

## Public Purpose Grant Letter of Intent Form

### 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 in the following manner:

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

Submissions must be received by Monday, November 18, 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. *Please see the attached LOI Checklist for assistance determining what questionnaire information and relevant attachments should be submitted.* 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.

Questions about this Letter of Intent or RIOC's Public Purpose Grants program in general should be submitted via e-mail to [PublicPurpose@rioc.ny.gov](mailto:PublicPurpose@rioc.ny.gov)

# Public Purpose Grant Letter of Intent Form

## 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

## PROJECT INFORMATION

<b>PROJECT TITLE:</b>	
<b>PROJECT TYPE:</b>	
<b>ESTIMATED REQUEST AMOUNT:</b>	
<b>ESTIMATED TOTAL PROJECT COST:</b>	
<b>PROJECT START DATE:</b>	
<b>PROJECT END DATE:</b>	
<b>PROJECT LOCATION(S):</b>	

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Briefly Describe Your Organization (1000 character maximum)

Describe your project's purpose: (1000 character 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 in Exhibit A of the Procedures. (2000 character maximum)

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Outline the problems and issues the project will address: (1000 character maximum)

Describe specific outcomes and benefits of the project: (1000 character maximum)

List those who will be engaged in the project along with qualifications: (1000 character 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.

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### 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?**

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**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	
<input type="checkbox"/>	1. Annual Operating Budget
<input type="checkbox"/>	2. Executive Performance and Compensation
<input type="checkbox"/>	3. Fundraising Plan
<input type="checkbox"/>	4. Internal Controls
<input type="checkbox"/>	5. Fiscal Controls
<input type="checkbox"/>	6. Annual Audit
<input type="checkbox"/>	7. Form 990
<input type="checkbox"/>	8. Performance Outcomes
<input type="checkbox"/>	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.**

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**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.**

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**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 RIOG 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?**

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- 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.**

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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

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### 2. Appendix

If the space provided for questions that require more than a “Yes” or “No” response is insufficient please provide a separate attachment that clearly indicates the section and item to which you are responding.

#### 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.

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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.

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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 that equal or exceed \$25,000.

For more information about NY State’s M/WBE Executive Order, 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. If your grant application is expected to equal or exceed \$25,000 compliance with these goals will be required.

### 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

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**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.

**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

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### **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 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.

**PUBLIC PURPOSE FUND  
LETTER OF INTENT**

# Public Purpose Grant LOI Checklist

**Instructions:** In the tables below, **returning applicants** should check the boxes at the right for each capacity, compliance, or integrity question in Section 1.4 that has changed from the previous year's submission. For those items that have changed, submit the amended information within the space provided in the applicable section, or on a separate and clearly labeled sheet.

**New applicants** should fill out all questions in Section 1.4.

**Include a copy of this checklist with your completed Letter of Intent**

**Applicant Organization Name:**

## Capacity Questions

Question 1	<input type="checkbox"/>	Question 2	<input type="checkbox"/>
Question 3	<input type="checkbox"/>	Question 4	<input type="checkbox"/>
Question 5	<input type="checkbox"/>	Question 6	<input type="checkbox"/>
Question 7	<input type="checkbox"/>		

## Compliance Questions

Question 1	<input type="checkbox"/>	Question 2	<input type="checkbox"/>
Question 3	<input type="checkbox"/>	Question 4	<input type="checkbox"/>
Question 5	<input type="checkbox"/>	Question 6	<input type="checkbox"/>
Question 7	<input type="checkbox"/>	Question 8	<input type="checkbox"/>
Question 9	<input type="checkbox"/>	Question 10	<input type="checkbox"/>
Question 11	<input type="checkbox"/>	Question 12	<input type="checkbox"/>
Question 13	<input type="checkbox"/>		

## Integrity Questions

Question 1	<input type="checkbox"/>	Question 2	<input type="checkbox"/>
Question 3	<input type="checkbox"/>	Question 4	<input type="checkbox"/>
Question 5	<input type="checkbox"/>	Question 6	<input type="checkbox"/>
Question 7	<input type="checkbox"/>	Question 8	<input type="checkbox"/>
Question 9	<input type="checkbox"/>	Question 10	<input type="checkbox"/>
Question 11	<input type="checkbox"/>	Question 12	<input type="checkbox"/>
Question 13	<input type="checkbox"/>		

**Required Document Instructions** – **Returning applicants** should carefully review each item below and the guidance provided in Section 2.1. Certain documents, such as the applicant’s by-laws, do not need to be submitted unless they have changed from the previous year. Items that do not have a “Not Required” checkbox **MUST** be submitted. Items that do not have a “Not Required” checkbox (items 3, 4, and 5) **MUST** be submitted.  
**New Applicants** should submit all required documents; please see Section 2.1 for guidance.

