NEW YORK STATE OF OPPORTUNITY | Regional Economic Development Councils

2015 Available CFA Resources

Governor Andrew M. Cuomo

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Introduction

In 2011, Governor Andrew M. Cuomo created ten Regional Economic Development Councils (REDC) and the Consolidated Funding Application (CFA) to advance the administration's efforts to improve New York's business climate and expand economic growth.

The REDCs developed strategic plans with input from a broad spectrum of stakeholders taking into account the unique strengths and weaknesses of each region. The strategic plans serve as a 5-year road map, guiding each region's efforts to stimulate economic growth. Each region's strategic plan, implementation agenda and progress reports can be found online at www.regionalcouncils.ny.gov

For Round V, Regional Councils will once again focus on the implementation of each region's strategic plan, and continue to identify and invest in significant economic development projects. The Governor has directed up to $750 million in State resources to be made available in 2015 to support the economic development priorities of the regions and spur job creation across the state, including $220 million in competitive funds from Empire State Development.

In 2015, REDCs will advance projects and other actions identified for implementation and identify new strategies, as appropriate, to pursue. The Regional Councils are having a positive impact on economic development, helping to bring unemployment levels down through the creation and retention of thousands of jobs.

During Round V, in addition to the strategies established in their regional strategic economic development plans, each REDC is asked to focus on the following priorities (additional details available in 2015 REDC Guidebook):

- Development of strategies and projects that focus on the growth of regional economic clusters.
- Advancement of plans and projects that strengthen the Global NY agenda.
- Implementing additional strategies in their strategic plan.
- Maintaining a pipeline of projects.
- Training the workforce for today and tomorrow.
- Measuring the performance and progress of the strategic plan and CFA projects.

In addition to the $220 million available for the competitive aspect of the Regional Council process, up to $530 million will be available to applicants through the CFA from various State agencies to support economic development projects that align with REDC strategic plans. The agency resources will support projects in the areas of community development, direct assistance to businesses and other organizations, waterfront revitalization, energy, environmental improvements, sustainability, education and workforce development and low-cost financing.

This year, there are over 20 programs available through 11 state agencies, including Empire State Development; NYS Canal Corporation; NYS Energy Research and Development Authority; Environmental Facilities Corporation; Homes and Community Renewal; Department of Labor; New York Power Authority; Office of Parks, Recreation and Historic Preservation; Department of State; Department of Environmental Conservation, and Council on the Arts.

Please be advised that all CFA grants are subject to the New York State Executive Law Article 15-A which requires, where applicable, the establishment of minority-and women-owned business enterprises ("M/WBE") contract goals. Governor Cuomo has established a goal of expanding M/WBE participation in state contracting to 30%. For more information with regard to the M/WBE requirements, please contact the appropriate Regional Council in your project area for assistance.

This document outlines information about each agency's grant programs, including eligibility, scoring criteria, applicant requirements, and agency contact information.

2015 Available Resources

Direct Assistance to Business and Other Organizations: Up to $234.25 million

- **Empire State Development**
  - Up to $150 million for ESD Grant Funds
  - Up to $70 million for Excelsior Jobs Program
  - Up to $1.25 million Innovation Hot Spot Program
  - Up to $1 million for ESD Grants for Strategic Planning and Feasibility Studies
  - Up to $12 million for Market New York

Community Development: Up to $56.9 million

- **New York State Council on the Arts**
  - Up to $5 million for Arts, Culture and Heritage Projects
- **Homes and Community Renewal**
  - Up to $25 million for New York State Community Development Block Grant Program
  - Up to $9.7 million for New York Main Street Program
- **Office of Parks, Recreation and Historic Preservation**
  - Up to $16 million for Environmental Protection Fund Municipal Grants
  - Up to $1.2 million for the Recreational Trails Program

Waterfront Revitalization: Up to $18 million

- **Department of State**
  - Up to $17 million for the Local Waterfront Revitalization Program
- **New York State Canal Corporation**
  - Up to $1 million for the Canalway Grants Program

Energy: Up to $50 million

- **New York State Energy Research and Development Authority**
  - Up to $50 million for Energy Efficiency Programs
- **New York State Power Authority**
  - Up to 141 MW for Recharge New York

Environmental Improvements: Up to $51.85 million

- **Department of Environmental Conservation**
  - Up to $2 million for New York State DEC/EFC Wastewater Infrastructure Engineering Planning Grant
  - Up to $35 million for the Water Quality Improvement Projects (WQIP) Program
- **Environmental Facilities Corporation**
  - Up to $14.85 million for the Green Innovation Grant Program

Sustainability Planning and Implementation: Up to $34 million

- **New York State Energy Research and Development Authority**
  - Up to $30 million for the Cleaner Greener Communities Phase II Implementation Grants
- **Department of State**
  - Up to $4 million for Local Government Efficiency Grants

Education/Workforce Development: Up to $5 million

- **Department of Labor**
  - Up to $5 million for Workforce Development

Low Cost Financing: Up to $300 million

- **Empire State Development**
  - Up to $300 million for Industrial Development Bond (IDB) Cap

Direct Assistance to Businesses and Other Organizations

Empire State Development Grant Funds

Funding Available: Up to $150 million

DESCRIPTION:
ESD has $150 million of capital grant funding from the Regional Council Capital Fund available for the State's Regional Economic Development Council Initiative, which helps drive regional and local economic development across New York State in cooperation with ten Regional Economic Development Councils ("Regional Councils").

Capital grant funding is available for capital-based economic development projects intended to create or retain jobs; prevent, reduce or eliminate unemployment and underemployment; and/or increase business or economic activity in a community or Region.

Grant funding will be allocated among the ten regions, each represented by a Regional Council, based on each Regional Council's development and implementation of a five-year strategic plan that sets out a comprehensive vision for economic development and specific strategies to implement that vision. Funding will be allocated to projects, including priority projects identified by the Regional Councils, identified as significant, regionally supported and capable of stimulating economic investment.

In addition, special consideration shall be given to projects supporting Regional Economic Development Council Opportunity Agenda priorities, Global NY projects, Veterans' Related Projects and projects identified in the NY Rising Community Reconstruction Program recovery plans.

Funding will be awarded by the New York State Urban Development Corporation (d/b/a Empire State Development) at its discretion.

ELIGIBLE TYPES OF APPLICANTS:
Eligible Applicants include but are not limited to: for-profit businesses, not-for-profit corporations*, business improvement districts, local development corporations, public benefit corporations (including industrial development agencies), economic development organizations, research and academic institutions, incubators, technology parks, municipalities, counties, regional planning councils, tourist attractions and community facilities.

* If awarded funding, prior to ESD Directors' approval and execution of a contract with ESD, a not-for-profit corporation must be registered and up-to-date with filings with the New York State Office of the Attorney General's Charities Bureau and the New York State Office of the State Comptroller's VendRep System and must be prequalified in the New York State Grants Gateway.

ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:
Applicants applying for ESD Grant Funds should clearly describe the scope and budget for the "project" for which funds are being requested. For example, an Applicant may be planning a larger project that would include multiple phases, such as in the case of a major infrastructure project or redevelopment of a specific geographic area. However, the "project" for which funds are being requested via the CFA might consist of only one phase of the larger project. In such situations, the request for ESD Grant funds should be specific to the phase, NOT the overall multi-phase project.

Assistance generally falls into three categories:

1. Business Investment:
Business investments are capital expenditures that facilitate an employer's ability to create new jobs in New York State or to retain jobs that are otherwise in jeopardy. Five-year job commitments will be required of all award recipients because it is by underwriting these job commitments that ESD is best able to forecast the economic benefits of providing assistance to any particular project. Applicants will therefore be required to commit to the number of jobs at risk (of relocation or loss) that will be retained by the proposed project, the number of net new full-time jobs that will be created by the project, and the average salaries of each. Failure to achieve or maintain these employment commitments will subject a funding recipient to potential recapture of assistance.

2. Infrastructure Investment:
Funds may be used to finance infrastructure investments in order to attract new businesses and expand existing businesses, thereby fostering further investment. Infrastructure investments are capital expenditures for infrastructure including transportation, parking garages, water and sewer, communication, and energy generation and distribution. Infrastructure Investment projects may also include planning or feasibility studies relating to a specific capital project or site.

Infrastructure investment projects that are able to provide job commitments will be viewed favorably. It is important, however, to note that (1) few infrastructure investment projects are anticipated to be able to provide job commitments and (2) if the employer will be an entity other than the Applicant, a third party guarantee of the Applicant's job commitment must be provided by the prospective employer and both the prospective employer and the third party guarantor must be found by ESD to be creditworthy.

3. Economic Growth Investment:
An Economic Growth Investment initiative fosters economic growth through cultural activity, higher education activity, regional revolving loan and grant programs, agribusiness initiatives, other local or regional initiatives, planning or feasibility studies relating to a specific capital project or site, improvements to facilities in highly distressed areas, commercial revitalization activities in central business districts or commercial strips, or other types of projects that may not have direct job creation goals. Economic Growth Investment projects that are able to provide direct job commitments will be viewed favorably.

FUNDS MAY BE USED FOR:
- Acquisition of land, buildings, machinery and/or equipment;
- Demolition and environmental remediation;
- New construction, renovation or leasehold improvements;
- Acquisition of furniture and fixtures;
- Soft costs of up to twenty-five percent (25%) of total project costs; and
- Planning and feasibility studies related to a specific capital project or site.

INELIGIBLE ACTIVITIES:
The following types of expenses may be included in budgets but shall not be eligible for reimbursement by grant funds:
- Developer fees;
- Training; and
- Residential development, although program funds may be used for the commercial component of a mixed-use project.

PRE-APPLICATION REQUIREMENTS:
Applicants must complete and submit a Consolidated Funding Application (CFA) for review by ESD and the Regional Council for the region in which the proposed project is located.

SUCCESSFUL APPLICANT REQUIREMENTS:
Because awards are offered as an incentive to undertake a project, the project should not begin, and expenses should not be incurred, before funding awards have been announced. Expenses incurred prior to submission of a CFA should not be included in CFA project budgets, nor should expenses that will be incurred after submission of a CFA but prior to an award announcement.

ESD generally seeks to provide no more than twenty percent (20%) of the financing for any particular project.

ESD requires that the Applicant contribute a minimum of ten percent (10%) of the total project cost in the form of equity contributed after the Applicant's acceptance of ESD's incentive proposal. Equity is defined as cash injected into the project by the Applicant or by investors and should be auditable through the Applicant's financial statements or accounts, if so requested by ESD. Equity cannot be borrowed money secured by the assets in the project or grants from a government source.

The Applicant must always disclose whether it is pursuing or intends to pursue multiple ESD funding sources, including grants, loans and tax incentives.

SELECTION CRITERIA:
In addition to the criteria noted below, ESD shall have the discretion to consider additional factors in determining the relative merits of projects.

Vision and Regional Economic Development Strategies:
- The overall economic impact that the project identified in the application will have on a region, including, but not limited to, the number and impact of any direct or indirect jobs that will be created;
- The number of new jobs created and/or at-risk jobs that will be retained;
- The amount of capital investment and the level of increased economic activity from the proposed capital investment; and
- The likelihood that the project identified in the application would be located outside of New York State or would not occur in New York State but for the availability of state or local incentives.

Public/Stakeholders:
- Whether the project has demonstrated support from local government and private sector leaders in the locality and the region where the project will be located;
- Whether the project will have a significant regional impact or is likely to increase the subject community's economic and social viability and vitality; and
- The degree of economic distress in the area where the Applicant will locate the project identified in its application, including downtown revitalization and brownfield areas.

Implementation:
- The degree of project readiness and likelihood of completion, including, where applicable for real estate development projects, if there are identified tenants for a completed project; and
- The degree of the Applicant's financial viability and strength of financials/operating history/ESD credit score.

Leveraged Resources:

- The amount of private financing leveraged; and
- The amount of public financing leveraged.

Performance Measures:

- The estimated return on investment that the project identified in the application will provide to New York State;
- For downtown areas, whether or not the project concerns the preservation of the architectural character of a building or neighborhood;
- Whether, where applicable, there are identified tenants for a completed project;
- The degree to which the project supports the principals of smart growth, energy-efficiency (including but not limited to, the reduction of greenhouse gas and emissions and the Leadership in Energy and Environmental Design [LEED] green building rating system for the project identified in its application), and sustainable development; and
- The degree to which the project identified in the application supports New York state minority and women business enterprises.

Significant Statewide Programs:

- Proposed projects that are part of the following initiatives will be looked upon favorably:

  NY Rising Related Projects: The NY Rising Community Reconstruction Program is a community driven initiative that empowers localities severely damaged by Superstorm Sandy, Hurricane Irene, or Tropical Storm Lee to develop comprehensive and innovative recovery plans. Projects identified in the NY Rising Community Reconstruction Program recovery plans consist of innovative, transformative projects and actions, enhance resilience and economic development. For more information, please visit: http://stormrecovery.ny.gov/community-reconstruction-program

  Opportunity Agenda Related Projects: Each Regional Council may develop region-wide strategies, or may focus its efforts by designating one or more chronically distressed community as an "Opportunity Area." Projects seeking to apply CFA funds for the purpose of eliminating barriers to skilled employment in your region, as identified by the Opportunity Agenda and Strategic Plan, should provide evidence as such in their application.

  Global NY Projects: The Global NY initiative accomplishes two complementary economic growth objectives - attract international investment and jobs to Upstate New York and provide New York businesses with the tools and assistance they need to export their products to the global marketplace. Applicants that link project proposals to the Global NY strategies identified by the Regional Council will be looked upon favorably.

  Veterans' Related Projects: New York State is home to more than 900,000 veterans, 72 percent of whom served in combat. In 2014 the REDCs were asked to create a Veterans Work Group to promote participation by Veterans in the CFA, and develop strategies to encourage other potential CFA applicants to include workforce goals related to Veteran's employment. This is part of a comprehensive approach to improving services to the veterans and military families in New York. Applicants that link project proposals to the Veteran's Initiative strategies identified by the Regional Councils will be looked upon favorably.

AWARD CRITERIA DETAILS:

- Notice of a funding award will be given in the form of an incentive proposal outlining the terms of the proposed assistance. The award is subject to approval of the ESD Directors and compliance with applicable laws and regulations. Project funding may only be used for expenses incurred after the date that notice of the funding award is given. Applicants are strongly encouraged to review and countersign ESD's incentive proposal prior to starting the project.

- All Applicants will be requested to certify and agree that any decrease in the scope of work described in the Applicant's final CFA submission including, but not limited to, total project costs, jobs retained, and jobs created, may result in ESD's reduction of the award, in ESD's sole discretion, in an amount proportionate to any such decrease.

- All Applicants will be requested to certify and agree that any expansion of the scope of work described in the Applicant's final CFA submission including, but not limited to, total project costs, jobs retained, and jobs created, will not result in the increase of the award by ESD.

- The essential terms for the disbursement of assistance are included in the incentive proposal. Although funding is offered prior to project commencement as an inducement to undertake the project, funds are disbursed in arrears, as reimbursement for eligible project expenditures.

- For Business Investment projects, partial funding is disbursed upon project completion and interim job creation/retention milestones, with additional funding disbursed upon achievement of job creation/retention milestones. For Infrastructure Investment and Economic Growth Investment projects, funding typically is disbursed upon project completion.

- Projects generally are presented to the ESD Directors once all project expenditures have been undertaken and disbursement of ESD assistance is sought.

- All required public approvals must be in place prior to the start of construction and approval by the ESD Directors, including State Environmental Quality Review (SEQR) and consultation with the State Historic Preservation Office, if applicable.

- For projects with job creation and/or retention, job numbers will be verified using the employer's NY-45 and NY-45 ATT and/or payroll reports prior to disbursement of funds and annually thereafter through the required reporting period.

- In accordance with the requirements of Article 15-A of the New York State Executive Law: Participation By Minority Group Members and Women With Respect To State Contracts by providing opportunities for MBE/WBE participation, projects awarded funding shall be reviewed by ESD's Office of Contractor and Supplier Diversity, which will set business and participation goals for minorities and women. Such goals shall typically be included in the incentive proposal.

  Please note that ESD's agency-wide MWBE utilization goal is 30%. Each project will be assigned an individual contract-specific goal, which may be higher or lower than 30%. Should an Applicant receive a funding award, the Applicant shall be required to use good faith efforts to achieve the prescribed MWBE goals assigned to this project. Applicants must maintain such records and take such actions necessary to demonstrate such compliance.

- In accordance with State law, after approval by the ESD Directors, a public hearing will be required if the project involves the acquisition, construction, reconstruction, rehabilitation, alteration or improvement of any property. ESD will schedule a public hearing in accordance with the *New York State Urban*

Development Corporation Act (”UDC Act”) and will take such further action as may be required by the UDC Act and other applicable law and regulations. The ESD Directors must reconsider the matter if any negative testimony is received at the public hearing. (Generally, this hearing occurs the month after the Directors’ initial approval). Approval by the Public Authorities Control Board (“PACB”), New York State Comptroller (“OSC”) and the New York State Attorney General (“AG”) may then be required. Following approval by the ESD Directors and PACB, OSC and AG approval, if required, the documents for processing the grant award will be prepared by ESD. Notwithstanding the process outlined above, no project shall be funded if sufficient resources are not received by ESD for such project.

- A $250 Application Fee, payable when funding is documented in an Incentive Proposal, and a one percent (1%) non-reimbursable commitment fee based on the grant amount awarded will be assessed to all awardees. The commitment fee will be due when the Applicant executes documents required for processing the award, after approval by the ESD Directors. The Applicant will be obligated to pay for out-of-pocket expenses incurred by ESD in connection with the project, including, but not limited to, expenses related to attorney fees, appraisals, surveys, title insurance, credit searches, filing fees, public hearing expenses and other requirements deemed appropriate by ESD.

- Projects having a hotel as a principal function will be required to demonstrate compliance with Section 2879-b of Public Authorities Law regarding labor peace if funding is awarded. Public Authorities Law Section 2879-b prohibits public authorities from providing financing for any project that includes, as one of the principal functions, a hotel with more than fifteen employees unless a labor peace agreement (“LPA”) is entered into with a labor organization representing hotel or convention center employees in the State, for a period of at least five years. An LPA is an agreement between the project developer (or its contractors) and a labor organization prohibiting the labor organization and its members from engaging in labor activities that disrupt the hotel’s operations.

ADDITIONAL RESOURCES:
For more information, eligible Applicants should contact the local Empire State Development Regional Office. A complete list of the ESD Regional Offices can be found at
http://esd.ny.gov/RegionalOverviews.html

Excelsior Jobs Program

Funding Available: Up to $70 million

DESCRIPTION: The Excelsior Jobs Program, established in Chapter 59 of the Laws of 2010, provides job creation and investment incentives to firms in such targeted industries as biotechnology, pharmaceutical, high-tech, clean-technology, green technology, financial services, agriculture and manufacturing. Firms in these industries that create and maintain new jobs or make significant financial investment are eligible to apply for up to four tax credits. The Program encourages businesses to expand in and relocate to New York while maintaining strict accountability standards to guarantee that businesses deliver on job and investment commitments. Program costs are capped at $500 million annually to maintain fiscal affordability and ensure that New Yorkers realize a positive return on their investment.

Firms in the Excelsior Jobs Program may qualify for four, fully refundable tax credits. Businesses claim the credits over a multi-year period. To earn any of the following credits, firms must first meet and maintain the established job and investment thresholds.

> **The Excelsior Jobs Tax Credit:** A credit of 6.85 percent of wages per new job to cover a portion of the associated payroll cost.
>
> **The Excelsior Investment Tax Credit:** Valued at two percent of qualified investments.
>
> **The Excelsior Research and Development Tax Credit:** A credit of 50 percent of the Federal Research and Development credit up to three percent of eligible research expenditures in NYS.
>
> **The Excelsior Real Property Tax Credit:** Available to firms locating in certain distressed areas and to firms in targeted industries that meet higher employment and investment thresholds (Regionally Significant Project).

