidance can be obtained online at the following link:
<https://www.fema.gov/media-library/assets/documents/32326>
- **HSEEP Courses:**
 - **Mobile Courses:** HSEEP mobile courses are scheduled periodically, as requested, throughout the State to help increase understanding of HSEEP guidelines. For more information, please refer to DHSES's Training Calendar: <http://www.dhses.ny.gov/training/calendar/>
 - FEMA's Emergency Management Institute (EMI) also offers *Course # K0146 – Homeland Security Exercise Evaluation Program (HSEEP) Basic Course*, a distance learning (on-line) course.
- **Exercise Notification:** All planned exercises must be submitted for review to the DHSES Office of Emergency Management (OEM) Training and Exercise Section, using the method prescribed by DHSES OEM, **sixty days** prior to the start of each exercise supported with SHSP/SLETPP funds, including any exercise supported by the county through a sub-allocation of its award. DHSES will place exercise information on the National Exercise Schedule, in accordance with HSEEP guidelines.
- **Exercise Evaluation:** HSEEP requires all exercises to be evaluated. Within **sixty days** of the completion of an exercise, a jurisdiction must submit an After-Action Report/Improvement Plan (AAR/IP) to the DHSES OEM Training and Exercise Section for review and identification and initiation of any necessary state-level activity. Sub-recipients must submit the AARs/IPs through NY Responds.

- **Exercise Assistance:** The DHSES OEM Training and Exercise Section is available to provide exercise assistance to jurisdictions. Please contact the OEM Exercise Branch at Exercises@dhses.ny.gov or at 518-292-2351 if you are interested in conducting an exercise using FY2020 SHSP/SLETPP funds.

Management and Administration (M&A)

Up to 5% of the award amount may be used to support Management and Administrative costs associated with the implementation of the grant award. Examples of allowable M&A costs include:

- Hiring of full or part time staff to administer grants
- Travel costs
- Meeting related expenses
- Authorized office equipment
- Leasing or renting of space for newly hired personnel during the period of performance for the grant program

Environmental Planning and Historic Preservation (EHP) Compliance

As a Federal agency, DHS/FEMA is required to consider the effects of its actions on the environment and/or historic properties to ensure that all activities and programs funded by the agency, including grants-funded projects, comply with federal EHP regulations, laws and Executive Orders as applicable. Recipients and sub-recipients proposing projects that have the potential to impact the environment, including but not limited to construction of communication towers, modification or renovation of existing buildings, structures and facilities, or new construction including replacement of facilities, must participate in the DHS/FEMA EHP review process. The EHP review process involves the submission of a detailed project description that explains the goals and objectives of the proposed project along with supporting documentation so that DHS/FEMA may determine whether the proposed project has the potential to impact environmental resources and/or historic properties. In some cases, DHS/FEMA is also required to consult with other regulatory agencies and the public in order to complete the review process. The EHP review process must be completed before funds are released to carry out the proposed project. DHS/FEMA will not fund projects that are initiated without the required EHP review.

Additionally, all recipients are required to comply with DHS/FEMA EHP Policy Guidance. This EHP Policy Guidance can be found in FP 108-023-1, [Environmental Planning and Historic Preservation Policy Guidance](#) and FP 108.24.4, [Environmental Planning and Historical Preservation Policy](#).

Projects that were initiated or completed before an EHP review was concluded are unallowable for reimbursement using SHSP and SLETPP funds. For more information on FEMA's EHP requirements, sub-recipients should refer to FEMA's Information Bulletin #329 "Environmental Planning and Historical Preservation Requirements for Grants" available online at: <http://www.fema.gov/pdf/government/grant/bulletins/info329.pdf>

Construction and Renovation

Use of FY2020 HSGP funds for construction and renovation is generally prohibited except as outlined below. For construction costs to be allowed, they must be specifically approved by DHS/FEMA in writing prior to the use of any program funds for construction or renovation. Additionally, sub-recipients are required to submit a SF-424C Budget and Budget detail citing the project costs.

Project construction and renovation not exceeding \$1,000,000 or 15% of the grant award is allowable, as deemed necessary. For the purposes of the limitations on funding levels, communications towers are not considered construction.

Written approval must be provided by FEMA prior to the use of any HSGP funds for construction or renovation. When applying for construction funds, including communications towers, at the time of application, recipients must submit evidence of approved zoning ordinances, architectural plans, any other locally required planning permits, and a notice of federal interest.

When applying for funds to construct communications towers, recipients and sub-recipients must submit evidence that the FCC's Section 106 review process has been completed and submit all documentation resulting from that review to GPD using the guidelines in EHP Supplement prior to submitting materials for EHP review.

HSGP Program sub-recipients using funds for construction projects must comply with the Davis-Bacon Act (40 U.S.C. § 3141 et seq.). Recipients must ensure that their contractors or subcontractors for construction projects pay workers no less than the prevailing wages for laborers and mechanics employed on projects of a character similar to the contract work in the civil subdivision of the state in which the work is to be performed. Additional information regarding compliance with the Davis-Bacon Act, including Department of Labor (DOL) wage determinations, is available from the following website <http://www.dol.gov/whd/govcontracts/dbra.htm>.

Projects that were initiated or completed before an EHP review was concluded are unallowable for reimbursement using SHSP and SLETPP funds. For more information on FEMA's EHP requirements, sub-recipients should refer to FEMA's Information Bulletin #329 "Environmental Planning and Historical Preservation Requirements for Grants" available online at: <http://www.fema.gov/pdf/government/grant/bulletins/info329.pdf>

Supplanting

Grant funds will be used to supplement existing funds and will not replace (supplant) funds that have been appropriated for the same purpose.

Grant Contracting Process

Any resulting contract or agreement is contingent upon the continued availability of funding and will be effective only upon approval by the New York State Office of the Comptroller and the Office of the Attorney General.

Sub-recipients must agree to DHSES terms and conditions included in DHSES grant contracts. Sample grant contract language, including but not limited to Appendices A-1 and C are available for review on the DHSES website at <http://www.dhSES.ny.gov/grants/forms-egrants.cfm>

Minority and Women-Owned Businesses

Pursuant to New York State Executive Law Article 15-A, New York State Division of Homeland Security and Emergency Services recognizes its obligation under the law to promote opportunities for maximum feasible participation of certified minority and women-owned business enterprises and the employment of minority group members and women in the performance of New York State Division of Homeland Security and Emergency Services contracts.

Consistent with 2 CFR §200.321, non-Federal contracting entities must take all necessary affirmative steps to assure that minority businesses, women's business enterprises, and labor surplus area firms are used when possible.

Affirmative steps must include:

- (1) Placing qualified small and minority businesses and women's business enterprises on solicitation lists;
- (2) Assuring that small and minority businesses, and women's business enterprises are solicited whenever they are potential sources;
- (3) Dividing total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by small and minority businesses, and women's business enterprises;
- (4) Establishing delivery schedules, where the requirement permits, which encourage participation by small and minority businesses, and women's business enterprises;
- (5) Using the services and assistance, as appropriate, of such organizations as the Small Business Administration and the Minority Business Development Agency of the Department of Commerce; and
- (6) Requiring the prime contractor, if subcontracts are to be let, to take the affirmative steps listed in paragraphs (1) through (5) of this section.

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

Uniform Administrative Requirements, Costs Principles, and Audit Requirements

The U.S. Department of Homeland Security adopted 2 C.F.R. Part 200. Now that DHS has adopted 2 C.F.R. Part 200, these regulations will apply to all new Federal Emergency Management Agency (FEMA) grant awards that are made on or after December 26, 2014. These regulations will supersede 44 C.F.R. Part 13, and the Office of Management and Budget (OMB) Circulars A-21, A-87, A-89, A-102, A-110, A-122, A-133, and sections of A-50 for all FEMA awards made on or after December 26, 2014. This means that recipients of HSGP funding must follow new administrative requirements and Cost Principles codified in 2 C.F.R. Part 200 instead of the previous regulations in 44 C.F.R. Part 13.

Appendix A:

FY2020 SHSP/SLETPP Priorities and Associated Preparedness Objectives Certification Form

In addition to meeting the requisite federal requirements and supporting the broader NYS Homeland Security Strategy, all Counties/Cities receiving FY2020 State Homeland Security Program (SHSP) funding must certify compliance with the following Preparedness Objectives. If these objectives have not been addressed, homeland security funding or other resources must be dedicated to meet compliance in these areas. DHSES reserves the right to audit compliance and withhold funding until compliance is achieved. **Important Note: A fillable form has been included for your convenience.**

By accepting FY2020 SHSP funding, _____ County/City agrees to:

- Preparedness Objective 1:** Ensure the lead law enforcement agency in the County/City maintains active participation in Counter Terrorism Zone (CTZ) activities, including the Operation Safeguard Program. The County's/City's lead law enforcement agency must attend at least one (1) CTZ meeting per quarter, support Operation Safeguard related taskings, and participate in Red Team exercises as requested by DHSES.
- Preparedness Objective 2:** Maintain a Citizen Preparedness Coordinator to collaborate Citizen Preparedness efforts with New York State.

| | |
|------------------------------|--|
| CP Coordinator Name | |
| CP Coordinator Title | |
| CP Coordinator Organization | |
| CP Coordinator Email Address | |
| CP Coordinator Phone Number | |

- Preparedness Objective 3:** Maintain an Information Security Officer (ISO) to coordinate cyber security efforts with New York State.

| | |
|-------------------|--|
| ISO Name | |
| ISO Title | |
| ISO Organization | |
| ISO Email Address | |
| ISO Phone Number | |

- Preparedness Objective 4A:** Maintain participation in the Field Intelligence Officer (FIO) Program (to ensure information sharing between the New York State Intelligence Center and local law enforcement within your jurisdiction).

