

# **Program Guidelines:**

## **2017 Community Investment Partnership Program**

### **PROGRAM OVERVIEW**

The County of Northampton will competitively award grant funds from the Community Investment Partnership Program (CIPP). CIPP provides support especially to the County's aging communities that lack access to resources to improve the quality of life for their citizens and creates opportunities to stimulate, attract and sustain economic development. The approximately \$700,000 of available CIPP funds is provided through the Northampton County local share assessment of gross table games revenue under the Pennsylvania Race Horse Development and Gaming Act, 4 PaC.S. §§ 1101, et seq.

CIPP is designed to assist the County in prioritizing and allocating resources for the Northampton County Department of Community and Economic Development (NCD CED). CIPP will fall into one of four following categories:

1. Façade Grants
2. Capital Improvements Grants
3. Operational Grants
4. Community Planning Grants

NCD CED strongly encourages community-based organizations and public agencies, to work in partnership with local government to develop a comprehensive approach to address community and economic development needs. These partnerships will create a more attractive place to live as well as encourage business retention, expansion, and job-creation in the County where appropriate multi-municipal projects will receive preference.

### **APPLICATION OVERVIEW**

On average, eligible entities can apply for \$50,000 per application/ project. The County reserves the right to fund proposals at higher or lower amounts at its sole discretion.

A minimum match of \$1 cash for every \$1 granted is required for Capital Improvement, Façade, Implementation, and Operational grant applications. A minimum match of \$1 cash for every \$2 granted is required for Planning grant applications. Applications with a match source exceeding the minimum requirement will be considered more competitive.

**APPLICATION SCHEDULE**

- Funding Announcement – **Monday, May 15, 2017**
- Notice of Intent to Apply – **Friday, June 9, 2017**
- Application/Proposals Due – **Monday, July 17, 2017, 4:00 pm**
- Anticipated funding award notices – **October 2017**

**APPLICATION REVIEW**

*All grants will be awarded based on a competitive review process. Eligible Projects will meet the CIPP Guidelines and Application Requirements found below. The projects that can most effectively address the following criteria will receive preference:*

<b>Scoring Criteria</b>			<b>Scoring Weight</b>
<b>1</b>	<b>Project Narrative/ Overall Application</b>	The narrative is clear and concise. The project is clearly defined including funding sources, partners and resources being leveraged. The application is complete, well organized and well written.	<b>20%</b>
<b>2</b>	<b>Budget/Match</b>	The budget is clear and reasonable. The project meets and/or exceeds the match criteria and the match source is clearly identified. The match status is identified and documented as being secured or not at the time of application. The cost estimates are from a credible source.	<b>15%</b>
<b>3</b>	<b>Partnerships</b>	Clear partnerships exist or are being formed to implement the project.	<b>15%</b>
<b>4</b>	<b>Leverage</b>	The project is leveraging additional funds and resources above the required match.	<b>15%</b>
<b>5</b>	<b>Keystone principles</b>	The project clearly addresses one or more of the Keystone Principles and preferential criteria. See Exhibit 1	<b>10%</b>
<b>6</b>	<b>Project Timeline and Capacity</b>	The applicant has demonstrated the capacity to complete the project within the identified timeline. The timeline is reasonable and the project has all approvals, permits, sub contracts, personnel, funding, etc. in place and ready for implementation upon funding approval.	<b>15%</b>
<b>7</b>	<b>Addresses underserved Priority</b>	The project addresses a priority issue for the County in the following areas: Regionalization; Job Creation; Core Community Revitalization; Historic Preservation/ Restoration; Agritourism; Recreational Tourism; Workforce Development; Affordable Housing; Entrepreneurial and Start-up Business Resources; Food Access; Infrastructure	<b>10%</b>

## **APPLICATION PROCEDURES**

Entities interested in submitting an application are encouraged to submit a notice of intent e-mail to [DCEDwebinfo@northamptoncounty.org](mailto:DCEDwebinfo@northamptoncounty.org) no later than **Friday June 9, 2017**. The notice should include the following:

