

Exhibit 1-1
NYS CDBG Program
Local Recipient Administrative Plan

Recipient	
CDBG #	
Prepared by	
Submission Date	

The Administrative Plan is a required document that **must be submitted by the recipient to the OCR prior to requesting funds for the first time for each project.**

Please fill out all fields as indicated below and send the completed Administrative Plan to your assigned community/economic developer via email.

I. Grant Administration Roles

- Person responsible for overall administration of project -
Name: _____ Title: _____
 - For ED/SB/ME projects: Is this person also responsible for monitoring the business during the project term?
☐ Yes
☐ If No, please provide the person's -
Name: _____ Title: _____
 - For Housing projects: Is this person also responsible for monitoring construction during the project term?
☐ Yes
☐ If No, please provide the person's -
Name: _____ Title: _____
- Person from municipality responsible for preparing Request for Proposals/Qualifications (RFP/Q), (if applicable) -
Name: _____ Title: _____
- Consultant (if applicable) -
Name: _____ Title: _____
 - Person responsible for monitoring consultant -
Name: _____ Title: _____
- Subrecipient Contact (if applicable) -
Name: _____ Title: _____
 - Person responsible for monitoring subrecipient -
Name: _____ Title: _____

- Financial Management – *a different individual must be identified for each line below.*

- Person who approves expenditures as it relates to CDBG:

Name: _____ Title: _____

- Person who signs CDBG Checks:

Name: _____ Title: _____

- Person responsible for general ledger transactions:

Name: _____ Title: _____

II. Procurement. Will the project require Request for Proposals/Qualifications? If **yes**, see below:

Procurement Requirements for Request for Proposals/Qualifications (RFP/Q):

- Clearly specify within the RFP the minimum qualification that must be met in order for a proposal to be considered, as well as all significant evaluation factors and a scoring system
- Provide an adequate period of time within which bidders could submit a response to the RFP (Generally 3-4 weeks).
- Sufficiently advertise in a publication of general circulation and in minority newspapers to allow for open and fair competition
- Make outreach efforts to identify qualified firms that might be interested in submitting a proposal for the contract, including qualified MBE's, WBE's, small businesses, and local businesses. For example, OCR can accept a posting in a minority newspaper, NYS Contract Reporter, or evidence of direct outreach to MWBE firms (via email, mail, or fax). All or one of these methods would be sufficient.
 - Minority and Women's Business Enterprises (MWBE) – Recipient must demonstrate good-faith efforts to contract with M/WBE firms. See [Chapter 7 of the OCR GAM](#) for additional information

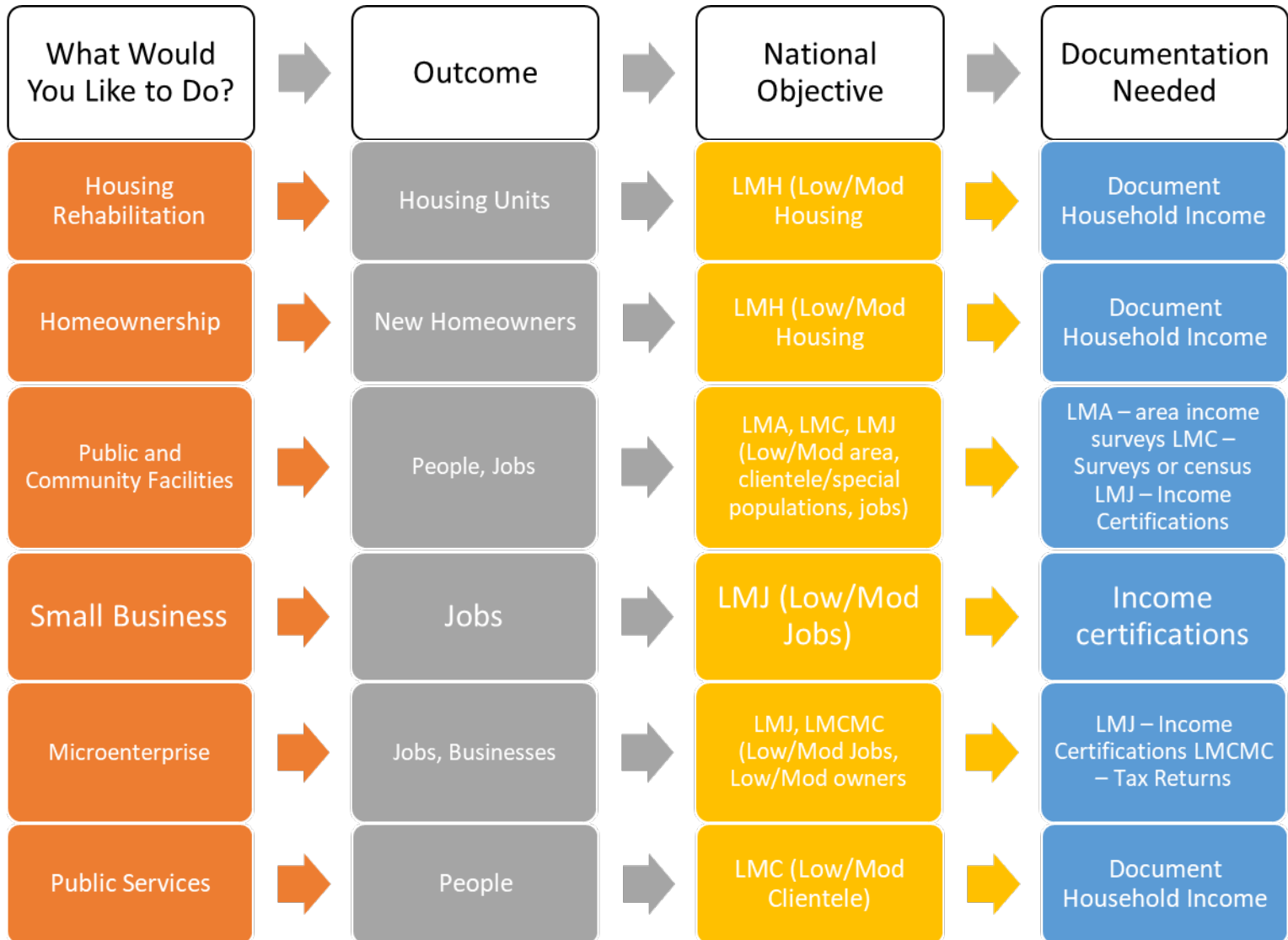
At time of the Administrative Plan's submission, has an RFP/RFQ been issued? If **yes**, see below:

