

**CHAPTER 1
GETTING STARTED**

**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: _____

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- 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

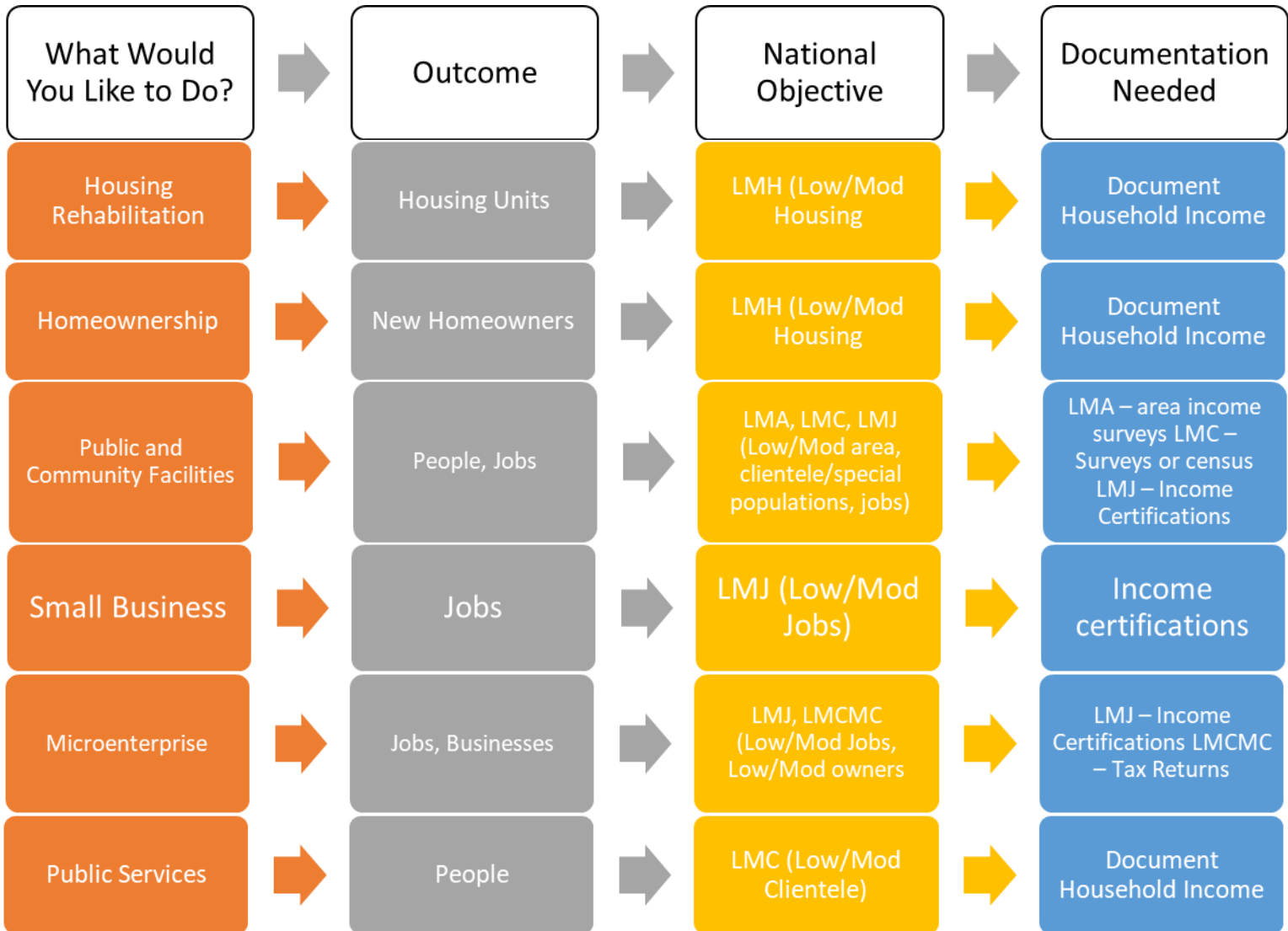
At time of the Administrative Plan's submission, has an RFP/RFQ been issued? If **yes**, see below:
Please note additional attachments will be required, see checklist on last page.

- 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: _____

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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