



## **Instructions**

Non-profit organizations interested in applying to the Roosevelt Island Operating Corporation Public Purpose Grant Fund for project funding should review the enclosed Public Purpose Fund Procedures ("Procedures"). Interested applicants that meet the conditions specified in the Procedures may submit this Letter of Intent form ("LOI") in the following manner:

Roosevelt Island Operating Corporation  
591 Main Street  
Roosevelt Island, NY 10044

Submissions must be received by Monday April 1, 2019 at 4:30 PM, in a sealed envelope. Submission should be clearly marked "Letter of Intent Enclosed" and should state the submitting organization's name. RIOC will accept the inclusion of a CD-ROM with PDF copies of any requested or otherwise pertinent documents the applicant is submitting with the LOI. Please ensure that any such electronic documents are legible.

### Note:

The Letter of Intent form must be accompanied by the attached questionnaire. If determined eligible, a member of the RIOC staff will notify you via e-mail. Only applicants receiving a written determination of eligibility will be allowed to continue the application process and will be sent a copy of the full Public Purpose Grant Application via e-mail. Applicants determined ineligible will similarly be notified.



Contact Information

First Name: \_\_\_\_\_ Last Name: \_\_\_\_\_

E-mail Address: \_\_\_\_\_ Phone Number: \_\_\_\_\_

Organization Information

Entity Name: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Phone: \_\_\_\_\_ Extension: \_\_\_\_\_ Fax: \_\_\_\_\_

Proposal Contact: \_\_\_\_\_ Title: \_\_\_\_\_

Contact E-mail: \_\_\_\_\_

Executive Director: \_\_\_\_\_ E-mail: \_\_\_\_\_

Tax ID Number: \_\_\_\_\_ Website: \_\_\_\_\_

NYS Non-Profit Designation\*: \_\_\_\_\_

\*Allowable Non-Profit Designations are 501c3 and 501c4

PROJECT INFORMATION

Table with 2 columns: Label (PROJECT TITLE, PROJECT TYPE, ESTIMATED REQUEST AMOUNT, ESTIMATED TOTAL PROJECT COST, PROJECT START DATE, PROJECT END DATE, PROJECT LOCATION(S)) and Input field.



**Briefly Describe Your Organization (100 words maximum)**

**Describe your project's purpose: (100 words maximum)**

**Describe the manner in which you believe your project comports with the Procedures. Include an explanation of how the project aligns with RIOC's Mission Statement and core values listed on Exhibit A of the Procedures. (200 words maximum)**



Outline the problems and issues the project will address: (100 words maximum)

Describe specific outcomes and benefits of the project: (100 words maximum)

List those who will be engaged in the project along with qualifications: (100 words maximum)

## 1. General Information about Applicant Eligibility

RIOC Staff will determine an applicant's eligibility based upon the guidelines noted in the Public Purpose Funds Procedures, and conduct an assessment of the following:

- The applicant's *Capacity*, including its basic operational management systems;
- The applicant's *Legal Compliance* and a determination of whether it has satisfied all legal and regulatory requirements necessary for its particular type of service operation; and
- The applicant's *Integrity* and an evaluation of whether it is both an ethical and legally sound organization capable of delivering quality services to Roosevelt Island.



1.1. No Guarantee of Award

Eligibility should not be construed as a guarantee of an award of contract. Eligibility, as confirmed by writing from RIOC, will confer the right to apply for a Public Purpose Grant.

1.2. Investigations

In submitting this Letter of Intent, the applicant should be aware that they are giving RIOC permission to carry out such investigations and research as it considers necessary to determine whether the applicant meets the relevant criteria.

1.3. Determination of Eligibility

The final assessment of an applicant’s eligibility will be confined to “Eligible” or “Ineligible”. There will be no further evaluation made about the applicant, ranking or grading of the Letter of Intent after the final evaluation has been completed.

1.4. Assessment Criteria

All Letters of Intent will be evaluated against the criteria listed below.

NOTE: Please see Section 2 of this Letter of Intent for relevant background and guidance with respect to the Capacity and Compliance questions below.

A. Organizational Capacity

Applicant must demonstrate that it has the organizational capacity to effectively operate a non-profit organization, undertake contracts and deliver services in a cost effective manner. RIOC wants to know how your organization manages its workforce and operations, whether it has the basic capacity to carry out its mission, and whether it maintains a supportive work climate.

Capacity Questions

1. Does your organization have a system in place whereby someone within the organization is authorized to receive money, and someone else is authorized to disburse money?