## Required Documents

**1. Certificate of Incorporation**

Submitted       Not Submitted       Not Required

**2. 501(c)(3) Determination Letter**

Submitted       Not Submitted       Not Required

**3. Most Recent Audited Financial Statement, Review, or Internal Financials & Findings**

Submitted       Not Submitted

**4. Most Recent IRS Form 990**

Submitted       Not Submitted

## Required Documents

**5. CHAR 500 or CHAR 410**

Submitted       Not Submitted

**6. Board Profile**

Submitted       Not Submitted       Not Required

**7. Senior Leadership Resumes or CV's**

Submitted       Not Submitted       Not Required

**8. Corporate Bylaws**

Submitted       Not Submitted       Not Required

In the space below, indicate any extenuating circumstances preventing a required document from being submitted. Include an estimate of when the applicant believes it will be able to obtain and provide such document(s).

## Public Purpose Funds Procedures

### Background

Public Purpose Funds (PPF) first became available in 1989, following the construction of Roosevelt Island's Manhattan Park development, when New York State established the fund to support community uses, in lieu of the developers paying sales tax on construction materials. As awards were made over the ensuing years for various purposes, the fund was reduced. In 2008, the RIOC Board made a first-time direct appropriation of \$100,000 for the fund's replacement as part of RIOC's adopted budget and has continued to make these funds available annually at its discretion. As part of a process adopted at the May 22, 2008 RIOC Board meeting, the Roosevelt Island Residents Association ("RIRA") took on the role of reviewing applications and making recommendations for funding to the RIOC Board. RIRA's recommendations were based on the merits of each PPF applicant to the community and available funding. PPF are made available through an annual application process. Eligible applicants must request funding each year that the funds are available.

In keeping with the Mission Statement and core values RIOC practices in achieving its mission (appended as Exhibit A), Public Purpose Funds are meant to be investments in the direct services of eligible entities — supporting programs and projects that enrich the Roosevelt Island community.

### Eligibility

Applicants must be nonprofit organizations operating on Roosevelt Island, incorporated in the State of New York and compliant with annual State and Federal reporting requirements for nonprofit organizations including but not limited to the New York Non-Profit Revitalization Act of 2013, and certified as tax exempt under Internal Revenue Code (IRC) section 501(c)(3) or 501(c)(4). Please note that organizations recognized under IRC section 501(c)(4) as tax-exempt social welfare organizations, may apply for PPF only if the requested funds are: (i) not intended or used for lobbying or other political activities; and (ii) are intended and used for an activity that directly relates to a power, duty or purpose of RIOC.

### Funding Exclusions

Given the guiding values for the use of PPF, certain types of requests are excluded from consideration. RIOC reserves the right to make exceptions to these limitations on a case by case basis where: (i) the use of PPF for the excluded purpose is intrinsic to the success of the project/program; and (ii) the benefit of the project/program to the Roosevelt Island community in RIOC's sole judgment is deemed to outweigh the imposition of such exclusion.

Requests for funding will be excluded if they:

- Solely benefit one individual or family;
- Fail to provide sufficient benefits to the Roosevelt Island community at large;
- Sponsor fundraising events, provided however that donations may be accepted at events held as part of an approved program / project

The above list is not exhaustive. There may be other circumstances where requests are excluded. Applicants in doubt about the eligibility of a request should consult with the relevant RIOC staff during the letter of intent ("LOI") submission period discussed below.

### Letter of Intent Submission Period

Provided that PPF have been allocated for a given year, RIOC will annually solicit a form LOI available to interested organizations via its website and post notice of the LOI submission period to the extent practicable. A panel of RIOC staff will be formed to review LOI's and determine eligibility, which will be determined by:

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(i) conformity with the guidelines outlined in Eligibility above; and (ii) RIOC's review and determination of any possible conflicts with Funding Exclusions outlined above. Notices will be sent via e-mail to ineligible organizations. Eligible organizations will similarly be notified and be provided with an official application.