- Preparedness Objective 4B:** Maintain participation in the Intelligence Liaison Officer (ILO) Program (to ensure information sharing between the NYSIC and local Fire and Emergency Medical Services agencies within your jurisdiction).
- Preparedness Objective 5A:** Develop and maintain a Comprehensive Emergency Management Plan or basic emergency plan in accordance with Article 2-B of Executive Law. The plan should be reviewed annually and submitted by December 31 each year to the DHSES Office of Emergency Management.
- Preparedness Objective 5B:** Participate in the Emergency Management Certification and Training (EMC & T) Program, to include the County Chief Elected Official (Tier 1) and the County Emergency Manager (Tier 2).
- Preparedness Objective 5C:** Maintain a County Hazardous Materials Response Plan that is updated every three years and submitted to the DHSES Office of Fire Prevention and Control.
- Preparedness Objective 6:** Participate in updates to the County Emergency Preparedness Assessment (CEPA) process every three years or as otherwise directed by DHSES.

As the Chief Executive Officer, I hereby certify that _____ County/City will comply with the Preparedness Objectives outlined above.

Name (Printed): _____

Signature: _____

Date: _____

Appendix B

Federal Programmatic Reporting Requirements “Instructions and Guidance”

Instructions: The following provides some summary background on the federal programmatic reporting requirements on which grant recipients are required to report in order for DHSES to satisfy its reporting obligations to DHS. Please refer to the associated instructions to appropriately complete the requirements throughout the application process.

NIMS Resource Typing

NIMS Resource Typing: For all projects that support a NIMS Resource, recipients must identify the typed asset being supported through the investment. At this point, only one typed asset can be identified in the BSIR; therefore, if multiple typed assets are being supported, please identify the asset with the largest budget.

Project Support to Previously Awarded Investment and Project Milestones

I. Sustain vs. Build: As you complete your application, it is important to distinguish the type of investment you are making. DHS has identified two project types:

1) Sustain Capabilities - Refers to activities that maintain a capability at its current level (this includes replacing and/or upgrading outdated equipment),

2) Build Capabilities - Refers to activities that start a new capability or increase a capability.

If your project is both sustaining and building capabilities, please select the project type that best represents the majority of your project.

| | |
|----------------|---|
| Sustain | Applicants who are utilizing a resource to sustain a capability previously developed through homeland security grant funding or local revenues should select "Sustain" from the drop-down menu. An example would be purchasing Personal Protective Equipment (PPE) to replace PPE that was purchased several years ago and is no longer safe to use at an incident. |
| Build | Increase a Current Capability: Applicants who are utilizing a resource to increase a capability previously developed through homeland security grant funding or local revenues should select "Build" from the drop-down menu. An example of increasing a current capability would be the purchase of communications equipment for first responders, in order for them to communicate using an interoperable communications system previously developed by the sub-recipient. |
| | Build a New Capability: Applicants who are utilizing a resource to build a new capability should select "Build" from the drop-down menu. An example of building a new capability would be a sub-recipient developing an explosive detection canine team to enhance explosive device response operations capabilities in their jurisdiction, where they presently have no ability to perform this capability and/or currently rely on regional or state partners to perform the capability in their jurisdiction. |

II. Previously Supported Fiscal Year: DHS requires that for any current project investment which supports a previously awarded investment, that the most recent fiscal year of that prior investment be identified. Presently, this goes back 4 years from the current fiscal year (i.e. for FY2020, please identify the most recent fiscal year supported between FY2016-FY2019).

III. Last Completed Milestone for Previously Awarded Investment: DHS requires that the recipient identify the last completed milestone of the previously awarded investment that is being supported through the current fiscal year. These milestones align with the federal POETE criteria (Planning, Organization, Equipment, Training and Exercises) and follow the performance metrics utilized in your E-Grants workplan.

IV. Anticipated Project Completion Date: For each project, DHS requires the anticipated completion date. Please select which quarter you anticipate completing the proposed project within the period of performance.

Project Details

I. Construction, Renovation and Retrofits to Existing Structures: DHS/FEMA requires prior approval, and often EHP review, of any project that will involve construction, renovation, retrofits and modifications to existing structures. If this project requires any such activity, please select "Yes."

II. Deployability of Capabilities: DHS/FEMA is seeking more information on whether capabilities supported through this grant opportunity are either deployable or sharable outside of the host jurisdiction. When assessing the deployability of the capabilities supported through this project, please assess this at the "core capability" level (e.g. HazMat Team capability or mass sheltering capability) rather than at the individual budget item level. For example, if you are making an investment to support the ability of your HazMat Team to perform its core functions, please determine if these core functions are by and large deployable and/or sharable.

| | |
|-------------------|---|
| Deployable | Is the core capability supported by this project deployable to other jurisdictions? DHS identifies a deployable asset as any capability that is physically mobile and can be used anywhere in the United States. Examples include response teams (e.g. HazMat, Tactical or CERT), mobile radios, CBRNE detection equipment, sheltering supplies, etc. |
| Sharable | Is the core capability supported by this project sharable (if it cannot be physically deployed) with other jurisdictions? DHS identifies a sharable asset as any non-deployable capability that can be utilized to augment and sustain reinforced response at the regional, state or national level. Examples include a fusion center, emergency operations center, etc. |

Appendix C:

NYS Critical Capabilities List and DHS/FEMA Core Capabilities Crosswalk

Common Capabilities (5)

Planning: *The ability to develop, validate, and maintain plans to address identified threats and hazards.*

Interoperable and Emergency Communications: *The ability to ensure public safety agencies and other community partners can communicate with one another on demand, in real time, when needed, and when authorized.*

Public Information and Warning: *The ability to deliver coordinated, prompt, and actionable information to the public through the use of clear, consistent approaches and leveraging multiple delivery methods.*

Citizen Awareness and Preparedness: *The ability to ensure citizens are fully aware, trained, and practiced on how to prevent, protect, prepare for, respond to, and recover from any threat or hazard.*

Private Sector/Non-Governmental Organizations (NGO): *The ability to coordinate with the private sector and other non-governmental organizations to leverage their resources and subject-matter expertise.*

Prevention and Protection Capabilities (5)

Information-Sharing and Intelligence Analysis: *The ability to receive, analyze and distribute accurate, timely, and actionable information and intelligence to agencies and key stakeholders, including the private sector.*

Critical Infrastructure/Key Resources Protection: *The ability to identify and protect critical infrastructure and key resource sites through risk management and by improving protections against all threats and hazards.*

Cyber Security: *The ability to protect cyber networks and services from damage, unauthorized use, and exploitation and restore systems that are compromised.*

CBRNE Detection and Interdiction: *The ability to detect and interdict CBRNE materials at points of manufacture, transport, and use.*

Law Enforcement Counter-Terrorism Operations: *The ability to support the range of activities taken by law enforcement to detect, investigate, and conduct operations related to potential terrorist activities.*

Response Capabilities (12)

EOC Management: *The ability to establish and operate an Emergency Operations Center to support onsite incident management activities during an event.*

Onsite Incident Management: *The ability to establish a unified and coordinated operational structure at the scene of an incident.*

CBRNE Response and Decontamination: *The ability to assess and manage the consequences of a hazardous materials release, either accidental or intentional.*

Search and Rescue Operations: *The ability to deliver search and rescue capabilities and assets to affected communities, with the goal of saving the greatest number of endangered lives in the shortest time possible.*

Law Enforcement Response Operations: *The ability to leverage law enforcement assets and specialty teams (e.g. Bomb Squads, SWAT Teams, Dive Teams) to support site security and response to terrorist attacks and other hazards.*

Firefighting Support and Operations: *The ability to coordinate and implement fire suppression operations and support mutual aid within the fire service.*

Mass Care and Sheltering: *The ability to provide life-sustaining services to communities in need, with a focus on evacuating, sheltering, hydrating, and feeding the individuals most impacted during an event, including special needs populations.*

Transportation: *The ability to prioritize transportation infrastructure restoration to provide for the efficient movement of citizens, responders, and goods into and out of areas impacted during an event through the utilization of various transportation systems and routes.*

Health Emergency Preparedness: *The ability to support health emergency preparedness by developing and maintaining the ability to identify public health threats, provide medical countermeasures, and surge the hospital system to manage large numbers of sick or injured during any incident.*

Emergency Medical Services (EMS) Operations: *The ability to appropriately dispatch EMS and provide suitable pre-hospital treatment and support to healthcare facilities.*

Fatality Management: *The ability to provide effective, efficient mass fatality services to communities in need, including body recovery and victim identification, the development of temporary mortuary solutions, and coordination with victims' families.*

Logistics and Resource Management: *The ability to identify, inventory, mobilize, and dispatch available critical resources (including those obtained via mutual aid and donations) and human capital throughout the duration of an incident.*

Disaster Recovery/Mitigation Capabilities (6)

Continuity of Operations/Continuity of Government (COOP/COG): *The ability to develop and implement plans and programs to maintain essential operations and government services during an emergency.*

Damage Assessment: *The ability to conduct damage assessments in conjunction with partners at multiple levels of government to help inform resources needed to ensure an efficient recovery from an incident.*

Restoration of Infrastructure and Critical Services: *The ability to initiate and sustain the restoration of critical services to affected communities, including drinking water, wastewater, electricity, transportation services, and economic services through effective planning and other related efforts.*

Debris Management: *The ability to develop and maintain debris management plans to restore public services and ensure public health and safety in the aftermath of a disaster.*

Recovery: *The ability to provide ongoing support to communities after a major incident occurs to help re-build affected areas and to increase their resiliency to face future incidents to include long-term housing and infrastructure replacement.*

Mitigation: *The ability to, through traditional mitigation programs and other efforts build and sustain resilient systems, communities, and infrastructure to reduce their vulnerability to any threat or hazard.*