- Name of the entity and entity information
- A brief project description
- The anticipated dollar amount of the request
- The phone number and email of the contact person for the application

Please visit the NCDCEd Grant and Loan Programs web page at <https://www.northamptoncounty.org/CMTYECDV/Pages/Funding.aspx> and download all applicable documents associated with the funding announcement. In addition, **all applicants are required to register in the NCDCEd County Relationship Manager (CRM)** and submit electronic applications through the web. PLEASE CLICK HERE TO REGISTER. Within 1-2 business days you may upload and submit your electronic application forms through the CRM application. Click on the apply button located next to the applicable funding program on the NCDCEd Grant and loan Programs web page to access the CRM application.

**The deadline for submitting a full application is Monday, July 17, 2017 @ 4:00 P.M.** Incomplete applications will not be reviewed. Questions about the application process and guidance on the eligibility can be directed to Michael Brett at 610-829-6307 or [mbrett@northamptoncounty.org](mailto:mbrett@northamptoncounty.org).

## **PROGRAM CONDITIONS**

- Grants are awarded based on merit and are subject to the availability of funds.
- Funds are released on a reimbursement basis only.
- Eligible applicants may submit multiple requests.
- Applicants are urged to have contingency plans should they not receive their entire grant request.
- All items submitted in the Application and as requested by NCDCEd will become part of the binding grant agreement between the recipient and the County of Northampton.
- All projects funded under this announcement must be completed by June 30, 2019.

## **REPORTS**

Grantees are required to submit Semi-Annual Performance and Financial Reports to NCDCEd. Disbursement of funds and future grant awards are contingent upon the timely submission of these reports. At project completion, a close-out report is required. Reports must be submitted on NCDCEd provided report forms.

NCDCEd may conduct onsite monitoring at any point during the grant agreement term and/or at the completion of the project.

PAST/ CURRENT CIPP RECIPIENTS WITH OVERDUE REPORTS WILL NOT BE ELIGIBLE TO APPLY FOR FUNDING.

***Questions and concerns may be directed to:***

Michael Brett, Community and Economic Development Specialist

Phone: 610-829-6307

Email: [mbrett@northamptoncounty.org](mailto:mbrett@northamptoncounty.org)

## CIPP GRANT GUIDELINES

### 1 **FAÇADE GRANTS**

#### OVERVIEW

The Façade Grant is designed to stimulate private investment in properties, foster an attractive environment and preserve the architectural heritage of properties. Successful applicants will be awarded funding up to \$50,000 that they will in turn grant out to property owners in a targeted area on a competitive basis.

#### ELIGIBLE ACTIVITIES

The following activities are eligible for reimbursement:

- Sign Programs (storefronts)
- Exterior Paint Programs
- Design Assistance
- Building Façade Improvements/Rehabilitation (housing and commercial)

#### FAÇADE GRANT FUNDING REQUIREMENTS

- Grants are for exterior building improvements in a targeted downtown or neighborhood.
- Façade Grant limit is \$10,000 per property (home or store front).
- \$1 dollar cash match for every \$1 granted.
- Must include private equity from property owner or tenant for each property assisted.
- ***Proof that match funds were secured and expended will be required for project close-out under the grant agreement.***
- A strong demand for façade funding must be documented in the application.
- Applicant must be able to demonstrate administrative capacity to effectively run the program
- Applicant must submit façade design guidelines and procedures for approval by NCD CED.
- Costs incurred prior to the agreement term of the grant award are not eligible expenses.

### 2 **CAPITAL IMPROVEMENT GRANTS**

#### OVERVIEW

Capital Improvement Grants are available for a variety of development projects to help eliminate decline, provide gap financing or “seed” funding to leverage additional funds for capital projects. NCD CED will review each proposal on its own merit and determine whether it clearly serves a public purpose, has strong financial commitments, is part of a cooperative partnership, and is ready to go. Typical projects involve some type of capital improvement associated with implementing a specific revitalization strategy or capital improvement plan up to \$50,000.

