



# Rochester Housing Stability Fund Activities

Issued: October 25, 2023

Proposals Due: ~~December 29, 2023~~  
January 10, 2024



## City of Rochester, New York

Department of Neighborhood & Business Development  
City Hall, 30 Church Street, Rm. 005-A, Rochester, NY

**City of Rochester**  
**Request for Proposals**  
**Rochester Housing Stability Fund**  
**Activities**

Proposals to be received by 4:00 PM

~~12/28/23~~

1/10/2024

Submit Proposals to:

**Lia Anselm**

Project Manager, Anti-Displacement Learning Network/RHSF

Associate Community Housing Planner

City of Rochester

30 Church Street, Room 005A, Rochester, NY 14614

Lia.Anselm@cityofrochester.gov

# REQUEST FOR PROPOSALS (RFP)

Given the vital importance of, and demonstrable need for, housing quality and stable housing opportunities for vulnerable households City of Rochester, the City on behalf of the Anti-Displacement Learning Network (ADLN) team seeks a Subrecipient(s) or Grantee(s) to provide programming and services that support those goals. The City seeks innovative proposals from qualified organizations with experience in the field, including grassroots organizations that may not have an extensive formal structure in place, and may even need the assistance of a fiscal sponsor for fiduciary oversight and other administrative services. Proposals should demonstrate a Subrecipient or Grantee's ability to carry out their activities in a skillful and competent manner.

## BACKGROUND

In 2020, the NYS Attorney General's Office and Enterprise Community Partners, Inc. (Enterprise), launched the statewide ADLN to support the efforts of municipalities in New York State to reduce or prevent the housing displacement of low-income communities through targeted strategies. The ADLN was a partnership that provided peer learning and technical assistance to ten city and county teams across New York State. The teams gathered information on the drivers of housing instability and learned about best practice tools that could help to address them. The Rochester ADLN team has comprised representatives from Catholic Charities Family and Community Services, the City-Wide Tenant Union of Rochester, the Anthony L. Jordan Health Corporation, and the Volunteers of America along with City staff from Housing, Budget, and Planning, and the President of City Council.

In January 2021, the City of Rochester furthered its commitment to equitable development by accepting a grant award from the statewide ADLN. There are approximately 56,000 renter households in Rochester and there are about 8,000 evictions filed in the city each year. Legal assistance partners indicate that low-income renters who are women of color with children make up approximately three-fourths of the people that they represent in cases related to eviction/housing court. Therefore, the ADLN team identified them as a target population for its learning and assistance. Throughout 2021, 2022, and 2023 the ADLN team pursued several strategies, both short-and long-term, to combat displacement. The award from Enterprise was used to combat COVID-19-related displacement, launch a Property Ownership Readiness pilot program, and a rental unit repair program.

However, the primary vehicle selected to reduce displacement is a Housing Trust Fund (HTF), and the award from the statewide ADLN was additionally used for a consultant to provide research and recommendations on a framework for a local HTF, the Rochester Housing Stability Fund Corporation (RHSFC) specific to Rochester's needs. The RHSFC will be a fund designed to provide small scale assistance for programs that reduce displacement and improve housing and financial stability for low-income households. The fund will be overseen by a Board, which is made up of members from a wide variety of community stakeholders: residents with lived experience with housing insecurity; advocates and housing support providers; financial and development professionals; and government and public housing officials. Each year the Board will determine the priorities for the next year, and review and approve programs and services to pay for with the fund. Those programs and services will be provided through contracts with agencies and other groups.

The team particularly focused on a HTF as an innovative and flexible vehicle dedicated to promoting engagement as well as to fill gaps in housing opportunities and stability for people at risk of displacement. Moving forward, the ADLN team is looking for entities to provide programs and services for other activities developed for the Rochester Housing Stability Fund (RHSF). The programs will stabilize housing by providing lower-income households, in particular women of color

caring for children in their household, with opportunities to improve the quality of their housing and support their personal goals related to housing stability.

The City of Rochester (“City”) received an award from the Coronavirus State and Local Fiscal Recovery Fund established by the American Rescue Plan Act (“ARPA”). The City engaged the community for direct input on the use of ARPA funds to transform Rochester’s recovery from the pandemic, and used this input to develop a blueprint for allocation of funds. At this time the funding for the RHSF is through the City’s ARPA award, and all activities must also be approved activities for that funding stream. All proposals must focus on one or more of these listed activities, listed below.

1. Tenant stabilization through short-term rental/financial assistance paid on their behalf that covers unexpected financial issues that can affect an ability to pay rent or otherwise cause housing insecurity. NOTE: The extremely successful 2021-22 COVID-related Relief Fund was viewed as a pilot for this activity.
2. Increase applicants’ buying power through assistance for homeownership down payments and closing costs, combined where possible with City’s Homebuyer Services [programs](#). May include funds specifically to assist tenants to purchase their current residence either alone or as a cohort, an activity related to the overall Tenant Opportunity to Purchase (TOPA) concept.
3. Reduce housing and wealth inequities through significant financial and educational assistance for people of color, women, and city residents to become responsible local property owners, developers, and housing providers. May be combined with other programs, including the City’s Homebuyer Services programs. NOTE: the 2022 Property Ownership Readiness program is a pilot for this activity, funded through a different source.
4. Agreements with legal services or non-profit service organizations for one or both of the following:
  - a. Assistance to households to navigate estate/probate issues in which the original owner has passed away without a will or with a complex title issue. Encourage owner-occupancy and/or sales to first time buyers where appropriate.
  - b. Assistance to represent tenants who are interested in purchasing a residence either individually or in a cohort, an activity related to the overall Tenant Opportunity to Purchase (TOPA) concept.
5. Property repairs or improvements for properties within QCTs or eligible due to household income levels. Category includes: updates to reduce utility costs; energy efficiency and weatherization assistance unavailable through or leveraged along with other programs; small repairs to mitigate housing insecurity that cannot be made through other programs; assistance to targeted households who successfully purchased through the City’s Homebuyer Services programs.

The Subrecipient or Grantee must have all of the skills, experience and necessary equipment required to perform the proposed services, and shall have the ability to comply with all applicable State, Local, and Federal laws, rules, and regulations as required by the ARPA funding. Information relating to ARPA and the City’s current ARPA spending plan can be found here: [www.cityofrochester.gov/ARPA](http://www.cityofrochester.gov/ARPA).