CORE CAPABILITIES

| Core Capability | New York State Critical Capabilities | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|--|--------------------------------------|--------------------------------|--------------------------|---------------------------|-------------------------|------------|---------------------------------|--|---------------|-------------------------|-------------------------|------------------------------|-----------------------------------|---------------------------------|-------------------------------------|----------------------|-----------------------------------|---|----------------------------------|-------------------------|--------------------------------------|------------------------------|------------------------|--------------------|---------------------------------|----------------------------------|----------------------------|------------------------------|------------------------------------|--------------------------|------------------------|-------------------|----------------------------|---------|------------------------|--------------------------------|--|--|--|--|
| | Planning | Public Information and Warning | Operational Coordination | Forensics and Attribution | Intell and Info Sharing | Prevention | Screening, Search and Detection | Access Control and Identity Verification | Cybersecurity | Intell and Info Sharing | Interdiction and Denial | Physical Protective Measures | Risk Mgmt for Protective Programs | Screening, Search and Detection | Supply Chain Integrity and Security | Community Resilience | Long Term Vulnerability Reduction | Risk and Disaster Resilience Assessment | Threat and Hazard Identification | Critical Transportation | Emergency Response Health and Safety | Facility Management Services | Infrastructure Systems | Mass Care Services | Mass Care and Rescue Operations | On-Scene Security and Protection | Operational Communications | Public and Private Resources | Public Health and Medical Services | Restoration of Utilities | Situational Assessment | Economic Recovery | Health and Social Services | Housing | Infrastructure Systems | Natural and Cultural Resources | | | | |
| Planning | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Public Information and Warning | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Operational Coordination | | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Forensics and Attribution | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Intell and Info Sharing | | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Prevention | | | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Screening, Search and Detection | | | | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Access Control and Identity Verification | | | | | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Cybersecurity | | | | | | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Intell and Info Sharing | | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Interdiction and Denial | | | | | | | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Physical Protective Measures | | | | | | | | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Risk Mgmt for Protective Programs | | | | | | | | | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Screening, Search and Detection | | | | | | | | | | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Supply Chain Integrity and Security | | | | | | | | | | | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Community Resilience | | | | | | | | | | | | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | |
| Long Term Vulnerability Reduction | | | | | | | | | | | | | | | | X | | | | | | | | | | | | | | | | | | | | | | | | |
| Risk and Disaster Resilience Assessment | | | | | | | | | | | | | | | | | X | | | | | | | | | | | | | | | | | | | | | | | |
| Threat and Hazard Identification | | | | | | | | | | | | | | | | | | | X | | | | | | | | | | | | | | | | | | | | | |
| Critical Transportation | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Emergency Response Health and Safety | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Facility Management Services | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Infrastructure Systems | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Mass Care Services | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Mass Care and Rescue Operations | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| On-Scene Security and Protection | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Operational Communications | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Public and Private Resources | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Public Health and Medical Services | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Restoration of Utilities | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Situational Assessment | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Economic Recovery | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Health and Social Services | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Housing | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Infrastructure Systems | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Natural and Cultural Resources | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

2020 Investment Justifications

| |
|---|
| Investment Justification 1: Strengthen Intelligence and Information Sharing |
| Investment Justification 2: Enhance Cyber Security Capabilities |
| Investment Justification 3: Enhance the Protection of Soft Targets/Crowded Places |
| Investment Justification 4: Addressing Emerging Threats & Build and Sustain CBRNE Detection and Response Capabilities |
| Investment Justification 5: Strengthen Counter-Terrorism and Law Enforcement Response Capabilities |
| Investment Justification 6: Enhance Emergency Management and Response Capabilities |
| Investment Justification 7: Advance Interoperable and Emergency Communications |
| Investment Justification 8: Enhance Citizen and Community Preparedness |
| Investment Justification 9: Projects to Consider - 15% Over Highest Target Allocation |

2017-2020 Homeland Security Strategy Goals

| |
|--|
| Goal 1: Strengthen Intelligence and Information-Sharing Capabilities |
| Goal 2: Strengthen Counter-Terrorism and Law Enforcement Capabilities |
| Goal 3: Protect Critical Infrastructure and Key Resources |
| Goal 4: Enhance Cyber Security Capabilities |
| Goal 5: Enhance Citizen and Community Preparedness Capabilities |
| Goal 6: Enhance Emergency Management and Response Capabilities |
| Goal 7: Strengthen CBRNE Preparedness and Response Capabilities |
| Goal 8: Advance Interoperable and Emergency Communication Capabilities |
| Goal 9: Support Health Emergency Preparedness |
| Goal 10: Become More Resilient Against Future Events |

**NYS Division of Homeland Security and Emergency Services
Local Application for FY2020 State Homeland Security Program (SHSP) and
State Law Enforcement Terrorism Prevention Program (SLETPP) Funding**

DIRECTIONS: Applicants are required to complete this application worksheet once for their tentative SHSP award and SLETPP awards (at the Highest target allocation amount). Please note that ONLY one application per county can be submitted, counties must coordinate their submissions. Applicants will need to complete all cells shaded white (all non-colored cells, bordered in green), unless instructed otherwise. Below, is the application summary section, where applicants must provide basic information about themselves and their tentative award. The application summary section also provides a roll-up of the information the applicant will complete in the "Project" tabs within this application worksheet, providing the applicant with a summary of project costs and how much of those costs are being applied towards the sustainment of capabilities or the development of new capabilities.

Application Summary

| Sub-Recipient/Entity Name: | | | | | |
|---|---|---|-------------------------|---------------------------|---------|
| Allocation Amount (Highest): | | | | | |
| SHSP Amount | | \$0 | | | |
| SLETPP Amount (Min) | | \$0 | | | |
| IJ/Project Number | Project Name | G & T Code | SLETPP Project | Amount | |
| Intelligence and Information Sharing Investment Justification | Goal 1: Intelligence Analysis Technology Support | 02. Establish/enhance agro-terrorism preparedness capabilities. | NO | \$0 | |
| Cyber Security Investment Justification | Goal 4: Cyber Security Program Management | 03. Establish/enhance cyber security program. | NO | \$0 | |
| Emerging Threats Investment Justification | Goal 7: CBRNE and HazMat Planning | 04. Establish/enhance emergency operations center. | NO | \$0 | |
| Soft Targets/Crowded Places Investment Justification | Goal 2: Operational Overtime for Counter-Terrorism Missions | 05. Establish/enhance regional response teams. | YES | \$0 | |
| Project 1 | Please Select a "Project Title" (These are Based off of State Strategy Goal Objectives) | Please Select a "G & T Code" that corresponds to this project | Please Select an Answer | \$0 | |
| Project 2 | Please Select a "Project Title" (These are Based off of State Strategy Goal Objectives) | Please Select a "G & T Code" that corresponds to this project | Please Select an Answer | \$0 | |
| Project 3 | Please Select a "Project Title" (These are Based off of State Strategy Goal Objectives) | Please Select a "G & T Code" that corresponds to this project | Please Select an Answer | \$0 | |
| Project 4 | Please Select a "Project Title" (These are Based off of State Strategy Goal Objectives) | Please Select a "G & T Code" that corresponds to this project | Please Select an Answer | \$0 | |
| Project 5 | Please Select a "Project Title" (These are Based off of State Strategy Goal Objectives) | Please Select a "G & T Code" that corresponds to this project | Please Select an Answer | \$0 | |
| Bonus Project - 15% | Please Select a "Project Title" (These are Based off of State Strategy Goal Objectives) | Please Select a "G & T Code" that corresponds to this project | Please Select an Answer | \$0 | |
| | | | | Application Project Total | \$0 |
| | | | | SLETPP PROJECT TOTAL | \$ |
| | | | | SLETPP MIN TOTAL MET | #DIV/0! |

**NYS Division of Homeland Security and Emergency Services
Local Application for FY2020 State Homeland Security Program (SHSP) and
State Law Enforcement Terrorism Prevention Program (SLETPP) Funding**

DIRECTIONS: Sub-recipients are required to complete the "Federal Documentation" criteria below. As outlined in the Federal Funding Accountability and Transparency Act (FFATA), DHSES must report information regarding subawards \$25,000 or greater in the FFATA Subaward Reporting System (FSRS).

Federal Documentation

| | |
|---|---|
| Sub-Recipient/Entity Name (i.e. Empire County): | 0 |
| Primary Contact (Name/Title): | |
| Agency: | |
| Address: | |
| City: | |
| Zip + 4 (note that zip + 4 is required): | |
| Phone Number: | |
| DUNS # (You must maintain the currency of your information in the System for Award Management {SAM} throughout the performance period @ https://www.sam.gov) | |

| | |
|--|-------------------------|
| Question 1: In the preceding fiscal year, did your entity receive 80 percent or more of its annual gross revenues from Federal awards <u>and</u> \$25,000,000 or more in annual gross revenues from Federal awards? | Please Select an Answer |
|--|-------------------------|

| | |
|--|-------------------------|
| Question 2: If you answered "YES" to question #1, does the public have access to information about the compensation of the senior executives of the entity through periodic reports filed under section 13(a) or 15 (d) of the Securities Exchange Act of 1934 {15 U.S.C. Subsection 78m(a), 78o(d)} or section 6104 of the Internal Revenue Code of 1986. See FFATA Section 2(b)(1)? | Please Select an Answer |
|--|-------------------------|

Question 3: If you answered "NO" to question #2, please provide the names and total compensation of the five most highly compensated officers of the entity.

| <i>Name:</i> | <i>Total Compensation:</i> |
|--------------|----------------------------|
| <i>Name:</i> | <i>Total Compensation:</i> |

Coordination and Integration

A: Stakeholder Participation Summary - To advance the "Whole Community" Approach to Security and Emergency Management as well as integral Collaboration among various stakeholders within the jurisdictions, sub-recipients must describe in their application for funding how they coordinated with appropriate stakeholders both at the county level of government as well as with town, village, and city governments within the county to develop their application for FY2020 SHSP/SLETPP funding.

Please use the drop down lists below to identify those stakeholders that were involved in the development of your application. In the description box below, please detail how this coordination occurred (Meetings, Conference Calls, etc.) and what jurisdictions were involved. -- Please provide specific details when possible.

| | | |
|--|--------------------------|---|
| Emergency Management | Law Enforcement | Fire Service/HazMat |
| Public Health | EMS | Local & County Elected Officials |
| Information Technology Officer (IT) / Information Officer | Educational Institutions | Citizen Corp/Volunteer Groups |
| Public Works | Tribal | Other (Please Specify in the Description Box) |

Description:

Law Enforcement Terrorism Prevention Activities (SLETPP Projects)

A: Involvement of Local Law Enforcement (SLETPP projects only)- For State Law Enforcement Terrorism Prevention Program (SLETPP) applications, sub-recipients should demonstrate how they coordinated with local law enforcement in the development of their FY2020 SLETPP projects (e.g. participation of town and city police departments with a county sheriff's office in establishing law enforcement projects).