## EXAMPLE PROJECTS

- Public Infrastructure Improvements
- Community Facilities
- Curb and Sidewalk replacement
- Installation of Public Art
- Streetscape Amenities i.e. Planters, Benches, Bike Racks
- Signage
- Park Improvements
- Parking Lot Improvements

## CAPITAL IMPROVEMENT GRANT REQUIREMENTS

- Projects must serve a public purpose.
- \$1 cash match for every \$1 granted.
- Applications are enhanced in the competitive review when match is provided above the required amounts.
- ***Proof that match funds were secured and expended will be required for project close-out under the grant agreement.***
- Projects must be associated with a specific revitalization strategy or capital improvement plan.
- Costs incurred prior to agreement term if Grant award are typically not eligible expenses.
- A resolution of municipal support is required.

## 3 OPERATIONS GRANTS

### OVERVIEW

Grants are available to fund operations and staff positions that support new or existing community and economic development efforts. Programs with clearly defined goals and objectives that include measurable outcomes will receive priority. Funds will be targeted toward new efforts and are not intended to be an ongoing source of funds to support operations. It is uncommon for an entity or an organization to be funded if they received an award the previous year.

### EXAMPLE PROJECTS:

- Funding to support a downtown manager
- Regional code enforcement officers
- Assistance toward a specific marketing campaign
- Program Advertising
- Workforce Development Initiatives
- Strengthening resources for non-profit organizations to serve clients in need of job seeking skills
- Promote targeted industry certification training

- Expansion of existing entrepreneurial training in underserved geographic locations

#### OPERATIONS GRANT REQUIREMENTS

- \$1 dollar match for every \$1 dollar granted.
- Applications are enhanced in the competitive review when match is provided above the required amounts.
- ***Proof that match funds were secured and expended will be required for project close-out under the grant agreement.***
- Costs incurred prior to agreement term of Grant award are not eligible expenses.

#### 4. COMMUNITY PLANNING GRANTS

##### OVERVIEW:

Planning grants are available to communities that desire to evaluate the ramifications and/or address a particular need, address a circumstance within a community, undertake a study relevant to an identified need within a community or study the results of implementing a specific activity. Applicants may apply for assistance to develop planning applications to work toward a state or federal designation status.

##### EXAMPLE PROJECTS:

- Funding to assist a community to develop the Four Point Plus Sustainability Approach (Main Street), or an alternative approach with the specific goal to revitalize the downtown.
- Funding to assist a community to develop the Five Point Plus Sustainability Approach (Elm Street), or an alternative approach with the specific goal to revitalize a neighborhood.
- Planning for the establishment of a special incentive zone or district i.e. Neighborhood Improvement District (NID), Business Improvement District (BID) Tax Increment Financing (TIF) Local Economic Revitalization Tax Assistance (LERTA) etc.
- Funding to assist a community to obtain some other state or federal designation to assist the community's revitalization efforts.
- Funding to carry out a business development survey in preparation of a business development strategy.
- The development of a Downtown Parking Analysis and Management Plan.
- The development of a Complete Streets Plan to address downtown circulation issues.
- Soft costs such as architectural, engineering, legal, fees, consulting, etc. needed to implement the construction of a project that has secured funding. Evidence of secured funding must be provided.
- Site Reuse Studies
- Market Studies
- Multi-municipal Planning Studies (traffic, storm water, regional services etc)
- Concept & Design of Public Improvements
- Capital Improvement Plans

## PLANNING GRANT REQUIREMENTS

- Generally a match of \$1 dollar for every \$2 dollars granted is required except as described below.
- 50% of the required match can be documented in-kind services or goods.
- Applications are enhanced in the competitive review when match is provided above the required amounts.
- ***Proof that match funds were secured and expended will be required for project close-out under the grant***
- A fee to administer the planning grant by the applicant is not an eligible expense unless approved by NCD CED.
- Costs incurred prior to the agreement term of the grant award are typically not eligible expenses



## I. APPLICATION REQUIREMENTS

When submitting an application, please be sure to check the appropriate box under “Project Type” on page 2 of the application to indicate for which CIPP Grant you are applying (Façade, Capital Improvement, Operations, or Planning). **INCOMPLETE APPLICATIONS WILL NOT BE REVIEWED.**