All assistance will be provided through sub-agreements with agencies selected through RFP process or from previous successful programming. No individual household will be eligible for assistance directly from the Rochester Housing Stability Fund Corporation. Beneficiaries are anticipated to be reviewed for eligibility first by residing within a Qualified Census Tract (QCT). The second consideration will be for households who fit appropriate income guidelines. The eligible activities are:

As a part of this RFP process each Respondent must complete an ARPA funding application, attached as **Appendix A**. This funding application will be made a part of, and considered in conjunction with, all Proposals submitted pursuant to this RFP, and serves to provide the City with the needed information to determine eligibility of proposed uses pursuant to ARPA. The selected Subrecipient(s) or Grantee(s) will be required to comply with the ARPA Final Rule, Treasury’s Guidance Document, and any pertinent local, state, and federal laws, and such compliance requirements will be identified in the final Subrecipient or Grantee Professional Services Agreement. The successful Subrecipient or Grantee will be required to follow any additional rules and procedures as established and implemented by the City. Once proposals are selected and approved by City Council, the City will enter into a Professional Services Agreement (PSA) or Contract agreement with the Subrecipient or Grantee. An example PSA contract template is attached as **Appendix B**; this template only serves as an example of a City boilerplate. It is not the final agreement that the parties will execute.

## TIMELINE

Activity	Time	Date
RFP Release	5:00 P.M.	10/25/23
Bidders’ Conference (Webinar)	2:00 PM	11/7/23
Deadline for questions	4:00 pm	11/13/23
Response for questions submitted	8:00 am	11/17/23
Proposals due	4:00 pm	<del>12/29/23</del>
Sub-recipient or Grantee Selections submitted to Council for approval		2/15/24
City Council Approval of Agreement		4/16/24
Agreement Start Date (estimated)		6/1/24

1/10/24

The dates shown above may be subject to change within the City of Rochester's sole discretion and upon written notification as set forth herein.

## COMMUNICATIONS

All communications by parties who wish to indicate an intent to submit or have submitted a proposal in response to this RFP ("Respondents"), including any questions or requests for clarifications, submission of the proposal, requests for status updates about the proposal selection process and any other inquiries whatsoever concerning this RFP shall be sent, in writing (via email is preferred), to the following City staff person ("City Contact"):

**Lia Anselm**, Project Manager, AntiDisplacement Learning Network/RHSF,  
Associate Community Housing Planner

[Lia.Anselm@cityofrochester.gov](mailto:Lia.Anselm@cityofrochester.gov)

City Hall, 30 Church Street, Room 005A, Rochester, NY 14614

No contact is permitted with any other City staff member with regard to this RFP during the RFP process unless specifically authorized in writing. Prohibited contact may be grounds for disqualification.

To ensure that all Respondents have a clear understanding of the scope and requirements of this RFP, the City will hold a Zoom webinar on Tuesday, November 7, 2023, at 2:00pm, and will respond to all timely questions submitted via e-mail to the City Contact by the question deadline stated above. Please attend the zoom via the link on the City's website or by clicking <https://cityofrochester.zoom.us/j/86520888738?pwd=bHRoTVhsbGhaWUJldkFQ1bytmZjBQUT09>.

Questions and the City's responses will be sent via e-mail to all Respondents who have provided an e-mail address to the City Contact and will be posted on the City's web page for this RFP (<https://www.cityofrochester.gov/rochester-housing-stability-fund/>). The City's failure to timely respond or provide responses to any questions shall not delay or invalidate the City's right to make a decision to award an agreement pursuant to this RFP.

The City will make every reasonable effort to keep Respondents informed about the RFP process. Notifications about Timeline date changes, amendments to the RFP and other information about the RFP will be sent by e-mail to Respondents who have provided an e-mail address to the City Contact and will be posted on the City's website for this RFP. The City's failure to provide such information shall not delay or invalidate the City's right to make a decision to award an agreement pursuant to this RFP.

## **PROPOSAL CONTENT**

Please note that Proposals submitted must indicate and support at least one of the below focus areas:

1. Tenant stabilization
2. Homebuyer assistance and other ownership opportunities
3. Reduction of housing/wealth inequalities related to property ownership/management
4. Legal services or non-profit service organizations providing services related to property ownership and wealth building/preservation
5. Property repairs or improvements for properties within QCTs or eligible due to household income levels

The City encourages submission from both established organizations with a track record of housing stabilization activities as well as from smaller grassroots organizations that may not have an extensive formal structure in place, and may need the assistance of a fiscal sponsor for fiduciary oversight and other administrative services.

Eligible: Not-for-profit organizations (501(c)(3)); community-based organizations; for-profit organizations; governmental agencies; faith-based organizations (providing non-religious programs and services)

Not Eligible: Individuals; faith-based organizations for religious-based services

Special attention will be given to Respondents who clearly demonstrate that their proposed model is evidence-based and will ensure programs maintain adherence to the model being implemented. Evidence-based programs are interventions that have been determined through structured program evaluation to be effective at achieving the stated outcomes.

The proposal should include the following information in the order specified:

1. **EXPERIENCE:** A detailed, formal description of Respondent’s organization and its experience, to demonstrate competence and skill in the area of housing stabilization, including but not limited to the following:
  - a) Existing relationships with City of Rochester neighborhoods;
  - b) Credibility with the target population(s);
  - c) Description of current services provided by the organization, including specific services related to the activity category proposed;
  - d) Demonstrated ability to track, document, and report on results;
  - e) Description of intended service population;
  - f) Description of specific, verified outcomes and accomplishments achieved by Respondent in providing its current services related to housing stability; and
  - g) Experience administering grant funds, particularly government, if applicable. (Such experience is preferred but not required).
  
2. **SCOPE OF WORK:** A general description of the scope of work to be performed with the funds, including:
  - a) Identification of, and specific detailed information regarding programming and services to be provided to address the City’s/RHSF team’s need for housing stability services;
  - b) Demographics targeted by such programming including number of individuals to be served;
  - c) Description of the evidence-based model or approach to be used in the proposed programming, if applicable; and
  - d) A detailed justification to describe the need for the specific programming proposed in the manner in which your organization tends to carry out, establish, or continue such programming in connection with the Program, which may be based on historical data compiled by your organization and reports or analysis of outcomes of your organization’s current and prior projects.
  
3. **FUNDING TIER AND BUDGET:**

The City welcomes applications in one of three Funding Tiers, outlined here:

<b>Annual request</b>	<b>City’s expectation</b>
<b>Tier 1:</b> Less than \$30,000	Small-scale neighborhood level activities. Could include organizations that work with a fiscal sponsor.
<b>Tier 2:</b>	Serve a limited geographic area or a narrow target population.

\$30,000 to less than \$150,000	
<b>Tier 3:</b> \$150,000 to less than \$350,000	Ability to provide complex programs across a large portion of the City of Rochester.

The City has made no predetermined decision on how many proposals will be awarded within each funding tier. Please provide a detailed, itemized budget demonstrating how funds will be spent to accomplish the tasks to be provided for the City in connection with the Project, broken down into categories and specific expenses to the extent that such information can be provided or projected. Please break out salaries/wages for individual staff by title. Specify any request for “up front” funding required for materials or equipment purchases, and a proposed phased payment schedule.