Description:

NYS SHSP/SLETPP Priorities and Preparedness Objectives

A: Engagement with NYS SHSP/SLETPP Priorities and Preparedness Objectives - NYS has identified a series of specific priorities for the FY2020 SHSP/SLETPP grants. All sub-recipients are highly encouraged to engage these priorities, where it is appropriate to do so, with their project investments. Please articulate how your proposed projects will meet the following NYS Priorities. For any NYS Priorities that your application will not directly address, please describe how you are doing so through compliance with the NYS Preparedness Objectives and/or with alternative funding streams (e.g. a targeted grant) or local revenues.

Description:

Priority #1 - Advancement of Regional Partnerships: DHSES continues to promote the advancement of multi-disciplinary, multi-jurisdictional regional partnerships across New York State. These partnerships allow capabilities to be developed in a coordinated and cost-effective way. Over the past 10-12 years, effective regional partnerships have been developed in a number of different areas, including regional Counter Terrorism Zones (CTZs), HazMat Partnerships, Interoperable Communications Consortiums, Tactical Team Partnerships (formalized via Inter-municipal Agreements), Bomb Squad Regional coordination efforts, etc. Under the FY2019 SHSP/SLETPP grants, support for these (and other) regional partnerships and programs are strongly encouraged.

Preparedness Objective #1: Ensure the lead law enforcement agency in the County/City maintains active participation in Counter Terrorism Zone (CTZ) activities, including the Operation Safeguard Program. The County's/City's lead law enforcement agency must attend at least one (1) CTZ meeting per quarter, support Operation Safeguard related tasks, and participate in Red Team exercises as requested by DHSES.

Description:

Priority #2 - Maturation of Citizen Preparedness Efforts: The presence of an active, engaged citizenry is a critical component of the State's preparedness posture. While several jurisdictions in the State have developed innovative citizen preparedness programs, the CEPA Program (along with other capability assessments) has found that this remains one of the lowest rated capabilities across the State. Under Governor Cuomo's leadership, the State has worked to address this issue through the State's Citizen Preparedness Corps Program, however, there is still additional work that local jurisdictions can do, building on and in support of existing models in the State. SHSP funds can be used for a variety of Citizen Preparedness projects, including the development (or sustainment) of citizen preparedness campaigns, training/outreach efforts involving Citizen Corps Councils and Community Emergency Response Teams, and for citizen preparedness kits and supplies.

Preparedness Objective #2: Maintain a Citizen Preparedness Coordinator to collaborate Citizen Preparedness efforts with New York State.

Priority #3 - Development of Effective Cyber Security Programs and Policies: All levels of government, the private sector, and the general public have been impacted by the dramatic increase in cyber attacks over the past five years. The proper detection, interdiction, and remediation of cyber vulnerabilities is critical. Through the CEPA program, DHSES has found that counties tend to be very concerned about the threat of cyber attacks, however, their capabilities to prevent and address these attacks are often underdeveloped. As such, DHSES is emphasizing the importance of cyber security in the FY2019 SHSP and SLETPP grant programs. Grant funds can be used for cyber security planning, cyber security enhancement equipment (including encryption software, malware protection, intrusion/detection prevention systems, and vulnerability scanning), cyber security training (which may require pre-approval; please consult with your Program Representative at DHSES); and cyber security exercises.

Description:

Preparedness Objective #3: Maintain an Information Security Officer (ISO) to coordinate cyber security efforts with New York State.

Priority #4 - Enhancement of Law Enforcement Information-Sharing Capabilities: Since 9/11, the enhancement of law enforcement information-sharing capabilities has been a top priority in New York State. The importance of this mission remains unchanged this year, as jurisdictions are encouraged to sustain and enhance their information-sharing efforts with the New York State Intelligence Center (NYSIC) and their local CTZ. Within this area, support for major outreach programs is prioritized, including participation in the Field Intelligence Officer (FIO) Program, and the engagement of Fire/EMS personnel in information-sharing activities through the Intelligence Liaison Officer (ILO) Program.

Description:

Preparedness Objective #4A: Maintain participation in the Field Intelligence Officer (FIO) Program (to ensure information sharing between the New York State Intelligence Center and local law enforcement within your jurisdiction).

Preparedness Objective #4B: Maintain participation in the Intelligence Liaison Officer (ILO) Program (to ensure information sharing between the NYSIC and local Fire and Emergency Medical Services agencies within your jurisdiction). All counties are required to conduct at least six (6) course deliveries during the three-year performance period of this grant.

Priority #5 - Continued Coordination of Emergency Management Planning Efforts: Proper Emergency Management planning provides the foundation for effective response, recovery, and mitigation activities. Jurisdictions are encouraged to utilize their grant awards to maintain and update critical plans including Comprehensive Emergency Management Plans (CEMPs), HazMat Response Plans, COOP/COG plans, and Fatality Management Plans. Planning gaps identified during your county's CEPA process can often be addressed by leveraging SHSP (or SLETPP) funding.

Description:

Preparedness Objective #5A: Develop and maintain a Comprehensive Emergency Management Plan or basic emergency plan in accordance with Article 2-B of Executive Law. The plan should be reviewed annually and submitted by December 31 each year to the DHSES Office of Emergency Management.

Preparedness Objective #5B: Participate in the Emergency Management Certification and Training (EMC & T) Program, to include the County Chief Elected Official (Tier 1) and the County Emergency Manager (Tier 2).

Preparedness Objective #5C: Maintain a County Hazardous Materials Response Plan that is updated every three years and submitted to the DHSES Office of Fire Prevention and Control.

Priority #6 - Sustainment of Effective Programs and Existing Capabilities: In the last decade, New York State has effectively leveraged homeland security grant program funds to build critical programs to enhance our prevention, protection, response, recovery, and mitigation capabilities. Under the FY2020 SHSP/SLETPP grants, the sustainment and advancement of effective programs is a top priority, in order to ensure that core capabilities are maintained statewide. Emphasis will be placed on building, maintaining, and assessing sustainable programs, rather than simply purchasing disparate pieces of equipment.

Description:

Preparedness Objective #6A: Participate in updates to the County Emergency Preparedness Assessment (CEPA) process every three years or as otherwise directed by DHSES.

Project Information and Linkages

DIRECTIONS: Please complete the following drop-down menus in order to make the appropriate linkages to the New York State Strategy and the Core Capabilities List. Applicants **MUST** submit at least one project under this Investment Justification that represents at LEAST five (5) percent of their Highest Target Allocation amount.

Intelligence and Information Sharing

\$0

Zip Code (Primary Location of Project)

State Strategy Goal: Goal 1: Strengthen Intelligence and Information Sharing Capabilities

Project Title: Goal 1: Intelligence Analysis Technology Support

Core Capability: Intelligence and Information Sharing

G & T Code: 02. Establish/enhance agro-terrorism preparedness capabilities.

Construction Activity Involved?
Is this an SLETPP Project

NO

Project Description/Budget Plan (10%)

PROJECT DESCRIPTION - Please provide a description of your project, clearly highlighting what capabilities will be sustained or developed and the impacts on your jurisdiction.

Description:

Project Budget Plan

DIRECTIONS: Applicants must provide clear budget descriptions, with a justification for each budget item identified in the budget plan. Please use the "Budget Item Description and Justification" column to provide this information. When completing this worksheet, please fill out each column for every row you complete. Incomplete columns will result in the "Totals" not being calculated correctly.

| Item # | Budget Item Description | Budget Item Justification | Federal Spending Category | NYS Budget Category | Total Cost | Authorized Equipment List (AEL) Number | Discipline |
|--------|-------------------------|---------------------------|---------------------------|-----------------------|------------|--|------------|
| 1 | | | | | | | |
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| | | | | Equipment Subtotal | \$0 | #DIV/0! | |
| | | | | Exercise Subtotal | \$0 | #DIV/0! | |
| | | | | M&A Subtotal | \$0 | #DIV/0! | |
| | | | | Organization Subtotal | \$0 | #DIV/0! | |
| | | | | Planning Subtotal | \$0 | #DIV/0! | |
| | | | | Training Subtotal | \$0 | #DIV/0! | |
| | | | | PROJECT TOTAL | \$0 | | |

Project Information and Linkages

DIRECTIONS: Please complete the following drop-down menus in order to make the appropriate linkages to the New York State Strategy and the Core Capabilities List. Applicants MUST submit at least one project under this Investment Justification that represents at LEAST five (5) percent of their Highest Target Allocation amount.

Cyber Security

Minimum Investment: \$0

Sub-Recipient (Grantee):
 Zip Code (Primary Location of Project)

State Strategy Goal: Please Select a "State Strategy Goal" from the Drop-Down Menu

Project Title: Goal 4: Cyber Security Program Management

Core Capability: Cyber Security

G & T Code: 03. Establish/enhance cyber security program.

Construction Activity Involved?
 Is this an SLETPP Project

NO

Project Description/Budget Plan (10%)

PROJECT DESCRIPTION - Please provide a description of your project, clearly highlighting what capabilities will be sustained or developed and the impacts on your jurisdiction.

Description:

Project Information and Linkages

DIRECTIONS: Please complete the following drop-down menus in order to make the appropriate linkages to the New York State Strategy and the Core Capabilities List. Applicants **MUST** submit at least one project under this Investment Justification that represents at LEAST five (5) percent of their Highest Target Allocation amount.

| | | |
|---------------------------------|---|--|
| Investment Justification: | Emerging Threats | |
| Minimum Investment | \$0 | |
| Sub-Recipient (Grantee): | Zip Code (Primary Location of Project) | |
| State Strategy Goal: | Goal 7: Strengthen CBRNE Preparedness and Response Capabilities | |
| Project Title: | Goal 7: CBRNE and HazMat Planning | |
| Core Capability | Planning | |
| G & T Code: | 04. Establish/enhance emergency operations center. | |
| Construction Activity Involved? | | |
| Is this an SLETPP Project | NO | |

Project Description/Budget Plan (10%)

PROJECT DESCRIPTION - Please provide a description of your project, clearly highlighting what capabilities will be sustained or developed and the impacts on your jurisdiction.