### Letter of Intent Attachments

All applicants are required to have and maintain appropriate licenses and permits for provision of the services they perform. RIOC, by awarding Public Purpose Funds, does not substitute its judgment for that of the licensing agencies. RIOC reserves the right to ask for proof of proper licensing as well as the ability to communicate with the licensing entities and obtain access to relevant files and documents reflecting performance, fiscal and other evaluations performed of the applicant by licensing and funding entities.

In addition to applicable proof of licensing, applicants must provide the following to RIOC:

1. Certificate and Articles of Incorporation or other certification by New York State of business/legal status.
2. 501(c)(3) or 501(c)(4) tax exempt certification
3. Most recently filed IRS 990.
4. CHAR 500 or CHAR 410
5. Current Financial Statement Signed by Treasurer (or comparable position)
6. Most recent Audited Statement (for those Applicants required by applicable law to produce an Audited Statement)
7. Copy of Board Profile including names of board members, a brief profile of each, their employer or affiliation, years on the board, office held and committee participation
8. By-laws, or other rules, regulations, guidelines internally adopted as governing the Applicant
9. Resume or CV for each member of senior leadership

### Application Attachments

1. Proof of Insurance or certification that Applicant will acquire insurance as specified in Grant Award Requirements below if PPF are awarded to the Applicant
2. Most recent detailed budget identifying all sources of funding (further instructions will be specified in the Application.
3. List of staff required for proposed programming (including titles, job descriptions, salaries, and special licenses/requirements)
4. No more than three (3) Signed Letters of Support (Optional)
5. Certifications from the applicant, with language substantially similar to the following:
  - a. Applicant will certify that they will not propose grants for any organization in which they, directly or indirectly, through business, investment or family, have or are negotiating to obtain, an ownership or investment interest or a compensation arrangement, or from which they otherwise expect to receive any direct benefit not otherwise available to the community".
  - b. Applicant will certify that they are in compliance with all applicable laws, rules and regulations including but not limited to the New York Non-Profit Revitalization Act of 2013.
  - c. Applicant will certify that the application is true and accurate and that they will comply with all requirements, requests for information, rules and regulations of the Roosevelt Island Operating Corporation.

## Public Purpose Funds Procedures

### Application Submission Period

Applications will be accepted until a deadline date set at the time the application is made available.

Technical assistance will be available to eligible applicants for approximately two weeks from the application's release. Responses to questions raised (via a specified PPF E-mail address) prior to a set Q/A cutoff date defined in the application will be sent to all eligible applicants throughout the Application Submission Period. Thereafter, a complete list of all questions/answers will be sent to eligible applicants and posted on the website.

### Staff Application Review Period

RIOC Staff will review applications for completeness and, if necessary, will send a request for applicants to supply any missing information prior to the Community Review Period.

### Community Review Period

Following the Staff Application Review Period, RIRA as the community's voluntary representative will review applications following guidance provided by RIOC, the performance of which will preclude RIRA from applying for Public Purpose Funds; the review will be conducted in a manner substantially similar to the following:

- RIRA will form an Ad Hoc Public Purpose Fund Committee ("Committee") for the purpose of reviewing applications and making funding recommendations to RIRA's Common Council and the RIOC Board;
- Prior to RIOC's acceptance of any member on the Committee, RIRA, through the Committee's chairperson will provide RIOC with a written affidavit from each proposed Committee member certifying that:
  - he/she shall not recommend grants for any organization in which he/she, directly or indirectly, through business, investment or family, have or are negotiating to obtain, an ownership or investment interest or a compensation arrangement, or from which he/she otherwise expect to receive any direct benefit not otherwise available to the community;
- After RIOC reviews and accepts such affidavits, RIOC will distribute electronic copies of applications provided by RIOC to all Committee members;
- The commencement of the Community Review Period will be contemporaneous with RIRA's receipt of the applications;
- No later than one month from the Community Review Period's commencement, allowing the Committee ample time for review and deliberation as to the merits and bona fides of the applications, RIRA will collaborate with RIOC for the scheduling of community presentations along the lines embodied in the following:
  - RIOC will post notice of the community presentation dates to the extent practicable
  - Each applicant will make ten-minute presentations of their proposed program/project
  - After each applicant's presentation there will be a question/answer session for RIRA Committee members followed by an open question/answer session
  - Public attendees will be given an opportunity to ask questions
  - Multiple community presentation sessions will be scheduled as necessary to allow for the presentation of all projects/programs