### FOR ALL GRANTS:

- **Project Narrative** – Describe the community, why the funds are needed, how they will be spent, and the benefit that will result. Be specific so that the reviewer understands the project, understands what is to be accomplished, how it will be accomplished and how the community will benefit.
  - **Adherence to Keystone Principles** – The narrative should identify the appropriate Keystone principles that the project will address and how it will address them. (See Exhibit 2 for a copy of the Principles)
  - **Public Purpose** – Describe how the public is served by the funding of this application.
  - **Discussion of Leverage** – Discuss how the project/activity will leverage additional funds and resources.
  - **Discussion of Capacity** – Discuss the organizations existing capacity to perform and/or manage the work identified in the proposal and any previous experience in managing similar efforts.
- **Project Budget** – Complete the CIPP Sources and Uses Budget Spreadsheet as completely and as accurately as possible.
- **Support Letter** - A letter of support from the highest ranking elected official that states the municipality’s general support for the project.
- **Partnership Letters of Support** – For projects involving partnerships, letters of support are required specifically identifying the resources that the partnering entity will invest into the project. The support can come in a variety of forms including but not limited to staff support, financial support, in-kind resources etc.
- **Financial Statements** – Submit the previous year’s audited/accountant prepared/ financial statements.
- **Evidence of Matching Funds** - Match funds are defined as funds in addition to those funds being requested through this application that are necessary to complete the project. Evidence can be demonstrated in the form of award or commitment letters from federal, state and local governments or agencies, as well as private funding commitments i.e. letter of credit. Evidence that the funds have been expended will be required with the Final Invoice. This may include canceled checks, paid invoices, etc. Applications documenting on hand matching funds will be more competitive than those that do not.

- **Project Timeline** - A project timeline that tracks the key activities and the dates necessary to achieving the project's goals and objectives. CIPP contracts are 18 month terms. Projects should not exceed an 18 month timeframe.
  - **Cost Estimates/Contracting Requirements** – An estimate of how much the project will cost. *Contracting must meet the criteria established in Exhibit 2 hereto, "Contracting Requirements".*
  - **Project Map** – Map(s) of sufficient size and quality to describe the project location with regard to the nature of the application.
- Miscellaneous** - Other information/documentation that NCDCED may identify after the application is submitted.

**FOR FAÇADE GRANTS ONLY:**

- **Design Guidelines and Procedures** - Establish program boundaries. Consideration must be given to the number of properties that can be assisted. All properties must be within the target area. For maximum impact, these boundaries can be reduced to include a portion target area.
  - Set design standards. Promoting sensitive and quality rehabilitation is usually done by creating design guidelines that are approved by a local committee and distributed to local property owners. (Programs in historically eligible areas should follow the U.S. Department of the Interior's "Standards for Rehabilitation and Guidelines for Rehabilitating Historic Buildings.")
  - Define eligible and ineligible applicants and activities.
  - Work items eligible for assistance must be specified in the local façade guidelines.
  - Only external improvements are eligible.
  - The guidelines should delineate anything that is eligible outside of the footprint of the building.
- **Policy and Procedures** -. The façade program must have written policies to rely on if disputes arise. All of the necessary forms and the contract document should be included as appendices. This is important for the local organization and business/property owners and should clearly outline the step-by-step procedures a person must follow – from initial inquiry, to final inspection and payment.
  - Arrangements can be made for merchants who lease buildings and for residential properties located within the target area, if these buildings are addressed in the local façade guidelines.

**FOR PARTNERSHIP IMPLEMENTATION AND OPERATIONS GRANTS ONLY:**

- **Operational Budget** – Please submit the proposed operational budget of the entity requesting assistance.