Description:

Project Budget Plan

DIRECTIONS: Applicants must provide clear budget descriptions, with a justification for each budget item identified in the budget plan. Please use the "Budget Item Description and Justification" column to

| Item # | Budget Item Description | Budget Item Justification | Federal Spending Category | NYS Budget Category | Total Cost | Authorized Equipment List (AEL) Number | Discipline |
|--------|-------------------------|---------------------------|---------------------------|------------------------------|------------|--|------------|
| 1 | | | | | | | |
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| 18 | | | | | | | |
| 19 | | | | | | | |
| 20 | | | | | | | |
| | | | | Equipment Subtotal | \$0 | #DIV/0! | |
| | | | | Exercise Subtotal | \$0 | #DIV/0! | |
| | | | | M&A Subtotal | \$0 | #DIV/0! | |
| | | | | Organization Subtotal | \$0 | #DIV/0! | |
| | | | | Planning Subtotal | \$0 | #DIV/0! | |
| | | | | Training Subtotal | \$0 | #DIV/0! | |
| | | | | PROJECT TOTAL | \$0 | | |

Project Information and Linkages

DIRECTIONS: Please complete the following drop-down menus in order to make the appropriate linkages to the New York State Strategy and the Core Capabilities List. Applicants **MUST** submit at least one project under this Investment Justification that represents at LEAST five (5) percent of their Highest Target Allocation amount.

| | |
|---------------------------------|---|
| Investment Justification: | Soft Target/Crowded Places |
| Minimum Investment | \$0 |
| State Strategy Goal: | Goal 2: Strengthen Counter-Terrorism and Law Enforcement Capabilities |
| Project Title: | Goal 2: Operational Overtime for Counter-Terrorism Missions |
| Core Capability: | Operational Coordination |
| G & T Code: | 05. Establish/enhance regional response teams. |
| Construction Activity Involved? | |
| Is this an SLETPP Project | YES |

Project Description/Budget Plan (10%)

PROJECT DESCRIPTION - Please provide a description of your project, clearly highlighting what capabilities will be sustained or developed and the impacts on your jurisdiction.

Description:

Project Budget Plan

DIRECTIONS: Applicants must provide clear budget descriptions, with a justification for each budget item identified in the budget plan. Please use the "Budget Item Description and Justification" column to provide this information. When completing this worksheet, please fill out each column for every row you complete. Incomplete columns will result in the "Totals" not being calculated correctly.

| Item # | Budget Item Description | Budget Item Justification | Federal Spending Category | NYS Budget Category | Total Cost | Authorized Equipment List (AEL) Number | Discipline |
|--------|-------------------------|---------------------------|---------------------------|-----------------------|------------|--|------------|
| 1 | | | | | | | |
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| 17 | | | | | | | |
| 18 | | | | | | | |
| 19 | | | | | | | |
| 20 | | | | | | | |
| | | | | Equipment Subtotal | \$0 | #DIV/0! | |
| | | | | Exercise Subtotal | \$0 | #DIV/0! | |
| | | | | M&A Subtotal | \$0 | #DIV/0! | |
| | | | | Organization Subtotal | \$0 | #DIV/0! | |
| | | | | Planning Subtotal | \$0 | #DIV/0! | |
| | | | | Training Subtotal | \$0 | #DIV/0! | |
| | | | | PROJECT TOTAL | \$0 | | |

Project Information and Linkages

DIRECTIONS: Please complete the following drop-down menus in order to make the appropriate linkages to the New York State Strategy and NYS Critical Capabilities List.

| | |
|---|---|
| Sub-Recipient (Grantee): | Zip Code (Primary Location of Project Execution) |
| Investment Justification: | Please Select a "Investment Justification" from the Drop-Down Menu |
| State Strategy Goal: | Please Select a "State Strategy Goal" from the Drop-Down Menu |
| Project Title: | Please Select a "Project Title" (These are Based off of State Strategy Goal Objectives) |
| Core Capability | Please Select a DHS/FEMA "Core Capability" from the Drop-Down Menu |
| G & T Code: | Please Select a "G & T Code" that corresponds to this project |
| Construction Activity Involved? Is this an SLETPP Project | Please Select an Answer |

Project Description, Outcomes, and Impacts

PROJECT DESCRIPTION - Please provide a description of your project, clearly highlighting what capabilities will be sustained or developed and the impacts on your jurisdiction.

Description:

COUNTY EMERGENCY PREPAREDNESS ASSESSMENT (CEPA): The CEPA serves as a beneficial tool to help guide the sustainment of your current capabilities or inform those areas where it's appropriate to build or enhance capabilities. Please describe how you have utilized your CEPA to guide project investments through this grant opportunity. In addition to the CEPA, please select any additional assessment tools you may have used through the drop-down lists below (if other, please specify below).

Description:

| | |
|--|---|
| Additional Assessment Tool(s) Utilized to Help Select Project: | Please Select an "Assessment Tool" Used to Inform this Investment from the Drop-Down Menu |
| | Please Select an "Assessment Tool" Used to Inform this Investment from the Drop-Down Menu |
| | Please Select an "Assessment Tool" Used to Inform this Investment from the Drop-Down Menu |

NIMS TYPED RESOURCE LINKAGE: Please use the following link for more detailed information on the federal NIMS Typed Resource construct and how your project may support a typed resource: <https://www.fema.gov/national-incident-management-system/nims-doctrine-supporting-guides-tools>

Please Select a "NIMS Typed Resource" Supported by this Project

Please Select a "NIMS Typed Resource" Supported by this Project

Please Select a "NIMS Typed Resource" Supported by this Project

CAPABILITY DEVELOPMENT: As you complete your application, it is important to distinguish the type of investment you are making. DHS has identified two project types: 1) Build Capabilities - building refers to activities that start a new capability or increase a capability; 2) Sustain Capabilities - sustaining refers to activities that maintain a capability at its current level. When assessing the project type, if your project is both sustaining and building capabilities, please select the project type that best represents the majority of your project.

Please also identify whether this project supports a "Previously Awarded Investment." You may select the most recent grant fiscal year that is being supported through the proposed project. Finally, for each fiscal grant year that is supported, please select the "Last Completed Milestone" for each applicable federal spending category. (We recommend that you review the last quarterly progress report that was submitted to determine the most recently completed milestone)

| Are you "Sustaining" or "Building" Capabilities through this project? | | Please Select a "Project Type" | |
|---|-------------------------|--------------------------------|--|
| Does this Project Support a Previously Awarded Project: | Please Select an Answer | If Yes, from Which Year: | Please Select the Last Completed "Project Milestone" Please Select the Last Completed "Project Milestone" Please Select the Last Completed "Project Milestone" |

Anticipated Project Completion Date: For each project, DHS requires the anticipated completion date. Please select which quarter you anticipate completing the proposed project within the period of performance.

Future Project Sustainment: Please identify whether additional funding would be required to sustain this project beyond the period of performance of this grant.

DEPLOYABILITY OF CAPABILITIES - DHS is seeking more information on whether capabilities supported through this grant opportunity are either deployable or shareable outside of the host jurisdiction. When assessing the deployability of the capabilities supported through this project, please assess this at the "core capability" level (e.g. HazMat Team capability or mass sheltering capability) rather than at the individual budget item level. For example, if you are making an investment to support the ability of your HazMat Team to perform its core functions, are these core functions by and large deployable or shareable.

Additionally, per DHS, new capabilities should not be built at the expense of maintaining current and critically needed core capabilities. If you are developing new capabilities, they must be deployable outside of the community to support regional and national efforts or otherwise shareable with regional partners.

Is the core capability supported by this project deployable to other jurisdictions?
 Note: FEMA identifies a deployable asset as any capability that is physically mobile and can be used anywhere in the United States. Examples would include response teams (e.g. HazMat, Tactical or CERT), mobile radios, CBRNE detection equipment, sheltering supplies, etc.

Is the core capability supported by this project shareable (if it cannot be physically deployed) with other jurisdictions?
 Note: FEMA identifies a shareable asset as any non-deployable capability that can be utilized to augment and sustain reinforced response at the regional, state or national level. Examples would include a fusion center, emergency operations center, etc.

Project Information and Linkages

DIRECTIONS: Please complete the following drop-down menus in order to make the appropriate linkages to the New York State Strategy and NYS Critical Capabilities List.

| | |
|--|---|
| Sub-Recipient (Grantee): | Zip Code (Primary Location of Project Execution) |
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| State Strategy Goal: | Please Select a "State Strategy Goal" from the Drop-Down Menu |
| Project Title: | Please Select a "Project Title" (These are Based off of State Strategy Goal Objectives) |
| NYS Critical Capability: | Please Select a "NYS Critical Capability" from the Drop-Down Menu |
| G & T Code: | Please Select a "G & T Code" that corresponds to this project |
| Construction Activity Involved? | Please Select an Answer |
| Is this an SLETPP Project | Please Select an Answer |

Project Description, Outcomes, and Impacts

PROJECT DESCRIPTION - Please provide a description of your project, clearly highlighting what capabilities will be sustained or developed and the impacts on your jurisdiction.

Description:

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Description:

Please Select an "Assessment Tool" Used to Inform this Investment from the Drop-Down Menu

Please Select an "Assessment Tool" Used to Inform this Investment from the Drop-Down Menu

Additional Assessment Tool(s) Utilized to Help

Select Project: Please Select an "Assessment Tool" Used to Inform this Investment from the Drop-Down Menu

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Please Select a "NIMS Typed Resource" Supported by this Project
Please Select a "NIMS Typed Resource" Supported by this Project
Please Select a "NIMS Typed Resource" Supported by this Project

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Are you "Sustaining" or "Building" Capabilities through this project?

