



MWBE Master Goal Plan

1. Authority Overview

The Schenectady Metroplex Development Authority (“Metroplex” or the “Authority”) is a public benefit corporation established by the New York State Legislature in 1998 for revitalizing the Route 7 and Route 5 corridors within Schenectady County. The Authority is funded by a portion of the Schenectady County sales tax authorized by the enabling statute (70 percent of one-half of one percent of the county sales tax receipts).

The mission of Metroplex is to enhance the long-term vitality and quality of life in Schenectady County by cooperative, purposeful actions and investments within its corridor, with an emphasis on downtown Schenectady.

Metroplex works cooperatively with Schenectady County, the City of Schenectady, private developers, and other key private and public partners to design, plan, finance, site, construct, administer, operate, manage and maintain facilities within its service district. Metroplex major capital projects are selected using three fundamental criteria:

1. Expand the real property tax base within Schenectady County;
2. Increase sales tax collections county-wide; and,
3. Create and maintain jobs within the County.

The Board of Directors leads the Authority along with an administrative staff comprised of five full-time employees. Metroplex collaborates with many municipal and private-sector entities through all stages of the development process from project planning and financing to construction of capital improvement projects utilizing Metroplex’s bonding capacity and/or discretionary funding as well as securing other public funds and private investment.

2. Policy Statement MWBE Goals for Contracts

It is the policy of the Authority to encourage MWBE vendor participation in its discretionary purchases for services and commodities. The Authority further requires MWBE vendor participation for nearly every capital improvement construction project and related activities by including MWBE goals in every contract that are binding on contractors and subcontractors. The policy applies to Metroplex financial assistance of more than \$100,000 with respect to construction, demolition, replacement, repairs, renovations or improvements to real property and shall result in a contractual obligation of the project beneficiary to make good faith efforts to achieve the Authority’s MWBE goals. With a few exceptions noted herein, a written agreement or purchase order instrument providing for a total expenditure of more than \$25,000 by the Authority in return for labor, services, supplies, equipment and/or materials obligates the Authority to seek opportunities for MWBEs.

3. Description of Procurement Strategy

Metroplex’s policy with respect to promotion of Minority and Women Business Enterprises (“MBE” or “WBE” or collectively, “MWBE”) is contained within its Board-adopted *Procurement Policies and Procedures* and its *Master Goal Plan* contained herein. The Authority buys numerous goods and services and participates in capital improvement projects. Purchases usually fall into one of the following categories:

- Purchases of materials, supplies and commodities;
- Non-construction related services;
- Construction purchasing, i.e., building assembly and/or rehabilitation, demolition, etc., and
- Construction-related services.

It is the goal of Metroplex to award a fair share of procurement contracts to MWBEs. Metroplex also seeks to award contracts to those vendors who have evidenced compliance with the laws of the State of New York prohibiting discrimination in employment.

4. Authority Goal (I.)

The Authority’s MWBE goal this year with respect to construction services is thirty percent (30%) -- fifteen percent (15%) for minority-owned business enterprises (MBEs) and fifteen percent (15%) for women-owned business enterprises (WBEs):

Projected Total Authority Budget:	\$10,535,105
<i>(Funded almost 100% through local sales tax receipts with no NYS General Fund allocation)</i>	
Projected Exempt Contracts and Expenditures:	\$ 9,130,029
Available Budget for Goals:	\$ 1,284,444
Overall MBE/WBE Goal:	30% (MBE: 15%, WBE: 15%)

Goal Categories

Commodities/Purchases:	Prime:	15%
	Subcontractor:	15%
General Consultant Services:	Prime:	15%
	Subcontractor:	15%
Construction:	Prime:	5%
	Subcontractor:	25%
Construction Services:	Prime:	20%
	Subcontractor:	10%
Overall Total:	Prime:	10%
	Subcontractor:	20%

4. FY 2023-2024 Four-Year Growth Plan Update (II.)

See attachment

5. Self Determination Statement

The Authority believes that we have to the best of our ability integrated the goals of Article 15-A into our procurement practices and we have shown a good faith effort to promote more opportunities for MWBE contractors in Schenectady County.

6. Authority Related Legislation

The Authority is unique to the State Agencies and Authorities that are subject to Article 15-A in that we receive no support from the New York State General Fund and are primarily funded through local county sales tax receipts. NYS Public Authorities Law § 2650-2674 can be accessed here: <http://public.leginfo.state.ny.us/lawssrch.cgi?NVLWO>

7. Boiler Plate Language

Standard Appendix A is attached.

8. Contract Compliance Unit's Responsibilities

Due to the size of the Authority staff, it does not maintain a separate compliance unit. The Executive Director is responsible for evaluating and monitoring goal attainment.

9. Administrative Unit Responsibilities

Contracting or Procurement Unit's Responsibilities — The Authority's Executive Director is responsible for all contract negotiations and agreements, and distribution of Request for Proposals and Requests for Qualifications consistent with the Authority's *Procurement Policies and Procedures*. Due to the size of the Authority staff, the Project Director and Project Manager serve as contract manager and purchasing manager in many circumstances. The Executive Director is responsible for determining the types of purchases that are eligible for participation by M/WBEs.

10. Authority MWBE Operations / Organizational Chart

The Authority's Executive Director is responsible for overseeing contract compliance, procurement, real property disposition, and MWBE outreach and compliance.