## Exhibit 1

### KEYSTONE PRINCIPLES

#### COMMONWEALTH OF PENNSYLVANIA KEYSTONE PRINCIPLES FOR GROWTH, INVESTMENT & RESOURCE CONSERVATION

##### **PREAMBLE**

The Keystone Principles & Criteria for Growth, Investment & Resource Conservation were adopted by the Economic Development Cabinet May 31, 2005. They were developed by the Interagency Land Use Team, a working group of the Cabinet over two years. The Principles & Criteria are designed as a coordinated interagency approach to fostering sustainable economic development and conservation of resources through the state's investments in Pennsylvania's diverse communities.

The Principles lay out general goals and objectives for economic development and resource conservation agreed upon among the agencies and programs that participated in their development. The Criteria are designed to help measure the extent to which particular projects accomplish these goals.

The Criteria do not replace agency program guidelines or criteria. Rather, at each agency's discretion, they will either be integrated into existing program criteria (preferable) or used as additional, favorable considerations in the scoring or decision making process. The Principles and Criteria are designed to encourage multifaceted project development that will integrate programs and funding sources from a variety of state agencies into a comprehensive strategy to address issues affecting whole communities. There are two categories of criteria:

*Core Criteria*, where relevant, should be given primary consideration in all investment decisions made by Commonwealth agencies when making grants or loans to public or private projects using agency funds.

*Preferential Criteria* should be used by Commonwealth agencies in all programs to which they are applicable to evaluate projects and make decisions on grants or loans using agency funds.

Projects are to be evaluated with the recognition that rural, suburban, and urban areas have different characteristics and needs, and that what might work in an urban area might not work in a rural area (the "Be Fair" standard).

The Cabinet also approved a process to implement the Principles and Criteria over the next six months during which each agency will determine how they will integrate the criteria into each of their programs. A committee of the Interagency Team, led by the Governor's Office, will review the plans and offer feedback with the goal of fine tuning the use of the Principles and Criteria for full implementation in the next calendar year.

## COMMONWEALTH OF PENNSYLVANIA KEYSTONE PRINCIPLES FOR GROWTH, INVESTMENT & RESOURCE CONSERVATION PRINCIPLES

**1. REDEVELOP FIRST.** Support revitalization of Pennsylvania's many cities and towns. Give funding preference to reuse and redevelopment of "brownfield" and previously developed sites in urban, suburban, and rural communities for economic activity that creates jobs, housing, mixed use development, and recreational assets. Conserve Pennsylvania's exceptional heritage resources. Support rehabilitation of historic buildings and neighborhoods for compatible contemporary uses.

**2. PROVIDE EFFICIENT INFRASTRUCTURE.** Fix it first: use and improve existing infrastructure. Make highway and public transportation investments that use context sensitive design to improve existing developed areas and attract residents and visitors to these places. Provide transportation choice and intermodal connections for air travel, driving, public transit, bicycling and walking. Increase rail freight. Provide public water and sewer service for dense development in designated growth areas. Use on-lot and community systems in rural areas. Require private and public expansions of service to be consistent with approved comprehensive plans and consistent implementing ordinances.

**3. CONCENTRATE DEVELOPMENT.** Support infill and "greenfield" development that is compact, conserves land, and is integrated with existing or planned transportation, water and sewer services, and schools. Foster creation of well-designed developments and walkable, bikeable neighborhoods that offer healthy life style opportunities for Pennsylvania residents. Recognize the importance of projects that can document measurable impacts and are deemed "most-ready" to move to successful completion.

**4. INCREASE JOB OPPORTUNITIES.** Retain and attract a diverse, educated workforce through the quality of economic opportunity and quality of life offered in Pennsylvania's varied communities. Integrate educational and job training opportunities for workers of all ages with the workforce needs of businesses. Invest in businesses that offer good paying, high quality jobs, and that are located near existing or planned water & sewer infrastructure, housing, existing workforce, and transportation access (highway or transit).

**5. FOSTER SUSTAINABLE BUSINESSES.** Strengthen natural resource based businesses that use sustainable practices in energy production and use, agriculture, forestry, fisheries, recreation and tourism. Increase our supply of renewable energy. Reduce consumption of water, energy and materials to reduce foreign energy dependence and address climate change. Lead by example: support conservation strategies, clean power and innovative industries. Construct and promote green buildings and infrastructure that use land, energy, water and materials efficiently. Support economic development that increases or replenishes knowledge-based employment, or builds on existing industry clusters.