Please Select a "Project Type"

Does this Project Support a Previously Awarded Project:

Please Select an Answer

If Yes, from Which Year:

Please Select a "Year" this Project Supports

Last Milestone(s) Completed:

Please Select the Last Completed "Project Milestone"

Please Select the Last Completed "Project Milestone"

Please Select the Last Completed "Project Milestone"

Anticipated Project Completion Date: For each project, DHS requires the anticipated completion date. Please select which quarter you anticipate completing the proposed project within the period of performance.

Please Select the Anticipated Completion Period for this Project

Future Project Sustainment: Please identify whether additional funding would be required to sustain this project beyond the period of performance of this grant.

Please Select an Answer

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Please Select an Answer

Project Information and Linkages

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|---------------------------------|---|
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| State Strategy Goal: | Please Select a "State Strategy Goal" from the Drop-Down Menu |
| Project Title: | Please Select a "Project Title" (These are Based off of State Strategy Goal Objectives) |
| NYS Critical Capability: | Please Select a "NYS Critical Capability" from the Drop-Down Menu |
| G & T Code: | Please Select a "G & T Code" that corresponds to this project |
| Construction Activity Involved? | Please Select an Answer |
| Is this an SLETPP Project | Please Select an Answer |

Project Description, Outcomes, and Impacts

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Description:

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Description:

Additional

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Assessment Tool(s) Utilized to Help Select Project:

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Are you "Sustaining" or "Building" Capabilities through this project?

Please Select a "Project Type"

Does this Project Support a Previously Awarded Project:

Please Select an Answer

If Yes, from Which Year:

Please Select a "Year" this Project Supports

Last Milestone(s) Completed:

Please Select the Last Completed "Project Milestone"
 Please Select the Last Completed "Project Milestone"
 Please Select the Last Completed "Project Milestone"

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Please Select the Anticipated Completion Period for this Project

Future Project Sustainment: Please identify whether additional funding would be required to sustain this project beyond the period of performance of this grant.

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Please Select an Answer

Project Information and Linkages

DIRECTIONS: Please complete the following drop-down menus in order to make the appropriate linkages to the New York State Strategy and NYS Critical Capabilities List.

Zip Code (Primary Location of Project Execution)

Please Select a "Investment Justification" from the Drop-Down Menu

Please Select a "State Strategy Goal" from the Drop-Down Menu

Please Select a "Project Title" (These are Based off of State Strategy Goal Objectives)

Please Select a "NYS Critical Capability" from the Drop-Down Menu

Please Select a "G & T Code" that corresponds to this project

Please Select an Answer

Project Description, Outcomes, and Impacts

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Description:

Additional Assessment Tool(s) Utilized to Help

Please Select an "Assessment Tool" Used to Inform this Investment from the Drop-Down Menu

Please Select an "Assessment Tool" Used to Inform this Investment from the Drop-Down Menu

Please Select an "Assessment Tool" Used to Inform this Investment from the Drop-Down Menu

Select Project:

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Please Select a "Project Type"

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Please Select an Answer

If Yes, from Which Year:

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Last Milestone(s) Completed:

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Project Information and Linkages

DIRECTIONS: Please complete the following drop-down menus in order to make the appropriate linkages to the New York State Strategy and NYS Critical Capabilities List.

| | |
|---------------------------------|---|
| Sub-Recipient (Grantee): | Zip Code (Primary Location of Project Execution) |
| Investment Justification: | Please Select a "Investment Justification" from the Drop-Down Menu |
| State Strategy Goal: | Please Select a "State Strategy Goal" from the Drop-Down Menu |
| Project Title: | Please Select a "Project Title" (These are Based off of State Strategy Goal Objectives) |
| NYS Critical Capability: | Please Select a "NYS Critical Capability" from the Drop-Down Menu |
| G & T Code: | Please Select a "G & T Code" that corresponds to this project |
| Construction Activity Involved? | |
| Is this an SLETPP Project | Please Select an Answer |

Project Description, Outcomes, and Impacts

PROJECT DESCRIPTION - Please provide a description of your project, clearly highlighting what capabilities will be sustained or developed and the impacts on your jurisdiction.

Description:

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Description:

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Please Select an "Assessment Tool" Used to Inform this Investment from the Drop-Down Menu

Please Select an "Assessment Tool" Used to Inform this Investment from the Drop-Down Menu

Please Select an "Assessment Tool" Used to Inform this Investment from the Drop-Down Menu

Select Project:

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Please Select a "NIMS Typed Resource" Supported by this Project
Please Select a "NIMS Typed Resource" Supported by this Project
Please Select a "NIMS Typed Resource" Supported by this Project

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Please Select a "Project Type"

Does this Project Support a Previously Awarded Project:

Please Select an Answer

If Yes, from Which Year:

Please Select a "Year" this Project Supports

Last Milestone(s) Completed:

Please Select the Last Completed "Project Milestone"

Please Select the Last Completed "Project Milestone"

Please Select the Last Completed "Project Milestone"

Anticipated Project Completion Date: For each project, DHS requires the anticipated completion date. Please select which quarter you anticipate completing the proposed project within the period of performance.

Please Select the Anticipated Completion Period for this Project

Future Project Sustainment: Please identify whether additional funding would be required to sustain this project beyond the period of performance of this grant.

Please Select an Answer

DEPLOYABILITY OF CAPABILITIES - DHS is seeking more information on whether capabilities supported through this grant opportunity are either deployable or shareable outside of the host jurisdiction. When assessing the deployability of the capabilities supported through this project, please assess this at the "core capability" level (e.g. HazMat Team capability or mass sheltering capability) rather than at the individual budget item level. For example, if you are making an investment to support the ability of your HazMat Team to perform its core functions, are these core functions by and large deployable or shareable.

Additionally, per DHS, new capabilities should not be built at the expense of maintaining current and critically needed core capabilities. If you are developing new capabilities, they must be deployable outside of the community to support regional and national efforts or otherwise shareable with regional partners.

Is the core capability supported by this project deployable to other jurisdictions?

Note: FEMA identifies a deployable asset as any capability that is physically mobile and can be used anywhere in the United States. Examples would include response teams (e.g. HazMat, Tactical or CERT), mobile radios, CBRNE detection equipment, sheltering supplies, etc.

Please Select an Answer

Is the core capability supported by this project shareable (if it cannot be physically deployed) with other jurisdictions?

Note: FEMA identifies a shareable asset as any non-deployable capability that can be utilized to augment and sustain reinforced response at the regional, state or national level. Examples would include a fusion center, emergency operations center, etc.

Please Select an Answer

Project Information and Linkages

DIRECTIONS: Please complete the following drop-down menus in order to make the appropriate linkages to the New York State Strategy and the Core Capabilities List. Applicants **MUST** submit a project under this investment justification that represents the four (4) National Priority areas (*Strengthen Intelligence and Information Sharing, Cyber Security, Soft Targets-Crowded Places, Addressing Emerging Threats*).

Projects to Consider- 15% Over Highest Target

Bonus Investment Justification:
Maximum Project Investment (15% of Award)

\$0

Project Investment Justification:

Please Select a National Priority Investment Justification

State Strategy Goal:

Please Select a "State Strategy Goal" from the Drop-Down Menu

Project Title:

Please Select a "Project Title" (These are Based off of State Strategy Goal Objectives)

Core Capability:

Please Select a DHS/FEMA "Core Capability" from the Drop-Down Menu

G & T Code:

Please Select a "G & T Code" that corresponds to this project

Construction Activity Involved?

Is this an SLETPP Project

Please Select an Answer

Project Description/Budget Plan (10%)

PROJECT DESCRIPTION -please provide a description of your project, clearly highlighting what capabilities will be sustained or developed and the impacts on your jurisdiction.

Description:

DIRECTIONS: Applicants must provide clear budget descriptions, with a justification for each budget item identified in the budget plan. Please use the "Budget Item Description and Justification" column to provide this information. When completing this worksheet, please fill out each column for every row you complete. Incomplete columns will result in the "Totals" not being calculated correctly.

| Item # | Budget Item Description | Budget Item Justification | Federal Spending Category | NYS Budget Category | Total Cost | Authorized Equipment List (AEL) Number | Discipline | |
|--------|-------------------------|---------------------------|---------------------------|---------------------|------------|--|------------|---------|
| 1 | | | | | | | | |
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| 18 | | | | | | | | |
| 19 | | | | | | | | |
| 20 | | | | | | | | |
| | | | | | | Equipment Subtotal | \$0 | #DIV/0! |
| | | | | | | Exercise Subtotal | \$0 | #DIV/0! |
| | | | | | | MB&A Subtotal | \$0 | #DIV/0! |
| | | | | | | Organization Subtotal | \$0 | #DIV/0! |
| | | | | | | Planning Subtotal | \$0 | #DIV/0! |
| | | | | | | Training Subtotal | \$0 | #DIV/0! |
| | | | | | | PROJECT TOTAL | \$0 | |
| | | | | | | IJ MAX TOTAL MET | | #DIV/0! |

Cost Effectiveness - in addition to the budget items depicted above, please explain how you will maximize the cost effectiveness of this grant expenditure. This can include information such as "This project will be regional in nature and benefit multiple disciplines and jurisdictional boundaries in an effort to close XYZ gap identified through XYZ capability assessment within the county."

Description:

Implementation Plan (30%)

Please explain in detail how your project under this National Priority area will support the program objectives of preventing, preparing for, protecting against and responding to acts of terrorism and otherwise reduce the overall identified risk to your jurisdiction.

Description:

Impacts and Outcomes (30%)

Please explain how this investment will help your jurisdiction close capability gaps identified in your County Emergency Preparedness Assessment (CEPA) and what your estimated improvement will be to this National Priority area and how you will measure and/or evaluate results.

Description:

Collaboration (30%)

Collaboration is a key component to implementing successful projects. Please articulate how your jurisdiction collaborated and coordinated this specific project (e.g. who was involved, etc.) and how this investment will be used to overcome any existing impediments to fostering a culture of national preparedness with federal, state, and local government under this National Priority area.