Please use this table as a guideline for your format:

<b>Category</b>	<b>Item</b>	<b>Amount</b>
Personnel	Salaries/Wages – staff 1	\$
	Salaries/Wages – staff 2	\$
	Salaries/Wages – staff 3	\$
	Benefits	\$
Other Direct Costs	Supplies (describe)	\$
	Materials (describe)	\$
	Food	\$
	Communications/printing	\$
	Other (list)	\$
Indirect	(not to exceed 10%)	\$
	<b>TOTAL</b>	<b>\$</b>

4. **STAFF AND LEADERSHIP:** A list of all current staff and leadership personnel to be utilized for the Project, and staff positions to be created for the Project, described in a narrative and shown on an organizational chart (optional), including the title of the position, and a description of the position.
5. **REFERENCES:** Please provide two or three references from prior projects similar to that being solicited herein, including contact names, email addresses and phone numbers related to the successful completion of prior work for an organization or government body, or related to current on-going projects.
6. **ARPA FUNDING APPLICATION:** attached hereto as **Appendix A**

## TERM



ARPA funds must be obligated by December 31, 2024, and expended on eligible activities by December 31, 2026. The City prefers a one year term with the option for one renewable one year terms, so long as these deadlines can be accommodated. Failure to meet these deadlines will result in claw-back of funds by the U.S. Treasury.

## **CITY RESPONSIBILITIES**

The City's role in the Project will be determined after acceptance of the successful Proposal. However, it should be noted that by accepting money as a Subrecipient or Grantee of SLFRF funds, the Subrecipient or Grantee becomes a fiduciary to the City, and shares in compliance and reporting responsibilities. As such, the City will, at a minimum, be responsible for assisting in compliance and reporting, and will work closely with the chosen Subrecipient or Grantee, with access to financials, review and approval of work plans and reports, and site visits as necessary as a means of monitoring implementation.

## **PROPOSAL PREPARATION AND SUBMISSION PROCESS**

1/10/24

Proposals must be postmarked or received by the City no later than ~~10/29/23~~. Please email proposals to the contact information below.

Lia Anselm, Project Manager, AntiDisplacement Learning Network/RHSF

Associate Community Housing Planner

City of Rochester, 30 Church Street, Room 005A, Rochester, NY 14614

Lia.Anselm@cityofrochester.gov

This RFP is designed to facilitate the evaluation and selection of housing/financial stability program providers that are best able to achieve the City's objectives. The proposal shall contain a table of contents. All pages shall be numbered and major sections and all attachments shall be referenced in the table of contents. In order to enable the City to effectively review the information contained in the proposals, proposals shall reference the numbered and lettered sections of the RFP. The response to each section shall be clearly indicated and addressed or an explanation provided for why the Respondent is not submitting a proposal for a specific section or requirement of the RFP.

Each proposal shall be signed by an individual authorized to enter into and execute contracts on the Respondent's behalf. Unless otherwise specified in its proposal, Respondent represents that it is capable of meeting or exceeding all requirements specified in this RFP.

Submission of a proposal shall be deemed authorization for the City to contact Respondent's references. Evaluation of proposals will be conducted by the City based on information provided in the Respondent's proposals and on such other available information that the City determines to be relevant. The evaluation of proposals may include an on-site assessment, meetings with authorized personnel, and may involve the use of a third-party consultant.

The Respondent(s) or Grantee(s) selected by the City will be required to enter into a

Professional Services Agreement (PSA) with the City (see Appendix B, the City's standard PSA form) or in the alternative, depending on the nature of proposals received by the City, the City may determine that a Grant Agreement is preferable, in its sole discretion. The establishment of a PSA or Grant Agreement is contingent upon approval by City Council for all Agreements in excess of \$20,000 or for a period of more than one year and upon the availability of funds for such an agreement. Unless otherwise stated in the proposal, the Respondent's response to this RFP shall be deemed its acceptance of the terms of this PSA, if a PSA is utilized. (Note: Attention is directed to the City's Living Wage requirements and MWBE and Workforce Utilization Goals). By submitting a response to this RFP, however, it is expressly understood by the Respondent that, while the PSA boilerplate is a standard template, this particular project is funded with SLFRF ARPA funds, and therefore the ultimate PSA or Grant Agreement to be signed by the parties will be significantly more complex, and terms may differ.

Professional Services Agreements resulting from this RFP are expected to commence on approximately June 1, 2024 for a term of at least one year, with an option to renew for an additional one-year period, but in no event will this funding source be available past December 31, 2026, when any remaining funds not spent will be due back to the U.S. Treasury. The possibility of renewal is based on Subrecipient or Grantee performance and also on availability of funds. It is also understood that all ARPA funds must be obligated by December 31, 2024.

Respondents shall provide sufficient information in their written proposals to enable the City review team to make a recommendation to the Mayor. The City reserves the right to invite any or all Respondents to an interview to discuss their proposal. Any expenses resulting from such an interview will be the sole responsibility of the Respondent. The City is under no obligation to select any of the responding Respondents or to conduct the Project described herein. The City may amend or withdraw the RFP at any time, within its sole discretion. The City shall have no liability for any costs incurred in preparing a proposal or responding to the City's requests with respect to the proposal.

The selection of a Subrecipient or Grantee is within the City's sole discretion and no reasons for rejection or acceptance of a proposal are required to be given. Although costs are an important consideration, the decision will be based on qualifications and compliance with the requirements of this RFP and not solely on cost. The City reserves the right to reject any or all proposals or to accept a proposal that does not conform to the terms set forth herein. The City further reserves the right to waive or modify minor irregularities in the proposals and negotiate with Consultants to serve the City's best interest.

## **PROPOSAL EVALUATION CRITERIA**

**Proposal:** The Respondent's comprehension of the needs of the City (to reduce housing displacement) as demonstrated by its description of its approach to its program proposal.

**Experience:** The Respondent's relevant experience in providing the same or similar services.

**Cost:** The total cost of the Respondent's proposal is important to the City, however, based on the evaluation of the other criteria, the City will not necessarily select the lowest bidder(s) or the organization(s) that would provide the most services.

References: Evaluation of the Respondent's previous work and impact in the area of housing displacement.

Commitment of key principals to the Project: Demonstration of availability of senior-level staff or associates to be assigned to this Project to ensure depth, accountability, and diversity of perspective.

MWBE and Workforce Goals: The City of Rochester desires to encourage minority and women owned enterprises (MWBE) to participate in opportunities to enter into PSAs with the City and to encourage minorities and women in the workforce. Pursuant to Ordinance No. 2018-54, the City has a goal that 30% of the aggregate annual contract awards for professional service contracts over \$10,000 be awarded to minorities (M) (15%) and women (W) (15%). The City has also established minority workforce goals of 20% M and 6.9% W for professional services consulting contracts. For more information, please see [www.cityofrochester.gov/mwbe](http://www.cityofrochester.gov/mwbe).