ELIGIBLE TYPES OF APPLICANTS: For-profit business entities including corporations, limited liability companies, partnerships, sole proprietorships.

ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:

Manufacturing: the process of working raw materials into products suitable for use or which gives new shapes, new quality or new combinations to matter which has already gone through some artificial process by the use of machinery, tools, appliances, or other similar equipment. "Manufacturing" does not include an operation that involves only the assembly of components, provided, however, the assembly of motor vehicles or other high value-added products shall be considered manufacturing.

Software Development: the creation of coded computer instructions and includes new media; the application of information technology to traditional communications outlets, particularly through interactive modes such as the Internet, including video games, web search portals, interactive web-based content, and interactive advertising.

Scientific Research And Development: conducting research and experimental development in the physical, engineering, and life sciences, including but not limited to agriculture, electronics, environmental, biology, botany, biotechnology, computers, chemistry, food, fisheries, forests, geology, health, mathematics, medicine, oceanography, pharmacy, physics, veterinary, and other allied subjects. For the purposes of this article, scientific research and development does not include medical or veterinary laboratory testing facilities.

Agriculture: agricultural production (establishments performing the complete farm or ranch operation, such as farm owner-operators, tenant farm operators, and sharecroppers) and agricultural support (establishments that perform one or more activities associated with farm operation, such as soil preparation, planting, harvesting, and management, on a contract or fee basis).

Back Office Operations: a business function that may include one or more of the following activities: customer service, information technology and data processing, human resources, accounting and related administrative functions.

Distribution Center: a large scale facility involving processing, repackaging and/or movement of finished or semi-finished goods to retail locations across a multi-state area.

Music Production: means the process of creating sound recordings of at least eight minutes, recorded in professional sound studios, intended for commercial release. Music Production does not include recording of live concerts, or recordings that are primarily spoken word or wildlife or nature sounds, or produced for instructional use or advertising or promotional purposes.

Entertainment Company: means a corporation, partnership, limited partnership, or other entity principally engaged in the production or post production of (I) motion pictures, which shall include feature-length films and television films, (II) instructional videos, (III) televised commercial advertisements, (IV) animated films or cartoons, (V) music videos, (VI) television programs, which shall include, but not be limited to, television series, television pilots, and single television episodes, or (VII) programs primarily intended for radio broadcast. Entertainment Company shall not include an entity (I) principally engaged in the live performance of events, including, but not limited to, theatrical productions, concerts, circuses, and sporting events, (II) principally engaged in the production of content intended primarily for industrial, corporate or institutional end-users, (III) principally engaged in the production of fundraising films or programs, or (IV) engaged in the production of content for which records are required under section 2257 of Title 18, United Stated Code, to be maintained with respect to any performer in such production.

PRE-APPLICATION REQUIREMENTS: N/A

SUCCESSFUL APPLICANT REQUIREMENTS: Because awards are offered as an incentive to undertake a project, the project should not begin, and expenses should not be incurred, before funding award notification. Expenses incurred prior to submission of a CFA should not be included in CFA project budgets.

Excelsior Jobs Program eligibility is based on the predominant activity of the proposed project. The Program is limited to projects making a substantial commitment to growth – either in employment or through investing significant capital in a New York facility.

The Job Growth Track comprises 75% of the Program and includes projects creating new jobs in New York.

Targeted Activity	Minimum Job Creation Threshold
Scientific R&D	5
Software Development	5
Agriculture	5
Manufacturing	10
Back Office	50
Distribution	75
Music Production	5
Entertainment Company	100

The Investment Track comprises 25% of the Program and includes projects with targeted activities that make significant new capital investments in a New York facility but cannot project the minimum job threshold. Applicants with manufacturing activities must retain at least 10 jobs; all other eligible activities must retain at least 25 jobs. Applicants admitted to the Program under the Investment Track must meet a benefit-cost threshold of at least $10 of investment and new wages for every $1 of tax credit.

INELIGIBLE ACTIVITIES: A not-for-profit business entity, a business entity whose primary function is the provision of services including personal services, business services, or the provision of utilities, a business entity engaged predominantly in the retail or entertainment industry, other than a business operating as an entertainment company as defined as defined above or a business entity engaged in music production, and a business entity engaged in the generation or distribution of electricity, the distribution of natural gas, or the production of steam associated with the generation of electricity are not eligible to participate in the program.

SELECTION CRITERIA: In addition to the criteria noted below, ESD shall have the discretion to consider additional factors in determining the relative merits of projects.

- The overall economic impact that the project identified in the application will have on a region, including, but not limited to, the number and impact of any direct or indirect jobs that will be created;
- The number of new jobs created and/or at-risk jobs that will be retained;
- The amount of capital investment and the level of increased economic activity from the proposed capital investment; and
- The likelihood that the project identified in the application would be located outside of New York State or would not occur in New York State but for the availability of state or local incentives.
- Special consideration shall be given to projects supporting Regional Economic Development Council Opportunity Agenda priorities and its Global NY strategies.

AWARD CRITERIA DETAILS: Notice of a funding award will be given in the form of an incentive proposal outlining the terms of the proposed assistance, establishing a schedule of job and investment requirements and tax credit benefits. The award is subject to compliance with applicable laws and regulations. Project funding may only be used for expenses incurred after the date that notice of the funding award from the Commissioner of the NYS Department of Economic Development. Applicants are strongly encouraged to review and countersign ESD's incentive proposal prior to starting the project.

Each participant must submit a performance report annually demonstrating that the applicable job and investment requirements are achieved. A participant may receive benefits under the program based on interim milestones up to the limits established in the formal agreement.

ADDITIONAL RESOURCES: Program Contact: 518/292-5240
http://esd.ny.gov/BusinessPrograms/Excelsior.html

New York State Business Incubator Program

Funding Available: Up to $1.25 million

DESCRIPTION: Empire State Development's (ESD) New York State Business Incubator Program was funded as part of the 2015-2016 State Budget and provides significant financial support for business incubators in the state. This underscores the importance of business incubation to the Governor's overall economic-development strategy.

Business incubation is the process of accelerating the successful development of entrepreneurial companies through an array of business support resources and services targeting start-up companies. A business incubator is an entity responsible for organizing and managing an array of services designed to increase the success rate of early stage companies.

The goal of this competition is to increase access to incubator services provided to young companies thereby enabling these businesses to successfully transition from early state to larger scale production.

ELIGIBLE APPLICANTS: An entity wishing to be designated as a New York State Business Incubator must be a New York State not-for-profit currently providing business incubation services for at least three years. Entities not meeting this threshold may partner with other business development organizations or the Regional Innovation Hotspot to meet the three year requirement.

FUNDING: Successful applicants will be awarded operating funds to expand the services and programs provided to start-up companies served by the incubator.

ESD anticipates making ten awards of up to $125,000 annually for three years.

SUCCESSFUL APPLICANT REQUIREMENTS: Entities seeking designation under this program must meet the following requirements including:

- New York State not-for-profit;
- Documentation of incubation services provided over the last three years;
- Demonstrated link to regional sources of innovation and expertise;
- Commit to financially and programmatically maintaining the incubator for three years from date of designation;
- Commit to best practices of incubation;
- Provide a strategic plan that describes how it intends to positively impact the regional entrepreneurial environment;
- Detail the process it uses to accelerate the development and commercialization of its clients products and services;
- Expand those services in scope or provide new services;
- Provide a two-to-one match of the grant funds it receives for the operation of the incubator; and
- Submit data as required by ESD on the operations and performance of the incubator including a list of business enterprises currently being served by the incubator.
-

FUNDING PRIORITIES: ESD will seek to fund those incubators whose operations are most closely aligned with the Regional Council's Strategic plan, have demonstrated a commitment to best practices within the incubator community, and seek to expand their programs and services so as to benefit more start-up firms.

Applicants are encouraged to consider partnerships with their regional Hot Spot or other incubators in the region so as to leverage other regional economic development assets.

Applications will be reviewed against nationally recognized best practices of the incubator community. "Best Practice" incubators are those that provide a majority of these programs and services:

- An integrated array of services for start-up firms;
- Opportunities for clients to network and collaborate with other business services;
- Access to capital via referral to financial institutions, venture capitalists, angel investors and other sources;
- Aid in accessing markets;
- Physical, laboratory and/or manufacturing space;
- Criteria for acceptance and graduation from the program;
- Financial support from sources other than tenants, the sponsoring entity or New York State governmental agencies;
- Participation by an independent advisory council or similar body;
- Expertise from a professional management and service delivery team; and
- Access by clients to mentoring, advisory or educational services.

SELECTION CRITERIA: The CFA application will be scored by its respective Regional Council. In addition to review and evaluation by the Regional Councils, applications will be reviewed and scored by ESD. The programmatic goal of this solicitation is to have applicants (not-for-profits) focus on services related to one or more industry verticals instead of general business development services. These verticals include but are not limited to (textiles, fashion, food, dairy, Industrial kitchens, consumables, maker spaces, bio, info-based, nanotechnology, energy and others). Applicants are encouraged to partner with their respective Regional NYS Innovation Hot spot and have the support of their Regional Economic Development Council (REDC). This program is intended to expand, enhance, and improve existing programs and services offered by the entity.

Applications will be evaluated and judged using the following criteria:

- Additional resources which will be leveraged by state grant assistance;
- Number of clients served;
- Demonstrated success in graduating clients from the incubator;
- Alignment with regional strategies, priorities, assets and opportunities;
- Type and quality of services provided;
- How well the services and programs offered by the incubator conforms to best practices;
- Effectiveness in accelerating the growth of start-up companies;
- Financial and programmatic support of the institution or communities it serves;
- Commitment and support of the business sector; and
- Demonstrated commitment to growing the entrepreneurial and innovation network.

SCORING:
Applications will be scored using the following methodology:

1). Alignment with Regional Strategy and Priorities (20 percent)

- How well does the application meet the strategies and priorities identified in the Regional Council Strategic Plan?
- Where applicable is the applicant included in their regional NY Rising Community Reconstruction Program Plan or a NY Rising Countywide Resiliency Plan?

2). Incubation Community Best Practices (15 percent)

- How well do the services and programs offered by the incubator conform to best practices within the Incubator Community?

3). Incubation Effectiveness (15 percent)

- What is the track record of the incubator in accelerating growth of start-ups?

4). Expansion of Services (20 percent)

- What new or expanded programs or services will be provided to start-up companies within the region as are result of the grant funding?
- Does this application involve a partnership with other incubators or the Regional Innovation Hot Spot?
- Will the Incubator host programs to help eliminate barriers to skilled employment by economically disadvantaged people in the designated region, as identified by the Opportunity Agenda?
- Will the Incubator provide assistance for Veterans and link to other programs incentivizing and assisting Veterans in creating and starting business?
- Will the incubator provide assistance in improving international export guidance and link to Global NY program areas?
-

5). Financial Soundness and Sustainability (10 percent)

- Does the applicant's operating budget demonstrate financial soundness and strength?

6). Regional Incubator Leadership Assistance (20 percent)

- How does the applicant propose to assist in the growth of the region's entrepreneurial and innovation network?

PERFORMANCE MEASUREMENTS: Business Incubators will be required to provide an annual performance report documenting their success in assisting companies to transition from their start-up stage to commercialization of products and services. These reports will include a list of every business served by the incubator and the progress that has been made in growing these companies.

ADDITIONAL RESOURCES:
Program Contact: Michael.Ridley@esd.ny.gov Phone: 518-292-5707

ESD Strategic Planning and Feasibility Studies

Funding Available: Up to $1 million

DESCRIPTION: ESD's Urban and Community Development Program promotes economic development in the State of New York by encouraging economic and employment opportunities and stimulating development of communities and urban areas. Total program funding of up to $1 million is available for working capital grants of up to $100,000 each to support 1) strategic development plans for a city, county, or municipality or a significant part thereof and 2) feasibility studies for site(s) or facility(ies) assessment and planning. Projects should focus on economic development purposes, and preference shall be given to projects located in highly distressed communities. In addition, special consideration shall be given to projects supporting Regional Economic Development Council Opportunity Agenda priorities and projects identified in the NY Rising Community Reconstruction Program recovery plans. Each grant requires a minimum of 50% of total project costs in matching funds, which should include at least 10% of total project costs in the form of cash equity contributed by the Applicant organization. Funding will be awarded by the New York State Urban Development Corporation (d/b/a Empire State Development) at its discretion.

ELIGIBLE TYPES OF APPLICANTS:

- Cities
- Counties
- Municipalities
- Business Improvement Districts
- Local Development Corporations
- Not-for-profit Economic Development Organizations*

* If awarded funding, prior to ESD Directors' approval and execution of a contract with ESD, a not-for-profit corporation must be registered and up-to-date with filings with the New York State Office of the Attorney General's Charities Bureau and the New York State Office of the State Comptroller's VendRep System and must be prequalified in the New York State Grants Gateway.

ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:

Assistance is available in the following two categories:

- Preparation and development of strategic development plans for a city, county or municipality or a significant part thereof; and
- Studies, surveys or reports, and feasibility studies and preliminary planning studies to assess a particular site or sites or facility or facilities for any economic development purpose other than residential, though mixed-use facilities with a residential component are allowed.

INELIGIBLE ACTIVITIES: For Site Assessment and Site Planning grants:

- Residential development, although program funds may be used for a study involving a mixed-use project.

PRE-APPLICATION REQUIREMENTS: Applicants must complete and submit a Consolidated Funding Application (CFA) for review by ESD and the Regional Council for the region in which the proposed project is located.

SUCCESSFUL APPLICANT REQUIREMENTS: Because awards are offered as an incentive to undertake a project, the project should not begin, and expenses should not be incurred, before funding awards have been announced. Expenses incurred prior to submission of a CFA should not be included in CFA project

budgets, nor should expenses that will be incurred after submission of a CFA but prior to an award announcement.

ESD requires that the Applicant contribute a minimum of ten percent (10%) of the total project cost in the form of equity contributed after the Applicant's acceptance of ESD's incentive proposal. Equity is defined as cash injected into the project by the Applicant or by investors, and should be auditable through the Applicant's financial statements or accounts, if so requested by ESD. Equity cannot be borrowed money secured by the assets in the project or grants from a government source.

The Applicant must always disclose whether it is pursuing or intends to pursue multiple ESD funding sources, including grants, loans and tax incentives.

Projects should focus on economic development purposes, such as increasing viability of existing businesses, stimulating new enterprises, and analyzing potential development opportunities or obstacles to development.

Priority will be given to projects located in Highly Distressed Areas
In determining whether a project is in a highly distressed area, ESD considers whether the area is characterized by pervasive poverty, high unemployment, and general economic distress based on characteristics including but not limited to:

- a former Empire Zone (investment zone areas);
- a poverty rate of at least twenty percent, or if the area does not contain a census tract or tracts, a block numbering area, or a city, town, or village, a poverty rate of at least thirteen percent;
- an unemployment rate of at least 1.25 times the statewide unemployment rate;
- significant job loss from one employer or in a particular industry;
- the United States President declares the area a natural disaster area;
- closure or realignment of a defense or military base or facility;
- contraction or discontinuance of a State hospital or mental hygiene facility;
- population and employment decline, increase in unemployment and public assistance recipients, decline in real property values, decline in per capita income, abandoned property and deteriorated industrial, commercial, and residential properties, a decline in business establishments, obsolescence in plant capacity, loss of markets to foreign competition, the unavailability of expansion financing, poor access to markets, and other indictors of chronic and severe economic distress;
- potential to attract private investment that will employ unemployed or economically disadvantaged persons;
- substantial public and private commitments to a long-term economic revitalization program and the capacity to manage the program;
- a plan that states the area's needs, proposals for meeting such needs, the process for routine periodic evaluation of progress in implementing the plan and compilation of essential information for such evaluation;
- applicable land use laws or regulations allow the use of at least twenty-five percent of the area for commercial or industrial activity; and
- Twenty-five percent or more of the area is vacant, abandoned, or otherwise available for industrial or commercial development.

SELECTION CRITERIA: In addition to the criteria noted below, ESD shall have the discretion to consider additional factors in determining the relative merits of projects.

Vision and Regional Economic Development Strategies:

- The overall economic impact that the project identified in the application will have on a region;

- The project's ability to increase viability of existing businesses, stimulate new enterprises, and analyze potential development opportunities or obstacles to development;
- Whether the project will have a significant regional impact and/or is likely to increase the subject community's economic and social viability and vitality; and
- The degree of economic distress in the area where the applicant will locate the project identified in its application, including downtown revitalization and brownfield areas.

Public/Stakeholders:

- Whether the project has demonstrated support from local government and private sector leaders in the locality and the region where the project will be located; and
- The project's plans for promoting and sharing information, tools or processes related to and resulting from the planning or feasibility study.

Implementation:

- The clarity of the proposed work plan, including description of tasks undertaken by all involved entities and schedule for completion of each task.
- The degree of project readiness and likelihood of completion; and
- The degree to which the Applicant can provide actionable deliverables.

Leveraged Resources:

- The degree to which the project is leveraged with additional resources and funds, including a minimum of 50% of total project costs in matching funds, including at least 10% cash equity.
- The degree to which future funding sources are in place and the amount expected to be committed to implementing the recommendations from the plan or study.

Performance Measures:

- The Applicant's demonstrated organizational capacity and experience in completing strategic development plans, feasibility studies, site assessments, or similar plans or studies, or ability to acquire the expertise through a consultant or another entity;
- The estimated return on investment that the project identified in the application will provide to New York State;
- The project's consistency with existing local, county and regional plans such as a local or county master or comprehensive plan and the Regional Economic Development Council's Strategic Plan;
- For downtown areas, whether or not the project concerns the preservation of the architectural character of a building or neighborhood;
- Whether, where applicable, there are identified tenants or potential tenants for a prospective development project;
- The degree to which the project supports the principals of smart growth, energy-efficiency (including but not limited to, the reduction of greenhouse gas and emissions and the Leadership in Energy and Environmental Design [LEED] green building rating system for the project identified in its application), and sustainable development; and
- The degree to which the project identified in the application supports New York state minority and women business enterprises.

AWARD CRITERIA DETAILS:

- Notice of a funding award will be given in the form of an incentive proposal outlining the terms of the proposed assistance. The award is subject to approval of the ESD Directors and compliance with applicable laws and regulations. Project funding may only be used for expenses incurred after date that notice of the funding award is given. Applicants are strongly encouraged to review and countersign ESD's incentive proposal prior to starting the project.

- All Applicants will be requested to certify and agree that any decrease in the scope of work described in the Applicant's final CFA submission including, but not limited to, total project costs, jobs retained, and jobs created, may result in ESD's reduction of the award, in ESD's sole discretion, in an amount proportionate to any such decrease.
- All Applicants will be requested to certify and agree that any expansion of the scope of work described in the Applicant's final CFA submission including, but not limited to, total project costs, jobs retained, and jobs created, will not result in the increase of the award by ESD.
- The essential terms for the assistance are included in the incentive proposal. Although funding is offered prior to project commencement as an inducement to undertake the project, funds are disbursed in arrears, as reimbursement for eligible project expenditures.
- Projects generally are presented to the ESD Directors once all project expenditures have been undertaken and disbursement of ESD assistance is sought.
- All required public approvals must be in place prior to the start of construction (should the project result in construction) and approval by the ESD Directors, including State Environmental Quality Review (SEQR) and consultation with the State Historic Preservation Office, if applicable.
- In accordance with the requirements of Article 15-A of the New York State Executive Law: Participation By Minority Group Members and Women With Respect To State Contracts by providing opportunities for MBE/WBE participation, projects awarded funding shall be reviewed by ESD's Office of Contractor and Supplier Diversity, which will set business and participation goals for minorities and women. Such goals shall typically be included in the incentive proposal.

