

Sample Work Plan for Comprehensive Planning Projects

Task 1: Project Initiation Meeting

The Contractor, the Department, and any partners responsible for managing the project, shall hold an initial meeting to review and agree upon the project scope and schedule, project requirements, budget, roles and responsibilities, the selection process for procuring consultants, State Environmental Quality Review Act (SEQRA) compliance requirements, MWBE requirements, the number of public meetings and techniques for public involvement proposed for the project, and any other information which would assist in project completion. In addition, the composition and role of the Comprehensive Planning Committee shall be discussed during the project initiation meeting. The Contractor, or a designated project partner, shall prepare and distribute to all project partners a brief meeting summary clearly indicating the agreements reached at the meeting. Work on subsequent tasks shall not proceed prior to Department review of the proposed approach as outlined in the meeting summary.

Products: Project initiation meeting held with appropriate parties. Written meeting summary outlining agreements reached.

Task 2: Comprehensive Planning Committee

Establish a Comprehensive Planning Committee, as a special municipal board (if applicable), to conduct/oversee the development of the Comprehensive Plan in cooperation with municipal officials, other municipal boards, and the project consultant(s), if applicable. The Comprehensive Planning Committee shall have at least one member from the planning board and shall include representatives from a large range of ethnic, social, and cultural backgrounds and a diverse range of stakeholders, such as residents, civic leaders, business owners, elected officials, environmental experts, municipal board members.

The members of the Comprehensive Planning Committee (CPC) conduct/oversee the planning process and the development of the Comprehensive Plan, participate in meetings, generate ideas and build consensus, provide the consultant team with relevant information reflective of the community's current condition and needs (including a list of completed and ongoing local planning efforts and initiatives), review materials drafted by the consultant team and provide constructive feedback, support each of the proposed public participation and outreach efforts, and set the stage for cooperation and the plan's implementation.

Products: Draft and final list of proposed members of Comprehensive Planning Committee. Project advisory committee established.

Task 3: Procurement of Consultant (if applicable)

Prepare a Request for Proposals (RFP) or similar instrument (if applicable) including a complete project description with site conditions, expected final results, a schedule for completion, MWBE requirements, and criteria for selecting a preferred proposal. Consultant services requested shall include all applicable tasks, activities and responsibilities outlined in the "Project Components" section of this work program.

The Contractor must actively solicit bids for contracts and subcontracts from qualified State certified MWBEs which can be identified using the NYS Directory of Certified Firms (<https://ny.newnycontracts.com/>). The Contractor must retain records of the procurement process including direct solicitation to MWBEs; results; and any actions that its subcontractors have taken toward meeting MWBE contract participation goals. To demonstrate good faith efforts to achieve MWBE contract goals the following should be retained:

- Evidence of outreach to MWBEs: mail, email, phone calls and follow-up.
- Written responses by MWBEs to the grantee/vendor's outreach.
- Copies of search(es) of the directory and advertisements for participation by MWBEs in appropriate general circulation, trade, and minority or women-oriented publications.
- Attendance at any pre-bid, pre-award, or other meetings, if any, scheduled by the grantee with MWBEs including dates and location.
- Description of how the scope of work maximizes opportunities for MWBE participation.
- Description of how non-MWBE subcontractors' have engaged MWBEs to undertake part of the project's work or to procure equipment/ materials/supplies.

NYS Department of State requires a licensed professional engineer, architect or landscape architect licensed to practice in New York State for preparation and certification of final designs and construction documents, and for supervision of construction.

Submit the RFP or similar instrument to the Department for review and approval prior to release for solicitation of proposals.

Products: Approved RFP or similar instrument released through advertisement in local papers, the New York State Contract Reporter, or other appropriate means. Documentation of procurement including direct solicitation to MWBEs and actions taken toward meeting MWBE contract participation goals.

Task 4: Subcontract and Compliance with Local Procurement Requirements

Prepare the draft subcontract(s) to conduct project work with the selected consultant(s). The subcontract(s) shall contain a detailed work plan with adequate opportunity for review at appropriate stages of product completion, a payment schedule with payments tied to receipt of products, and project costs.

Incorporate the Department's comments on the subcontract work plan, or scope of services, prior to execution of the final subcontract(s).