All communication regarding MWBE compliance and reporting should be directed to:

David J. Hogenkamp

Executive Director

Telephone (518) 377-1109 ext. 2

Dhogenkamp@schenectadymetroplex.org

Tonia Lehoisky

Director of Finance

Telephone (518) 377-1109 ext. 5

Tlehoisky@schenectadymetroplex.org

11. Outreach Efforts

The Authority works closely with the Affirmative Action Officers at the City of Schenectady and Schenectady County to develop equal employment opportunity and affirmative action

mechanisms to ensure opportunities for certified contract vendors and vendors that provide opportunity to all qualified employment applicants without discrimination because of race, creed, color, national origin, sex disability or marital status. Additionally, the Authority works with local small businesses that meet eligibility criteria for certification as an MWBE to become certified. Additionally, the Authority works with Schenectady-based small businesses that meet eligibility criteria for certification as an MWBE to become certified. The Authority’s outreach efforts include using the Division’s MWBE Searchable Database to identify state certified MWBEs.

12. Organizational Chart



13. Procedures for Resolution of Contractor Issues

The Authority carefully monitors MWBE compliance and works with all contractors to ensure that opportunities for MWBE vendors are made available throughout the life of the contract. The Authority is committed to providing assistance to contractors that may be non-compliant with the Authority’s MWBE practices to resolve any issues. In instances, the Authority may at their sole discretion refer a case to Empire State Development’s Division of Minority and Women’s Business Development (“DMWBD”) according to the procedures outlined in § 142.12 of the regulations.

In any instance of non-compliance, each contract shall be allowed Due Process which will include a formal notice of the extent to which the contractor/vendor is in violation of the outstanding contract document, a proposal which outlines the preferred action which will correct the problem and specific written instructions which permit the affected contractor/vendor to propose a suitable alternative to the corrective action proposed in the notice of non-compliance.

14. Standardized Forms and Clauses

Standard forms are included as an attachment to this document.

- EEO Workforce Staffing Plan
- Utilization Plan for Contractors / Consultants
- Utilization Report for Contractors / Consultants
- Waiver Request
- Standard Clauses

15. Internal Reporting Mechanisms

The Executive Director reviews all purchases processed in the fiscal quarter, the amount of purchases, and the total amount of MWBE purchasing. A report is transmitted electronically to the Division of M/WBE.

16. Authority Initiatives/Determination for Areas of Business Development

The Authority has no recommendation currently to enhance the MWBE program.

17. Definitions – Exclusions/Exemption List

The following is the Authority’s exemption list for the 2024-2025 Master Goal Plan. It is the Authority’s Board-approved procurement policy to purchase goods, such as, office and cleaning supplies; printing, postage and subscriptions; and other goods less than \$5,000 without a formal bid but with a preference for Schenectady County businesses. For purchases between \$5,000 and \$20,000 for goods and services solicitation of quotes is required though the Authority also maintains a preferred vendor list. Accounting services, legal services and snow-plowing services are sole source, but subject to annual Board authorization and compensation review and approval. Contract expenses under \$25,000 are exempt as are project expenses under \$100,000.

Exemptions	
Amount	Description
\$68,780	Rent and utilities for office space at 433 State Street, Schenectady
\$918,344	Staff, benefits, etc.
\$67,800	Rent and utilities for parking lots and parking office
\$187,500	Parking lot services (Snow-plowing, maintenance, staff, and services)
\$500	Staff travel expenses, conference and training expenses
\$600	Mail meter, postage, and delivery charges
\$61,780	Telephone, Resource Data expenses
\$81,000	Authority Accounting Oversight
\$5,667,295	Debt Service
\$20,000	Authority Legal Counsel
\$77,430	General and Parking Insurance
\$1,000,000 Est.	Real Estate Purchases
\$500,000 Est.	Exempt Project Expenses (Projects under \$100,000/Contracts under \$25,000)
\$42,000	Sole Source Contract – City Mission – Downtown Ambassador Program
\$387,000	Sole Source Contract – Downtown Schenectady

	Improvement Corporation – Environmental Enhancement Program
\$50,000	Grants from non-public sources (National Grid, Private Foundations)*
\$9,130,029	Total Exemptions

*Grants from other sources are not included in the Authority’s annual budget and therefore are not reflected in the total fund exemptions. This exemption applies to grants which are passed through for private projects.

18. Previously Excluded Contracts

All expenses that are not included in the M/WBE program are exempt expenses. The Authority has no excluded contracts.

19. Attachments

Four Year Growth Plan

CHECKLIST

The following is a checklist of the basic information required for an agency's or authority's Master Goal Plan, as described above. The agency or authority **must attach** this to their completed plan with each item checked off and submit to the Division.

1. Authority Overview x
2. Policy Statement/MWBE Goals for Contracts x
3. Description of Procurement Strategy x
4. Authority Specific Goals x
5. Self Determination Statement x
6. Copy of Authority Related Legislation x
7. Boilerplate Language x
8. MWBE Program Responsibilities x
9. Administrative Unit's Responsibilities x
10. Contract Compliance Unit's Responsibilities x
11. Outreach Efforts x
12. Flow Chart N/A
13. Procedures for Resolution of Contractor Issues x
14. Standardized Forms x
15. Internal Reporting Mechanisms x
16. Authority Initiatives/Determination for Areas of Business Development x
17. Definitions x
18. Previously Excluded Contracts x
19. Attachments Section x