  Please note that ESD's agency-wide MWBE utilization goal is 30%. Each project will be assigned an individual contract-specific goal, which may be higher or lower than 30%. Should an Applicant receive a funding award, the Applicant shall be required to use good faith efforts to achieve the prescribed MWBE goals assigned to this project. Applicants must maintain such records and take such actions necessary to demonstrate such compliance.
- Following approval by the ESD Directors, the New York State Comptroller, and the New York State Attorney General, as required, the documents for disbursement of the grant award will be prepared by ESD. Notwithstanding the process outlined above, no project shall be funded if sufficient resources are not received by ESD for such project.
- If applicable, the Applicant will be obligated to pay for out-of-pocket expenses incurred by ESD in connection with the project, which may include, without limitation, expenses related to attorney fees, filing fees, and fees associated with other requirements deemed appropriate by ESD. There are no application fees.

ADDITIONAL RESOURCES: For more information, eligible Applicants should contact the local Empire State Development Regional Office. A complete list of the ESD Regional Offices can be found at http://esd.ny.gov/RegionalOverviews.html.

Market New York

Funding Available: Up to $12 million

DESCRIPTION:
Market NY is a grant program established to strengthen and encourage tourism growth by promoting tourism destinations, attractions, and special events. Additionally, Market NY will support capital grant funding for tourism facilities in New York. The Market NY program and each funded proposal will work to support the Regional Council long term strategic plans for economic growth in regions, as well as to attract visitors to New York State. For the 2015-2016 Fiscal Year, up to $12 million will be available for *Market NY*, a program that will support regionally themed New York focused projects.

Funding is available for projects intended to create economic impact by increasing tourism in a region. Grant funding will be allocated among the ten regions, each represented by a Regional Council, based on each Regional Council's development and implementation of a five-year strategic plan that sets out a comprehensive vision for economic development and specific strategies to implement that vision. Regional Council strategic plan information can be found at: http://regionalcouncils.ny.gov/ . Funding will be allocated to eligible, top scoring projects.

While this is one program, there are two separate funding tracks available, each with different requirements. The funding tracks are:

1.) **Regional Tourism Marketing Competition**- up to $5 million in funding available; and
2.) **Tourism Facility Funding**- up to $7 million in funding available.

Note: Applicants with Regional Tourism projects that include both marketing and capital elements please be sure to apply for both tracks.

Eligibility Requirements for Both Tracks:
Entities that may apply for funding include not-for-profit corporations, municipalities, Tourism Promotional Agencies (TPAs), public benefit corporations, and for-profit companies. Not-for-profit corporations are subject to New York State's Not-For-Profit Corporation Law. In order to apply under this program, a not-for-profit corporation must have proof of incorporation (or equivalent document) from the NYS Department of State or NYS Board of Regents, a charities registration number from the NYS Office of the Attorney General, and proof of tax-exempt status under the IRS code.

Note to Not-For-Profit Organizations:
Not-for-profit organizations who are successful in receiving grants must complete the following prior to ESD Directors' approval and execution of a Grant Disbursement Agreement or Loan Agreement: 1) be prequalified in New York State Grants Gateway; 2) be registered and up-to-date with filings with the New York State Office of the Attorney General's Charities Bureau; and 3) be registered and up-to-date with the New York State Office of the State Comptroller's VendRep System.

Pre-Application Requirements for Both Tracks:
Applicants must complete and submit a Consolidated Funding Application (CFA) for review by ESD and the Regional Council for the region in which the proposed project is located.

Participation By Minority Group Members and Women With Respect To State Contracts for Both Tracks:
In accordance with the requirements of Article 15-A of the New York State Executive Law: Participation By Minority Group Members and Women With Respect To State Contracts by providing opportunities for MBE/WBE participation, projects awarded funding shall be reviewed by ESD's Office of Contractor and Supplier Diversity, which may set business and participation goals for minorities and women. Such goals shall typically be included in the Regional Tourism Marketing Competition contract or the Tourism Facilities Funding incentive proposal.

Please note that ESD's agency-wide MWBE utilization goal is 30 percent (30%). Each project will be assigned an individual contract-specific goal, which may be **higher or lower** than 30 percent (30%). Should an Applicant receive a funding award, the Applicant shall be required to use good faith efforts to achieve the prescribed MWBE goals assigned to this project. Applicants must maintain such records and take such actions necessary to demonstrate such compliance.

Significant Statewide Programs:

Proposed projects that are part of the following initiatives will be looked upon favorably:

NY Rising Related Projects
The NY Rising Community Reconstruction Program is a community driven initiative that empowers localities severely damaged by Superstorm Sandy, Hurricane Irene, or Tropical Storm Lee to develop comprehensive and innovative recovery plans. Projects identified in the NY Rising Community Reconstruction Program recovery plans consist of innovative, transformative projects and actions, enhance resilience and economic development. For more information, please visit: http://stormrecovery.ny.gov/community-reconstruction-program

Opportunity Agenda Related Projects
Each Regional Council may develop region-wide strategies, or may focus its efforts by designating one or more chronically distressed community as an "Opportunity Area." Projects seeking to apply CFA funds for the purpose of eliminating barriers to skilled employment by poor people in your region, as identified by the Opportunity Agenda and Strategic Plan, should provide evidence as such in their application.

Global NY Projects
The Global NY initiative accomplishes two complementary economic growth objectives - attract international investment and jobs to Upstate New York and provide New York businesses with the tools and assistance they need to export their products to the global marketplace. Applicants that link project proposals to the Global NY strategies identified by the Regional Council will be looked upon favorably.

Veterans' Related Projects
New York State is home to more than 900,000 veterans, 72 percent of whom served in combat. In 2014 the Regional Economic Development Councils were asked to create a Veterans Work Group to promote participation by Veterans in the CFA, and develop strategies to encourage other potential CFA applicants to include workforce goals related to Veteran's employment. This is part of a comprehensive approach to improving services to the veterans and military families in New York. Applicants that link project proposals to the Veteran's Initiative strategies identified by the Regional Councils will be looked upon favorably.

INFORMATION APPLICABLE TO SPECIFIC FUNDING TRACK:

1.) **Regional Tourism Marketing Competition**
Up to $5M in funding available for this track

Applicants must demonstrate how the marketing project will work to promote and forward the tourism goals of the corresponding Regional Council's strategic plan. Applications will be accepted for projects that market regional tourism destinations or attractions and existing or newly created special events. Proposed marketing projects should look to align with the goals and strategies of I LOVE NY which include increasing the perception and consideration of New York State as a travel destination, creating a positive economic impact and increasing tourism.

Applicants can reference the most recent New York State Tourism Summit information and other material at www.iloveny.com to learn more about I LOVE NY's current goals and strategies. Any use of the I LOVE NY logo as part of the funded project must conform to ESD guidelines and be approved by ESD. In the event I LOVE NY/NYS Division of Tourism would choose to have a presence at public events connected with the awarded project, no further money would be exchanged for a sponsorship or space fee.

Regional Tourism Marketing Competition Eligible Expenses:
Please note that a it is strongly suggested that applicants include a project plan (previously called the marketing plan) outlining the specifics of the project, the budget and specifically how the grant funds and the grantee equity is planned to be used and any other information that the applicant would like to share with the scoring teams. It is also strongly advised that applicants provide information that clearly and specifically addresses the Scoring Criteria listed later in these guidelines. Additionally, ensure that the budget in the project plan reflects the same total project costs indicated in budget section of the CFA application.

Eligible costs are generally those incurred in the development and delivery of a regionally-based tourism marketing projects. These may include but not be limited to:

- purchase of recognized media advertising;
- production costs of print collateral and/or audio/visual;
- licensing/talent fees to ensure ownership of finished product;
- tourism center marketing costs (ex. displays, updates, etc.);
- website design/updates;
- eligible travel costs approved by the Department; and
- administrative costs up to a maximum of 10 percent (10%) of the total project cost as approved by ESD.

Regional Tourism Marketing Competition Ineligible Expenses:
Ineligible expenses include but are not limited to:

- food and/or beverages, including alcoholic beverages;
- legal fees and/or membership fees;
- salaries, wages, and/or staff time;
- fringe benefits (such as health insurance, retirement benefits, and other non-mandated benefits); and
- expenses reimbursed from any other source or agency; and
- other expenses deemed ineligible by ESD.

ESD generally seeks to provide no more than seventy-five percent (75%) of the financing for Regional Tourism Marketing projects. A match of at least 25% is required to be an actual cash match. In-kind matches and/or staff time is not eligible for the match requirement. Additionally, funds from any other state agency (including I LOVE NY Matching Funds and the ESD Fund) are ineligible to be used for the match. Expenses incurred prior to the award of a CFA grant may not be included in CFA project budgets; anticipated expenses that might be incurred after submission of a CFA but prior to an award announcement

will not be reimbursed. The Regional Tourism Marketing contract and work period will run through December 2016 unless a reasonable explanation is provided to extend the Marketing project or if the project includes Tourism Facility Funding elements.

Regional Tourism Marketing Competition Payment:
The grantee will be required to enter into a contract with Empire State Development (ESD). ESD will pay the grantee on a **reimbursement basis**, up to the total award amount. No financial payment of the grant will be made upfront. The grantee should be prepared to subsidize the project for a term of up to 6 months. Please note that awarded grants are not transferable, unless approved by ESD, and reimbursement payments may only be made to the awardee.

Regional Tourism Marketing Competition Reporting:
Progress reports and requests for reimbursement will be submitted on a quarterly basis which will be outlined in the grant disbursement agreement with successful awardees. Reimbursements will be initiated after the successful grantee has a signed/approved grant disbursement agreement (GDA).

2.) Tourism Facility Funding
Up to $7M in funding available for this track

Tourism Facility Funding proposals (capital/construction projects) must be in alignment with the appropriate Regional Council(s) strategic plan and/or show how implementation of the project will promote and forward the strategic tourism goals of the corresponding Regional Council's plan. Applications will be accepted for projects that include plans to expand, construct, restore or renovate tourism destinations and attractions.

When appropriate, proposed projects should look to align with the goals and strategies of I LOVE NY which include increasing the perception and consideration of New York State as a travel destination, creating a positive economic impact and increasing tourism. Applicants can reference the most recent New York State Tourism Summit information and other material at www.iloveny.com to learn more about I LOVE NY's current goals and strategies.

Any use of the I LOVE NY logo as part of the funded project must conform to ESD guidelines and be approved by ESD. In the event I LOVE NY/NYS Division of Tourism would choose to have a presence at public events connected with the awarded project, no further money would be exchanged for a sponsorship or space fee.

Please note that a it is strongly suggested that applicants include a project plan outlining the specifics of the project, the budget and specifically how the grant funds and the grantee equity is planned to be used and any other information that the applicant would like to share with the scoring teams. It is also strongly advised that applicants provide information that clearly and specifically addresses the Scoring Criteria listed later in these guidelines. Additionally, please make sure that budget in the project plan reflects the same costs total project costs indicated in budget section of the CFA application.

Tourism Facility Funding Successful Applicant Requirements:
Because awards are offered as an incentive to undertake a project, the project should not begin, and expenses should not be incurred, before funding awards have been announced. Expenses incurred prior to submission of a CFA may not be included in CFA project budgets nor should expenses that will be incurred after submission of a CFA but prior to an award announcement.
ESD generally seeks to provide no more than twenty percent (20%) of the financing for Tourism Facility Funding projects. A match of 80% ("grantee equity") is required to be an actual cash match. In-kind matches and/or staff time is not eligible for the match requirement. Match/equity is defined as cash injected into the project by the applicant or by investors and should be auditable through the applicant's financial statements

or accounts, if so requested by ESD. Equity cannot be borrowed money secured by the assets in the project or grants. Additionally, funds from any other state agency (including, but not limited to I LOVE NY Matching Funds and the ESD Grant Fund) are ineligible to be used for the match.

Projects that include a hotel, with more than 15 employees, as a principal function are required to demonstrate compliance with Section 2879-b of Public Authorities Law regarding labor peace.

The applicant must always disclose whether they are pursuing or intend to pursue multiple ESD funding sources, including grants, loans and tax incentives in project budget.

Tourism Facility Funding Eligible Expenses:
Eligible projects costs should be associated with the construction of a new tourism destination/attraction, adding on to an existing tourism destination/attraction, and/or restoring an existing tourism destination. Funding can be used for the following:

- acquisition or leasing of land, buildings, machinery and/or equipment;
- acquisition of existing business and/or assets; and
- new construction, renovation or leasehold improvements.

Tourism Facility Funding Ineligible Expenses:
The following types of expenses may be included in budgets but shall not be eligible for reimbursement by grant funds:

- developer fees;
- staff time and/or wages;
- recapitalization/refinancing;
- training; and
- residential development, although program funds may be used for the commercial component of a mixed-use project.

Note: Expenses incurred prior to submission of a CFA may not be included in CFA project budgets; anticipated expenses that might be incurred after submission of a CFA but prior to an award announcement will not be reimbursed.

Tourism Facility Funding Payment:
The grantee will be required to enter into a contract with Empire State Development (ESD). ESD will pay the grantee on a **reimbursement basis**, up to the total award amount. No financial payment of the grant will be made upfront.

ESD requires that the applicant contribute a minimum of ten percent (10%) of the total project cost in the form of equity contributed after the applicant's acceptance of ESD's incentive proposal. This 10% contribution is a commitment to the project and is **not** related to the cash match referenced in the above paragraph.

Tourism Facility Funds will be disbursed in a lump sum upon project completion as evidenced by attainment of a certificate of occupancy and/or other documentation verifying project completion as ESD may require, and documentation verifying project expenditures.

Both Tracks:
Please note the following:

- Awarded grants are not transferable;
- If the information on the application regarding a project match is determined to not meet the minimum "match" requirements for the program, the overall project may be deemed ineligible;
- Reimbursement payments may only be made to the awardee;
- Being awarded a grant does not imply approval of elements in the submitted marketing plan that do not comply with local/state/federal laws and/or regulations, including the requirements of the Market NY grant program itself;

- Projects that have been funded in three (3) consecutive rounds may be deemed ineligible; a question in the online CFA application will require that an applicant who has been funded in three (3) consecutive rounds justify how the proposed project is different from the project awarded in previous rounds of funding.

MARKET NY SELECTION CRITERIA (Applies to Both Tracks):
ESD will establish an internal technical review committee that will score each eligible application. Your application will be scored upon the following criteria (ESD Score total of **80 points**) and combined with up to **20 points** to be scored by the Regional Economic Development Council, for a **total of 100 points**:

Regional Focus and Support of Regional Economic Development Strategies [15 Points Total]:
How does the theme and/or scope of this project support the Regional Economic Development Council strategic plan for the affected region(s)? What is the project's overall economic impact on a REGION(S)? How does the proposed project better position REGIONAL thematic related assets/activities? If the project relates to one attraction/destination, please provide evidence of how the project will economically benefit the REGION(S).

For applicants that are part of the NY Rising and/or Opportunity Agenda projects and/or are considered a Global NY and/or a Veteran Related Project: Does the proposal provide evidence that demonstrates how the project meets the qualifications for the Significant Statewide Program that has been identified?

Scope of Work [40 Points Total]:
Does the proposal include a Project Plan? Does the proposal provide: a) evidence that the project will increase tourism to and within New York State, b) individual, specific steps of the project and a timeline for those steps; c) a clear budget indicating specifically how the grant funds and the grantee equity will be spent; and d) a description of how the project will be effectively implemented?

Alignment [15 Points Total]:
How well does the proposed project align with the goals and strategies of I LOVE NY, which include increasing the perception and consideration of New York State as a travel destination, creating a positive economic impact and increasing tourism? Does the proposed project complement or amplify any current I LOVE NY strategies and initiatives, which might include, but are not limited to: international tourism; heritage tourism, i.e. Path Through History; eco/adventure tourism; culinary and agri-tourism; group travel; etc.?
Grant Match Requirement [10 pts Total]:

Has the applicant provided information illustrating the necessary minimum cash match for total project costs – namely 25% for tourism marketing projects, and 80% for tourism facility funding projects? Strong examples would include, but are not limited to: letters from partners confirming financial support/sponsorship, a letter from the grantee committing a specific amount of actual cash committed to the project, a letter from a bank showing a bank loan committed to the project, etc. In-kind and funding from other state sources are not eligible as matches. Does the applicant show additional funding for the proposal outside of the minimum required?

Note: ESD shall have the discretion to consider additional factors in determining the relative merits of projects.

ADDITIONAL RESOURCES:
For more information please contact the New York State Division of Tourism staff at RegionalTourism@esd.ny.gov and/or 518-292-5360

Community Development

NYS Council on the Arts – Arts, Culture and Heritage Initiatives

Funding Available: Up to $5 million

DESCRIPTION: Funding for arts, culture and heritage initiatives is available to eligible non-profit applicants through the Regional Economic Development Program (REDC). The New York State Council on the Arts (NYSCA) welcomes applications in FY2016 for requests to REDC categories as described below. This Local Assistance support is provided under Article 3 of NYS Arts and Cultural Affairs Law for the study of and presentation of the performing and fine arts; surveys and capital investments to encourage participation of the arts; to encourage public interest in the cultural heritage of the state; and to promote tourism by supporting arts and cultural projects.

NYSCA's REDC Program makes grant awards in all ten of the state's regions. Priority will be given to applicants that have not received NYSCA REDC Program funding in previous years.

NYSCA's REDC Program funding is distinct from and in addition to applications for support already submitted to other NYSCA programs in FY 2016.

GOALS: New funding opportunities are available through the REDC program for projects designed to enhance and transform the cultural and economic vitality of New York State communities.

Arts, culture and heritage activities enrich and strengthen the foundation of community, civic and social life in New York State. Successful proposals will demonstrate significant economic and community development impact that positions arts, culture and heritage at the core of local development efforts.

For NYSCA's REDC program, economic and community development impact will serve to:

- Develop the arts, culture and heritage workforce and engage new audiences
- Revitalize neighborhoods
- Generate collaborative projects among non-profit organizations, for-profit entities, artists, and municipal and local government
- Drive and support tourism through events that serve as destinations for regional, national and international visitors
- Enhance resources for communities experiencing poverty, geographic isolation or other barriers to participation in or access to arts, culture and heritage activities

The grant awards will assist communities and organizations to:

- Attract visitors to experience the cultural assets of the community
- Broaden and encourage greater public access to the arts, culture and heritage
- Develop innovative programming that incorporates new technology and explores previously under-recognized cultural and heritage resources
- Create new jobs in the arts, culture and heritage sector that will increase capacity, impact and efficiency of the organization(s), their programs and operations
- Expand business opportunities by harnessing the power of the creative economy
- Develop new and catalytic initiatives to expand public participation in community or regional arts institutions, cultural events, architecture and preservation, folk arts, history and local heritage resources, and art and technology industries
- Bring public, private, and non-profit sectors together as partners with community members and artists, to strategically enhance local economy and sense of place
- Map a wide range of local arts, culture and heritage assets to identify and locate resources in a

neighborhood, town, city, or region to serve as a springboard for new cultural initiatives

ELIGIBLE APPLICANTS AND ACTIVITIES: The New York State Council on the Arts awards grants to nonprofit organizations either incorporated in or registered to do business in New York State, Indian tribes in New York State, and units of government in municipalities in New York State. An organization must have its principal place of business located in New York serving the State's constituents.

Please click here to review the eligibility requirements for all NYSCA applicants:
http://www.arts.ny.gov/public/grants/who_is_eligible.htm

Organizations must be prequalified in Grants Gateway to be considered for funding. Prequalification must be completed by the CFA application deadline. Units of local government and Indian Tribes are exempt from the prequalification requirement.