**6. RESTORE AND ENHANCE THE ENVIRONMENT.** Maintain and expand our land, air and water protection and conservation programs. Conserve and restore environmentally sensitive lands and natural areas for ecological health, biodiversity and wildlife habitat. Promote development that respects and enhances the state's natural lands and resources.

**7. ENHANCE RECREATIONAL AND HERITAGE RESOURCES.** Maintain and improve recreational and heritage assets and infrastructure throughout the Commonwealth, including parks & forests, greenways & trails, heritage parks, historic sites & resources, fishing and boating areas and game lands offering recreational and cultural opportunities to Pennsylvanians and visitors.

**8. EXPAND HOUSING OPPORTUNITIES.** Support the construction and rehabilitation of housing of all types to meet the needs of people of all incomes and abilities. Support local projects that are based on a comprehensive vision or plan, have significant potential impact (e.g., increased tax base, private investment), and demonstrate local capacity, technical ability and leadership to implement the project. Coordinate the provision of housing with the location of jobs, public transit, services, schools and other existing infrastructure. Foster the development of housing, home partnerships, and rental housing opportunities that are compatible with county and local plans and community character.

**9. PLAN REGIONALLY; IMPLEMENT LOCALLY.** Support multi-municipal, county and local government planning and implementation that has broad public input and support and is consistent with these principles. Provide education, training, technical assistance, and funding for such planning and for transportation, infrastructure, economic development, housing, mixed use and conservation projects that implement such plans.

**10. BE FAIR.** Support equitable sharing of the benefits and burdens of development. Provide technical and strategic support for inclusive community planning to ensure social, economic, and environmental goals are met. Ensure that in applying the principles and criteria, fair consideration is given to rural projects that may have less existing infrastructure, workforce, and jobs than urban and suburban areas, but that offer sustainable development benefits to a defined rural community.

## **CRITERIA FOR GROWTH, INVESTMENT & RESOURCE CONSERVATION IMPLEMENTING THE KEYSTONE PRINCIPLES**

### **I. Core Criteria**

- 1 Project avoids or mitigates high hazard locations (e.g., floodplain, subsidence or landslide prone areas).
- 2 Project/infrastructure does not adversely impact environmentally sensitive areas, productive agricultural lands, or significant historic resources.
- 3 Project in suburban or rural area: Project and supporting infrastructure are consistent with multi-municipal or county & local comprehensive plans and implementing ordinances, and there is local public/private capacity, technical ability, and leadership to implement project.
- 4 Project in “core community” (city, borough or developed area of township): Project is supported by local comprehensive vision & plan, and there is local public/private capacity, technical ability, and leadership to implement project.

- 5 Project supports other state investments and community partnerships.

## **II Preferential Criteria**

### **1. Development/Site Location**

- 1a Brownfield or previously developed site.
- 1b Rehabilitation or reuse of existing buildings (including schools and historic buildings).
- 1c Infill in or around city, borough, or developed area of township.
- 1d If greenfield site, located in or adjacent to developed area with infrastructure.
- 1e Located in distressed city, borough or township.

### **2. Efficient Infrastructure**

- 2a Use of existing highway capacity &/or public transit access available.
- 2b Within ½ mile of existing or planned public transit access (rail, bus, shared ride or welfare to work services).
- 2c Use of context sensitive design for transportation improvements.
- 2d Use/improvement of existing public or private water & sewer capacity and services.

### **3. Density, design, and diversity of uses.**

- 3a Mixed residential, commercial & institutional uses within development or area adjacent by walking.
- 3b Sidewalks, street trees, connected walkways & bikeways, greenways, parks, or open space amenities included or nearby.
- 3c Interconnected project streets connected to public streets.
- 3d Design of new water, sewer & storm water facilities follows Best Management Practices, including emphasizing groundwater recharge & infiltration, and use of permeable surfaces for parking and community areas.