The municipal attorney, chief legal officer or financial administrator of the municipality shall certify in writing to the Department that the Contractor fully complied with applicable provisions of General Municipal Law and with local procurement procedures. A procurement certification form will be supplied by the Department.

The Contractor's procurement record and consultant selection are subject to approval by the Department.

The Contractor remains responsible for the legal sufficiency of the subcontract in accordance with the requirements in the Master Grant Contract and Attachment A-1.

Products: Consultant(s) selected and approved by the Department. Executed subcontracts and written certification of compliance with procurement procedures.

Task 5: Comprehensive Planning Committee Meetings

The Comprehensive Planning Committee will meet on a regular basis during the planning process to advance the preparation, review, and approval of the Comprehensive Plan, and to organize and conduct community participation events.

During the first meeting, the Comprehensive Plan Committee will review project requirements and roles and responsibilities, transfer necessary information to the team of consultants (if applicable), and identify new information needs and next steps. The Comprehensive Plan Committee or the consultant (if applicable) will prepare and distribute a brief meeting summary clearly indicating the understandings reached at the meeting.

All subsequent meetings will advance the preparation of the Comprehensive Plan and assess the evolution of the project, the new information needed, changes in roles and responsibilities, and next steps.

Work on subsequent tasks shall not proceed prior to Department review.

Products: Meetings held with appropriate parties. Written meeting summaries outlining what has been discussed and understandings reached and identifying the participants to the meeting.

Task 6: Community Participation Plan

Prepare a Community Participation Plan that describes the public outreach and participation efforts that will be conducted during the development of the Comprehensive Plan, pursuant to the local and State statutes. At a minimum, the Community Participation Plan shall include (in-person or virtual) interviews with local and regional stakeholders, a community survey, a public information meeting, one or more public workshops, one or more public hearings, and a webpage with links to announcements, presentations and documents prepared during the planning process. The Community Participation Plan shall identify key individuals, organizations, and entities to be involved, and shall identify roles and responsibilities in coordinating the entire outreach process, logistics, and the proposed schedule of the proposed public outreach and participation efforts.

All public outreach and participation efforts will be publicized in the community through press releases, announcements, individual mailings, and any other appropriate means. Public access must be provided to each public meeting or workshop. Outreach efforts should encourage participation from populations who are frequently underrepresented in this process, including immigrants, refugees, and minorities.

Meeting and public engagement should be scheduled at times that are convenient to underrepresented communities (e.g., at night or on weekends instead of during the day) and at locations that are ADA accessible. Meetings shall be advertised with generous advance notice to garner maximum publicity, awareness, and participation.

A summary of each public outreach and participation efforts will be made available to the public in written form and through other appropriate means, such as websites.

Products: Draft and final Community Participation Plan.

Task 7: Community Survey and Stakeholder Interviews

Develop a relevant and realistic community survey about current local conditions and issues. The survey should be made available to the public as hard copy and online. In addition, identify a set of topics that shall be discussed with stakeholders to obtain additional relevant information and elicit stakeholder reactions and suggestions. Following the completion of the survey, develop a summary of results and analysis.

Products: Draft and final Community Survey. Draft and final list of topics to be discussed during the stakeholder interviews. Summary of survey and interviews responses and analysis.

Task 8: Review Local and Regional Planning Efforts and Ongoing Initiatives

Identify and review existing local and regional planning documents and ongoing initiatives. This review process will also include consultation with community leaders and with neighboring communities, if applicable, to identify common issues and assess if Smart Growth principals are the basis for addressing those issues.

The Comprehensive Planning Committee and the consultant(s), if applicable, shall develop a written findings report describing and assessing existing planning documents and the issues and opportunities identified by community leaders.

Products: Written findings report.