2. Does the organization have an automated payroll system?

3. Does your organization use an electronic financial management system?

4. Does the senior staff team meet on a regular and consistent basis?

5. Does your organization conduct regular annual performance evaluations for staff?



**6. Is staff required to participate in training annually?**

**7. Identify the Information technology and telecommunications systems utilized by your organization. (Telephone, internet, email account, mobile device, facsimile).**

**B. Legal and Regulatory Compliance**

The applicant must be able to present evidence that it has the appropriate legal structure in place to transact business in the State of New York. It must also demonstrate that it has all necessary licenses, certifications, accreditations, registrations and other documents verifying its ability to perform its primary services for which it may be seeking a grant.

Not-for-profits are required to provide various documents pertaining to its corporate structure or financial and charitable status. The documents requested are essential elements for any sound business, and are typically provided by any entity if it wishes to do business in and with the State of NY. Therefore, it is important that a not-for-profit organization demonstrate that it has the essential building blocks in place before applying for a RIOG grant.

Questions pertaining to leadership and governance refer to the system of management and control exercised in the stewardship of the not-for-profit organization. The corporate charters and bylaws are necessary because they document the rights and responsibilities of each party and describe how the organization will be directed and controlled to ensure accountability to its stakeholders and transparency of operations. Matters of governance pertain to organizational policies and procedures, succession planning, financial auditing, risk management practices, executive compensation practices, staff development, and operational monitoring.

**Compliance Questions**

**1. Did a quorum of the board of directors meet regularly throughout the year in conformance with the organization's bylaws?**

**2. Does the board of directors take and maintain minutes of all of its regular meetings, in compliance with its bylaws? (There is no need to provide board minutes; simply state whether minutes are taken and logged.)**

**3. Is the frequency with which the board meets throughout the year consistent with your organization's bylaws?**



**4. Did the board committees meet regularly throughout the year in conformance with the organization’s bylaws? If the bylaws do not describe the board committee structure, please describe the number of times each committee met during the past year.**

**5. Indicate all of the items the board of directors reviews and/or approves (annual operating budget, executive performance and compensation, fundraising plan, internal controls, fiscal controls, annual audit, Form 990, performance outcomes, other).**

Items Reviewed by Board of Directors	
	1. Annual Operating Budget
	2. Executive Performance and Compensation
	3. Fundraising Plan
	4. Internal Controls
	5. Fiscal Controls
	6. Annual Audit
	7. Form 990
	8. Performance Outcomes
	9. Other

**6. Does your board review financial statements on a regular and consistent basis? How frequently does the board or board committee review financial statements?**

**7. Does the organization reconcile bank statements on a monthly basis? If not, how often are bank statements reconciled?**

**8. State whether the organization has implemented internal fiscal controls (e.g. by separating fiscal functions).**

**9. Identify those individuals with contract signature authority.**

**10. Identify those individuals with check writing authority.**



**11. Please provide all licenses, accreditations, and permits required for your business with any other documents requested in Section 2.1**

**12. Does your senior management team regularly view your organization’s overall performance data? If not, please describe the organization’s practice regarding performance data review.**

**13. Which of the following policies and procedures does your organization have in place?\***

**\*Please see Section 2 item 13 for relevant guidance on policies 1 – 7 in bold below.**

Policy List	
<input type="checkbox"/>	<b>1. Anti-nepotism policy</b>
<input type="checkbox"/>	<b>2. Staff code of conduct</b>
<input type="checkbox"/>	<b>3. Board of Directors Conflict of Interest Policy</b>
<input type="checkbox"/>	<b>4. Conflict of Interest Policy</b>
<input type="checkbox"/>	<b>5. Diversity Policy</b>
<input type="checkbox"/>	<b>6. Fiscal/Internal Controls Policy</b>
<input type="checkbox"/>	<b>7. Supervision and Performance Evaluation Policy</b>
<input type="checkbox"/>	8. Document Retention Policy
<input type="checkbox"/>	9. Continuity of Operations Plan
<input type="checkbox"/>	10. Emergency Preparedness Policy
<input type="checkbox"/>	11. Whistleblower Policy
<input type="checkbox"/>	12. Security Policy
<input type="checkbox"/>	13. Succession/Transition Plan
<input type="checkbox"/>	14. Personnel Recruitment/Screening/Hiring Policy
<input type="checkbox"/>	15. Personnel Retention and Retention Plan
<input type="checkbox"/>	16. None of the Above

**14. Does your organization have a written and posted Equal Employment Opportunity (EEO) policy?**

**15. Please provide your Certificate of Assumed Name or DBA, if applicable, or indicate below if inapplicable.**



**16. Does your organization have an M/WBE policy regarding any work it conducts with outside providers, sub- contractors, consultants, vendors or partners?**

C. Integrity

The questions below pertain to matters of organizational and business ethics and are drawn directly from NYS Vendor Responsibility forms. They are structured in a simple yes or no format. “Yes” answers will, in most cases, invite further inquiry from RIOC staff. An affirmative response will not necessarily render you “Ineligible” on this LOI. We only wish to determine whether the circumstances surrounding past contract concerns rises to the level of an ethical infraction.