## Public Purpose Funds Procedures

- A quorum (defined as half plus one) of Committee members must be present at each presentation; however, recordings of community presentations shall be available to the public via the appropriate section of RIOC's web site, allowing any absent Committee members to consider pertinent information
- After all community presentations have concluded, RIOC will provide the Committee with standardized forms for the independent evaluation by each Committee member of each applicant's programs/projects. Criteria to be considered will focus on pertinent aspects of the program/project and its community impact. The Committee will have no more than one (1) week to complete all evaluations, by taking into account the Committee's earlier review of all Applicants' merits and bona fides as well as Applicant's community presentations, a copy of which will be compiled and sent to RIOC.
- The independent evaluation submitted by each Committee member will certify compliance with RIOC's guiding provisions, in language substantially similar to the following:
  - The evaluation scores submitted by the undersigned have been arrived at independently and without collusion, consultation, communication or agreement with any other reviewer(s), Public Purpose Fund applicant(s) or potential Public Purpose Funds applicant(s).
  - The evaluation scores submitted by the undersigned have not been disclosed to other reviewer(s), Public Purpose Funds applicant(s), or potential Public Purpose Funds applicant(s).
  - The undersigned did not induce any potential Public Purpose Funds applicant(s) or Public Purpose Fund applicant(s) to refrain from submitting an application, or to submit an application.
  - This submission is made in good faith and not pursuant to any agreement or discussion with, or inducement from, any Public Purpose Funds applicant(s) or potential Public Purpose Funds applicant(s).
  - The evaluation scores submitted by the undersigned have been arrived at in due consideration of the application and scoring instructions provided by RIOC.
  - Prior to submitting the evaluation scores, the undersigned had either (1) attended all applicant public presentations, or (2) viewed recordings of such presentations; and taken into consideration any pertinent information or issues there raised.
- RIRA's Committee will take such actions as necessary to produce funding recommendations for the RIRA Common Council, conforming to the guidelines required under Board Approval below and the following prioritization of evaluation scores:
  - Average Score Ranging from 85 - 100%: Highest Funding Prioritization
  - Average Score Ranging from 70-85%: Medium Funding Prioritization
  - Average Score Ranging from 50-70%: Lowest Funding Prioritization
  - Average Score Lower than 50%: No Funding

### RIOC Board Approval

Final recommendations provided by RIRA will be presented by RIOC staff to the RIOC Board for its approval. The form of recommendation shall be in a memorandum outlining:

1. The funding amount originally requested for each applicant;
2. The funding amount being recommended for each recommended applicant;

## Public Purpose Funds Procedures

3. A general overview of each applicant's project or program;
4. Justification for the recommended amount. The justification should address: (a) the average evaluation score received by the applicant on the 100-point scale; (b) any considerations taken into account by the PPF Committee relative to the nature of the program/project; and (c) the manner in which the Committee decided upon the allocation of the recommended amount.

RIOC does not guarantee that any or all PPF approved by the Board will be awarded in the full amount originally requested by the applicant. Given budget constraints, RIOC strives to leverage limited resources while providing the best possible mix of support to approved organizations.

### Grant Award Requirements

Prior to encumbrance of PPF, recipients of PPF ("Grantees") must satisfy to RIOC the following as applicable:

- Submission of a modified program / project budget, reflecting any reduction in awarded funds from the initial request.
- Organizations that received funding in the previous year must have submitted all relevant documentation accounting for the use of the PPF and the grant must be closed.
- Organization must be in compliance with all terms, including any documentation required by RIOC to approve a grant award and proof of insurance as provided below.

### Roosevelt Island Operating Corporation Insurance Requirements

Grantees shall insure and shall require each of its subcontractors to carry the following insurance:

- *Commercial General Liability Insurance* providing both bodily injury including death and property damage insurance in a limit of not less than two million dollars (\$2,000,000.00) combined single limit basis. Such insurance is to be written on an occurrence basis and shall name each of the Indemnitees as an Additional Insured.
- *Automobile Liability and Property Damage Insurance* in an amount not less than five hundred thousand dollars (\$500,000.00) combined single limit for both bodily injury and property damage;

Grantees shall provide *Worker's Compensation Insurance* and *Employer's General Liability Insurance* as required under the Worker's Compensation Law.