Description:

Federal Programmatic Reporting Requirements Data Element Summary and Instructions

| | |
|--|---|
| <p>Instructions: The following provides some summary background on the federal programmatic reporting requirements that grant recipients are required to report on in order for DHSES to satisfy its reporting obligations to DHS/FEMA. Please refer to the associated instructions to appropriately complete the requirements through the application process.</p> | |
| <p>NIMS Resource Typing</p> | |
| <p>I. NIMS Resource Typing: For all projects that support a NIMS Resource, recipients must identify the typed asset being supported through the investment. At this point, only one typed asset can be identified in the BSIR; therefore, if multiple typed assets are being support, please identify the asset with the largest budget.</p> | |
| <p>Project Support to Previously Awarded Investment and Project Milestones</p> | |
| <p>I. Sustain vs Build: As you complete your application, it is important to distinguish the type of investment you are making. DHS/FEMA has identified two project types: 1) Build Capabilities - building refers to activities that start a new capability or increase a capability; 2) Sustain Capabilities - sustaining refers to activities that maintain a capability at its current level.</p> <p>When assessing the project type, if your project is both sustaining and building capabilities, please select the project type that best represents the majority of your project.</p> | |
| <p>Sustain =</p> | <p>Sustain a Current Capability: Applicants who are utilizing a resource to sustain a capability previously developed through homeland security grant funding or local revenues should select "Sustain" from the drop-down. An example would be purchasing Personal Protective Equipment (PPE) to replace PPE that was purchased several years ago and is no longer safe to use at an incident.</p> |
| <p>Build =</p> | <p>Increases a Current Capability: Applicants who are utilizing a resource to improve a capability previously developed through homeland security grant funding or local revenues should select "Build" from the drop-down menu. An example of improving a current capability would be the purchase of communications equipment for first responders, in order for them to communicate off of an interoperable communications system previously developed by the sub-recipient.</p> <p>Builds a New Capability: Applicants who are utilizing a resource to build a new capability should select "Build" from the drop-down menu. An example of a new capability would be a sub-recipient developing an explosive detection canine team to enhance explosive device response operations capabilities in their jurisdiction, where they presently have no ability to perform this capability and/or currently rely on regional or State partners to perform the capability in their jurisdiction.</p> |
| <p>II. Previously Supported Fiscal Year: DHS requires that for any current project investment which supports a previously awarded investment, that the most recent fiscal year of that prior investment be identified. Presently, this goes back 4 years from the current fiscal year (i.e. for FY2020, please identify the most recent fiscal year supported between FY2016-FY2019)</p> | |
| <p>III. Last Completed Milestone for Previously Awarded Investment: DHS/FEMA requires that the recipient identify the last completed milestone of the previously awarded investment that is being supported through the current fiscal year. These milestones align with the federal POETE (i.e. Planning, Organization, Equipment, Training, and Exercises), and follow the performance metrics utilized in your E-Grants workplan.</p> | |
| <p>IV. Anticipated Project Completion Date: For each project, DHS/FEMA requires the anticipated completion date. Please select which quarter you anticipate completing the proposed project within the period of performance.</p> | |

Project Details

I. Construction, Renovation, and Retrofits to Existing Structures: DHS/FEMA requires prior approval, and often an EHP review, of any project that will involve construction, renovation, retrofits, and modifications to existing structures. If this project requires any such activities, please select "Yes."

II. Deployability of Capabilities: DHS/FEMA is seeking more information on whether capabilities supported through this grant opportunity are either deployable or shareable outside of the host jurisdiction. When assessing the deployability of the capabilities supported through this project, please assess this at the "core capability" level (e.g. HazMat Team capability or mass sheltering capability) rather than at the individual budget item level. For example, if you are making an investment to support the ability of your HazMat Team to perform its core functions, are these core functions by and large deployable and/or shareable.

| | |
|---------------------|---|
| Deployable = | Is the core capability supported by this project deployable to other jurisdictions? DHS identifies a deployable asset as any capability that is physically mobile and can be used anywhere in the United States. Examples would include response teams (e.g. HazMat, Tactical or CERT), mobile radios, CBRNE detection equipment, sheltering supplies, etc. |
| Shareable = | Is the core capability supported by this project shareable (if it cannot be physically deployed) with other jurisdictions? DHS identifies a shareable asset as any non-deployable capability that can be utilized to augment and sustain reinforced response at the regional, state or national level. Examples would include a fusion center, emergency operations center, etc. |

#6r

Committee Mtg _____ Resolution # _____
Introduced By _____ Regular Mtg _____
Seconded By _____ Special Mtg _____

APPROVAL/ GRANT APPLICATION/ OFFICE FOR SENIOR RESOURCES/ FIELD HALL FOUNDATION/ CAREGIVER RESPITE GRANT

WHEREAS, the Director of the Office For Senior Resources (OSR) would like to apply for a Caregiver Respite Grant through the Field Hall Foundation for \$15,000; and

WHEREAS, OSR intends to apply for funding targeted for caregivers in need of respite to supplement care for their loved ones; and

WHEREAS, OSR is planning to serve thirty (30) caregivers with a \$500.00 respite grant for each; and

WHEREAS, there are no County matching funds required; and

WHEREAS, the Health, Social, Educational & Environmental Committee has considered and approved of this grant application; now therefore be it

RESOLVED, that the Putnam County Legislature approves and authorizes the Office For Senior Resources to apply for a Caregiver Respite Grant through the Field Hall Foundation in the amount of \$15,000.

Legislator Albano _____
Legislator Castellano _____
Legislator Gouldman _____
Legislator Jonke _____
Legislator Montgomery _____
Legislator Nacerino _____
Legislator Sayegh _____
Legislator Sullivan _____
Chairwoman Addonizio _____

Mary Ellen
Odell
County
Executive



Michael
Cunningham
Director

MEMORANDUM

DATE: March 9, 2020

TO: Honorable Amy Sayegh
Chairwoman, Health, Social, Educational & Environmental Committee

CC: Diane Schonfeld
Clerk to the Legislature

FROM: Michael Cunningham
Director 

RE: OSR 2020 Grant Application for Field Hall Foundation

LEGISLATURE
PUTNAM COUNTY
CARMEL, NY

2020 MAR 10 PM 1:39

The Office for Senior Resources (OSR) is seeking approval from the Legislature to apply for a grant to provide funding through the Field Hall Foundation for Caregiver Respite. It is our intent to apply for funding in order to target caregivers in need of respite to supplement care for their loved one. We are planning to serve thirty (30) caregivers with a \$500.00 respite grant for each totaling \$15,000.00. There is no county match. A draft copy of the grant application is attached for your review.

It is respectfully requested that this matter be placed on the agenda for the meeting of the Health, Social, Educational & Environmental Committee to be held on March 19, 2020.

Thank you for your consideration.



Summer 2020

Small Grant Application Cover Sheet

Date: March 2020

Name of Organization (Exact Legal Name): Putnam County Office for Senior Resources

Program/Project Name: Caregiver Respite Grant

Purpose of Program/Project (one sentence): Respite services for spouses or relatives caring for older adults at home.

Grant Amount Requested: \$15,000.00

Number of Seniors/Caregivers Directly Impacted by the Requested Funding: We are targeting 30 Caregivers in need of respite care whether it be for health reasons or respite time with family, to supplement care for their loved one in the amount of \$500.

Organization's Executive Director: Michael Cunningham

Contact Person and Title (if not the Executive Director): Doreen Crane, Coordinator of Services

Telephone Number: 845-808-1700

E-mail: doreen.crane@putnamcountyny.gov

Address: 110 Old Route 6, Bldg. #3, Carmel, New York 10512

Type of Organization: _____ 501(c)(3) Not-for-Profit Local Unit of Government

Federal Tax Identification #:

Organization's 2020 Operating Budget: \$7,705,351.00

Dates Covered by Budget (mo/day/year): 06/2020 through 06/2021

Program/Project's Operating Budget (if already in operation): \$

B. Introduction to Organization

The Putnam County Office for Senior Resources (formally the Office for Aging) was first funded by the Older Americans Act and the Putnam County Board of Directors in 1969. This office was designed to develop needed services, opportunities and facilities for older persons. We soon became the major planner, coordinator and direct service provider for seniors 60+ in Putnam County. Programs such as Information and Referral, RSVP, Congregate Meals and sites and Legal Services became a reality. During the next 50 years, programs continued to be added as additional needs of the aging populations were identified. Home delivered meals, 4 senior centers, Adult Day Care, EISEP, HEAP, HIICAP, Medical Transportation and Caregivers Resources Centers were some programs developed to meet the challenges facing older Americans who wish to remain in their community.

Our Mission is to stimulate, promote, coordinate and administer local programs and services for older Putnam County residents. Our primary emphasis is on the development of long term care programs and services necessary to meet the long term care needs of Putnam County's elderly and to support informal caregivers in their journey. Our goal is to put in place mechanisms which improve access to all available services and benefits, and to ensure delivery of quality services to all elderly people, especially those who are frail, dependent and in greatest social or economic need, giving particular attention to the low-income minority elderly.

We accomplish our goals with the help of our 70 dedicated employees and over 400 RSVP volunteers.

C. The Need

Every year, 4.1 million New Yorkers assume the role of caregivers providing 2.6 billion hours of direct care to loved ones. We know that informal caregivers face financial, emotional, and physical burdens placing an impact on their families, careers, and health. But, we also know that these caregivers are crucial to the continuum of care and that the long term care services and support offered by OSR and other community based organizations would not be able to function or fill a gap without these caregivers.

When a caregiver is faced with an unexpected event, namely their own hospitalization, family event or just being overwhelmed with the care, this grant will provide a short but much needed respite.

How can we support these caregivers and sustain their critical role? We would like to offer a limited respite program to help temporarily relieve caregivers from their responsibilities. A respite program would provide short term breaks through various types of care. One such type of care or respite would be through the assignment of an aide to work in the home of their loved one and to relieve them of their duties for a specified situation or period of time.

The provision of caregiver respite would be income-based and prioritized by need to ensure the maximum benefit of this resource. OSR would draw upon its contracts with aide agencies for

experienced and trained home health care aides with the intent of providing a level of confidence to caregivers to step away from their role for a short period.