**Integrity Questions**

**1. Within the past five years, have you or any of your affiliates been suspended or debarred from any contracting process or been disqualified on any government procurement?**

**2. Within the past five years, have you or any of your affiliates been subject to a denial or revocation of a government prequalification?**

**3. Within the past five years, have you or any of your affiliates been denied a contract or had a bid rejected based upon a finding of non-responsibility by a government entity?**

**4. Within the past five years, have you or any of your affiliates been suspended, cancelled or terminated for cause on any contract?**

**5. Within the past five years, have you or any of your affiliates had a revocation, suspension, or disbarment of any business or professional permit and/or license?**

**6. Within the past five years, have you or any of your affiliates been the subject of an investigation, whether open or closed, by any government entity for a civil or criminal violation?**

**7. Within the past five years have you or any of your affiliates been the subject of an indictment, grant of immunity, judgment or conviction (including entering into a plea bargain) for conduct constituting a crime?**



- 8. Within the past five years, has any individual previously identified, any other key employees not previously identified, or any individual having the authority to sign, execute, or approve bids, proposals, contracts or supporting documentation with New York State been subject to an investigation, whether open or closed, by any government entity for a civil or criminal violation for any business related conduct?**
- 9. Within the past five years, has any individual previously identified, any other key employees not previously identified, or any individual having the authority to sign, execute, or approve bids, proposals, contracts or supporting documentation with New York State been subject to an indictment, grant of immunity, judgment, or conviction of any business related conduct constituting a crime including, but not limited to, fraud, extortion, bribery, racketeering, price fixing, bid collusion or any crime related to truthfulness?**
- 10. Within the past five years, have you or any of your affiliates received any formal unsatisfactory performance assessment(s) from any government entity on any contract?**
- 11. During the past three years have you failed to file any returns, including, if applicable, Federal Form 990, with any Federal, State or Local government entity?**
- 12. During the past three years have you failed to file returns or pay New York State Unemployment Insurance? If yes, indicate the years you failed to file/pay the insurance and the current status of the liability.**
- 13. During the past 3 years, have you failed to file documentation requested by any New York State agency, public authority or other quasi-state entity, with the Attorney General of the State of New York, or with any other local, State or Federal entity that has made a formal request for information? If yes, indicate the years the business entity failed to file the requested information and the current status of the matter.**



Certification Statement

I, \_\_\_\_\_, as \_\_\_\_\_  
(Name) (Title)

of \_\_\_\_\_  
(Name of Applicant Organization)

certify that the information contained in this Letter of Intent is true and accurate and that I, personally and on behalf of applicant, will comply with all requirements, requests for information, rules and regulations of the Roosevelt Island Operating Corporation.

\_\_\_\_\_  
Chairperson or Principal

\_\_\_\_\_  
Date



2. Appendix

Most questions should require a "Yes" or "No" response. If you feel the need to provide pertinent explanatory information, please provide a separate attachment that clearly indicates the section and item to which you are referring.

Explanation for Capacity Questions

- 1. For large and more established organizations with operating budgets of greater than \$500K – we expect there to be evidence of proper internal fiscal controls, such as a separation of financial functions. If this is not present in your agency, please provide an explanation of how you are insuring that internal controls are maintained. For small nonprofits of less than \$500K – while we recognize that staff may be limited, we expect organizations to take measures to insure that internal fiscal controls are implemented.
2. Sound organizations will have an automated payroll system to minimize error. This can be an internally run payroll software program or an external payroll service, such as ADP. Not-for-profit is strongly encouraged to consider an automated payroll system.
3. Sound organizations will have an electronic accounting system to minimize error. This can be a program as simple as QuickBooks or a program that is more sophisticated like FundEZ. The not-for-profit is strongly encouraged to consider an electronic financial management system.
4. In a healthy organization, the senior management team should be meeting regularly to insure that the organization is meeting its organizational and contractual objectives and resolving outstanding disputes. We understand that small organizations with a lean staff tend to "meet" informally, but you should explain how your senior staff is reviewing its contractual obligations in this informal environment.
5. Organizations should conduct performance evaluations annually, at a minimum. Businesses invite legal problems if performance reviews are not conducted and documented on a regular basis. Please indicate whether evaluations are being conducted or suggest a plan for implementing such a review policy.
6. Professional development and staff training are different and have different objectives. Staff training can be provided utilizing internal resources and can be conducted with in-house senior staff.
7. There is no right or wrong answer here, just provide as much information as possible.