Task 9: Community Profile

Draft a Community Profile consisting in an inventory and analysis of existing conditions, including narrative, maps, and relevant data. The inventory will be used to assist in the identification of local issues and potential opportunities. The analysis of the local conditions and issues will be conducted from a Smart Growth perspective and identify potential solutions to existing issues and potential opportunities. A chart of smart growth principles will be provided to be included in the comprehensive plan which will summarize the opportunities and challenges to addressing each principle. The inventory and analysis of existing conditions may include the following, at a minimum:

- History of the municipal jurisdiction and boundaries.
- Description of previous comprehensive plan development and adoption processes.
- Demographic characteristics (population and growth trends, age distribution, average household size, ethnic composition, average household income, social diversity and integration, demographic trends).
- Local and regional economic characteristics (unemployment rates and trends, work force characterization, dominant business sector type, major employers and industries, sales tax information, property tax rates, economic trends and jobs range).
- Housing characteristics (the age, type, and condition of structures, type of occupancy - renters versus owners, vacancy rates and trends in the community and length of residency - percentage of residents five years in home, the extent and availability of low-income housing throughout the community and in identified neighborhoods, assessment of housing opportunities and choices, housing trends and access to jobs).
- Local and regional economies and development trends (including housing, commercial, industrial and agricultural development).
- Land use and smart growth focus areas.
- Agricultural and forest lands, uses, and districts.
- Infrastructure and public utilities (i.e., drinking water supply, sewage disposal, solid waste disposal, stormwater management and green infrastructure, communications, gas and electricity) extent, capacity, age, and maintenance.
- Transportation systems, local levels of greenhouse gas emissions, levels of mobility and circulation, walkable/bikeable neighborhood, connectivity with areas outside jurisdictional lines, distance to jobs.
- Natural resources and climate (air quality, watercourses, wetlands, floodplains, aquifers, forests/tree cover, steep slopes, soil types, and rare plant and animal habitats, precipitations, winds, temperatures, etc.).
- Extreme weather events, flooding, erosion hazards, and local resiliency.
- Health and emergency services and facilities.

- Parks and public spaces, recreation facilities, range of passive and active recreation, capacity and maintenance, accessibility etc.
- Historic, cultural, and scenic resources.
- Waterfront resources and public access.
- Zoning and other relevant local development controls.
- Fiscal resources.

The draft Community Profile shall be submitted to the Department for review before being used to design workshop activities and prepare materials needed to conduct community visioning workshops or to draft the Comprehensive Plan.

Products: Community Profile report, including a comprehensive inventory and analysis in the form of relevant data, narrative, maps, and graphics.

Task 10: Community Visioning Workshops

Conduct at least two public workshops that will inform the public about the findings of the planning process conducted up to this point, present a clear assessment of how Smart Growth policies are integrated in the municipality's planning efforts, governmental decisions, and ongoing initiatives, and will solicit public input on existing resources, community character, and future growth. The workshops are also intended to identify Smart Growth solutions to current issues and future growth.

Each workshop shall be advertised with generous advance notice to garner maximum publicity, awareness, and participation. The site of the workshops must be accessible to the public.

Products: Published workshops announcements and fliers. Materials prepared for each public workshop. Workshops held.

Task 11: Draft Comprehensive Plan

Assemble the draft comprehensive plan that addresses each of the Smart Growth policies and establishes a long-term strategy for future growth and protection of resources, and may include the following topics commensurate with the community's needs and vision for future actions:

- Goals, objectives, principles, policies, and standards upon which proposals for the immediate and long-range enhancement, growth, and development of the community.
- Consideration of regional needs and the official plans of other government units and agencies within the region.
- The existing and proposed location and intensity of land uses.
- Consideration and recommendations for the protection of agricultural and forest lands, historic and cultural resources, natural resources, and sensitive environmental areas.
- Consideration of population, demographic and socio-economic trends and future projections.
- Location and types of transportation facilities that reduce the local levels of greenhouse gas emissions.
- Existing and proposed general location of public and private utilities and infrastructure, including clean energy generation.
- Existing housing resources and future housing needs, including affordable housing.
- The present and potential future general location of educational and cultural facilities, historic sites, health facilities, and facilities for emergency services.
- Existing and proposed recreation facilities and parkland.
- The present and potential future general location of commercial and industrial facilities.

- Specific policies and strategies for improving the local economy in coordination with other plan topics.
- Proposed measures, programs, devices, and instruments to implement the goals and objectives of the various topics within the comprehensive plan.
- All or part of applicable plans of other public agencies.
- Any and all other items which are consistent with the orderly growth and development of the community.