Please click here to register for Grants Gateway and apply for prequalification:
http://www.grantsreform.ny.gov/

Applicants must meet the agency-wide and programmatic evaluative criteria: artistic/programmatic, managerial/fiscal and outreach/service to the public. Please click here to review the evaluative criteria:
http://www.arts.ny.gov/public/grants/funding_criteria.htm

Please click here to review NYSCA funding restrictions:
http://www.arts.ny.gov/public/grants/nysca_does_not.htm

Applications made to the REDC Program **are exempt** from NYSCA's limit of two grant requests per applicant per year.

Applicants **cannot** request funding for the same project through the FY2016 REDC Program and another FY2016 NYSCA grant program. Priority will be given to initiatives that have not been evaluated for funding by other NYSCA programs in prior years.

Applicants **may submit one application** to the NYSCA REDC Program. Organizations **are not** restricted from applying to other NYS agencies' REDC Programs. Please review the resource guide materials for the other agencies thoroughly.

No applicant may apply through a fiscal sponsor.

Projects and activities involving re-granting of funds **are not** eligible for support.

Please see descriptions of the FY2016 categories of support for other eligibility requirements and funding restrictions.

FY2016 CATEGORIES OF SUPPORT:

Eligible applicants may submit an application to only **one** the following three REDC categories:

1. Arts, Culture and Heritage New Initiatives – Planning
2. Arts, Culture and Heritage New Initiatives – Implementation

3. Workforce Investment

CATEGORY DESCRIPTIONS & REQUIREMENTS:

1) Arts, Culture and Heritage New Initiatives – Planning

Planning is critical to successful development and implementation of any project and requires collaborative commitment and participation from cross-sector leaders and stakeholders. REDC planning support is intended to lay a foundation for future implementation of projects and programs. Initiatives developed through partnerships between non-profit, for-profit and government entities are strongly encouraged. Applicants are encouraged to return in subsequent years for implementation funding. This category is open only to new initiatives that are not part of a current NYSCA FY2016 request. Priority will be given to initiatives that have not been evaluated for funding by other NYSCA programs in prior years.

Planning initiatives must cultivate and leverage local cultural assets, generating one or more of the following:

- Livability – quality of life
- New and increased revenue for local businesses
- Sustainable ongoing programming
- Job growth
- New opportunities for local and regional artists to create, market or make a living from their art

Planning initiatives may include:

- Comprehensive mapping of a community's cultural assets and resources, including artists, artisans, tradition bearers and other local cultural activity
- Community cultural plans for new partnerships that cultivate, deepen and support local arts and artists as the foundation of vital community, civic and social life
- Long range cultural programming with tangible economic and community development outcomes

Planning requests must demonstrate:

- Planning document(s) that present assessments, recommendations, conclusions and/or results
- Research and development activity directed to reach intended goals, objectives and outcomes
- Feasibility for long term cultural programming and its impact on the community
- Evaluation plans with defined goals, success indicators and outcomes

Planning Awards:

- Planning awards will range from $10,000 - $49,500
- No match is required
- Partnership applications are strongly encouraged
- Regrant projects **are not** eligible for funding
- The one year contract and work period is from January 2016 through December 2016

2) Arts, Culture and Heritage New Initiatives – Implementation

Support is provided for new programming initiatives designed to have tangible economic and community development impact in a community or region. Initiatives developed through partnerships among non-profit, for-profit and government entities are strongly encouraged. This category is open only to new initiatives that are not part of a current NYSCA FY2016 request. Priority will be given to initiatives that have not been evaluated for funding by other NYSCA programs in prior years.

Implementation initiatives must cultivate and leverage local cultural assets, generating one or more of the following:

- Livability – quality of life
- New and increased revenue for local businesses
- Sustainable ongoing programming
- Job growth
- New opportunities for local and regional artists to create, market or make a living from their art

Implementation initiatives must:

- Develop an economic and community impact statement
- Compensate artists
- Provide letters of agreement or contracts between artists and/or partners
- Provide a comprehensive marketing plan
- Provide an evaluation plan with defined goals, success indicators and outcomes

Implementation Awards:

- Implementation awards will range from $25,000 - $150,000
- Require a 50% match in cash or in-kind support
- Partnership applications are strongly encouraged
- Regrant projects **are not** eligible for funding
- The contract and work period is from January 2016 through December 2016.

3) Workforce Investment

Workforce Investment support is designed to expand the capacity of New York State's arts, culture and heritage organizations with operating budgets under $500,000. Grant awards will support one expanded or new staff position. Successful applicants must demonstrate the critical need for the employee and provide a sustainability plan to ensure continued employment after the grant term ends. This grant support is available for up to two years through a multi-year contract. Single year grant requests are not eligible. **Organizations that received a FY2015 REDC Workforce Investment grant may not apply to this REDC category in FY2016.**

Workforce Investment grants will only support:

- Wages to increase a current part-time employee's hours
- Wages to hire a new full or part-time employee

The applicant's organizational budget **may not exceed** $500,000 (before depreciation). Organizational Budget size is determined by the audit or financial statement used for Grants Gateway Prequalification.

Workforce Investment funds **may not** support contract employees or seasonal staff. Support **may not** be requested for hiring costs, payroll taxes, fringe benefits, or overhead costs.

Workforce Investment Awards:

- Grant awards will be issued for a two-year period and will range from $12,500 - $49,500
  - Each year's grant award will range from $6,250 - $24,750, renewable for a second year at the same funding level
- After staff review of required reporting and other eligibility criteria, the contract for the second year of support will be renewed
- The grant requires a 25% cash match each year
- Regrant projects **are not** eligible for funding
- The two year multi-year term contract and work period is January 2016 through December 2017

SIGNIFICANT STATEWIDE PROGRAMS:

Proposed projects that are part of the following initiatives will be looked upon favorably:

NY Rising Related Projects
The NY Rising Community Reconstruction Program is a community driven initiative that empowers localities severely damaged by Superstorm Sandy, Hurricane Irene, or Tropical Storm Lee to develop comprehensive and innovative recovery plans. Projects identified in the NY Rising Community Reconstruction Program recovery plans consist of innovative, transformative projects and actions, enhance resilience and economic development. For more information, please visit: http://stormrecovery.ny.gov/community-reconstruction-program

Opportunity Agenda Related Projects
Each Regional Council may develop region-wide strategies, or may focus its efforts by designating one or more chronically distressed community as an "Opportunity Area." Projects seeking to apply CFA funds for the purpose of eliminating barriers to skilled employment by poor people in your region, as identified by the Opportunity Agenda and Strategic Plan, should provide evidence as such in their application.

Global NY Projects
The Global NY initiative accomplishes two complementary economic growth objectives - attract international investment and jobs to Upstate New York and provide New York businesses with the tools and assistance they need to export their products to the global marketplace. Applicants that link project proposals to the Global NY strategies identified by the Regional Council will be looked upon favorably.

Veterans' Related Projects
New York State is home to more than 900,000 veterans, 72 percent of whom served in combat. In 2014 the REDCs were asked to create a Veterans Work Group to promote participation by Veterans in the CFA, and develop strategies to encourage other potential CFA applicants to include workforce goals related to Veteran's employment. This is part of a comprehensive approach to improving services to the veterans and military families in New York. Applicants that link project proposals to the Veteran's Initiative strategies identified by the Regional Councils will be looked upon favorably.

REGIONAL ECONOMIC DEVELOPMENT COUNCIL REVIEW AND EVALUATION:
The Regional Economic Development Councils' review and rating is conducted separate and apart from the NYSCA process. Review and rating by the Regional Economic Development Councils will be based on the degree to which an application advances strategies and goals of the Regional Economic Development Councils.

Please carefully review the regional development priorities when developing an application: http://regionalcouncils.ny.gov/.

CONTACT/ADDITIONAL PROGRAM INFORMATION:

Additional Resources: For more information, applicants should contact the New York State Council on the Arts, 300 Park Avenue South, 10th Floor, New York, NY 10010, call (212) 459-8800 or email special.projects@arts.ny.gov

Please visit *About NYSCA Grants* at http://www.arts.ny.gov/public/grants/index.htm for information on NYSCA's grant process, requirements and evaluative criteria.

Also, please click *Regional Priorities* at http://regionalcouncils.ny.gov/ to view detailed information about the Regional Economic Development Councils.

REDC PROGRAM APPLICATION SCORING CRITERIA:
NYSCA's program staff and advisory panelists adhere to the following statutory requirements in the review, evaluation and scoring of all grant applications.

Service to the Public:

As a public funder, NYSCA must ensure that its grants support a broad array of cultural activity that fully represents the diversity of the state and that the supported events are accessible to the broadest possible public in every region of the state. In addition, it must ensure that the organizations and events it supports comply with public safety and accessibility laws.

The following are considered elements of service to the public. Applicants will be evaluated based on their strength in these areas:

Promotion and Outreach: the organization demonstrates that it makes significant efforts to reach a broad and diverse audience through marketing and public relations efforts.

Audience Development: the organization offers thoughtful and well-designed educational and interpretive activities that help build audience appreciation and understanding of the organization and its work.

Audience/Visitor Participation: the organization's commitment to its programs and activities as demonstrated through attendance data (relevant to the population of the community served) as well as customer satisfaction surveys (if available and appropriate).

Safety & Accessibility: the activities and events for which support is being sought will take place in venues that are fully accessible to the public and comply with all safety and accessibility standards.

Diversity of Programming: programming reflects significant efforts to reach a broad array of artists and audiences.

Community Service: the organization brings value to its community through partnerships with local businesses and schools, free and low-cost events, and in other appropriate ways.

Artistic/Programmatic Excellence:

NYSCA believes in artistic excellence without boundaries, and its evaluation process embraces the widest variety of cultural and artistic expression being offered to the public in a broad array of settings and contexts, including classrooms and community centers, parks, open spaces, and traditional venues.

NYSCA considers four dimensions of proposals when evaluating applications:

Idea: the concept or artistic impetus behind the artistic work or services proposed.

Practice: the effectiveness of the artistic work and the impact it has on those experiencing it, or in the case of services, the effectiveness of the services in practice and their impact on the community served.

Development: the contribution the artistic work makes to the development of the artists involved, the art form, and the arts generally, or for services, the contribution the services make to the development of a

vibrant arts and cultural community in the state.

Context: the context in which the work or services are being presented and the appropriateness of the work or services in that context.

Managerial/Fiscal Competence:

As a public funder, NYSCA must ensure that funded organizations are capable of carrying out their proposals and will be ethical and effective stewards of public funds.

NYSCA considers four dimensions of managerial competence when evaluating applicant organizations.

Mission: The organization's activities must relate directly to its written mission statement. A mission statement should (1) define the organization's purpose for being and core values, (2) determine its structure, functions and purpose, (3) be approved by the organization's board, and (4) be reviewed regularly and updated when appropriate.

Governance: The organization should have a governing board of directors or trustees, and that group should be diverse and appropriate to the mission of the organization. The board should provide administrative, financial, and ethical oversight for the organization by:

- Adopting enabling documents, including by-laws and a mission statement, both of which are reviewed at regular intervals;
- Selecting a chief executive and annually reviewing her/his performance;
- Reviewing and approving the annual budget and ensuring that proper financial controls are in place;
- Engaging in adequate fundraising for the organization by making a personal contribution to the organization and actively soliciting support on its behalf;
- Ensuring fiscal and programmatic integrity and maintaining accountability by upholding legal standards and ethical norms;
- Maintaining and enforcing a conflict of interest policy;
- Ensuring effective organizational planning by participating in an overall planning process and monitoring its implementation;
- Recruiting and orienting new board members and assessing board performance;
- Enhancing the organization's public standing and value; and
- Understanding, monitoring, and strengthening the organization's core programs and services.

Organizational Management: Organizational management will be assessed based on the extent to which the leaders of the organization comprehend their roles, advance the mission, and plan for the future. Responsible management hinges on the:

- Existence of a professional staff appropriate to the size and mission of the organization
- Implementation of board policies by professional staff;
- Comprehension, review, and revision of policies by staff and with the board as needed;
- Preparation of a year-end statement of the organization's financial condition and Program activities;
- Offering of competitive compensation and health benefits to employees;
- Appropriate compensation of artists;
- Existence of personnel policies that include job descriptions and performance evaluations for board members, staff, and volunteers; and
- Development and implementation of a strategic plan incorporating input from the board, staff, community and other stakeholders.

Financial Management: The organization will be evaluated based on whether it provides adequate human and financial resources to enable the organization to work toward fulfilling its mission and managing those resources appropriately. Successful financial management includes:

- Raising adequate financial resources for operating costs, cash reserve, endowment, and short and long- term capital needs;
- Developing a balanced operating budget which includes contingencies, contains realistic projections of revenues and expenses, and is approved by the board;
- Reviewing revenues and expenses in relation to the budget at regular intervals and taking steps to raise funds or cut costs when necessary to balance the budget;
- Establishing a finance committee that meets regularly to review financial statements and that reports directly to the board;
- Engaging an independent financial auditor that reports directly to board
- Engaging in cost-effective fundraising activities;
- Possessing written financial policies that govern investment of assets, internal control procedures, purchasing practices, reserve funds, compensation expense account reporting, and earned income;
- Monitoring internal financial processes, including handling of checks, petty cash, cash disbursements, and payroll management, in order to prevent errors and misuse of funds;
- Monitoring the use of restricted funds;
- Preparing reports comparing Adopted Budget to actual revenue and expenses and making them available to appropriate staff in a timely manner;
- Preparing a fund development plan that ensures a diversified funding base;
- Possessing financials demonstrating a diversified funding base;
- Noting and explaining variances of more than 10%; and
- Explaining operating deficits and having a deficit reduction plan for accumulated deficits.

Educational Impact:
The nature and extent of the applicant's planned efforts to educate and orient the public about the proposed project or activities of an organization.

Geographic Location:
The scarcity or availability of comparable services or activities in the geographic region in which proposed services or activities will take place.

Funding Availability:
The nature and extent of the availability of other public and private funds to support comparable activities.

GRANT APPLICATION REVIEW PROCESS:

NYSCA uses a multi-step process involving program staff, peer review panels, a committee of NYSCA's Council members, and the full NYSCA Council, as described in more detail below. Complete information on NYSCA's grant process can be found at http://www.arts.ny.gov/public/grants/index.htm

Staff Review:
NYSCA's program and administrative staff verify applicant eligibility and review application materials according to NYSCA's primary criteria and program- and category-specific guidelines. Staff may meet with representatives of the organization, visit facilities, and attend programs to become familiar with the organization and its work. Staff review may be supplemented by reports from field representatives who have expertise in a particular art form.

Peer Review Panels and the Rating System:
In each program category, the peer panel convenes with program staff present. The panel is composed of seven to fifteen people and represents a diverse group of professionals from across the state. Each member has relevant and specific expertise. NYSCA accepts nominations for panelists from the general public. To nominate an individual for panel service consideration, visit the panelist nomination page. The panel discusses, evaluates and rates each request according to NYSCA's criteria.

The panel ratings form the basis for staff funding recommendations to the designated NYSCA Council Committee.

Rating System:

Rating	Descriptor	Strengths/Weaknesses
9	Exceptional	Exceptionally strong (model and standard for field or discipline with essentially no weaknesses)
8	Outstanding	Extremely strong with negligible weaknesses
7	Excellent	Very strong with some minor weaknesses
6	Very Good	Strong with numerous minor weaknesses
5	Good	Strong but with at least one moderate weakness
4	Satisfactory	Some strengths but with some moderate weaknesses
3	Fair	Some strengths but with at least one major weakness
2	Marginal	A few strengths and a few major weaknesses
1	Poor	Very few strengths and numerous major weaknesses

Minor Weakness: An easily addressable weakness that does not substantially lessen impact.

Moderate Weakness: A weakness that lessens impact.

Major Weakness: A weakness that severely limits impact.

NYSCA COUNCIL COMMITTEES AND NYSCA COUNCIL:

There are two committees composed of NYSCA Council Members: (1) Multi-Arts and (2) Performing, Literary Arts and Visual Arts. Funding recommendations and panel ratings are presented to the designated Committee for review and discussion.

After review and discussion, the Committees make funding recommendations to the full NYSCA Council. All NYSCA Council Committee meetings and full NYSCA Council meetings are open to the public and are webcast. The Arts Council's meeting agenda is posted at www.arts.ny.gov in advance of all meetings and is available for review by the public.

The full NYSCA Council reviews the NYSCA Council Committees' funding recommendations and votes on the grant award recommendations. Upon NYSCA Council approval of a grant and subsequent grantee notification, Cultural Service Contracts are issued to organizations awarded funding.

Can an organization appeal an NYSCA funding decision?
An applicant may appeal NYSCA's funding decision. The appeals procedure is set forth in Part 6401 of the New York Codes, Rules and Regulations and may be reviewed at
http://www.arts.ny.gov/public/grants/PART_6401_Appeals.pdf

Community Development Block Grant Program

Funding Available: approximately $25 million

DESCRIPTION: The Community Development Block Grant (CDBG) Program is a federally funded program authorized by Title I of the Housing and Community Development Act of 1974. The CDBG Program is administered by the Office of Community Renewal (OCR) under the direction of the Housing Trust Fund Corporation (HTFC).

NYS CDBG funds provide **small** communities and counties in New York State with a great opportunity to undertake activities that focus on community development needs such as creating or expanding job opportunities, providing safe affordable housing, and/or addressing local public infrastructure and public facilities issues. The primary statutory objective of the CDBG program is to develop viable communities by providing decent housing and a suitable living environment by expanding economic opportunities, principally for persons of low and moderate income. The state must ensure that no less than 70% of its CDBG funds are used for activities that benefit low- and moderate-income persons. A low-and moderate income person is defined as being a member of a household whose income is less than 80% of the area median income for the household size. A principal benefit to low- and moderate-income persons requires at least 51% of the project beneficiaries to qualify as low- and moderate-income.

Eligible Activities / Program Benefit Requirements:
NYS CDBG applicants must address and resolve a specific community or economic development need within one of the following areas: (1) Public Infrastructure (2) Public Facilities (3) Planning (4) Microenterprise

1) **Public Infrastructure**
The NYS CDBG Public Infrastructure program consists of two funding activities: drinking water/ clean water/stormwater and public works. Eligible projects for NYS CDBG Public Infrastructure may include the repair or replacement of existing systems, construction of new systems, or expansion of existing systems into areas previously unserved that are in compliance with the NYS Smart Growth Public Infrastructure Act (Chapter 433 of the Laws of 2010) and principally benefit low- and moderate-income persons. Under the Public Infrastructure category, the benefit to low- and moderate-income persons is most commonly achieved through an area benefit. For more information regarding National Objective Compliance, refer to the Application Guidance located on the HCR website: http://www.nyshcr.org/AboutUs/Offices/CommunityRenewal/FundingOpportunities.htm.

The drinking water/clean water/stormwater activity includes, but is not limited to, water source development, storage, and distribution; sanitary sewage collection and treatment; flood control and storm water drainage. The aforementioned types of projects may also include ancillary public works components such as sidewalks, streets, parking, open space, and publicly-owned utilities.

The Public Works activity consists of, but is not limited to, standalone public works components such as sidewalks, streets, parking, open space, and publicly-owned utilities. Public works activities should be creatively designed to leverage the availability of other Consolidated Funding Application (CFA) funding sources to the greatest extent possible.

Funding for residential water and sewer lateral connections is not available as part of the CFA. These types of applications may be available separately as part of HCR's Housing Funding Category, which may be announced later this year. For information on HCR's non-CFA funding opportunities see the HCR website at: http://www.nyshcr.org/Funding/.