Explanation for Compliance Questions

- 1. The not-for-profit's bylaws determine the frequency of board meetings and what constitutes a quorum. A large and established organization should follow its bylaws to the letter. A small or emerging organization should be able to live up to the intent of the bylaws even if there is a technical failure.
2. The taking of meeting minutes of all general board meetings is an important component of organizational record- keeping and a way for boards to maintain and chronicle the not-for- profit's legal structure.
3. A not-for-profit's bylaws determine the frequency of board meetings and what constitutes a quorum. A large and established organization should follow its bylaws to the letter. A small or start- up organization should be able to live up to the intent of the bylaws even if there is a technical failure.



4. **The not-for-profit bylaws should offer guidance on both the type of board committees to be formed and the frequency they should meet throughout the year. At a minimum, an agency should have a fiscal committee that should meet prior to the full Board meeting. While it is not required, a schedule of committee meetings over the past year would serve as evidence that your board committees were meeting on a regular basis.**
5. **Please check off all options that apply. An organization's board of directors should review all of the indicated items if the Board is properly exercising its fiduciary duties. If your board reviews some but not all of these items, please explain why the board reviews some and not others.**
6. **An organization's board of directors should review financial statements at least quarterly and/or at every full board meeting. If your board does not conduct such reviews, then your board must be referred for board training. Approval for RIOC Public Purpose Funds will not be given until evidence of training is shown, and a stronger financial review system is in place.**
7. **Bank statements should be reconciled monthly, or in keeping with procedures of the not-for-profit's fiscal policy. Failure to regularly and consistently reconcile bank statements could point to a more serious operational deficiency.**
8. **There should be a system of checks and balances in a fiscally sound organization. Therefore, the not-for-profit should provide information demonstrating that contracts and checks are co-signed over a particular dollar amount, for example, and/or that parties with contract signing authority are not the same individuals with fiscal signing authority.**
9. **Please list the names of all staff members and/or board members who are authorized to sign contracts on behalf of the organization and state whether co-signature is required.**
10. **Please list the names of all staff members and/or board members who are authorized to sign checks on behalf of the organization and state whether co-signature is required.**
11. **Self-explanatory.**
12. **Ideally, the senior management team of a healthy organization should be reviewing performance data on a monthly or quarterly basis to ensure that contract performance goals are on target.**
13. **For large organizations over \$1M operating budget – we expect your organization to have all of the listed policies in place. If not, please provide explanation and indicate your intentions for adopting the same.**

**For small organizations under \$1M – We prefer that your organization have all of the listed policies in place but, at a minimum, we are requiring that you have in place all of the policies listed in bold (policies 1 through 7). If not, please provide an explanation and indicate your intentions for adopting the same.**

**While we are not currently asking organizations to provide their policies, please be aware that you may be asked for copies of the policies you claim to have adopted at the time you apply for a RIOC grant.**

14. **EEOC mandates official postings of EEO laws for organizations of greater than 14 employees and strongly recommends that the required posters be placed conspicuously throughout the worksite. The official EEOC poster includes the EEO regulations pertaining to the Equal Pay Act, which applies to ALL employers, regardless of size.**



Therefore, we recommend that all nonprofits post the EEO rules and the EEOC poster, or otherwise distribute them to staff, regardless of size.

15. If your organization uses a business name that is different from the one listed on your Certificate of Incorporation, then you must submit a Certificate of Assumed Name.

16. The M/WBE policy is now required of NY State not-for-profit vendors and goals will be applied to NY State grants contracts.

For more information about NY State’s M/WBE Executive Order, and how it pertains to vendors wishing to do business with NY State Agencies, please contact RIOC. Also, if your organization does not currently have an M/WBE policy in place, please refer to the RIOC website and download a template Board Resolution that incorporates that new policy language. Simply review this with your board and have it adopted.

## 2.1. Required Documents

### DOCUMENTS

**PROVIDE A COPY OF YOUR CERTIFICATE OF INCORPORATION, STATE CHARTER OR EQUIVALENT DOCUMENT, DEPENDING ON YOUR ORGANIZATIONAL STRUCTURE.**

### RATIONALE

Only incorporated entities can prequalify and bid for contracts. If a not-for-profit vendor seeking prequalification is unincorporated because it is a program of a parent corporation, then the parent company or fiscal agent and not the unincorporated entity must prequalify. If the vendor is a newly formed entity and has not yet incorporated, it should do so immediately.