### **4. Expand Housing Opportunities**

- 4a Adopted county and multi-municipal or local municipal plans include plan for affordable housing; and implementing zoning provides for such housing through measures such as inclusion of affordable housing in developments over a certain number of units (e.g., 50), provision for accessory units, and zoning by right for multifamily units.
- 4b Project provides affordable housing located near jobs (extra weight for employer assisted housing).
- 4c Project adds to supply of affordable rental housing in areas of demonstrated need.

### **5. Increase Job Opportunities**

- 5a Number of permanent jobs created and impact on local labor market.
- 5b Number of temporary jobs created and impact on local labor market.
- 5c Number of jobs paying family sustaining wages.
- 5d Increased job training coordinated with business needs & locations.

### **6. Foster Sustainable Businesses**

6a Sustainable natural resource industry improvement or expansion: agriculture, forestry, recreation (fisheries, game lands, boating), tourism.

6b Business or project is energy efficient; uses energy conservation standards; produces, sells or uses renewable energy; expands energy recovery; promotes innovation in energy production and use; or expands renewable energy sources, clean power, or use of Pennsylvania resources to produce such energy.

6c Project meets green building standards.

6d Project supports identified regional industry cluster(s).

## **7. Restore/Enhance Environment**

7a Cleans up/ reclaims polluted lands and/or waters.

7b Protects environmentally sensitive lands for health, habitat, and biodiversity through acquisition, conservation easements, planning and zoning, or other conservation measures.

7c Development incorporates natural resource features and protection of wetlands, surface & groundwater resources, and air quality.

## **8. Enhance Recreational/Heritage Resources**

8a Improves parks, forests, heritage parks, greenways, trails, fisheries, boating areas, game lands and/or infrastructure to increase recreational potential for residents & visitors.

8b Historic, cultural, greenways and/or opens space resources incorporated in municipal plans and project plan.

8c Makes adaptive reuse of significant architectural or historic resources or buildings.

## **9. Plan regionally; Implement Locally**

9a Consistent county and multi-municipal plan (or county and local municipal plan) adopted and implemented by county and local governments with consistent ordinances.

9b County or multi-municipal plan addresses regional issues and needs to achieve participating municipalities' economic, social, and environmental goals. All plans (county, multi-municipal, and local) follow standards for good planning, including:

*1. Is up-to-date.*

*2. Plans for designated growth and rural resource areas, and developments of regional impact.*

*3. Plans for infrastructure, community facilities, and services, including transportation, water & sewer, storm water, schools.*

*4. Plans for tax base and fair share needs for housing, commercial, institutional, & industrial development.*



## Exhibit 2

### Contracting Requirements

Contracting shall be done in accordance with all applicable federal, state and local requirements and guidelines. It shall be the responsibility of the Grantee/Subgrantee to ensure that such requirements and guidelines are followed. **Construction projects may be subject to Pennsylvania Prevailing Wage requirements. Please see (hyperlink) for applicability**

#### COMPETITIVE BID REQUIREMENTS

Any good or service purchased under this grant must be done in accordance with your entity's purchasing requirements or the County's, *whichever is most restrictive*. Northampton County's thresholds are as follows:

\$1 to \$1,000	One documented quote or documented cost
\$1,001-\$6,000	Minimum three (3) quotes or documented costs
\$6,000-\$10,000	Minimum three written quotes
\$10,001-\$24,999	Minimum three (3) written quotes, publicly advertised
\$25,000 and above	Request for Proposals (RFP) or Request for Qualifications (RFQ)

Documented costs may include quotes or advertisements (ie: online cost comparisons). Remember to keep copies of all quotes/costs in your project record, as this verifies you followed the appropriate procurement method. Selecting a good or service through the Commonwealth of Pennsylvania's cooperative purchasing program administered by the Department of General Services (DGS) Bureau of Procurement, the COSTARS Program, is an acceptable alternative to the methods listed above.