2) **Public Facilities**
The NYS CDBG Public Facility program activities include, but are not limited to, structures to house or serve special-needs populations; senior services; child care centers; removal of architectural

barriers for the disabled (installing lifts, automatic doors, ramps, etc.); and multi-purpose buildings housing several qualifying activities where benefits are provided principally to low-and moderate-income persons. Removal of architectural barriers is not eligible in new construction. Under the Public Facilities category, the benefit to low- and moderate-income persons is achieved most commonly through a presumed benefit, which is applicable for seniors, the severely disabled or abused children. National Objective compliance for public facilities can also be met through the Low/Mod Area (LMA) benefit. For more information regarding National Objective Compliance, refer to the Application Guidance located on the HCR website: http://www.nyshcr.org/AboutUs/Offices/CommunityRenewal/FundingOpportunities.htm.

NYS CDBG funds can be used for construction or renovation of facilities, but cannot be used to cover the day-to-day operational costs of an assisted facility, nor can funds be used for buildings that are primarily for the general conduct of government business (e.g. town halls). Any public facility funded with NYS CDBG funds must be maintained in the same capacity as funded for a period of five (5) years after the project is formally closed out by OCR. OCR reserves the right to monitor the use of such facilities during the five (5) year period to substantiate compliance.

3) Planning

The NYS CDBG Planning program consists of two activities: Community Needs Assessments and Preliminary Engineering Reports. Any planning proposal must address an activity which, if implemented, meets at least one of two national objectives under the CDBG program. That is, it must be shown that either 1) at least 51% of the persons who would benefit from implementation of the plan are low- and moderate- income persons, or 2) the plan addresses a slum or blighted area in the community.

The Community Needs Assessment activity must be used by eligible applicants to identify the assets of a community and determine potential concerns that it faces. The needs assessment analysis may focus on one or more of the following: 1) Public Infrastructure, 2) Public Facilities and/or 3) Economic Development.

Eligible planning activities for Public Infrastructure and Public Facilities include but are not limited to Strengths, Weaknesses, Opportunities, and Threats (SWOT) analysis and or energy conservation plans. Comprehensive Plans, Strategic Plans, and Master Plans are not being considered for funding under this round of the CFA.

Market studies and feasibility studies are eligible planning activities for determining economic development needs if performed on behalf of the grant recipient to determine the market for some type of facility or business. Market studies and feasibility studies performed on behalf of a particular business are **not** eligible planning activities. For example, studying the need for a new hotel downtown would be eligible for planning assistance but conducting a study of a specific proposed hotel project would not be eligible for planning assistance.

The Preliminary Engineering Report activity must be used by eligible applicants to develop preliminary engineering reports for a municipality's drinking water, clean water and/or stormwater needs. The goal of this infrastructure planning grant is to assist eligible applicants to initiate a planning process that will result in follow-up implementation plans that will address these critical infrastructure needs.

Successful applicants must propose a Community Needs Assessment or Preliminary Engineering Report activity designed to assist the municipality in seeking future funding opportunities from NYS CDBG or other State and Federal agencies that will result in a benefit to low-and moderate-income

persons. Requests for assistance that are not designed to assist the municipality in implementing a specific future project may not be considered.

- NYS CDBG can fund up to 95% of the total project cost, not to exceed the maximum grant amount.
- NYS CDBG Planning funds may be used as match for other CFA funded planning activities when other funding agencies permit the use of CDBG funds as match.
- At least 5% of the total project cost must be provided as a cash match through other non-CDBG funding sources. In-kind services, force account and volunteer services cannot be considered as match.

4) **Microenterprise**

The NYS CDBG Economic Development program through the CFA consists of Microenterprise. Eligible applicants must apply on behalf of the business seeking CDBG funds. Awards are made to the applicant community and not directly to businesses. Eligible uses of NYS CDBG funds include, but are not limited to: acquisition of real property; financing of machinery, furniture, fixtures and equipment; working capital; inventory; and employee training expenses. Funds awarded under the Microenterprise activity may be used for all other uses, with the exception of construction or other improvements when Davis Bacon and Related Acts must be applied.

Eligible non-entitlement units of local government must apply for microenterprise assistance which is defined as a commercial enterprise that has 5 or fewer employees, 1 or more of which is the principal and owns the enterprise at the time of application. The size of the microenterprise includes all part-time and full-time employees (head count, not full-time equivalents).

- A minimum of 50% of the CDBG award must be awarded to start-up businesses. A start up business is defined as an enterprise that has been in operation for fewer than six (6) months at the time for application for assistance.
- Individual grant amount to business: $5,000 (minimum) to $35,000 (maximum).
- Each microenterprise must either be owned by a low- to moderate-income person or the project must result in the creation of at least one full-time equivalent position to benefit a low- to moderate-income person
- At least 51% of all jobs created must be held by or made available to low- and moderate-income persons.
- NYS CDBG can fund up to 90% of a total project cost.
- Minimum of 10% owner equity contribution (cash equity only) to the project is required.
- Certified completion of a locally approved entrepreneurial assistance or small business training program is required. Cost of training may be a CDBG eligible expense; attendee may be reimbursed after completing the training.
- A Business owner cannot be included or reported as a created job unless fulfilling the LMCMC (low-to-moderate income owner) National Objective.

Beginning May 1, 2015, all Economic Development and Small Business Applications will available through an Open Round process and completed through the CFA portal. The Open Round applications require the completion of a Pre-Submission Form. The Pre-Submission Form will be reviewed by The Office of Community Renewal and if accepted, the applicant will receive an invitation to apply and will have 60 days to complete a full application within the CFA portal.

The CDBG Economic Development and Small Business applications are not subject to the 2015 CFA deadline. These open round applications may be submitted at any time. Please note, an applicant must submit a standalone CDBG Economic Development or Small Business application. The application cannot request other CFA resources in the same project application. More information is available online, here: http://www.nyshcr.org/Funding/

For Economic Development projects, funds cannot be used to re-finance or pay off existing personal or business debt or fund speculative investment. Funds awarded under the NYS CDBG Small Business program may not be used for new construction activity. Construction, building or other improvements are not an eligible use of CDBG Microenterprise funds when Davis Bacon and Related Acts must be applied.

With the exception of the CDBG Economic Development Program, the purchase of equipment with CDBG funds is generally ineligible. Recurring expenses associated with repairing, operating or maintaining public facilities, improvements and services are also ineligible.

Activity Funding Limits:

Town, Cities or Villages:	***Maximum***
Public Infrastructure	$600,000
Public Facilities	$400,000
Counties:	***Maximum***
Public Infrastructure	$750,000
Public Facilities	$400,000
Joint Applicants:	
Public Infrastructure (drinking water and/or clean water only)	$900,000
Counties, Town, Cities or Villages	
Microenterprise Program	$200,000
Counties, Town, Cities or Villages	
Planning	$ 50,000

Program Delivery and Administration Costs

Applicants are not required to request NYS CDBG program delivery and administrations funds. However, if desired, program delivery and administration funds must be requested at the time of application and must be included within the maximum request amount. Program delivery and administration funds are available on a reimbursement basis, and will therefore be reviewed for eligibility prior to disbursement of funds. Disbursement requests for program delivery and administration costs are not eligible for reimbursement until the approval of a Request for Release of Funds by HCR. Additionally, applicants are encouraged to identify alternate sources of funds for administrative and program delivery expenses. Additional funding commitments for administrative expenses and project delivery strengthen an application.

Public Facilities and Public Infrastructure

Applicants may request up to 18% of the CDBG award in program delivery, administration, and engineering costs combined. Of the 18%, administration must not exceed more than 5% of the total CDBG award.

Microenterprise

Applicants may request up to 25% of the CDBG award in program delivery, administration, and training combined. Of the 25%, administration must not exceed more than 5% of the total project cost.

Eligible Types of Applicants:
Eligible applicants are non-entitlement units of general local government (villages, cities, towns or counties), excluding metropolitan cities, urban counties and Indian Tribes that are designated entitlement communities. Non-entitlement areas are defined as cities, towns and villages with populations of less than 50,000, except those designated principal cities of Metropolitan Statistical Areas, and counties with populations of less than 200,000. The NYS CDBG program does not provide direct financial assistance to businesses. For a list of eligible communities, please visit: http://www.nyshcr.org/Programs/NYS-CDBG/EligibleCommunities.htm.

Applicants may submit multiple applications. The total requested amount by the applicant between the two categories of Public Infrastructure and Public Facilities cannot exceed $600,000 for cities, towns and villages or $750,000 for Counties. For example, an Applicant may submit two applications, one for public infrastructure, generally capped at $600,000 for cities, towns and villages and $750,000 for counties and one for public facilities, generally capped at $400,000 for all applicants, but the total request for public facilities cannot exceed $400,000, the cumulative total of all requests cannot exceed $600,000 for towns, cities or villages or $750,000 for counties. Please note that the NYS OCR may exceed these caps if a project or projects have significant and transformational impacts beyond the immediate public benefit.

Pre-Application Requirements:
Prior to submitting an application for funding, applicants must comply with citizen participation requirements pursuant to 24 CFR 570.486 and NYS Homes and Community Renewal's Citizen Participation Plan. These require applicants to follow a citizen participation plan providing for a minimum of one public hearing (one in each jurisdiction of a joint application) held **prior** to the submittal of an application and making the application available to the public for inspection at the municipal office(s). The public hearing is held to provide an opportunity for citizen feedback on the community and economic development needs of the applicant community and any proposed project(s). When issuing the notice and holding the public hearing, please note the following:

- The notice for the hearing must specifically mention the municipality's intent to apply for NYS CDBG funds and the current program year;
- The notice must identify all activities that the Applicant may be applying for during the current program year;
- Public hearings must be held by the eligible applicant, not by a subrecipient or other related organization;
- Public hearings must be held in a location accessible to persons with disabilities and/or provide reasonable accommodations to allow all interested parties to participate;
- The public hearing must be conducted prior to finalizing and submitting an application;
- The public notice must be included as an attachment to this CFA; and
- A copy of the application must be available for public inspection at the municipal office(s).

Upon award, continued compliance with Citizen Participation is required, which means that a recipient of NYS CDBG funds must issue a public hearing notice and hold a minimum of one additional public hearing during the implementation of the project to report project accomplishments. For planning related activities, the applicant should plan on providing public input opportunities throughout the planning process.

Successful Applicant Requirements:
The HCR application review process includes, but is not limited to, a determination of the project's compliance with a National Objective, feasibility, readiness, and project underwriting, where applicable. Therefore, applications must include the documents listed below as attachments to the CFA. This list is not an exhaustive list of all items required as part of the CFA; HCR also has several required forms that will need to be completed by successful applicants and depending on the specifics of the project, additional information and documentation may be required. For the full list of required documents, refer to: http://www.nyshcr.org/Funding/.

For Public Infrastructure and Public Facilities Applications

Survey Information:

- Survey Methodology.
- Sample Income Survey Instrument.
- Representative Sample of Income Surveys.
- Summary of Income Survey Data.

Evidence of National Objective Compliance
Purchase Agreements (site control)
Maps (as required)
Confidential Materials (Materials that identify a specific person, household or address. For example, surveys, applications, photographs and etc.)
Authorization for Joint Applications:

- A cooperation agreement and a resolution authorizing an Applicant to submit an application on behalf of a unit of local government.
- A cooperation agreement and a resolution authorizing a joint application and one of the units of local government as the primary applicant.

Project Budget-Related Documents:

- Financial commitment letter(s) from all other funding sources, including proposed terms or letters of application.
- Third party cost estimates.
- Engineering Report.

Documentation of State Environmental Quality Review (SEQR) Compliance:

- Exhibit 2-3A Certificate of SEQR Classification.
- Short Environmental Assessment Form if classified as an Unlisted Action or Full Environmental Assessment Form (Long EAF) for Type I Actions.

Compliance with Citizen Participation requirements:

- Copy of public hearing notice(s).

Compliance with Fair Housing requirements:

- Fair Housing Checklist

For Planning Applications
(Community Needs Assessments and Drinking Water and Clean Water Preliminary Engineering)
National Objective Compliance

- Evidence of CDBG National Objective Compliance

Project Budget-Related Documents:

- Commitment letter from municipality for required 5% cash match

Compliance with Citizen Participation requirements:

- Copy of public hearing notice(s).

Compliance with Fair Housing requirements:

- Fair Housing Checklist

Authorization for Joint Applications:

- A cooperation agreement and a resolution authorizing an Applicant to submit an application on behalf of a unit of local government.
- A cooperation agreement and a resolution authorizing a joint application and one of the units of local government as the primary applicant.

Maps (as applicable)

Confidential Materials (Materials that identify a specific person, household or address. For example, surveys, applications, photographs and etc.)

For Microenterprise Program Applications

Program Information:

- Program Design Plan.
- Draft program Application and other applicable forms that are to be completed by each program beneficiary.
- List of Grant Committee members and experience. (Grant committee is a panel chosen by the applicant to review grant applications and to make recommendations and/or approval of grant award.)
- Letters of Support.
- Entrepreneurial training program syllabus

Project Budget-Related Documents:

- Commitment Letter(s) from all other funding sources, including proposed terms.
- Documentation for all third party costs (Applicants proposing Microenterprise projects that include soft costs such as classroom instruction, technical assistance to businesses, marketing, etc. must provide supporting cost documentation.)

Documentation of State Environmental Quality Review (SEQR) Compliance:

- Exhibit 2-3A Certificate of SEQR Classification.
- Short Environmental Assessment Form if classified as an Unlisted Action or Full Environmental Assessment Form (Long EAF) for Type I Actions.

Compliance with Citizen Participation requirements:

- Copy of public hearing notice(s)
- Affidavit of publication

Compliance with Fair Housing requirements:

- Fair Housing Checklist

General Requirements

Upon award, all CDBG recipients will be required to comply with all federal, state, and local regulations and statutes as outlined in the certifications required by Title I of the Housing and Community Development Act (HCDA) of 1974, as amended, including, but not limited to compliance with Title VI of the Civil Rights Act, the Fair Housing Act, and compliance with Section 3 of the HCDA. Recipients must ensure compliance with other statutory, regulatory and program requirements including, but not limited to Labor Standards, as applicable, annual reporting, conflict of interest, procurement, A-133 Audit, Civil Rights, and other requirements as outlined in the Office of Community Renewal Grant Administration Manual available at: http://www.nyshcr.org/Programs/NYS-CDBG/GrantAdministration.htm.

Applicants should only apply for the amount of funding that can be fully expended and the type of activities that can be completed within the specified project completion period. All proposed accomplishments must be completed and reported within the project completion period. Applicants should not proceed with a project that cannot be completed within the specified timeframe or with the assumption that an extension of the project deadline will be considered. Grant recipients who are unable to satisfy the term of their grant agreement may be unable to secure further OCR funding until such time as the prior grants have been completed or the funds recaptured. Inability to meet the required timeframe may be viewed as an issue of project readiness and/or inadequate local capacity to carry out grant activities in a timely manner and may require significant additional actions on the part of the municipality to insure that any potential future grants will be completed within the term of the grant agreement.

In addition, all recipients must meet the Environmental Review and Request for Release of Funds requirements prior to submitting any requests for funds. **Costs incurred prior to the completion of the**

Environmental Review and approval of a Request for Release of Funds are only eligible to be reimbursed by CDBG if the activities are determined to be exempt. Recipients incur costs prior to the Release of Funds at their own risk. **Please be advised that there may be a gap between submission of the application and the award of projects.** If projects contain activities that are imminent, the CFA may not be the appropriate avenue to pursue funding. Contact HCR for guidance on whether submission of a CFA is advised or if other funding is available to support the project.

Funding Priorities:
Priority will be provided to projects that demonstrate a clearly defined need, address specific community and economic development priorities, meet the objectives of the New York State Community Development Block Grant Program, demonstrate that they have satisfied all administrative and regulatory requirements to proceed immediately upon award, present a project budget that effectively leverages a variety of funding sources, projects identified in NY Rising Community Reconstruction Program plans and projects that are recognized as a priority project for the respective Regional Economic Development Council, including Opportunity Agenda initiatives.

Significant Statewide Programs:

- NY Rising Related Projects - The NY Rising Community Reconstruction Program is a community driven initiative that empowers localities severely damaged by Superstorm Sandy, Hurricane Irene, or Tropical Storm Lee to develop comprehensive and innovative recovery plans. Projects identified in the NY Rising Community Reconstruction Program recovery plans consist of innovative, transformative projects and actions, enhance resilience and economic development. For more information, please visit: http://stormrecovery.ny.gov/community-reconstruction-program
- Opportunity Agenda Related Projects - Each Regional Council may develop region-wide strategies, or may focus its efforts by designating one or more chronically distressed community as an "Opportunity Area." Projects seeking to apply CFA funds for the purpose of eliminating barriers to skilled employment by poor people in your region, as identified by the Opportunity Agenda and Strategic Plan, should provide evidence as such in their application.
- Global NY Projects - The Global NY initiative accomplishes two complementary economic growth objectives - attract international investment and jobs to Upstate New York and provide New York businesses with the tools and assistance they need to export their products to the global marketplace. Applicants that link project proposals to the Global NY strategies identified by the Regional Council will be looked upon favorably.
- Veterans' Related Projects - New York State is home to more than 900,000 veterans, 72 percent of whom served in combat. REDCs were asked to create a Veterans Work Group to promote participation by Veterans in the CFA, and develop strategies to encourage other potential CFA applicants to include workforce goals related to Veteran's employment. This is part of a comprehensive approach to improving services to the veterans and military families in New York. Applicants that link project proposals to the Veteran's Initiative strategies identified by the Regional Councils will be looked upon favorably.

Ineligible Activities:
The State CDBG Program deems any activity that is not included in the Housing and Community Development Act of 1974, as amended, ineligible. Generally, CDBG funding cannot be used for projects that involve buildings for the general conduct of government business, general government expenses, or political activities. In addition, any project that does not present satisfactory evidence of compliance with a national objective will be considered ineligible and will not be considered for funding.

Public Infrastructure and Public Facilities

Applications within the funding categories of Public Infrastructure and Public Facilities are rated and scored against the factors below. Applications are evaluated and ranked against applications within the same category.

Criteria – 100 Points

Total Vision and REDC Strategies – 20 points

- The degree that the proposed project aligns with the Regional Council's Strategic Plan.

Municipal Poverty Score – 20 Points

- Absolute number of persons in poverty (10 points)

Available Census data will be used to determine the absolute number of persons in poverty residing within the Applicant's unit of general local government. Applicants which are county governments are rated separately from all other Applicants. Individual need scores are obtained by dividing each Applicant's absolute number of persons in poverty by the greatest number of persons in poverty of any Applicant and multiplying by 10.

- Percent of persons in poverty (10 points)

Available Census data will be used to determine the percent of persons in poverty residing within the Applicant's unit of general local government. Individual need scores are obtained by dividing each Applicant's percentage of persons in poverty by the highest percentage of persons in poverty of any Applicant and multiplying by 10.

Project Assessment Points – 60 Points

- Applications within the funding categories will be assessed based on the extent to which they meet the category-specific assessment criteria identified below. Scoring will be based on a maximum of 60 points, with the most points being awarded to projects that have demonstrated exceptional compliance with the assessment criteria identified for each category. An application's project assessment score will be determined by averaging the assessment criteria points**.**

Public Infrastructure:

Need - The degree to which the applicant has demonstrated:

- serious public health, welfare or safety conditions, as attested by third party documentation (e.g. consent orders, engineering reports, test results);
- that NYS CDBG funds are necessary to undertake the project and the community is unable to secure sufficient funding or assistance through other methods or resources, including other public funding.

Impact - The degree to which the applicant has demonstrated:

- that the proposed project is affordable, viable, and sustainable over the long-term, is of appropriate capacity for the demand, and addresses the need;
- the impact of NYS CDBG funds on the reduction of the debt burden, connection fees, and annual water/sewer fees on LMI households;
- that the proposed project supports a "Smart Growth" development strategy in accordance with the New York State Smart Growth Public Infrastructure Act (Chapter 433 of the Laws of 2010).