A detailed strategy implementing the community's policies, concepts, projects, and programs shall be identified in the plan. This includes phased implementation approach (short-term, mid, and long-term), as well as anticipated costs, and priorities.

Submit the draft Comprehensive Plan to the Department for review and approval and incorporate the Department's comments in the final plan.

Products: Draft Comprehensive Plan, including relevant data, narrative, maps, and graphics.

Task 12: Review by the Local Municipal Board

Submit the draft Comprehensive Plan to the local municipal board, for review, comments, and recommendations. The comments received from the local municipal board shall be addressed before the initiation of the SEQRA compliance process.

The comments and recommendations prepared by the local governing board/local legislature shall be addressed and incorporated into the final plan and prior to making the draft available for public review.

Products: Comments and recommendations received from the local municipal board submitted to the Department.

Task 13: Environmental Quality Review

Prepare materials necessary for compliance with the State Environmental Quality Review Act (SEQRA). The adoption of a new or amended Comprehensive Plan or Zoning Ordinance is classified as a Type 1 action, pursuant to SEQRA and 6 NYCRR Part 617. The local municipal board shall act as the Lead Agency for the Purposes of SEQRA. The local municipal board shall comply with SEQRA requirements and issue a SEQRA Determination. Based on the results of the SEQRA Determination, the local municipal board or its consultants may be required to prepare a Generic Environmental Impact Statement (GEIS) to provide a review of the land-use actions proposed in the new or amended Comprehensive Plan or Zoning Ordinance. Copies of all SEQRA documents shall be submitted to the Department.

Products: SEQRA documents

Task 14: County Planning Board Review

Submit the draft Comprehensive Plan to the County Planning Board for review and recommendations pursuant to Section 239-m of the New York State General Municipal Law. Comments received from the County Planning Board shall be addressed in the final version of the Comprehensive Plan that will be locally adopted.

Comments received from the County Planning Board shall be submitted to Department.

Products: Comments and recommendations prepared by the County Planning Board.

Task 15: Final Comprehensive Plan

Address all comments and recommendations received from the public and involved local, regional and State agencies and incorporate into the Final Comprehensive Plan and schedule a public hearing and the local adoption of the plan.

The final Comprehensive Plan and the date of the public hearing and local adoption of the plan shall be submitted to Department.

Products: Final Comprehensive Plan ready for local adoption.

Task 16: Public Hearing and Local Adoption

Conduct a public hearing prior to adoption of the comprehensive plan. Notice of the public hearing shall be published in a newspaper of general circulation in the community at least ten calendar days in advance of the hearing. The proposed comprehensive plan shall be made available for public review during said period at the office of the municipal clerk and public library and shall be posted on the municipal website. The public hearings may also be publicized in the community through press releases, announcements, individual mailings, and any other appropriate means.

Copies of the public hearing minutes and the local adoption resolution shall be submitted to the Department.

Products: Minutes from the public hearings and record of decision submitted to Department.

Task 17: Final Project Summary Report and Measurable Results

Submit the Final Project Summary Report and Measurable Results electronically at:
<https://forms.office.com/g/eZERFeEeKM>.

Products: Final Project Summary Report and Measurable Results submitted to the Department.

Task 18: MWBE Reporting

Comply with MWBE Reporting Requirements by completing the following actions:

- Submit Form D - MWBE Utilization Plan to indicate any state-certified MWBE firms selected to work on this contract. Form D must be updated and submitted to the Department whenever changes to the selected MWBE firms occur (addition or removal).
- Record payments to MWBE subcontractors using DOS funds through the New York State Contract System (NYSCS).

Technical assistance for use of the NYSCS system can be obtained through the NYSCS website at <https://ny.newnycontracts.com> by clicking on the “Contact Us & Support” link.

Products: Ongoing reporting through NYSCS during the life of the contract. Form D submitted as necessary to reflect updated MWBE subcontractors.

Task 19: Project Status Reports

Submit project status reports semi-annually (every June 30 and December 31) on the form provided, including a description of the work accomplished, the status of all tasks in this work plan, schedule of completion of remaining tasks, and an explanation of any problems encountered.

Products: Completed project status reports submitted to the Department during the life of the contract.