D. The Solution

We will target caregivers from our 4 Support Groups, Adult Day Care Program and home delivered meal recipients to provide them with this one time specific respite. The grant allowance, \$15,000, will be divided among 30 caregivers based on EISEP eligibility.

The caregiver will have to use our contracted / licensed agencies, and the \$500 allowance will be paid directly to the designated agency.

E. Evaluation

In order to gauge whether the respite project was successful, it will be necessary for the caregiver to fill out an evaluation form to our agency. This form will include a comment area for the caregiver to fill out in order for our agency to improve the program.

#65

Committee Mtg _____ Resolution # _____
 Introduced By _____ Regular Mtg _____
 Seconded By _____ Special Mtg _____

RESOLUTION CALLING ON MEMBERS OF THE NYS SENATE AND ASSEMBLY TO REJECT THE GOVERNOR'S SFY 2020-21 EXECUTIVE BUDGET PROPOSAL TO SHIFT 100% OF THE COST OF 730.20 COMPETENCY RESTORATION SERVICES TO THE COUNTY MENTAL HEALTH COMMISSIONERS

WHEREAS, the Governor's proposal would require counties to pay 100% of the Office of Mental Health (OMH) State Operations costs for certain individuals receiving mental health treatment at State-operated Forensic Psychiatric Centers; and

WHEREAS, historically, counties have paid 50% of the per diem rate set by OMH, which has now reached an unsustainable cost burden on county budgets; and

WHEREAS, the derivation of Section 43.03 of Mental Hygiene Law (MHL), dates back to 1907 and allows the State to offset the costs of operating its Forensic Psychiatric Centers at county expense; and

WHEREAS, this statute no longer reflects the current mental hygiene system or the NYS Unified Court System and needs to be updated to be consistent with other statutes that makes the State responsible for its own costs for the treatment of mentally ill individuals in State-operated Forensic Psychiatric Centers; and

WHEREAS, despite the fact that counties are now paying half of such restoration services, the Executive Budget proposal shifts 100% of these costs to the counties; and

WHEREAS, OMH has also taken the position that the County Mental Health Commissioners are not entitled to any information about the treatment they are paying for; and

WHEREAS, other payors for medical services are clearly entitled both under HIPAA and the MHL to receive information about the services for which payment is sought; and

WHEREAS, OMH also indicates counties should be responsible for any medical or hospitalization costs incurred for individuals mandated to competency restoration which, depending on the medical or surgical treatment required, could be hundreds of thousands of dollars and have devastating impacts on county budgets; and

WHEREAS, in NYS the counties, through county tax levy, already bear an overwhelming portion of the financial burden for supporting individuals suffering from serious mental illness and assuming 100% in 730.20 competency restoration costs will take away millions of dollars for critical behavioral health programming in the community; and

Legislator Albano _____
 Legislator Castellano _____
 Legislator Gouldman _____
 Legislator Jonke _____
 Legislator Montgomery _____
 Legislator Nacerino _____
 Legislator Sayegh _____
 Legislator Sullivan _____
 Chairwoman Addonizio _____

Committee Mtg _____ Resolution # _____
Introduced By _____ Regular Mtg _____
Seconded By _____ Special Mtg _____

WHEREAS, Counties are requesting members of the NYS Senate and Assembly reject the Governor's proposal to shift 100% of the cost of 730.20 competency restoration services to the County Mental Health Commissioners in the SFY 2020-21 Enacted State Budget; now therefore be it

RESOLVED, that Putnam County calls on the Governor and the Office of Mental Health to strongly reconsider the enactment of this proposal which will cripple county budgets and have a devastating impact on the counties' ability to pay for behavioral health programs that are critical for serving the State's most vulnerable populations.

Legislator Albano _____
Legislator Castellano _____
Legislator Gouldman _____
Legislator Jonke _____
Legislator Montgomery _____
Legislator Nacerino _____
Legislator Sayegh _____
Legislator Sullivan _____
Chairwoman Addonizio _____

#6t

Committee Mtg _____ Resolution # _____
 Introduced By _____ Regular Mtg _____
 Seconded By _____ Special Mtg _____

EXTRACT OF MINUTES

**Meeting of the County Legislature of
 the County of Putnam, New York**

April 7, 2020

* * *

A regular meeting of the County Legislature of the County of Putnam, New York, was held at the Historic County Courthouse, Gleneida Avenue, Carmel, New York, on April 7, 2020, at ____ o'clock P.M. (Prevailing Time).

There were present: Toni Addonizio, Chair, and

There were absent:

Also present: Diane Schonfeld, Clerk of the County Legislature
 * * *

Legislator _____ offered the following resolution and moved its adoption:

- Legislator Albano _____
- Legislator Castellano _____
- Legislator Gouldman _____
- Legislator Jonke _____
- Legislator Montgomery _____
- Legislator Nacerino _____
- Legislator Sayegh _____
- Legislator Sullivan _____
- Chairwoman Addonizio _____

RESOLUTION OF THE COUNTY OF PUTNAM, NEW YORK
DECLARING THE FINDINGS OF THE COUNTY WITH RESPECT TO
THE PROPOSALS RECEIVED FOR THE FINANCING OF THE
COUNTY'S ENERGY PERFORMANCE CONTRACT WITH
AMERESCO, INC., AND MAKING CERTAIN OTHER
DETERMINATIONS IN CONNECTION THEREWITH.

THE COUNTY LEGISLATURE OF COUNTY OF PUTNAM, NEW YORK,
HEREBY RESOLVES (by a majority vote of all the members of said Legislature) AS
FOLLOWS:

Section 1. Following the solicitation of proposals, the County of Putnam (the "County") received proposals from various firms to provide financing for a portion of the cost of the energy conservation measures to be implemented under the Energy Services Agreement that the County has heretofore entered into with Ameresco, Inc. (the "Agreement").

Section 2. Following a discussion of the County Legislature of the County, and based upon the written recommendation received from Fiscal Advisors & Marketing, Inc., the County's Municipal Advisor, it is hereby determined that the "Option 2" proposal received from Municipal Leasing Consultants, or one of its affiliates or assigns (the "Lessor") is hereby accepted subject to the negotiation of one or more lease purchase agreements approved by counsel.

Section 3. The County Executive, acting on behalf of the County and with the advice of counsel, is hereby authorized to negotiate, enter into, execute, and deliver one or more lease purchase agreements (the "Equipment Lease") with the Lessor, and is further authorized to negotiate, enter into, execute, and deliver such other documents relating to the Equipment Lease (including, but not limited to, escrow agreements). All other related contracts and agreements necessary and incidental to the Equipment Lease are hereby authorized, and such documents shall be filed in the office of the Commissioner of Finance and made available for public inspection.

Section 4. The aggregate original principal amount of the Equipment Lease shall not exceed \$4,184,693 and shall bear interest and mature as set forth in the Equipment Lease.

Section 5. The County's obligations under the Equipment Lease shall be subject to annual appropriation or renewal by the County Legislature of the County as set forth in the Equipment Lease and the County's obligations under the Equipment Lease shall not constitute a general obligation of the County or indebtedness under the Constitution or laws of the State of New York.

Section 6. The proceeds of the Equipment Lease may be applied to reimburse the County for expenditures made after the effective date of this resolution for the purpose for which said proceeds are authorized, or on or prior to such date in accordance with Treasury Regulation Section 1.150-2 of the United States Treasury Department. The foregoing statement of intent with respect to reimbursement is made in conformity with Treasury Regulation Section 1.150-2 of the United States Treasury Department.

Section 7. The County Executive, the Commissioner of Finance, the Chief Deputy Commissioner of Finance, the Deputy Commissioner of Finance and the County Attorney are hereby authorized to take any and all other actions necessary in connection with the Agreement, the Equipment Lease, and all matters related thereto.

Section 8. This resolution shall take effect upon the approval of the Putnam County Executive.

CLERK'S CERTIFICATE

I, Diane Schonfeld, Clerk to the County Legislature of the County of Putnam, State of New York, HEREBY CERTIFY that the Resolution No.____-2020 contained in the foregoing annexed extract from the minutes of a meeting of the County Legislature of said County of Putnam duly called and held on April 7, 2020, has been compared by me with the original minutes as officially recorded in my office in the Minute Book of said County Legislature and is a true, complete and correct copy thereof and of the whole of said original Resolution, which was duly adopted by the County Legislature of the County of Putnam on April 7, 2020 and approved by the County Executive on April ____, 2020.

IN WITNESS WHEREOF, I have hereunto set my hand and affixed the corporate seal of said County of Putnam this ____ day of April, 2020.

(SEAL)

Clerk to the County Legislature

Hawkins
DELAFIELD & WOOD LLP

*cc: all
ATA 3-30-2020*

*Other Bus.
Audit mtg.
3/30/20*

Approval

#11a)

PHONE 212-820-9300
FAX 212-514-8425

7 WORLD TRADE CENTER
250 GREENWICH STREET
NEW YORK, NY 10007
WWW.HAWKINS.COM

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ANN ARBOR

(212) 820-9563

March 27, 2020

County of Putnam, New York
Energy Performance Lease Financing
(Our File Designation: 4867/43898)

William J. Carlin, Jr., CPA
Commissioner of Finance
County of Putnam
40 Gleneida Avenue
Carmel, New York 10512

Dear Bill:

via email only

In connection with the financing of the Energy Services Agreement of the County of Putnam (the "County"), we have prepared and now send along a draft Extract of Minutes setting forth the resolution (i) declaring the findings of the County with respect to the financing proposals received in connection with the Request for Proposals circulated by Fiscal Advisors & Marketing, Inc., and (ii) making certain other determinations in connection therewith, to be considered by the County Legislature at its meeting to be held on April 7, 2020.

Kindly obtain and forward to me a certified copy of the Extract of Minutes.

With all best wishes, I am

Very truly yours,



Daniel G. Birmingham

DGB:cel

Enclosures

cc: Jennifer Bumgarner, Esq.
Anna Diaz, Esq.
Keith Korycinski, Fiscal Advisors & Marketing, Inc.

2020 MAR 27 AM 5:21
LEGISLATURE
PUTNAM COUNTY
CARMEL, NY