Financial Capacity - The degree to which the applicant has demonstrated:

- that the project cost is financially feasible and includes the cost associated with regulatory compliance;
- that leveraged funds are available and committed including CDBG program income generated from previously funded HUD and NYS CDBG projects, and there are not gaps in funding;
- that the costs of program delivery and administration are reasonable and based on the actual work to be performed as described in the application;
- a financial and administrative plan for future maintenance and operations.

Public Facilities:

Need - The degree to which the applicant has demonstrated:

- a need and market for the project and the services to be provided.
- that NYS CDBG funds are necessary to undertake the project and the community is unable to secure sufficient funding or assistance through other methods or resources, including other public resources.

Impact - The degree to which the applicant has demonstrated that:

- the proposed project has long-term affordability, viability and sustainability, is appropriate in terms of capacity, and addresses the need;
- the project design includes components accommodating mobility, visual, and auditory handicaps where relevant.

Financial Capacity - The degree to which the applicant has demonstrated:

- that the project cost is financially feasible and includes the cost associated with regulatory compliance;
- that leveraged funds are available and committed including CDBG program income generated from previously funded HUD and NYS CDBG projects;
- that the costs of program delivery and administration are reasonable and based on the actual work to be performed as described in the application;
- a financial and administrative plan for future maintenance and operations.

Additional Project Assessment Criteria

In addition to evaluating applications in accordance with the project assessment criteria listed above for each of the funding categories, applicants will be evaluated on the following criteria:

Administrative Capacity - The degree to which the applicant has demonstrated:

- a clear understanding of the program requirements and measures to ensure compliance of the program requirements, including applicable Federal and State regulations, such as environmental, lead-based paint, labor standards, historic preservation, and procurement;
- that no impediments exist, or the degree to which all potential impediments, such as regulatory compliance, community support, site control (i.e. easements, acquisition etc.), and permits and clearances, have been addressed;
- project readiness and the ability to implement the program upon award;
- the ability to complete the proposed project/program within the 24-month term of the grant agreement.

Prior Performance - The degree to which the applicant has demonstrated:

- the successful completion of prior projects as proposed and per the grant agreement;
- the number of project extensions requested and the reasons for extensions;
- monitoring findings and concerns and the timeframe in which they were resolved;
- status of current grants (expenditure rate, suspension of funds, adherence to program schedules);
- the ability to resolve grant administration issues in a timely manner and to address the issues for all grants and Program Years.

Generally, the criteria noted above shall apply when awarding funding for applications received through the Consolidated Funding Application. In addition to the criteria noted above, HCR shall have the discretion to consider additional factors when determining the relative merits of projects.

Planning Assistance

Applications within the planning and engineering funding categories are rated and scored against the factors below. Applications are evaluated and ranked against other planning applications. Applications with the highest scores are considered the most competitive and have a greater chance of being awarded.

Criteria-up to 100 Points

Total Vision and REDC Strategies – 20 Points

- The degree that the proposed project aligns with the Regional Council's Strategic Plan.

Demonstrated Need – 30 Points

- Demonstration of need for the Plan and for funding assistance
- Evidence that key stakeholders share the opinion that the subject of the Plan is critical to addressing identified needs and challenges

Public Benefit/Impact – 30 points

- The proposed process for identifying development challenges and needs
- The approach to which an applicant proposes to address community needs criteria (public infrastructure, public facility and economic development).
- Public support and participation

Implementation – 10 points

- Readiness to proceed upon award
- NYS CDBG performance history, if any
- Capacity to complete the planning process in a timely and effective manner
- Extent to which the needs identified are potential NYS CDBG eligible activities
- How well the proposed planning activity follows or reinforces local or regional plans

Leveraged Resources – 10 Points

- Creative leveraging and coordination with other CFA activities
- Reasonableness of activity costs and evidence of match requirement

Microenterprise

Applications within the funding category of Microenterprise are rated and scored using the criteria below. Applications are evaluated and ranked against all applications within the Microenterprise Program.

Criteria – up to 100 Points

Total Vision and REDC Strategies –20 points

- The degree that the proposed project aligns with the Regional Council's Strategic Plan.

Public Benefit/Impact – 20 Points

- The demonstrated need for the project.
- The overall employment and economic impact of the project.
- The extent to which the project will create permanent, full-time equivalent jobs for persons from low- to moderate-income families and/or assist low- and moderate-income business owners.
- Local support for the project.

Implementation – 20 Points

- The degree of project readiness and ability to implement upon award.
- The degree to which the project is financially and technically feasible within the 24-month term of the grant agreement.
- The administrative capacity of the applicant, and the degree to which the applicant has demonstrated a clear understanding of, and ability to meet, the program requirements.

Leveraged Resources – 20 Points

- The extent to which the project coincides with previous state or program investments.
- The availability and commitment of non-CDBG leverage.
- The CDBG-funded portion of the project.

Performance Measures – 20 Points

- The quality of the program design proposed.
- The quality of the entrepreneurial training program proposed.
- The project's alignment with green principles and sustainable development practices.

Award Criteria Details:

Eligible Area, City, County Population Limits or Population Target Types:

Projects must be located in non-entitlement areas such as cities, towns and villages throughout New York State, with populations of less than 50,000 and counties with populations of less than 200,000 (excluding metropolitan cities, urban counties, and Indian Tribes that are designated Entitlement communities) and must primarily benefit the population of the non-entitlement area.

Limitations:

The maximum awards are not intended to serve as a target figure for requests for assistance. The amount of CDBG assistance should be based on need, and CDBG funds should not be used to reduce the amount of non-federal financial support for the project. Projects that commence prior to award are not reimbursable with NYS CDBG funds.

HTFC reserves the right to award all, a portion of, or none of a program's funds based upon funding availability, feasibility of the applications received, the competitiveness of the applications, an applicant's ability to meet HTFC criteria for funding, the applicant's ability to advance the State's housing goals, and HTFC's assessment of cost reasonableness. HTFC reserves the right to award less than the requested amount, and further reserves the right to review an application requesting project funds as an application for funding under other programs for which the project is eligible, and to change or disallow aspects of the applications received.

Long Range Goals:

Applications will be reviewed in the context of the long range goals established by New York State for the NYS CDBG program over the five-year period as outlined in the HUD-approved 2011-2015 Consolidated Plan. For the NYS CDBG Economic Development program, the goal is to assist 150 businesses with creating 5,000 jobs. For the NYS CDBG Public Infrastructure program, the goal is the completion of 100 public infrastructure projects serving 250,000 people. For the NYS CDBG Public Facilities program, the goal is the completion of 25 public facilities projects serving 50,000 people.

Project Term Completion Dates:
Recipients of CDBG public infrastructure, public facility or microenterprise funding enter into a two-year (24 month) grant agreement in which all funds must be expended and all accomplishments met. Any funds remaining at the end of the two-year period are subject to de-obligation. Recipients are also obligated to report accomplishments and beneficiary information on an annual basis. This information must demonstrate the progress of the project and compliance with the national objective proposed in the application.

Recipients of CDBG Planning assistance enter into a 14-month grant agreement in which all funds must be expended and a final plan submitted to OCR. Any funds remaining at the end of the 14-month period are subject to de-obligation. Recipients are also obligated to report accomplishments and beneficiary information on an annual basis. This information must demonstrate the progress of the project and compliance with the national objective proposed in the application.

Matching Fund Requirements / Deadlines:
For the Microenterprise Program, up to 90% of the total project cost can be funded with CDBG funds. The remaining 10% of the cost of the project will be required to be provided from owner equity. For Public Infrastructure and Public Facility projects, a match is not required; however bringing leveraged funds to a project may make it more competitive. Planning requires a minimum 5% cash match in non-CDBG sources. In-kind services, force account labor, and volunteer services cannot be used as demonstration of match.

Additional Resources:
For more information, applicants should contact the Office of Community Renewal at New York State Homes and Community Renewal, 38-40 State St, Albany, New York 12207, call (518) 474-2057, email HCR_CFA@nyshcr.org or visit: http://www.nyshcr.org/AboutUs/Offices/CommunityRenewal/

New York Main Street & New York Main Street Technical Assistance

Funding Available: Up to $9,700,000

Description:

The New York Main Street (NYMS) Program was created by the Housing Trust Fund Corporation (HTFC) in 2004 to provide resources to assist New York's communities with Main Street and downtown revitalization efforts. Article XXVI was added to NYS Private Housing Finance Law in 2009 to formally establish the New York Main Street Program in statute. The NYMS Program is administered by the Office of Community Renewal (OCR) under the direction of the Housing Trust Fund Corporation.

NYMS provides resources to invest in projects that provide economic development and housing opportunities in downtown, mixed-use commercial districts. A primary goal of the program is to stimulate reinvestment and leverage additional funds to establish and sustain downtown and neighborhood revitalization efforts.

In addition to the available New York Main Street program funds, approximately $450,000 in Rural Area Revitalization Projects (RARP) and $190,000 in Urban Initiatives (UI) funding is available. NYMS projects demonstrating a need for additional resources, and eligibility under the applicable program statute may request consideration for RARP and UI funds. Please refer to Articles XVI-A and XVII-B of Private Housing Finance Law for program information.

2015 NYMS CFA Activities:

New York Main Street (NYMS)

Funds available for: Target Area Building Renovations, Downtown Anchors and Downtown Stabilization.

New York Main Street Technical Assistance (NYMS-TA)

Funds available for NYMS Technical Assistance project grants for feasibility studies related to future capital projects.

Eligible Types of Applicants:

Eligible applicants for NYMS Program applications are Units of Local Government or organizations incorporated under the NYS Not-for-Profit Corporation Law that have been providing relevant service to the community for at least one year prior to application.

Eligible Target Area:

All NYMS activities must be located in an eligible target area. Applicants must clearly identify how the target area meets each of the three components of the statutory definition of an eligible target area. Applications that do not address each of the three statutory criteria, or do not provide clear source documentation will be deemed ineligible. Please note, based on the statutory criteria there are areas within NYS that are not eligible; therefore vague or unclear responses cannot be interpreted to present an eligible target area.

Article XXVI of the Private Housing Finance Law indicates that an eligible target area shall mean an area:
(i) that has experienced sustained physical deterioration, decay, neglect, or disinvestment;
(ii) has a number of substandard buildings or vacant residential or commercial units;
and (iii) in which more than fifty percent of the residents are persons whose incomes do not exceed ninety percent of the area median income for the county or metropolitan statistical area (MSA) in which the project is located, or which is designated by a state or federal agency to be eligible for a community or economic development program.

Applicants are encouraged to identify well-defined Main Street areas to maximize the impact that the funds will have on the community. The proposed activities must be carried out in a program target area of generally no more than three contiguous blocks which has experienced sustained physical deterioration, decay, neglect, or disinvestment, and has a number of substandard buildings or vacant residential or commercial units.

Applicants are required to include a Target Area Map to identify the location of the proposed target area.

Pre-Application Requirements:

Municipal Resolution
Each municipality in which the proposed program or project will function must approve a formal resolution supporting an application for the proposed NYMS program or project. The resolution must be passed prior to the application deadline and attached in the documents section of the application.

- The resolution must be on official stationery and should hold the official seal. Applicants within New York City must obtain the resolution from the Community Board with jurisdiction over the project target area.
- Draft or proposed resolutions are not acceptable.
- Support letters do not meet this requirement.
- The resolution must be for the current 2015 funding round and the specific NYMS project.
- If the municipality or Community Board provides only a summary letter without the full text of the resolution, a copy of the meeting minutes must be provided to document the vote and formal board resolution.

This requirement applies to all NYMS application types. Applications without a Municipal Resolution, as described above, will be deemed ineligible.

Eligible Activities:

New York Main Street (NYMS) Program Eligible Capital Activities

1. **Traditional NYMS Target Area Building Renovation Projects**
   Applicants may request between $50,000 and $500,000 for Target Area Building Renovation Activities. Requests must not exceed an amount that can be reasonably expended in the identified target area, within a 24-month term. Requests generally should not exceed the amount of documented property owner need in the target area.

   - Building Renovation: Matching grants available for renovation of mixed-use buildings. Recipients of NYMS funds may award matching grants of up to $50,000 per building, not to exceed 75% of the total project cost in a designated target area. Renovation projects that provide direct assistance to residential units may be awarded an additional $25,000 per residential unit, up to a per-building maximum of $100,000, not to exceed 75% of the total project cost.

   - Streetscape Enhancement: Applicants may request up to $15,000 in grant funds for streetscape enhancement activities, such as: planting trees, installing street furniture and trash cans, or other activities to enhance the NYMS target area.
     - Streetscape enhancement grant funds will only be awarded for activity ancillary to a traditional NYMS building renovation project and cannot be applied for on its own, or with a NYMS Downtown Anchor or Downtown Stabilization Project.
     - Streetscape enhancement activities must be reviewed for eligibility and approved by HTFC prior to commencement of construction or installation.
     - Streetscape activities must be completed within the proposed building renovation target area.

- Administration: Applicants may request up to 7.5% of the grant amount for salaries and other costs associated with the administration of the grant. The administrative funds must be requested at the time of application, and must be included within the maximum request amount.

- Project Delivery: Applicants may request funds to cover architectural and engineering work, required environmental testing and clearances, and filing fees. Project Delivery expenses must be included in the per-building activity funding limits, and may not exceed 18% of the NYMS renovation funds for a specific project. Project costs incurred for work on buildings that eventually prove infeasible and do not receive other investments will not be reimbursed with NYMS funds. Project Delivery funds must be requested at the time of application, and must be included within the maximum request amount.

  Applicants are not required to request NYMS program funds for Administration or Project Delivery. Administration and Project Delivery funds are available on a reimbursement basis, and will therefore be reviewed for eligibility prior to disbursement of funds. Additionally, applicants are encouraged to identify alternate sources of funds for administrative and project delivery expenses. Additional funding commitments for administrative expenses and project delivery strengthen an application.

Example NYMS Target Area Building Renovation Application Request:

$250,000	**2015 NYMS Request Amount**
$210,000	Building Renovation Funds: to renovate five buildings
$15,000	Streetscape Enhancement Funds: install bike racks and benches
$10,000	Project Delivery: to hire environmental firm to complete five site specific reviews
$15,000	Administration: staff time to administer grant

2. NYMS Downtown Anchor Project:

Applicants may request between $100,000 and $500,000 for a standalone, single site, "shovel ready" renovation project. The NYMS Downtown Anchor Project funds may not exceed 75% of the Total Project Cost.

NYMS Downtown Anchor Project funds are intended to help establish or expand cultural, residential or business anchors that are key to local downtown revitalization efforts through substantial interior and/or exterior building renovations.

Applicants for NYMS Downtown Anchor Project funds must:

- Document a compelling need for substantial public investment.
- Document project readiness, as evidenced by funding commitments, developer site control, pre-development planning completed, and local approvals secured;
- Provide cost estimates to substantiate the request amount;
- Identify source(s) of available construction financing and matching funds;
- Demonstrate the importance of the project for the neighborhood, community and region;
- Provide a Business Plan and Market Analysis to demonstrate project viability.

- Administration: Applicants may request up to 5% of the grant amount for salaries and other costs associated with the administration of the Downtown Anchor Project grant. The administrative funds must be requested at the time of application, and must be included within the maximum request amount.

- Project Delivery: Applicants may request funds to cover architectural and engineering work, required environmental testing and clearances, and filing fees. Project Delivery expenses must be included within the funding limits, and may not exceed 18% of the NYMS renovation funds. Project costs incurred for work on buildings that eventually prove infeasible and do not receive other investments will not be reimbursed with NYMS funds. Project Delivery funds must be requested at the time of application, and must be included within the maximum request amount.

  Applicants are not required to request NYMS program funds for Administration or Project Delivery. Administration and Project Delivery funds are available on a reimbursement basis, and will therefore be reviewed for eligibility prior to disbursement of funds. Additionally, applicants are encouraged to identify alternate sources of funds for administrative and project delivery expenses. Additional funding commitments for administrative expenses and project delivery strengthen an application.

Example NYMS Downtown Anchor Project Application Request:

$250,000	**2015 NYMS Downtown Anchor Project Request Amount**
$227,500	Building Renovation Funds: to renovate one project
$10,000	Project Delivery: to hire firm to complete environmental review
$12,500	Administration: staff time to administer grant

3. NYMS Downtown Stabilization Program

Applicants may request $50,000 to $500,000 to implement a Downtown Stabilization Program. Funds are available to assist with environmental remediation and associated construction costs, as well as other innovative approaches to stabilizing and developing downtown, mixed-use buildings. NYMS Downtown Stabilization Program funds may not exceed 75% of the total project cost.

NYMS Building Stabilization Project funds are available for projects that meet the goals identified above, including, but not limited to asbestos management (surveys, abatement design plans, air monitoring, etc.), soil vapor intrusion testing and mitigation, building stabilization construction activities (e.g. roof stabilization in conjunction with asbestos remediation) or other projects that identify or mitigate risks associated with other hazardous materials or remove obstacles to future redevelopment. Applicants must demonstrate local program interest and commitments, and may propose assistance to a single property, or multiple properties.

Please contact the Office of Community Renewal at HCR_CFA@nyshcr.org to discuss project eligibility prior to submitting an application.

New York Main Street (NYMS) Program Ineligible Activities

Please note: Applicants are encouraged to focus their efforts on either a Downtown Anchor Project or a Target Area Building Renovation Program. For this reason, NYMS Downtown Anchor Project funds may not be requested in addition to a NYMS Target Area Building Renovation Program. NYMS Downtown Anchor Project funds are intended for standalone, single site, “shovel ready” renovation projects.

Ineligible uses of NYMS funds include, but are not limited to: demolition; new construction; improvements to structures owned by religious or private membership organizations; improvements to municipally-owned buildings used for municipal purposes; the purchase of non-permanent fixtures, such as furnishings, appliances, electronics, and business equipment; general organizational operating expenses; capitalizing a revolving loan fund; site work or ancillary activities on a property, including septic systems and laterals, grading, parking lots, sidewalks, landscaping, fences, free standing signs, and general maintenance. Pre-

development planning and associated expenses are ineligible uses of Target Area Building Renovation and Downtown Anchor Projects as these activities must result in a completed, occupied space.

Costs that are not adequately justified or that do not directly support the project are not eligible for reimbursement with NYMS funds. Contact the Office of Community Renewal prior to submitting an application to discuss project eligibility, and review the NYMS Program Guide for more detailed guidance on NYMS program rules: http://www.nyshcr.org/Programs/NYMainStreet/

New York Main Street Technical Assistance (NYMS-TA) Eligible Activities

Applicants may request up to $20,000 for a New York Main Street Technical Assistance project. A minimum of 5% cash match is required.

NYMS-TA funds are intended to improve a community's readiness to administer a future NYMS building renovation program. Two essential elements in successful administration of a New York Main Street renovation program are a clear understanding of the needs of the project community, and interest from mixed-use property owners. NYMS-TA funds are available to encourage communities to evaluate neighborhoods, building conditions, and housing opportunities to prepare for future NYMS projects. Part of this evaluation may include identifying priority target areas, and developing a phased approach to downtown revitalization. The NYMS-TA project should address local limitations identified prior to application, and should specifically address the unique needs of a community and how acquiring future NYMS building renovation funds will address these needs.

NYMS-TA funds are available for specific projects that meet the goals identified above, including, but not limited to the following two activities:

1. Building Reuse or Feasibility Study

Study for the rehabilitation or adaptive re-use of downtown, mixed-use building(s) to provide property owners with the resources necessary to make informed decisions regarding the feasibility of rehabilitation projects. These studies may include: historic and architectural analysis; building condition assessment; building code analysis; structural engineering study, proposed uses for the building including opportunities for upper story apartments; plan drawings; green technology potential; cost estimates; and funding strategies, including historic tax credits; and pro-forma analysis.