Please note additional attachments will be required, see checklist on last page.

- What was the date the RFP was published?: _____
- What was the due date of the RFP?: _____
- How was MWBE outreach conducted?: _____

- Number of proposals received _____
- If only 1 response was received, date OCR was notified: _____

III. National Objective



Which national objective is being met in this project?

- ☐ LMH (LMI Housing Benefit)
- ☐ LMA (LMI Area Basis)
- ☐ LMC (LMI Limited Clientele)
- ☐ LMJ (Job Creation or Retention)
- ☐ LMCMC (Limited Clientele, Micro-enterprises)

Please provide a file path or brief description of where national objective documentation is stored or maintained (e.g. income surveys, family income forms, tax returns – microenterprise):

IV. Required Attachments

The following documentation is **required** for the CDBG Program and **must be attached** to this Administrative Plan.

- ☐ Attach **Fair Housing Plan**, to include the:
 - ☐ Resolution naming a Fair Housing Officer
 - ☐ Documentation of any efforts to Affirmatively Further Fair Housing (AFFH).

See [Chapter 7 of the OCR GAM](#) or visit the [Fair and Equitable Housing Office](#) website.

- ☐ Attach **Section 504 Accessibility** self-evaluation.

Does the municipality have fifteen (15) or more employees? If yes, see below:

- ☐ Attach **Grievance Procedure** for ADA- related complaints, and method and evidence of public notice.

See [Chapter 7 of the OCR GAM](#) or HUD's [Fair Housing website](#) for further information.

- ☐ Attach **Procurement Policy**, Recipient must have a local procurement policy that addresses each item listed in [2 CFR 200.318 - .326](#) in place. **Affirmative MWBE/Section 3 language should be included in local procurement policy

Did the project undergo the Request for Proposals/Qualifications process? If yes, see below:

- ☐ Copy of the RFP
- ☐ Affidavit of Publication
- ☐ Evidence of MWBE Outreach

See [Chapter 7 of the OCR GAM](#) for further information.

**As the recipient completes individual procurements, evidence thereof must be submitted to the community/economic developer.*

- ☐ Attach **EEO Policy**, which includes Equal Employment Opportunity language in all procurements and the language must also be included in the local procurement policy.

See [Chapter 7 of the OCR GAM](#) for further information.

Does the municipality have over one hundred (100) employees? If yes, see below:

- ☐ Attach the most recently submitted **EEO-4 Survey**

See [Chapter 7 of the OCR GAM](#) or the [Federal EEO-4](#) website for further information.

Does the municipality have a subrecipient listed on the grant? If yes, see below:

- ☐ Attach the **Subrecipient Agreement**. Recipients must send OCR any subrecipient agreements they enter into for review.

Is the CDBG Project subject to Section 3? If yes, see below:

- ☐ Attach **Section 3 Policy**, or Recipients must have approved Section 3 Plan on file with the OCR.

See [Chapter 7 of the OCR GAM](#) or the HCR [Section 3 Compliance](#) website.

Does the municipality have a consultant listed on the grant? If yes, see below:

- ☐ Attach the **Consultant Agreement**. Recipients must also send OCR any consultant agreements they enter into for review.

Does this project contain a Housing, Housing Rehab, or Homeownership Activity? If yes, see below:

- ☐ Attach [5-1 CDBG Lead Based Paint Compliance Certification - Rehab](#)
- ☐ Attach [5-2 CDBG Lead Based Paint Compliance – Acquisition](#)

Does this project anticipate indirect costs being charged to the program? If yes, see below:

- ☐ Cost Allocation Plan

V. Program Income and NFP Qualification under Section (105)(a)(15) of the HCDA (as applicable)

Proceeds or revenues from community economic development, neighborhood revitalization and/or energy conservation projects activities by nonprofit organizations qualified under Section 105(a)(15) of the Housing and Community Development Act are *not considered program income*. Examples of eligible entities under this rule may include:

- Small Business Investment Companies organized under 15 USC Section 681,
- SBA Section 504 Certified Development Companies,
- Community Action Agencies,
- Community Development Corporations,
- Local Development Corporations, and
- Community Housing Development Organizations (CHDOs) under the HOME program
- NYS Land Banks

If a CDBG recipient grantee intends to enter into a subrecipient relationship with a qualified not-for-profit organization to undertake an activity as described in this section, and plans to exercise the above exception to program income, OCR will require as part of the CDBG Administrative Plan the following information for the subrecipient entity:

- ☐ Brief justification statement from CDBG recipient describing the need for participation of the not-for-profit in undertaking this activity;
- ☐ Provide brief explanation of how the organization actively engages in or leads neighborhood-scale community or economic development activities
- ☐ Certificate of Incorporation or other documentation of incorporation as a not-for-profit corporation
- ☐ By-laws, including mission statement of the participating not-for-profit
- ☐ Brief description from not-for-profit of intended future use for any revenues generated from the CDBG funds