Certificates of Insurance for all aforementioned coverages shall be provided to RIOC prior to the commencement of Work and bear notations evidencing a minimum of 10 day cancellation notice to RIOC. Such insurance policies shall name RIOC, the Empire State Development, the Division of Housing and Community Renewal, the State of New York and the City of New York as additional insureds.

Certificates all addressed care of:

c/o  
Roosevelt Island Operating Corporation  
591 Main Street  
Roosevelt Island, New York 10044

RIOC will keep certificates on file for the other New York State and New York City Agencies.

## Public Purpose Funds Procedures

### Disbursement

Once all requirements have been met, each Grantee will enter into a funding agreement with RIOC specifying all relevant terms and conditions of the funds.

Grant disbursements will be made in two parts:

- 50% upon execution of the funding agreement
- 50% upon provision of a complete accounting of the first 50%, providing all documentation relevant to substantiate that expenses incurred were in line with the purposes of the grant.

After all grant monies have been spent, the grantee must provide a final accounting.

*Adopted December 11, 2014*

ANDREW M. CUOMO  
Governor

## Authority Mission Statement and Performance Measurements

**Name of Public Authority:** The Roosevelt Island Operating Corporation of the State of New York (the "Corporation")

### **Public Authority's Mission Statement:**

#### **Mission Statement:**

Created by the State of New York as a public benefit corporation, it is the mission of the Roosevelt Island Operating Corporation to plan, design, develop, operate, maintain and manage Roosevelt Island.

#### **Public Benefit:**

The Corporation is a political subdivision of the State of New York and additional stakeholders include the City of New York, residents, students, developers and commercial operators, workers and visitors to Roosevelt Island (the "Island"). The Corporation's stakeholders benefit from the development and preservation of properties and open spaces, as well as sharing in the economic growth of the Roosevelt Island community.

The Roosevelt Island Operating Corporation accomplishes its mission by practicing the following core values:

- **Service**  
We are committed to providing services that enhance the Island's mixed-use residential community, including public transportation, public safety, public works and parks and recreation.
- **Preservation**  
The Corporation promotes the preservation, enhancement, and sustainable use of the Island's historical landmarks and other structures and open spaces.
- **Environmental Responsibility**  
All new development, as well as maintenance of parks, public spaces, and other property under the Corporation's stewardship strives to employ the latest, cost-effective, high-performance environmental designs and techniques available.
- **Public Safety**  
We are committed to protecting and serving the community by providing a safe and secure environment and enforcing local, State and Federal laws.

- **Communication and Transparency**  
We are committed to effectively communicating with our stakeholders and undertake to be honest and accountable in our relationships with everyone we work with and with each other.
- **Fiscal Responsibility**  
We are committed to managing the Corporation's resources with fiscal responsibility and efficiency through a single comprehensive process that is aligned with the Corporation's strategic plan, without reliance on State subsidies.
- **Innovation**  
We thrive on creativity and ingenuity and strive to employ new, unique and innovative solutions to accomplish our mission.
- **Partnerships**  
We strive to develop strategic partnerships with commercial enterprises, nonprofit organizations and institutions in the public and private sectors to meet the needs of our stakeholders and carry out our mission.
- **Governance**  
The Corporation ensures good governance through compliance with its enabling legislation, corporate By-laws, General Development Plan, contractual obligations and all applicable Federal, State, and local laws.

**Date Adopted:** December 14, 2011

### **List of Performance Goals**

- To promote, develop, and maintain the mixed-income residential community on Roosevelt Island.
- To provide an appropriate level of services to develop and maintain public facilities, open spaces and commercial facilities.
- To ensure good governance through compliance with its enabling legislation, corporate By-laws, General Development Plan, contractual obligations and all applicable Federal, State, and local laws.
- To manage the Corporation's resources with fiscal responsibility and efficiency through a single comprehensive process that is aligned with the Corporation's strategic plan and to continue to operate without reliance on State subsidies.
- To provide a safe environment for the public and the Corporation's employees.

- To maintain and enhance the physical conditions of the Corporation's public facilities and open spaces.
- To promote a sustainable, innovative environment and to strive for island-wide green initiatives.
- To effectively communicate with all stakeholders.
- To partner with businesses, industry leaders and other government agencies to meet the needs of the Corporation's stakeholders.