2. Design Guidelines

The importance of preserving downtown architecture must not be overlooked in repairing and renovating buildings for new occupants and uses. Design Guidelines should be an educational tool for property owners and provide technical assistance and practical recommendations for repairing and renovating downtown, potentially historic, building facades and storefronts. Proposals to produce Design Guidelines must provide clear community support, and a plan for formal adoption and implementation once produced.

Please contact the Office of Community Renewal to discuss the eligibility of a project prior to submitting an application at HCR_CFA@nyshcr.org.

New York Main Street Technical Assistance (NYMS-TA) Ineligible Activities:

NYMS-TA proposals should be for future capital projects. OCR and HTFC will not fund a NYMS-TA proposal related to an open NYMS contract. Award of a NYMS-TA proposal does not guarantee future NYMS funding.

Ineligible uses of NYMS-TA funds include, but are not limited to: general administrative expenses and organizational operating expenses, or general planning activities. Construction activities or capital projects of any kind are not eligible for NYMS-TA funds.

Costs that are not adequately justified or that do not directly support the project are not eligible for reimbursement with NYMS-TA funds. Please contact the Office of Community Renewal prior to submitting an application to discuss project eligibility.

NYMS Selection Criteria – up to 100 Points

Total Vision and REDC Strategies –20 points
The Regional Council rates the degree with which the proposed project aligns with the Regional Council's Strategic Plan.

Need - 10 points
Measures the severity of need for the proposed Main Street activities, based on the analysis of existing commercial and residential conditions in the target area. The needs described must correspond to the proposed activities and the extent to which the activity resolves or addresses the identified need. Applicants that empirically demonstrate substantial need for public investment in the proposed target area will receive maximum points.

- Residential need
  Evaluates the severity of need for affordable housing or rehabilitation of the existing housing stock and vacant buildings in the proposed target area.
- Commercial need
  Evaluates the extent of need for commercial investment in the proposed target area that the private sector alone has been unable to provide.

Impact - 25 Points
Measures the extent to which the project described in the application will have a positive public benefit and sustainable positive impact on the target area and surrounding community and neighborhoods.

- Residential impact - Evaluates the likelihood that investment of NYMS funds will preserve or improve housing units in the Main Street district. Projects or programs that propose meeting affordable housing needs in the target area through the creation of residential units on upper floors of mixed use buildings are strongly encouraged. Applications determined to have the greatest impact on increasing the availability of quality, affordable housing, when compared with all other applications, will receive the highest scores.
- Commercial impact - Evaluates the likelihood that investment of NYMS funds will improve the aesthetics of the Main Street commercial corridor, spur investment of private resources, and mobilize additional resources to sustain Main Street physical and commercial assets. Applications determined to have the greatest impact on business conditions, when compared with all other applications, will receive the highest scores.
- Program Support - Evaluates local support and linkages between the proposed project and local planning and development efforts. Rates the degree to which the proposal relies on building consensus and cooperation among groups and individuals who have a role in the revitalization process.
- Design - Applicants must outline a process for project design review in the NYMS Program application. The highest scores will be awarded to proposals in communities that have existing design standards and have identified the necessary resources to work with building owners to enhance the physical appearance of the commercial area by preserving historic buildings and developing sensitive design management systems.
- Business Strategy - Applications must demonstrate a viable strategy for retaining and assisting existing businesses, attracting new customers, potential investors and residents, and finding new commercial uses for traditional buildings in the district. Downtown Anchor Applications must present a viable strategy for establishing or expanding a cultural, residential or business anchor that is key to local revitalization efforts. Priority consideration will be given to applicants that demonstrate a strong

understanding of current economic conditions in the district, identify opportunities for market growth, and clearly demonstrate how the proposed project contributes to improving economic conditions. Projects that demonstrate capacity to grow the district's existing economic base, while meeting the challenges of commercial sprawl, will receive the highest scores.

Leveraging - 10 Points
Measures the extent to which the NYMS resources will result in additional investments committed to the local Main Street program and projects. Applicants will receive points for leveraging funds beyond the required matching funds. Applicants documenting high percentages of committed matching funds, specifically private funds, will receive the highest scores.

Implementation Capacity - 35 Points
Measures the extent to which the applicant has organized the proposed project and has assembled sufficient resources to complete the project, and achieve the goals and objectives of the program in a manner that is timely, effective and on-budget. Applications submitted by current awardees with open, on-going contracts may be negatively impacted if substantial expenditures or funding commitments have not been achieved. An applicant's past and current performance in other state programs and contracts will be considered in rating and ranking its application.

- Program Experience - Points for performance history are available to applicants who are administering an open NYMS contract where substantial expenditure or funding commitments have been achieved and sufficient progress has been made. Points are also available to applicants who have successfully and effectively completed previous NYMS contract obligations. Applicants who have not previously participated in the NYMS program but who have a successful record of achievement within the community where the proposed Main Street target area is located, and have assembled a team with experience in community development, housing rehabilitation, or commercial revitalization in mixed-use districts on a scale comparable to the proposed program or projects will be eligible for points as well.
- Implementation Capacity - Proposals that have identified specific projects, clearly substantiated the request amount, obtained local approvals, have demonstrated a clear understanding of NYMS administrative procedures and have necessary organizational structures in place to implement the proposed projects, without delay, will receive the most points.

NYMS-TA Scoring Criteria – up to 100 Points

Total Vision and REDC Strategies – 20 points
The Regional Council rates the degree with which the proposed project aligns with the Regional Council's Strategic Plan.

Need – 5 points
Measures the severity of need for the proposed project based on the analysis provided of existing commercial and residential conditions in the targeted area. The needs described should correspond to the proposed activities and the extent to which the activity resolves or addresses the identified needs. Applicants demonstrating a clear need for financial assistance and the specific need for assistance through public funds will receive the maximum points.

Impact – 5 points
Measures the extent to which the project will have a positive public benefit and sustainable positive impact on housing and economic development in the neighborhood and larger community. Specifically, this rating is based on the likelihood that NYMS-TA investment will preserve and improve housing units or increase the availability of affordable housing; improve the aesthetics of the commercial corridor; and spur investment of private resources to sustain commercial assets.

Local Support – 10 points
Evaluates local support for the proposed project and demonstrated linkages between the proposed project and local planning and development efforts.

Leveraging – 5 points
Measures the extent to which the NYMS-TA resources will result in additional investments committed to the project. Applicants will receive points for leveraging funds beyond the required 5% matching funds. Applicants documenting high percentages of committed matching funds, specifically private funds, will receive the highest scores.

Work Plan – 45 points
Evaluates the project scope and work plan developed for the proposed project. Applicants presenting clear, feasible and well-planned work plans will receive the highest scores. Applicants must fully address the following work plan components:

- Procurement
  Explain the applicant organization's procurement policies/procedures, and the procurement process to be used for the proposed project. The applicant must clearly explain how this process conforms with the applicant organization's procurement policies and how a reasonable project cost will be established.

- Budget
  Outline the process for developing the project budget and establishing the NYMS-TA request amount. Include details related to matching funds.

- Deliverables
  Outline the anticipated, immediate and long term outcomes for the proposed project, and the specific deliverables to be produced. Applicants must clearly demonstrate how the project will directly improve an organization and/or community's capacity or readiness to administer a future NYMS building renovation program. Applicants should specifically address how the identified deliverables will result in increased readiness for property owners to participate in a future NYMS building renovation program.

- Implementation Plan
  Outline a specific action plan for implementing the deliverables produced with the NYMS-TA funds. For example, an applicant should present a plan for pursuing formal municipal adoption of architectural design guidelines produced, or present a timeline for applying for NYMS building renovation funds to complete an adaptive reuse project.

Capacity and Readiness – 10 points
Measures the extent to which the applicant has organized the proposed project and has assembled sufficient resources to complete the project, and achieve the goals and objectives of the program in a manner that is timely, effective and on-budget. Applicants should demonstrate experience in community development, housing rehabilitation or commercial revitalization in mixed-use districts, show a record of achievement within the proposed project area, and present a strong understanding of NYMS/NYMS-TA program rules. Proposals for projects with local approvals in place, and adequate organizational structures and procedures to implement the proposed project without delay will receive the highest scores.

Applications submitted by awardees with open, on-going contracts may be negatively impacted if substantial expenditures or funding commitments have not been achieved. An applicant's past and current performance in other state programs and contracts will be considered in rating and ranking its application.

Funding Priorities:

- Ready to go or "shovel ready" projects. Project readiness is best demonstrated by clear funding commitments for permanent and construction financing, documented site control, completed pre-development planning work, and local approvals.

- A proposed NYMS service area should include a mix of uses, such as residential, commercial, and civic buildings. Individual assisted buildings are not required to include both residential and civic or commercial spaces; however, applications should propose a comprehensive approach to strengthen both the commercial and residential sectors. Affordable housing in upper-floor spaces and on adjacent streets helps to strengthen the social and economic vitality of the business district. Incorporating residential units on the upper floors is strongly encouraged and those projects will receive priority consideration.

- For NYMS there is a preference for funding proposals where contiguous buildings will be assisted, maximizing the impact of the investment.

- Priority is given to proposals for NYMS-TA projects that have a broader application in assisting other communities, or can be readily adapted for use by other communities, e.g., template guidelines or technical primers, as such projects maximize the NYMS-TA investment.

- Applicants able to successfully demonstrate broad local support and linkages between the proposed project and local planning and development efforts, and applicants documenting high percentages of committed matching and leveraged funds will receive the highest scores.

Significant Statewide Programs:

- NY Rising Related Projects - The NY Rising Community Reconstruction Program is a community driven initiative that empowers localities severely damaged by Superstorm Sandy, Hurricane Irene, or Tropical Storm Lee to develop comprehensive and innovative recovery plans. Projects identified in the NY Rising Community Reconstruction Program recovery plans consist of innovative, transformative projects and actions, enhance resilience and economic development. For more information, please visit: http://stormrecovery.ny.gov/community-reconstruction-program
- Opportunity Agenda Related Projects - Each Regional Council may develop region-wide strategies, or may focus its efforts by designating one or more chronically distressed community as an "Opportunity Area." Projects seeking to apply CFA funds for the purpose of eliminating barriers to skilled employment by poor people in your region, as identified by the Opportunity Agenda and Strategic Plan, should provide evidence as such in their application.
- Global NY Projects - The Global NY initiative accomplishes two complementary economic growth objectives - attract international investment and jobs to Upstate New York and provide New York businesses with the tools and assistance they need to export their products to the global marketplace. Applicants that link project proposals to the Global NY strategies identified by the Regional Council will be looked upon favorably.

- Veterans' Related Projects - New York State is home to more than 900,000 veterans, 72 percent of whom served in combat. REDCs were asked to create a Veterans Work Group to promote participation by Veterans in the CFA, and develop strategies to encourage other potential CFA applicants to include workforce goals related to Veteran's employment. This is part of a comprehensive approach to improving services to the veterans and military families in New York. Applicants that link project proposals to the Veteran's Initiative strategies identified by the Regional Councils will be looked upon favorably.

Award Criteria Details:

NYMS-TA proposals should be for future capital projects. OCR and HTFC will not fund a NYMS-TA proposal related to an open NYMS contract. Award of a NYMS-TA proposal does not guarantee future NYMS funding.

NYMS Downtown Anchor Projects must be standalone, "shovel ready" projects. NYMS Downtown Anchor Project funds may not be requested in conjunction with a regular NYMS Target Area Building Renovation program.

HTFC reserves the right not to issue an award or contract to any applicant if it has been determined that the applicant is not in compliance with existing state contracts and has not taken satisfactory steps to remedy such non-compliance. Projects that commence prior to contract execution and environmental review will not be eligible for reimbursement.

HTFC reserves the right to award all, a portion of, or none of a program's funds based upon funding availability, feasibility of the applications received, the competitiveness of the applications, an applicant's ability to meet HTFC criteria for funding, the applicant's ability to advance the State's housing goals, and HTFC's assessment of cost reasonableness. HTFC reserves the right to award less than the requested amount, and further reserves the right to review an application requesting project funds as an application for funding under other programs for which the project is eligible, and to change or disallow aspects of the applications received.

Award of NYMS funds does not confirm eligibility of all activities included in an application proposal, and HTFC reserves the right to change or disallow aspects of the applications received and may make such changes an expressed condition of its commitment to provide funding to a project.

Documents and materials produced using NYMS-TA funds must identify New York Homes and Community Renewal (HCR) and the Housing Trust Fund Corporation (HTFC) as the funding source. Copies of the materials produced must be submitted to the Office of Community Renewal upon project completion to request full reimbursement and complete the contract. Materials produced are property of HTFC, and HTFC reserves the right to modify and distribute such materials.

Limitations:

The list below identifies several program requirements, and limitations, but applicants are advised to review the NYMS Program Guide for additional detail related to activity eligibility and grant administration: http://www.nyshcr.org/Programs/NYMainStreet/NYMSProgramGuide.pdf

Contract Term

NYMS awardees enter into a two-year grant agreement; all activities must be completed within this two-year term. NYMS projects must not commence prior to award, and grant agreement execution. Costs incurred prior to award and grant agreement execution will not be eligible for reimbursement.

Environmental Review

Prior to the commitment or expenditure of NYMS program funds, the environmental effects of each activity must be assessed in accordance with the State Environmental Quality Review Act (SEQRA). Environmental Compliance areas evaluated for each project include, but are not limited to Historic and Cultural Resources, Floodplains, Zoning, Site Contamination, Lead Based Paint, Asbestos Containing Materials, Radon and Wetlands. Please review the NYMS Program Environmental Compliance Handbook for additional information:

http://www.nyshcr.org/Forms/EnvironmentalComplianceHandbook.pdf

Funding Commitments

NYMS Downtown Anchor Projects must be ready to commence upon award, grant agreement execution and environmental review. HTFC will not execute a grant agreement with applicants unable to present evidence of site control and funding commitments sufficient to undertake the proposed project following award of NYMS Downtown Anchor funds.

Procurement & Bidding

NYMS Renovation Projects and NYMS-TA related Professional Services require a minimum of two bids to establish reasonableness of cost.

Matching Funds

Each of the NYMS activities require matching funds, and only funds directly invested in eligible project activities are eligible as the required match. In kind match is not eligible, and costs incurred prior to award and contract execution are not eligible.

Regulatory Term

The owner of a property improved with NYMS funds made available under this article must agree for a minimum of five years to: maintain the property in good operating order and condition; to make available and maintain the affordability of residential housing units to persons of low income by signing and filing a Property Maintenance Declaration with the County in which the building is located.

Project Term Completion Dates:

Recipients of NYMS funding enter into a two-year (24 month) grant agreement in which all funds must be expended and all proposed accomplishments met. Applicants should not submit applications if they do not expect to initiate the project within a reasonable time period after receiving an executed contract or will not be able to complete the project within the two-year term. Funds remaining at the end of the two-year period are subject to de-obligation and reallocation.

Matching Fund Requirements:

New York Main Street Building Renovation Projects

The NYMS Program operates as a reimbursement program and the NYMS Program Guidelines require matching funds for each participating building project. NYMS funds may reimburse up to 75% of total, eligible project costs for general building renovations up to a maximum of $50,000 per building, or up to $100,000 for a building renovation project involving direct assistance to residential units.

New York Main Street Downtown Anchor Projects

NYMS Downtown Anchor Project funds are available to reimburse up to 75% of a total, eligible project cost not to exceed $500,000 in NYMS Downtown Anchor Project funds. The minimum NYMS Downtown Anchor request amount is $100,000.

New York Main Street Downtown Stabilization Program

NYMS Downtown Stabilization funds are available to reimburse up to 75% of a total, eligible project cost not to exceed $500,000. The minimum NYMS Downtown Stabilization Program request is $50,000.

New York Main Street Technical Assistance Projects

The NYMS-TA program operates as a reimbursement program and the NYMS-TA guidelines require matching funds. NYMS-TA funds may reimburse up to 95% of the project cost, not to exceed $20,000. The remaining 5% must be provided as a cash match.

Additional Resources:

For more information, applicants should contact the Office of Community Renewal at New York State Homes and Community Renewal, 38-40 State St, Albany, New York 12207, call (518) 474-2057, email HCR_CFA@nyshcr.org or visit:
http://www.nyshcr.org/AboutUs/Offices/CommunityRenewal/

Office of Parks, Recreation & Historic Preservation - Environmental Protection Fund Municipal Grant Program

Funding Available: Up to $16 Million

DESCRIPTION:
Title 9 NYCRR (sections 439.1 – 443.4) implements the Environmental Protection Fund (EPF) Act of 1993 (Title 9 of Article 54 of the Environmental Conservation Law), which created OPRHP's Municipal Grant Program.

Funding is available under the EPF Municipal Grant Program for the acquisition, planning, development, and improvement of parks, historic properties, and heritage areas located within the physical boundaries of the State of New York. Grants can fund up to 50% of total project cost, up to 75% if the project is located in a high-poverty district. Grant awards are capped at $500,000.

ELIGIBLE TYPES OF APPLICANTS:

- Municipalities
- State Agencies
- Public Benefit Corporations
- Public Authorities
- Not-for-profit Corporations that have tax-exempt status under the IRS code, are current with pertinent federal and state filings and have pre-qualified in the Grants Gateway (see http://www.grantsreform.ny.gov/Grantees).

The applicant must have an ownership interest in the project property:

- Where the applicant is not the property owner:
  - If the project is for planning only, the application must include a statement from the owner acknowledging the application and granting the applicant any access necessary to complete the project.
  - If the project involves acquisition of the property, the application must include documentation of the owner's intent to sell, donate or transfer the property.
  - If the project involves improvement/development of the property, the owner must agree to sign the project agreement and any long term protection document.
- If there are additional parties with an ownership interest in the property, including lien holders, all parties must agree to sign the project agreement and all lien holders must subordinate their interests to those of the State.

ELIGIBLE ACTIVITIES / PROGRAM BENEFIT AND LONG TERM PROTECTION REQUIREMENTS:
Funding under the EPF Municipal Grant program is available for the grant categories and project elements listed below. To ensure the public benefit from the investment of State funds, all grant awards under this program come with long term protections, either through parkland alienation law, conservation easements, or public access or preservation covenants recorded against the deeds.

- **Park Acquisition, Development and Planning Program** - for the acquisition, development and planning of parks and recreational facilities to preserve, rehabilitate or restore lands, waters or structures for park, recreation or conservation purposes and for structural assessments and/or planning for such projects. Examples of eligible projects include: playgrounds, courts, rinks, community gardens, and facilities for swimming, boating, picnicking, hunting, fishing, camping or other recreational activities.
  - Public access covenants will be conveyed to the State for all park development projects undertaken by not-for-profit corporations.

- Conservation easements will be conveyed to the State for parkland acquisition projects undertaken by not-for-profit corporations.
- Parkland acquired or improved by a municipality must remain parkland in perpetuity. Information is available in the "Handbook on the Alienation and Conversion of Municipal Parkland," available at http://www.nysparks.com/publications/.

- **Historic Property Acquisition, Preservation and Planning Program** - to improve, protect, preserve, rehabilitate, restore or acquire properties listed on the State or National Register of Historic Places and for structural assessments and/or planning for such projects. All work must conform to the Secretary of the Interior's Standards for the Treatment of Historic Properties.
  - Properties not currently listed, but scheduled for nomination review at the State Board for Historic Preservation meeting of either June 11, 2015, or September 17, 2015, are eligible to apply for funding. Questions about or proposals for listing on the State or National Register should be directed to the OPRHP National Register Unit at (518) 237-8643.
  - Preservation covenants or conservation easements will be conveyed to the State (OPRHP) for all historic property grants.
  - Grant funds cannot be used for constructing contemporary additions on an historic property unless that work will provide universal access and/or eliminate code deficiencies for access/egress, such as an elevator or stair tower.
  - Multi-purpose additions to historic buildings and free-standing new construction on historic properties are not eligible for this grant program.