Respondents shall be awarded MWBE bonus weighting as follows:

1. The City will give preference to Consultants who are New York State certified MWBEs. Consultants who meet this requirement shall receive **an additional weighting of 10%**.
2. The City will give preference to Consultants who utilize state certified MWBE subcontractors with bona fide offices and operations in the Empire State Development Finger Lakes Region, which includes the following counties: Genesee, Livingston, Monroe, Ontario, Orleans, Seneca, Wayne, Wyoming and Yates. State-certified MWBEs from outside the Region may be counted if there are insufficient businesses in the Region to perform the specialized work or consulting services required. If one or more MWBE subcontractors will perform 10% to 20% of the work of the contract – measured as either a percent of the total contract amount or as a percent of the total full-time-equivalent labor hours budgeted for this project, the consultant shall receive **an additional weighting of 5%**. If MWBE subcontractors will perform more than 20% of the work of the contract, the Consultant shall receive an **additional weighting of 10%**.
3. Respondents shall provide sufficient documentation with their proposal to support the additional preference weighting as an MWBE Consultant or for use of MWBE subcontractors. If one or more MWBE subcontractors are proposed, they must be named and the size of the subcontract identified. If selected, the Respondent shall submit an MWBE Utilization Plan on the City's form for approval by the MWBE Officer. Once approved, the Utilization Plan shall be incorporated into the PSA.
  - a. If the total amount of a PSA is increased by 5% or more at any time during the term of the PSA, the Consultant shall submit a revised MWBE Utilization Plan for approval by the MWBE Officer. The MWBE Officer may also issue a revised MWBE Utilization Plan for unforeseen changes in the availability of MWBE subcontractors during the term of the PSA.
4. The City will give preference to Consultants who meet or exceed the City's workforce goals, which are: 20% M and 6.9% W. Consultants who demonstrate that their, and/or their subcontractors' workforce on this Project meets or exceeds these goals shall receive an **additional weighting of 10%**. If selected, the Respondent shall submit a Workforce Staffing Plan on the City's Form for review by the MWBE Officer. Once reviewed, the Workforce Staffing Plan shall be incorporated into the PSA. The calculated percentages of workforce utilization shall be based on actual hours worked and billed over the term of the project. The final determination of a workforce

goals accomplished during the contract shall be based on hours reported in the workforce utilization reports.

5. If selected, the Respondent shall provide MWBE utilization and subcontractor/supplier payment certification and/or workforce utilization reports on the City's forms. These reports shall be submitted with each invoice or as otherwise requested by the MWBE Officer.
6. A failure to submit the required subcontractor/supplier payment certification and/or workforce utilization reports shall constitute a default in the performance of the Agreement subject to potential termination for default by the City. In addition, if the selected Respondent fails to meet the most recent MWBE Utilization Plan and/or Workforce Staffing Plan, for which additional weight was awarded by the end of the PSA, such failure may result in disqualification from award of future contracts with the City.
7. Summary of additional evaluation weighting points for MWBE and Workforce Goals:

<b>Category of Additional Evaluation Points</b>	<b>Additional Weight Awarded</b>
Respondent is New York State Certified MWBE	10%
Utilize MWBE Subcontractors for 10-20% of work	5%
Utilize MWBE Subcontractors for more than 20% of work	10%
Meet or exceed workforce goals of 20% M and 6.9% W	10%

Other Criteria: Other criteria may be considered and evaluated by the City if it is determined to be in the best interest of the City and the success of the Project to do so. For example as mentioned elsewhere in this RFP, special attention may be given to proposals that have a primary or partial focus on individuals with a history of involvement in the criminal justice system. Special attention will be given to Respondents who demonstrate that their proposed model is evidence-based and will maintain programs with adherence to the model being implemented.

## **MISCELLANEOUS**

The City reserves the right to amend or withdraw this RFP in the City's sole discretion, including any timeframes herein, upon notification of all Respondents as set forth above, and in such case, the City shall have no liability for any costs incurred by any Respondent.

The City may request additional information from any Respondent to assist the City in making its evaluation.

The proposal and all materials submitted with the proposal shall become property of the City, and will be subject to NYS Freedom of Information Law. If any proprietary information is submitted with the proposal, it must be clearly identified and a request to keep such information confidential must be submitted.

Submission of a proposal shall constitute a binding offer by Respondent to provide the services at the prices described therein until such time as the parties enter into a PSA.

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## APPENDIX A

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# ARPA Funding Application and Disclosure Form

The American Rescue Plan Act (the “ARP”) was signed into law on March 11, 2021. The City of Rochester (the “City”) has been deemed eligible for the direct allocation of Federal ARP aid and intends to utilize a portion of such funding to provide local stimulus through sub-award to local entities (Sub-recipients or Grantees).

## PROJECT & RESOURCE ALLOCATION PLAN

### *APPLICATION INSTRUCTIONS*

1. Lead entity (Sub-recipient or Grantee) on any submission must fill out the attached form in its entirety. Providing incomplete or deficient information will result in the delay in the disbursement of funds by the City.
2. By completing this form, Sub-recipient confirms that they understand that the requested information is required for ARP funding.
3. Tax returns for the last two years (2021 & 2022) may be required upon request of the City.
4. Local allocations may be provided by the City of Rochester in the form of grants, loans, forgivable loans or any combination.

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## SECTION I

### RESPONDENT ORGANIZATION INFORMATION

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**1.1 NAME OF LEAD ORGANIZATION:**

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**1.2 TYPE OF ORGANIZATION (NOT-FOR-PROFIT; FOR-PROFIT; RELIGIOUS; GOVERNMENT)**

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**1.3 FOUNDING DATE**


**1.4 ORGANIZATION ADDRESS:**


**1.5 EIN NUMBER AND UNIQUE ENTITY IDENTIFIER:**


**1.6 NUMBER OF EMPLOYEES:**


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## SECTION II

### CONTACT INFORMATION

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**2.1 PRIMARY CONTACT NAME:**

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**2.2 OTHER AUTHORIZED CONTACT(S):**

--

**2.3 CONTACT PHONE (INCLUDE EXTENSION, IF APPLICABLE):**

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**2.4 CONTACT EMAIL:**

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**2.5 PREFERRED METHOD OF CONTACT:**

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## SECTION III

### APPLICANT INFORMATION

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<b>3.1 IS YOUR ORGANIZATION LOCATED WITHIN THE OF CITY OF ROCHESTER:</b>	
Yes_____	No_____
<b>3.2 ARE THE OFFICERS OF THE ORGANIZATION RESIDENTS OF THE CITY:</b>	
Yes_____	No_____
<b>3.3 DOES THE ORGANIZATION CURRENTLY PROVIDE SERVICES TO CITY RESIDENTS?</b>	
Yes_____    Number of Residents _____	No_____
<b>3.4 DOES THE ORGANIZATION POSSESS A CURRENT TAX-EXEMPT STATUS AS A PUBLIC CHARITY UNDER SECTION 501(C)(3), 501(C)(4), OR (19) OF THE INTERNAL REVENUE CODE, LISTED ON THE IRS MASTER FILE?</b>	
Yes_____    Type_____	No_____
<b>3.5 PLEASE IDENTIFY THE PARTIES THAT ARE AUTHORIZED TO EXECUTE AGREEMENTS ON YOUR ORGANIZATION’S BEHALF.</b>	
<b>3.6 PLEASE STATE WHETHER YOUR ORGANIZATION HAS PREVIOUSLY RECEIVED FEDERAL FUNDS AND WHETHER THERE WERE ANY NEGATIVE AUDIT FINDINGS PERTAINING TO THOSE FUNDS.</b>	