#### PREPARING FOR COMPETITIVE BIDS

The first step in most projects is to document the specific work to be done in order to competitively solicit bids from contractors. On a small project where total construction costs are not expected to exceed \$25,000.00, you may only wish to use an existing estimate or specifications to solicit written estimates from contractors. Most subgrantees work with an architectural, engineering or other project management firm to develop a bid package that ensures you select the most qualified contractor while complying with local, state, and federal laws and regulations.

Construction projects require specific technical expertise and knowledge of how to comply with state and federal labor requirements. Those not accustomed to overseeing construction projects are highly encouraged to hire a project manager.



## **ACQUISITION OF ARCHITECTURAL/ENGINEERING SERVICES**

When acquiring A/E services to design your site/project, a Request for Proposals (RFP) or a Request for Qualifications (RFQ) may be used. Under an RFQ, you may use competitive proposal procedures whereby the competitors' qualifications are evaluated and the most qualified competitor is selected, subject to negotiation of fair and reasonable compensation. In these instances, price is not used as a selection factor; once the most-qualified firm is identified, only that firm is asked for a price proposal that is subject to negotiation of a fair and reasonable price. If negotiations with the selected firm are unsuccessful, this process is repeated with the next highest-ranked firm, until a fair and reasonably priced contract can be awarded. You must document the basis for your determination of the most qualified competitor and the reasonableness of the contract price.

Note the following requirements if your project is federally funded:

- An RFQ may not be used to purchase other services performed by architects and engineers (24 CFR 85.36(d)(3)(v)). Additional services offered by A/E firms, such as preparation of bid packets, project management or grant writing, must be selected based on lowest cost (using an RFP or other appropriate small purchasing method).
- You cannot award a contract to any person or firm that develops or drafts specifications, requirements, statements of work, invitations for bids, and/or requests for proposals (24 CFR 84.43).
- Architects or engineers selected by municipalities may be reimbursed through your grant if documentation can be supplied that the firm had been selected using an appropriate procurement methodology within the previous three (3) years of the Start Date of the sub-grant agreement and the contract specifically includes project management activities in the scope of services. Otherwise, these costs cannot be paid under the grant.

## **VENDOR PREFERENCE**

When contracts or subcontracts are expected to exceed \$25,000 and are funded in whole or in part by state or federal funds, opportunities be afforded must to afforded to businesses and organizations which are eligible for preferential treatment under a variety of laws, Executive Orders, etc. (e.g., the Small Business Act). Eligible organizations include: small, small disadvantaged, women-owned, historically underutilized business zone (HUBZone), veteran-owned, and service disabled veteran-owned small businesses. These requirements historically included only Minority Owned or Women Owned Businesses (MBE/WBE). While certain funding sources (ie: HUD) may only ask for reporting on certain classifications of businesses, including all preferred classes in your preferred bidding process will ensure that all newly emerging requirements are met.

You and any prime contractors are required to advise and provide the maximum practicable opportunity for participation to small and diverse businesses. For federally funded projects, the target participation levels are 5% for minority owned business enterprises and 3% for women owned business enterprises.

Requirements under both state and federally funded projects can be met by accessing the current listing of state-certified Small and Diverse Firms at the following website:  
<http://www.dgsweb.state.pa.us/mbewbe/VendorSearch.aspx>

On the search page, select the "Code Look Up" button to search for the appropriate type of vendor you will be using. Once the appropriate classification code is selected, choose, "Northampton" from the dropdown list of counties, and then hit search. You will receive names of local MBE & WBE vendors and Small Diverse (SD) vendors for the type(s) of businesses you are soliciting.

Repeat for the following counties:

- Bucks
- Carbon
- Lehigh
- Monroe

You must send the bid announcement to any certified business that provides the service or good you need and is located in the five counties listed above. You can choose to solicit other classifications (ie: Veteran-Owned Businesses) or non-certified businesses; however, non-certified vendors must agree to register with the Commonwealth in order to receive preference in bidding.

- Keep evidence, such as a fax cover sheet or a copy of the stamped, addressed envelope, showing you successfully sent the bid announcement to each registered business.
- If there are no relevant vendors, print the page showing there were no matches and keep this in your records.