The DOS can incorporate an organization within 24 hours with its online expedited service.

Acceptable documents include:

- A Certificate of Incorporation issued by the NY State Dept. of State
- A Charter issued by the NY State Education Dept.
- A County Certificate of Incorporation and Bylaws for a religious organization
- Articles of Incorporation for a foreign corporation, PLUS the certification showing that the organization is registered to do business in NY State.

Also, if the organization name has changed since the time of incorporation, you must attach the Certificate of Assumed Name



**PROVIDE A COPY OF IRS 501(C) DETERMINATION LETTER.**

RIOC requires an applicant to be either a 501(c)(3) or 501(c)(4). See attached Public Purpose Fund Procedures for further information.

**PROVIDE A COPY OF THE ORGANIZATION’S MOST RECENT IRS FORM 990.**

All tax exempt organizations are expected to submit their most recent Form 990 as part of the prequalification application.

If you have filed for a first time extension, submit your Form 8868.

If you have filed for a second non-automatic extension, provide your e-file receipt or Form 8868 request form, page two.

If your organization has requested an exemption, please provide all documentation either requesting or granting the exemption status.

For further guidelines on filling out the date on the prequalification application in the Gateway, refer to the Filing Date Guidelines attached.

**PROVIDE THE MOST RECENT AUDITED FINANCIAL STATEMENT, FINANCIAL REVIEW, OR INTERNAL FINANCIALS AND FINDINGS.**

In NY, organizations with revenues greater than \$250K must provide an independently audited financial statement.

Organizations with revenues of less than \$250K but greater than \$100K, must provide a financial statement reviewed by a CPA. Organizations with revenues of less than \$100K need only provide a copy of the most recent internal financial report. If your organization does not have an audited financial statement or CPA review for the past fiscal year, then please provide a statement explaining the delay, and submit a copy of the organization’s financial report for the past fiscal year.

**Certain Exempt Organizations:**

Those entities exempted by Executive Law § 172-a from submitting financial disclosure materials to the Attorney General’s Charities Bureau (such as religious organizations involved in exclusively non- secular activities) should, regardless of their annual revenue, provide their most recent internal financial report reviewed by the board. This is the same financial



**PROVIDE A COPY OF THE CHAR 500 OR CHAR 410.**

disclosure requirement for prequalification that applies to organizations with revenues of less than \$100,000.

All not-for-profit organizations must file either a CHAR 410 (for newly formed entities within the first year of operations) or a recent CHAR 500 with the NY State Charities Bureau. Please provide your most recent report.

If you have filed for a filing extension, please provide the email filing receipt.

If you have requested an exemption from filing the CHAR 500, please provide all documentation pertaining to your request.

**PROVIDE A COPY YOUR BOARD PROFILE INCLUDING THE NAMES OF YOUR BOARD MEMBERS, A BRIEF PROFILE OF EACH ONE, STATING THEIR EMPLOYER OR AFFILIATION, YEARS ON THE BOARD, OFFICE HELD AND COMMITTEE PARTICIPATION.**

Under N-PCL, a not-for-profit organization, upon formation, must name a minimum of 3 individuals to serve as its initial board members. Ideally, 5-15 individuals should be identified to serve on the organization's board of directors.

Please provide a profile of each Board member including the information requested. Full resumes are not required.

**PROVIDE SENIOR LEADERSHIP RESUMES OR CVS. ORGANIZATIONS MUST PROVIDE COPIES (SUBMITTED TOGETHER IN A SINGLE PDF) OF ALL OF THE SENIOR OR KEY EMPLOYEES IN THE ORGANIZATION. THESE INDIVIDUALS MIGHT INCLUDE THE EXECUTIVE DIRECTOR, THE FINANCIAL OFFICER, AND THE TOP PROGRAM DIRECTOR.**

It is important that our not-for-profit partners are led by effective managers with the skills to deliver the services for which they are seeking a RIOG grant, to competently manage a staff, and to efficiently administer government grants.

Please provide resumes or CVs of all key employees who manage the day-to-day operations of the organization. These employees may include such people as the Executive Director (or CEO), the Financial Director (or CFO), the Assistant Executive Director (or COO), and/or lead Program Manager.

**PROVIDE A COPY OF YOUR CORPORATE BYLAWS, ADOPTED BY YOUR ORGANIZATION'S BOARD OF DIRECTORS.**

Corporate bylaws are essential to organizational good governance. Bylaws lay out the basic rules of the board structure, operational management, mission and the direction of the agency.