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## SECTION IV

### INTENDED PROJECT PURPOSE

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<b>4.1 WILL THE PROJECT ALLOW YOU TO EXPAND YOUR ORGANIZATION?</b>	
Yes _____	No _____
How?	
<b>4.2 DOES THE PROJECT BUDGET HAVE ANY ADDITIONAL SOURCES OF FUNDS? IF SO, PLEASE DESCRIBE THE OTHER FUNDS, AND EXPLAIN HOW THE NON-ARPA FUNDS WILL BE USED AND INTEGRATED INTO THE PROJECT, BOTH IN INITIALLY AND LONG TERM.</b>	
<b>4.3 DESCRIBE AN OVERVIEW OF THE PROJECT AND A SUMMARY TIMELINE FOR START-UP AND COMMENCEMENT OF PROGRAM. <sup>(1)</sup></b>	

<b>4.4 DESCRIBE THE FORECASTED IMPACT/BENEFIT AND THE ANTICIPATED LENGTH OF IMPACT/BENEFIT (1, 5, 10, 15, 20+ YEARS) (1)</b>

*(1) The fiscal and/or community impact(s) should be quantifiable or qualifiable, including the number of participants and a timeline for training of participants. Details about the short and long-term impact(s) to the City, the Organization and City stakeholders should be included.*

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## SECTION V

### COVID-19 QUESTIONS

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#### 5.1 WAS YOUR ORGANIZATION IMPACTED BY COVID-19?

Yes \_\_\_\_\_

No \_\_\_\_\_

#### 5.2 QUALIFY AND QUANTIFY HOW YOUR ORGANIZATION WAS/IS IMPACTED BY THE COVID-19 PANDEMIC?

#### 5.3 DID YOUR ORGANIZATION LAY OFF EMPLOYEES DUE TO COVID-19?

Yes \_\_\_\_\_

No \_\_\_\_\_

If Yes, How Many?

#### 5.4 DID COVID-19 IMPACT YOUR HIRING?

Yes \_\_\_\_\_

No \_\_\_\_\_

If Yes, How?

#### 5.5 DID COVID-19 IMPACT YOUR REVENUES?

Yes \_\_\_\_\_

No \_\_\_\_\_

If Yes, Quantify?

#### 5.6 HAVE YOU EVER APPLIED FOR ANY FORM(S) OF COVID-19 RELIEF?

<b>(PPP Funds, State/Federal Grants/Loans)</b>	
Yes _____	No _____
If Yes, Please Provide Details?	
If Yes, are any Awards Pending?	

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## SECTION VI

### ACKNOWLEDGMENT FORM

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This form is used to acknowledge receipt of the U.S. Treasury's Compliance and Reporting Guidance for State and Local Fiscal Recovery Funds, which is attached as Appendix C to this RFP.

**Complete the following steps:**

1. Read U.S. Treasury's Compliance and Reporting Guidance for State and Local Fiscal Recovery Funds, which is accessible via link in Appendix C.
2. Sign and date in the spaces provided below.
3. Return *this page* to the City as part of the ARPA application

**By signing below, I agree to the following terms:**

1. I have received, read and understand the U.S. Treasury's Compliance and Reporting Guidance for State and Local Fiscal Recovery Funds, which is available via link in Appendix C to this application.
2. I confirm that I am able to and pledge to adhere to all compliance and reporting requirements of the U.S. Treasury as it relates to any State and Local Fiscal Recovery Funds. (The US Treasury guidance requires, at a minimum, quarterly reporting). Additional reporting requirements may be applicable.
3. I Understand the City will contact me if and when additional information is needed and that information will be provided to the City to support reporting requirements.
4. If for any reason I am unable to comply with the U.S. Treasury's compliance and reporting requirements I will immediately notify the City by email.

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Respondent/Applicant Signature

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Respondent/Applicant Title

## City of Rochester Disclosure

The Program for which you are applying may be part of one or more City of Rochester (hereinafter the "City"), federal, state, or other programs, including, but not limited to, the American Rescue Plan Act, Community Development Block Grant (CDBG) Program, Emergency Solutions Grant (ESG) Program, HOME Investment Partnerships (HOME) Program, Housing Opportunities with Persons with AIDS (HOPWA) Program, Asset Control Area (ACA) Program, Rochester Economic Development Corporation (REDCO) or City Development Fund (CDF). Each of these programs has rules and regulations prohibiting conflicts of interest. Conflicts generally arise where the applicant or his or her family or business may have an economic or employment interest in the program or the entity providing the program.

Program regulations generally limit the participation of employees, agents, consultants, officers, or elected appointed officials of the City or any designated public agencies, or sub-recipients receiving Program funds, and those with whom they have business or immediate family ties, during their tenure or for one year thereafter. For federally assisted housing and community development programs, this applies unless an exception is granted by the U.S. Department of Housing and Urban Development (HUD). In order for HUD to grant an exception to such persons there must be a public disclosure of the application and the City's Corporation Counsel must determine that the participation does not violate state or local law.

The objective of this form is to identify applicants that may have a conflict under the rules and regulations. The City will then determine whether an exception should be granted or requested. The City's Office of The Mayor, in cooperation with the Corporation Counsel, is responsible for conflict of interest determinations and the coordination of the exception process for federally assisted housing and community development programs.

Name of Applicant(s):

Applicant 1:

---

Applicant 1: I am employed at \_\_\_\_\_ in the position of \_\_\_\_\_



Applicant 2: \_\_\_\_\_

Applicant 2: I am employed at \_\_\_\_\_ in the position of \_\_\_\_\_

Business Name (if applicable): \_\_\_\_\_

Property Address: \_\_\_\_\_

Program Name: \_\_\_\_\_

I/We certify that **(Please ONLY check one option (1 or 2))**:

\_\_\_\_ 1. I/we am/are NOT an employee, agent, consultant, officer, or elected or appointed official of the City of Rochester, and am NOT a relative of an employee, agent, consultant, officer or elected or appointed official of City of Rochester, nor part of any designated public agencies, business, or sub-recipients receiving CDBG or other Program funds.

\_\_\_\_ 2. I/we AM/ARE an employee agent, consultant, officer or elected or appointed official of the City of Rochester OR I/we am/are a relative of an employee, agent, consultant, officer or elected or appointed official of the City of Rochester, or I/we am/are part of a designated public agency or worked any such agency within the last year, business or sub-recipient receiving CDBG or other Program funds.

I ( \_\_do) or ( \_\_do not) perform any duties relating to the Program.

For Family/Relative Affiliation:

\_\_\_\_\_ is the family member to whom I am related. ( \_\_\_\_\_ ).  
(Name) (Relationship)

This family member is employed at \_\_\_\_\_ in the position of \_\_\_\_\_.

This family member ( does) or ( does not) perform any duties relating to the program.

Applicant #1

Signature \_\_\_\_\_ Date \_\_\_\_\_

Applicant #2

Signature \_\_\_\_\_ Date \_\_\_\_\_

STATE OF NEW YORK)

COUNTY OF MONROE) ss.:

On the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_ before me, the undersigned, a Notary Public in and for said State, personally appeared \_\_\_\_\_ personally known to me, or proved to me on the basis of satisfactory evidence to be the individual(s) whose name(s) is (are) subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their capacity(ies), and that by his/her/their signature(s) on the instrument, the individual(s), or the person upon behalf of which the individual(s) acted, executed the instrument.

\_\_\_\_\_  
Notary Public/Commissioner of Deeds

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## APPENDIX B

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Example PSA with City of Rochester  
For Reference Only

**AGREEMENT FOR  
PROFESSIONAL SERVICES**

**THIS AGREEMENT**, is made this \_\_, day of \_\_\_\_\_, 20\_\_, by and between the **CITY OF ROCHESTER**, a municipal corporation having its principal office located at City Hall, 30 Church Street, Rochester, New York 14614, hereinafter referred to as the "City" and \_\_\_\_\_, with offices located at \_\_\_\_\_, Rochester, N.Y. 14\_\_\_\_, hereinafter referred to as the "Consultant".

**WITNESSETH:**

**WHEREAS**, the City desires to secure the professional services of a Consultant to provide services required for \_\_\_\_\_, hereinafter referred to as the "Project", and,

**WHEREAS**, the Consultant has the necessary equipment, personnel and expertise to perform the Project.

**NOW THEREFORE**, in consideration of the terms and conditions contained herein, the parties do covenant and agree as follows:

**SECTION 1. DESCRIPTION OF SERVICES**

**A.** The Consultant shall, upon the commencement date specified in Section 2 hereof, perform in a professional and workmanlike manner to the reasonable satisfaction of the City, the following services:

**B.** Except as otherwise specified in this Agreement, all equipment, materials and supplies

required to carry out the provisions of this Agreement and to perform the services described above shall be furnished by the Consultant and shall be fit for their purpose to the reasonable satisfaction of the City.

**SECTION 2. TERM**

The services required of the Consultant pursuant to this Agreement shall commence on \_\_\_\_\_ and shall terminate on \_\_\_\_\_.

**SECTION 3. FEE**

**A.** The City agrees to pay and the Consultant agrees to accept as full payment for the work and services performed pursuant to this Agreement, the following payable in the following manner:

The Consultant shall submit an invoice and any other supporting documentation in the manner prescribed by the City at a minimum of once every ninety (90) days during the term of this agreement, unless a different schedule is approved by the City.

**B.** The total fee payable by the City pursuant to this Agreement, including all costs and disbursements whatsoever shall not exceed the sum of \_\_\_\_\_ Dollars (\$\_\_\_\_\_).

**SECTION 4. AUTHORIZED AGENT FOR THE CITY AND THE CONSULTANT**

**A.** The City hereby designates:

**B.** The Consultant hereby designates:

or their authorized representatives, as Authorized Agents of the City and of the Consultant for receipt of all notices, demands, vouchers and other communications pursuant to this Agreement. The parties reserve the right to designate other or additional agents upon written notice to the other party. In no event shall the City's Authorized Agent be authorized to amend or extend this Agreement or to accept service for the commencement of any legal actions or proceedings related to the Agreement.

## **SECTION 5. TERMINATION FOR DEFAULT**

The performance of work under this Agreement may be terminated by the City in accordance with this clause in whole, or in part, whenever the Consultant shall default in the performance of this Agreement in accordance with its terms. Upon termination, the City may take over the work to be performed and complete the same by contract or otherwise, in the City's discretion and the Consultant shall be liable to the City for any excess cost occasioned thereby. The total fee payable to the Consultant under this Agreement upon such termination shall be such proportionate part of the total fee as the value of the work satisfactorily completed and delivered to the City bears to the value of the work contemplated by this Agreement.

## **SECTION 6. INDEMNIFICATION**

The Consultant hereby agrees to defend, indemnify and save harmless the City of Rochester against any and all liability, loss, damage, suit, charge, attorney's fees and expenses of whatever kind or nature which the City may directly or indirectly incur, or be required to pay by reason or in consequence of the intentionally wrongful or negligent act or omission of the Consultant, its agents, employees or contractors. If a claim or action is made or brought against the City and for which the Consultant may be responsible hereunder in whole or in part, then the Consultant shall be notified and shall handle or participate in the handling of the defense of such matter.

## **SECTION 7. INSURANCE**

### **A. Workers' Compensation and Disability Benefits Insurance**

This Agreement shall be void and of no effect unless the Consultant shall secure compensation for the benefit of, and keep insured during the life of this Agreement, any and all employees as are required to be insured under the provisions of the Workers' Compensation Law of the State of New York or the state of the Consultant's residence, whichever may apply. The Consultant shall provide proof to the City, duly subscribed by an insurance carrier, that such Workers' Compensation and Disability Benefits coverage have been secured. In the alternative, Consultant shall provide proof of self-insurance or shall establish that Worker' Compensation and/or Disability Benefits coverage is not required by submitting the current and required New York State Workers' Compensation Board's form.

### **B. General Liability Insurance**

- C.** The Consultant shall obtain at its own expense general liability insurance for protection against claims of personal injury, including death, or damage to property, arising out of the Project. The amount of said insurance coverage shall be in the amount of Two Million Dollars if said insurance is a "Defense within Limits" policy under which all claim expenses are included within both the applicable limit of liability and self-insured retention. Otherwise, the insurance coverage shall be in the amount of One Million Dollars. Said insurance shall be issued by a reputable insurance company, authorized to do business in the State of New York. Said insurance shall also name the City of Rochester as an insured and copies of the policy endorsements reflecting the same shall be provided. The Consultant shall provide the City with a certificate of insurance from an authorized representative of a financially responsible insurance company evidencing that such an insurance policy is in force. Furthermore, the Consultant shall provide a listing of any and all exclusions under said policy. The insurance shall stipulate that, in the event of cancellation or modification the insurer shall provide the City with at least thirty (30) days written notice of such cancellation or modification. In no event shall such liability insurance exclude from coverage any municipal operations or municipal property related to this Agreement.

## **SECTION 8. EQUAL OPPORTUNITY AND MWBE AND WORKFORCE UTILIZATION GOALS**

### **A. General Policy**

The City of Rochester, New York reaffirms its policy of Equal Opportunity and its commitment to require all contractors, lessors, vendors and suppliers doing business with the City to follow a policy of Equal Opportunity, in accordance with the requirements set forth herein. The City further does not discriminate on the basis of disability, in admission or access to, or treatment or employment in its programs and activities. The City is including these policy statements in all bid documents, contracts, and leases. Contractors, lessors, vendors and suppliers shall comply with all State and Federal Equal Opportunity laws and regulations and shall submit documentation regarding Equal Opportunity upon the City's request.

**B. Definitions**

MINORITY GROUP PERSONS - shall mean a person of Black, Hispanic, Asian, Pacific Islander, American Indian, or Alaskan Native ethnic or racial origin and identity.

**C. Compliance**

The Consultant shall comply with all of the following provisions of this Equal Opportunity Requirement:

1. The Consultant agrees that he will not discriminate against any employee for employment because of age, race, creed, color, national origin, sex, sexual orientation, gender identity or expression, disability, or marital status in the performance of services or programs pursuant to this Agreement, or in employment for the performance of such services or programs, against any person who is qualified and available to perform the work in which the employment relates. The Consultant agrees that in hiring employees and treating employees performing work under this Agreement or any subcontract hereunder, the Consultant, and its subcontractors, if any, shall not, by reason of age, race, creed, color, national origin, sex, sexual orientation, gender identity or expression, disability or marital status discriminate against any person who is qualified and available to perform the work to which the employment relates. The Consultant agrees to take affirmative action to ensure that applicants are employed, and that applicants are hired and that employees are treated during their employment, without regard to their of age, race, creed, color, national origin, sex, sexual orientation, gender identity or expression, disability, or marital status. Such actions shall include, but not be limited to the following: employment, upgrading, demotions or transfers, recruitment and recruitment advertising, layoffs,



terminations, rates of pay and other forms of compensation, and selection for training, including apprenticeship.

2. The Consultant agrees that its employment practices shall comply with the provisions of Chapter 63 of the Rochester Municipal Code, which restricts inquiries regarding or pertaining to an applicant's prior criminal conviction in any initial employment application.
  
3. If the Consultant is found guilty of discrimination in employment on the grounds of age, race, creed, color, national origin, sex, sexual orientation, gender identity or expression, disability, or marital status by any court or administrative agency that has jurisdiction pursuant to any State or Federal Equal Opportunity Laws or regulations, such determination will be deemed to be a breach of contract, and this Agreement will be terminated in whole or part without any penalty or damages to the City on account of such cancellation or termination, and the Consultant shall be disqualified from thereafter selling to, submitting bids to, or receiving awards of contract with the City of Rochester for goods, work, or services until such time as the Consultant can demonstrate its compliance with this policy and all applicable Federal and State Equal Opportunity laws and regulations.
  
4. The Consultant shall cause the foregoing provisions to be inserted in all subcontracts, if any, for any work covered by this Agreement so that such provisions will be binding upon each subcontractor, provided that the foregoing provisions shall not apply to subcontracts for standard commercial supplies or raw materials.

#### **D. MWBE AND WORKFORCE UTILIZATION GOALS**

The City of Rochester has established a policy to promote the growth and development of Minority and Women Business Enterprises (MWBE) and to improve employment opportunities for minorities and women and has adopted MWBE goals and minority workforce participation goals that apply to professional services consulting agreements with a maximum compensation exceeding \$10,000 pursuant to Ordinance No. 2018-54.

Ordinance No. 2018-54 established the goal that MWBE's receive 30% of the total annual contract awards with aggregate minority and women award goals of 15% each. Ordinance No. 2018-54 further established annual aggregate workforce goals of 20% minority and 6.9% women.

The Consultant shall submit a workforce staffing plan, which, when reviewed by the City's MWBE Officer, shall be incorporated into this Agreement as Exhibit A, detailing the percentage of the workforce utilized to perform the work of this agreement who will be either minority or women, including both the Consultant's workforce and that of any subcontractors who will be utilized. Consultant shall submit workforce utilization reports on the City's forms with each invoice or as otherwise requested by the MWBE Officer. The Consultant understands and accepts that the calculated percentages of workforce utilization shall be based on actual hours worked and billed over the term of the project. The final determination of a workforce goals accomplished during the contract shall be based on hours reported in the workforce utilization reports.

The Consultant shall submit an MWBE utilization plan with respect to any subcontractors or suppliers used to perform the services under this Agreement, which, when approved by the City's MWBE Officer, shall be incorporated into this Agreement as Exhibit B. Consultant shall submit MWBE utilization and subcontractor/supplier payment certification on the City's forms with each invoice or as otherwise requested by the MWBE Officer.

During the term of the Agreement, the Consultant shall notify the City if a change occurs that will result in a significant (5% or more) increase or decrease in the workforce staffing plan and/or MWBE utilization plan goals incorporated as Exhibit A and/or Exhibit B of this Agreement. A revised workforce staffing plan and/or MWBE utilization plan must be approved by the MWBE Officer. Once signed by the Consultant and the MWBE Officer, such revised plan(s) shall be incorporated into this Agreement as an amendment pursuant to Section 17.

Consultant's failure to submit MWBE and subcontractor/supplier payment certification forms, if required, and the workforce utilization reports shall constitute a default in the performance of this Agreement. Failure to meet the goals stated in the most recent workforce staffing plan and/or the MWBE utilization plan incorporated into the Agreement may result in disqualification from award of future contracts with

the City.

**SECTION 9. TITLE VI OF THE CIVIL RIGHTS ACT OF 1964**

The City of Rochester hereby gives public notice that it is the City's policy to assure full compliance with Title VI of the Civil Rights Act of 1964, the Civil Rights Restoration Act of 1987, and related statutes and regulations in all programs and activities. Title VI requires that no person in the United States of America shall, on the grounds of race, color, gender, or national origin be excluded from the participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the City receives federal financial assistance. Any person who believes they have been aggrieved by an unlawful discriminatory practice under Title VI has a right to file a formal complaint with the City. Any such complaint shall be in writing and filed with the City Title VI Coordinator within one hundred eighty (180) days following the date of the alleged discriminatory occurrence. Title VI Discrimination Complaint Forms may be obtained from the City at no cost to the complainant, or on the City's website at [www.cityofrochester.gov](http://www.cityofrochester.gov), or by calling (585) 428-6185.

**SECTION 10. FREEDOM OF INFORMATION LAW**

Disclosures required by New York's Freedom of Information Law ("FOIL") shall not be considered a breach of any confidentiality provisions in this Agreement. Should Consultant provide the City with any records it deems confidential and exempt from FOIL, Consultant shall clearly mark such portions of those records as confidential and exempt from FOIL disclosure. Upon any request for disclosure of information so marked, the City will inform Consultant of the request and give Consultant ten (10) business days to submit a written statement of necessity for exempting the records from disclosure pursuant to New York Public Officers Law 89(5). As required by the Public Officers Law, the City will issue a determination as to disclosure within seven (7) business days. If the City determines that the records shall be disclosed, Consultant may appeal the City's determination within seven (7) business days. Thereafter, the City shall respond to Consultant's appeal within ten (10) business days. If the City issues an adverse determination, Consultant may appeal the decision within fifteen (15) days of service by commencing an Article Seventy-Eight (78) proceeding under New York's Civil Practice Law and Rules.

**SECTION 11. LIVING WAGE REQUIREMENTS**

**A. Applicability of Living Wage Requirements**

This section shall apply and the Consultant shall comply with the requirements of Section 8A-18 of the Municipal Code of the City of Rochester, known as the Rochester Living Wage Ordinance, whenever payments by the City to the Consultant under this Agreement shall equal or be greater than fifty thousand dollars (\$50,000) during a period of one year. If this

Agreement is amended to increase the amount payable hereunder to fifty thousand dollars (\$50,000) or more during a period of one year, then any such amendment shall be subject to Section 8A-18.

**B. Compliance**

The Consultant shall pay no less than a Living Wage to any part-time or full-time Covered Employee, as that term is defined in Section 8A-18B, who directly expends his or her time on this Agreement, for the time said person actually spends on this Agreement. Living Wage, as set forth in this Agreement, shall be the hourly amount set forth in Section 8A-18(C)(2), and any adjustments thereto, which shall be made on July 1 of each year and shall be made available in the Office of the City Clerk and on the City's website, at [www.cityofrochester.gov](http://www.cityofrochester.gov). Consultant shall also comply with all other provisions of Section 8A-18, including but not limited to all reporting, posting and notification requirements and shall be subject to any compliance, sanction and enforcement provisions set forth therein.

**C. Exemption**

This section shall not apply to any of Consultant's employees who are compensated in accordance with the terms of a collective bargaining agreement.

**SECTION 12. COMPLIANCE WITH MACBRIDE PRINCIPLES**

The Consultant agrees that it will observe Ordinance No. 88-19 of the City of Rochester, which condemns religious discrimination in Northern Ireland and requires persons contracting to provide goods and services to the City to comply with the MacBride Principles. A copy of the MacBride Principles is on file in the Office of the Director of Finance.

**SECTION 13. COMPLIANCE WITH ALL LAWS**

The Consultant agrees that during the performance of the work required pursuant to this Agreement, the Consultant, and all employees working under the Consultant's direction shall strictly comply with all local, state, or federal laws, ordinances, rules or regulations controlling or limiting in any way the performance of the work required by this Agreement. Furthermore, each and every provision of law and clause required by law to be inserted in this agreement shall be deemed to be inserted herein. If, through mistake or otherwise, any such provision is not inserted, or is not properly inserted, then upon the application of either party this Agreement shall be forthwith physically amended to make such insertion or correction.

**SECTION 14. AUDIT**

The Consultant agrees that the City shall, until the expiration of three (3) years after final payment, have access to and the right to examine, at no cost to the City, any directly pertinent books, documents, papers and records of the Consultant and of any of the subcontractors engaged in the performance of and involving transactions related to this Agreement or any subcontracts.

**SECTION 15. PROHIBITION AGAINST ASSIGNMENT**

The Consultant is prohibited from assigning, transferring, conveying, subletting or otherwise disposing of this Agreement or any of its contents, or of any right, title or interest therein, or of the power to execute this Agreement, to any other person or corporation without the previous written consent of the City.

**SECTION 16. OBLIGATIONS LIMITED TO FUNDS AVAILABLE**

The parties specifically agree that the Consultant's duty to perform work under this Agreement and the City's obligation to pay for that work, including any out-of-pocket and subcontracting expenses of the Consultant, shall be limited to the amount of money actually appropriated by the City Council and encumbered (i.e., certified as being available) for this Project by the City Director of Finance (or his authorized deputy). This provision shall limit the parties' obligation to perform even though this Agreement may provide for the payment of a fee greater than the appropriated and encumbered amount.

**SECTION 17. EXTENT OF AGREEMENT**

This Agreement constitutes the entire and integrated Agreement between and among the parties hereto and supersedes any and all prior negotiations, agreements and conditions, whether written or oral. Any modification or amendment to this Agreement shall be void unless it is in writing and subscribed by the party to be charged or by the party's Authorized Agent.

**SECTION 18. STATUS AS INDEPENDENT CONTRACTOR**

The Consultant, as an independent contractor, covenants and agrees to conduct the work under this Agreement consistent with such status. The Consultant shall neither pretend nor claim to be an officer or employee of the City by reason hereof, nor make any claim, demand or application to or for any right or privilege applicable to an officer or employee of the City, including but not limited to Workers' Compensation coverage, unemployment insurance benefits, social security coverage or retirement membership or credit.

**SECTION 19. LAW**

This Agreement shall be governed by and under the laws of the State of New York. In the event that a dispute arises between the parties, venue for the resolution of such dispute shall be the County of Monroe, New York.

**SECTION 20. NO-WAIVER**

In the event that the terms and conditions of this Agreement are not strictly enforced by the City, such non-enforcement shall not act as or be deemed to act as a waiver or modification of this Agreement, nor shall such non-enforcement prevent the City from enforcing each and every term of this Agreement thereafter.

**SECTION 21. SEVERABILITY**

If any provision of this Agreement is held invalid by a court of law, the remainder of this Agreement shall not be affected thereby if such remainder would then continue to conform to the laws of the State of New York.

IN WITNESS WHEREOF, the parties have duly executed this Agreement on the date first written above.

**CITY OF ROCHESTER**

BY: \_\_\_\_\_

Malik D. Evans

**CONSULTANT**

BY: \_\_\_\_\_

Name:

STATE OF NEW YORK)

COUNTY OF MONROE ) SS:

On this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_, before me the subscriber, personally came **MALIK D. EVANS** known, who being by me duly sworn, did depose and say that he resides in the City of Rochester; that he is the Mayor of the City of Rochester, the municipal corporation described in and which executed the above instrument; and that he signed his name to the foregoing instrument by virtue of the authority vested in her by the laws of the State of New York and the local laws and ordinances of the City of Rochester.

\_\_\_\_\_

Notary Public

STATE OF NEW YORK)

COUNTY OF MONROE) ss.:

On the \_\_\_\_ day of \_\_\_\_\_, 20\_\_ before me, the undersigned, a Notary Public in and for said State, personally appeared \_\_\_\_\_, personally known to me or proved to me on the basis of satisfactory evidence to be the individual(s) whose name(s) is (are) subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their capacity(ies), and that by his/her/their signature(s) on the instrument, the individual(s), or the person upon behalf of which the individual(s) acted, executed the instrument.

\_\_\_\_\_

Notary Public

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**APPENDIX C**

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**UNITED STATES DEPARTMENT OF THE TREASURY**

***COMPLIANCE AND REPORTING GUIDANCE***  
***STATE AND LOCAL FISCAL RECOVERY FUNDS***

**[HTTPS://HOME.TREASURY.GOV/SYSTEM/FILES/136/SLFRF-  
COMPLIANCE-AND-REPORTING-GUIDANCE.PDF](https://home.treasury.gov/system/files/136/SLFRF-COMPLIANCE-AND-REPORTING-GUIDANCE.PDF)**