- **Heritage Areas System Acquisition, Development and Planning Program** - for projects to acquire, preserve, rehabilitate or restore lands, waters or structures identified in the approved management plans for Heritage Areas designated under sections 35.03 and 35.05 of the Parks, Recreation and Historic Preservation Law, and for structural assessments or planning for such projects. The designated Heritage Areas with approved Management Plans are listed at http://www.nysparks.com/grants/heritage-areas/default.aspx, which also provides links to maps showing exact Heritage Area boundaries.
  - To ensure a public benefit from the investment of state funds, appropriate long-term protections in the form of public-access covenants, preservation covenants or conservation easements will be conveyed to the State (OPRHP) for all Heritage Areas System grants.

ALLOWABLE COSTS:

All expenditures under these grants must be for goods and services procured in a manner so as to assure the prudent and economical use of public money in the best interests of the taxpayers of the State of New York, to facilitate the acquisition of goods and services of maximum quality at the lowest possible cost under the circumstances, and to guard against nepotism, favoritism, improvidence, extravagance, fraud and corruption. Such procedures may include, but are not limited to, competitive bidding, the solicitation of three price quotes, written requests for proposals, etc.

Eligible budget items include:

Pre-Development Planning and Design

- **Design Fees** and other **Professional Fees** are allowed for the preparation of construction documents and to satisfy other pre-construction requirements. **Pre-development** costs must be incurred during the project term or in the three years prior to the application deadline. In general, pre-development costs **should not exceed fifteen percent (15%) of the construction costs**.
- **Archeology** includes field work, report writing, curation of artifacts and interpretation. If your project includes any ground-disturbing activity (e.g., trenching, grading, demolition, new construction, etc.), it is very likely that an archeological survey will be required unless you can provide adequate documentation of prior ground disturbance. Your budget should take into account the need for an archeological survey. Contact your regional grants administrator (RGA) to determine the need and anticipated costs for archeology.
- **Project planning** is eligible for stand-alone funding in all three grant categories. This funding is intended for project-specific planning, such as designs and specifications for rehabilitation of an historic property or structural assessment of a dock for public fishing, not for comprehensive Open Space or Management Plans.

Construction

- Include only the costs of permanent capital improvements to the property that are directly related to the recreational, conservation, historic preservation, and/or heritage development purposes of the grant program. The budget should be broken down by categories of expenditure, such as utilities/infrastructure, site preparation, landscaping, carpentry, etc.
- The budget may include purchase of permanent equipment necessary to achieve the project purposes (e.g., playground equipment, interpretive kiosks), but cannot include operational or maintenance equipment such as mowers or automotive equipment.
- The budget may include costs to undertake construction, such as rent/lease of heavy equipment, but cannot offset overhead and operating expenses, such as office rental.
- For historic preservation projects on sectarian properties, grant assistance can fund only costs necessary for historically accurate restoration to restore and preserve the historic integrity of the historic property, and only to the extent that those costs exceed the cost of basic restoration.

Acquisition

- The application must identify each parcel proposed for acquisition, the type of interest to be acquired (fee simple, lease, easement, etc.) and method of acquisition (purchase, donation or transfer from another use), number of acres and estimated fair market value of the parcel(s) documented by a written estimate of value (windshield appraisal) by a qualified appraiser. Acquisition costs must be incurred during the project term or up to one year prior to the application deadline.
- Associated acquisition costs, such as the cost of **appraisals, surveys, title search, legal fees, title insurance (required for this grant)** and, where a conservation easement is required, the cost of **title continuation and recordation** are eligible costs.

Administration

- **Construction Supervision** costs are those associated with the coordination, supervision and scheduling of work and may be provided by a qualified member of the applicant's staff, the design professional who prepared the construction documents, or a clerk of the works.
- **Grant Administration** costs include expenses associated with administering the grant after it is awarded, such as preparing the project agreement, affirmative action, MWBE, and payment request documentation. The cost of preparing this application is **NOT** eligible. In general, these costs **should not exceed ten percent (10%) of the grant amount**.
- **Procurement Costs** include costs for assuring competitive pricing, such as costs for distributing Requests for Proposals and for public advertising for bids, including the cost of advertising in specialty publications, such as minority newspapers and appropriate construction publications.
- **Audit**: Upon completion of the project, an accounting of expenditures and revenues is required. Based on the grant award and complexity of the project, this will be in the form of either an agreed upon procedure review performed by a Certified Public Accountant, or an expense summary audit. Prior to final reimbursement, the audit must be submitted to and approved by OPRHP.
- **Project Sign***:* All grant-funded projects must have a project sign noting the funding assistance. Signs are available for purchase through the State for approximately $57.

INELIGIBLE COSTS:

- Work completed prior to award is not eligible for reimbursement or for match. There are two exceptions:
    - Professional services and materials purchased or donated, but not installed, up to three years prior to the application deadline may be applied toward the matching share.
    - Acquisition costs retroactive no more than one year prior to the application deadline are eligible costs.
- Contingencies, training, travel, OJT wages, working capital, marketing, taxes, interest, purchase of operational or maintenance equipment, salaries and wages, rent/lease are ineligible unless noted otherwise above.

MATCHING SHARE (APPLICANT SHARE) REQUIREMENTS

This grant program is administered on a reimbursement basis. Successful applicants will be expected to fund project expenditures upfront, and then submit for reimbursement. Applicants must plan their financial arrangements accordingly.

Successful applicants are reimbursed for up to 50 percent of their eligible expenditures. For projects located in impoverished areas (as defined by 10 percent or more of the population below the poverty level according to most recent Census data), the reimbursement can be up to 75 percent of the eligible project cost. All applicants are expected to raise their share within one year of the award, or risk cancellation of the grant. Principal types of applicant share are:

- **Cash**: Includes grants other than this grant request.
- **Force Account** (Payroll of applicant): Itemize according to job title or job assignment (on project). At the time of the reimbursement request, grant recipients will be required to document time worked, tasks, pay ratio and payment (including components and percentage of fringe benefit rate).
- **Professional Services**: The value of services provided by professional and technical personnel and consultants. Three-year retroactivity applies.
- **Supplies and Materials**: The current market value of items warehoused (not yet installed). Three-year retroactivity applies; use value current at time items were obtained.
- **Volunteer Labor**: Skilled and professional labor can be computed at the job rate. The value for labor (unskilled labor and work performed by professionals or skilled laborers in an area outside of their area of expertise) of an adult (18 and over) donating time to a project may be computed up to

the amount identified as the Value of Volunteer Time for New York State at http://www.independentsector.org/volunteer_time. (For example, a lawyer donating legal services may compute the value based on the standard billing rate, but the value for the same lawyer donating time painting walls will be computed up to the amount identified as the Value of Volunteer Time for New York State).

- **Equipment Usage**: Compute the value according to its fair market rental value in project location.
- **Real Property**: The value of all property acquired, donated or converted from other purposes should be included in the project schedule. One year retroactivity applies to all three categories. For real property owned by the applicant and converted from other purposes, the value of such property may be included under the EPF budget, provided it has not been previously designated as parkland or otherwise used for purposes related to this project.

PRE-APPLICATION REQUIREMENTS:
The following documentation will be required with the application (See also the Attachment Checklist at http://www.nysparks.com/grants/consolidated-funding-app.aspx, which additionally lists supporting documentation that is requested but not required):

For All Applicants:

- **State Environmental Quality Review Act (SEQR) compliance documentation:** Not-for-profits must fill out the Environmental Review Form (EMB Form for NFP Grants) available at http://www.nysparks.com/grants/consolidated-funding-app.aspx. Municipalities must document or describe where they are in the SEQR process.
- **Photos** showing the project area
- 1:24,000 scale **topographic or planimetric map** with the *subject property circled*
- **Schematic Site Plan**

For Not-for-Profit Applicants:

Documentation of Registration and Pre-Qualification with the Grants Gateway, to include**: Document Vault Identifier** (i.e., GDV-XXXXX-XXXX) and the **State Pre-qualification Application Status Report.** Information on this process is available at http://www.grantsreform.ny.gov/Grantees.

For Not-for-Profit Applicants applying for a Park or Trail project under the Parks Program:

A resolution of municipal endorsement, passed by the governing body of the municipality in which the project is located, which stipulates the approval/endorsement of the application. See a sample of an acceptable resolution of municipal endorsement at http://www.nysparks.com/grants/consolidated-funding-app.aspx.

For Heritage Area Applicants:

Written approval/endorsement of the project by the local heritage area management entity, if it is not the project sponsor, is required with the application. See a list of approved Heritage Areas at http://www.nysparks.com/grants/heritage-areas/default.aspx.

For Partner Groups of State Parks or Historic Sites:

Letter(s) of support from the **Regional Director AND Capital Facilities Manager.**

For Applications including Acquisition (purchase, donation or transfer from another use):

- **Evidence of the owner's intent** to sell, donate or transfer the property.
- A **written estimate of fair market value** (windshield appraisal/market valuation) for each parcel that will be acquired or used as match as part of the proposal.

For Stand-alone Planning Applications where the Applicant does not own the Property:

For applications including ONLY planning activities, where the applicant does not have any ownership interest in the property, the applicant must provide a statement from the owner acknowledging the application and granting the applicant any access necessary to complete the project.

SUCCESSFUL APPLICANT REQUIREMENTS:

Successful applicants are advised NOT to begin work until a project contract has been fully executed. Proceeding without advance OPRHP approval will jeopardize grant reimbursement. Certain conditions of award must be met to the satisfaction of OPRHP before a contract can be executed with the applicant/grantee. These will include:

- submission of a signed authorizing resolution that names the contact for the grant and authorizes that contact to enter into and execute a contract with the State
- registration in the Grants Gateway
- for not-for-profit grantees:
  - maintenance of pre-qualification status in the Grants Gateway
  - documentation of coverage or exemption for Workers' Compensation and Disability Insurance
  - being current with pertinent filings under Section 501 of the United States Internal Revenue Code and the following New York State Laws, as applicable: Article 7-A of the Executive Law; Section 8-1.4 of the Estates, Powers and Trusts Law; Section 1508 of the Not-for-Profit Corporation Law; or Section 215 of the Education Law
  - documentation of current Vendor Responsibility Questionnaire
- evidence of ownership interest, for development projects, including:
  - property deed and affidavit of title or opinion of municipal counsel
  - if the grantee does not own the property in fee, documentation of the ownership interest, such as a lease, management agreement, or memorandum of agreement
- for projects located on land under the jurisdiction of the Canal Corporation, all necessary approvals of the Canal Corporation
- environmental and historic preservation reviews (including archeological review).

Grant contracts will require that prior to commencement of project work, certain procedures must be followed and documentation provided and approved by OPRHP including:

- For any project involving ground disturbance (trenching, grading, demolition, new construction, etc.), prior ground disturbance documentation or an archeological investigation will be required.*
- Acquisition projects require certification of clear title by the Office of the Attorney General. In order to facilitate that review, the following is required:
  - A detailed (self-contained) appraisal for each parcel to be acquired; two appraisal reports for any parcel valued at $300,000 or more.* (Appraisal standards can be found at: http://www.nysparks.com/grants/forms-resources.aspx.)
  - Title insurance.*
- Any permits required from agencies such as the NYS Department of Environmental Conservation (DEC) or the US Army Corps of Engineers (COE) must be filed with the State before construction begins.
- OPRHP must accept/approve plans and specifications, bidding documents, competitive bidding, and solicitation of Minority and Women-owned Business Enterprises (MWBEs), etc.

*These costs should be included in the project budget. The State will share in these expenses.

Project costs will be eligible for reimbursement only if grant work meets State standards and the expenditures are made in compliance with State requirements, including:

- Pursuant to Article 15A of the Executive Law, Minority and Women-owned Business Enterprises/Equal Employment Opportunity, grant recipients will be required to solicit MWBEs before commencing work and to document efforts involving MWBEs during the project term.
- Municipalities must comply with General Municipal Law Sections 103 (competitive bidding) and 104-b (procurement policies and procedures). Not-for-profit corporations must follow procurement policies that ensure prudent and economical use of public money.
- All reimbursements for historic preservation projects must be satisfactorily documented so that the State Historic Preservation Office can ensure work was done in conformance with the Secretary of the Interior Standards.

Failure to comply with these requirements could jeopardize full reimbursement.

OPRHP staff will conduct periodic inspections, including a final inspection of the project and may conduct post completion inspections as warranted to ensure the public benefit is maintained.

FUNDING PRIORITIES: Priority projects are those that clearly demonstrate and document:

- Impact – For park projects, the importance of the project to the community in terms of economic stimulus, impetus to community renewal, revenue generation, visual appeal, health and vitality of the community, and community involvement and support of the project. For historic preservation, the extent to which the project will contribute to preservation of a historically significant property. For Heritage Areas, the extent to which the project will contribute to the local Heritage Area. For all projects, the advancement of New York Rising or the Opportunity Agendas of the Regional Economic Development Councils.
- Community support and consistency with state/region/community plans, including and especially the Statewide Comprehensive Outdoor Recreation Plan (SCORP).
- Sound administrative infrastructure/reasonableness of costs, including demonstration of project planning, administrative structures and a budget that reflects fiscal prudence and readiness to proceed.
- The Commissioner's priorities for the grant program:
    - Projects that include "green" improvements that restore, improve and maintain park lands, historic properties and heritage area resources and infrastructure, and in doing so promote sustainability, increase energy conservation and/or efficiency, install renewable energy sources, and decrease long term maintenance and management costs.
    - Projects that include "climate protection" improvements incorporating cost-effective, park-compatible principles that protect park lands, infrastructure, historic properties or heritage-area resources from climate change or storm-related impacts creating a more resilient and sustainable function. Preference may be given to concepts that utilize natural or soft buffering and protections over hardened solutions.
    - Projects that enhance the public's access to parks and their environmental and recreational resources (including landscape and trail improvements to facilitate connections and special features or signage to improve programming and interpretation), create physical and functional connections among, or provide or enhance public access to, already-protected state and local lands, historic sites, greenways, trails and waterways to bring visitors back.
    - Projects that are undertaken by partner groups in State Parks and Historic Sites.

SELECTION CRITERIA: Each application will be reviewed for eligibility and, if determined eligible, will be rated according to the Grant Selection Criteria. Applications will be evaluated to assess the degree to which they meet the elements of each criterion below. A successful grant proposal is not expected to meet all of these criteria. Within each region, applications are ranked according to project category, competing only against others in their region and category. The Grant Selection Criteria are:

I. Poverty Level (0-5) Points are predetermined, based on project location. See the Poverty Table at http://nysparks.com/grants/consolidated-funding-app.aspx (also determines eligibility for 75% funding).

II. Resource Impact (up to 25 points)

For Parks Projects:

A1. Community Impact (0-9) Points are based on the importance of the project to the community (physical or social) in terms of economic stimulus, impetus to community renewal, revenue generation, visual appeal (downtown anchor) or provide health and vitality to the community. If not funded, how would this impact the community?

A2. Local Commitment and Need (0-14) Points are based on community involvement in the concept of the project, as evidenced by documentation of public meetings, involvement of a recreation committee, friends group or community interest group, etc. Consider additional points if the project meets the needs for an aging population, encourages participation by youth and teens, responds to population and social changes in the community, and/or provides new access and/or ensures open and reasonable access to a property. Evidence of need can include documentation of: number of similar facilities in the service area; level of use of existing facility and anticipated level of use of proposed facility; condition of facilities; emergencies, mandates or development pressure.

A3. Advancement of New York Rising or the Opportunity Agendas of the Regional Economic Development Councils (0-2)

For Historic Preservation Projects:

B1. Level of Significance (0-9) Points are awarded based on the level and area(s) of significance recorded for the property in the State/National Register nomination (or in the National Historic Landmark documentation), and consideration of the significance of the specific feature(s) of the property to be addressed in the proposed project (e.g., a primary contributing resource versus a secondary contributing resource).

B2. Severity/Immediacy of Threat (0-14) Points are awarded based on the type (e.g., deterioration, damage, demolition, inappropriate development), extent (e.g., isolated, wide-spread, accelerated), severity, immediacy, and degree (e.g., recent, on-going, imminent) of threat to the property from negligence, development pressure, inappropriate treatment, etc.

B3. Advancement of New York Rising or the Opportunity Agendas of the Regional Economic Development Councils (0-2)

For Heritage Area Projects:

C1. Addresses current Heritage Area programs (0-9) Points are awarded based on how well the project fits into current programs/projects/plans of the Heritage Area, as documented by the applicant, the Heritage Area director, and other community sources. At minimum, the project should be consistent with the Heritage Area Management Plan; at maximum, the project would be essential to the success of the Heritage Area's highest priority programs.

C2. Addresses Heritage Area goals (0-14) At a minimum a HAS project will address one of the HA goals (preservation/conservation, education/interpretation, recreation, and economic revitalization), but a typical HAS project addresses two or more. Therefore, points should reflect both the number of goals met and how well they are met.

C3. Advancement of New York Rising or the Opportunity Agendas of the Regional Economic Development Councils (0-2)

For Acquisition Projects:

D1. Environmental and Recreational Contribution (0-9) Protection of watershed, aquifer, animal or plant species, significant natural communities, or other natural and cultural resources, wetlands, shorelines, unique areas biodiversity, wildlife habitats, forested wildlife, flood plains, corridors. Provide access to water or public fishing rights, trails or greenways, increased land for active recreation in existing or new parklands, buffer/protection to a listed historic resource, property that serves or benefits Heritage Area System visitors and users, a recognized brownfield site for park development.

D2. Surrounding Area Contribution and Impact and Protection of Historic Resources (0-14) Consolidate public ownership by eliminating gaps in ownership between two or more parcels of public land, proximity to urban areas, providing a linkage between parks, trails or designated open space, economic stimulus or community renewal, local revenue generation, visual appeal (downtown anchor) or impetus to community health and vitality, diversity of population served. Significance of resource (national; state or local, contributing element in a district), preserves significant view shed, contributes to existing preservation efforts or established Heritage Area System goals, heritage tourism, or economic development initiative, working landscape, scenic easement, contributes to the economic vitality of the area (i.e., façade easements), provides for the long term preservation of the resource, immediate threat of a listed property.

D3. Advancement of New York Rising or the Opportunity Agendas of the Regional Economic Development Councils (0-2)

III. Planning Initiatives (up to 10 points)

For Parks Projects:

A1. Statewide Index of Need (0-5): (points are predetermined by SCORP)

A2. Consistent with Plans (0-5): In determining whether the project relates or contributes to documented plans, examine documents cited and submitted, such as:

- NYS Open Space Conservation Plan as a priority project
- Heritage Area Management Plan
- Local Waterfront Revitalization Program (LWRP)
- Recognized local Open Space Plan
- Community participation in the Certified Local Government Program (CLG)
- Other state or federal plans
- Local plans adopted or reaffirmed within the last 5 years
- Project implements a prior Planning grant

For Historic Preservation and Heritage Area Projects:

B1/C1. Community Support: In determining whether the project demonstrates community support, examine evidence submitted regarding community support and involvement, including efforts to publicize and/or engage the community in project planning, such as:

- letters of support, especially those from people directly impacted by the project
- official project endorsements/partnerships
- press releases/announcements/publicity
- plans for public outreach or fundraising campaign

- news articles
- records of public meetings (including project-specific meetings (such as press event), official government reviews (e.g., Community Board, Planning Board, etc.) and presentations to a group such as a neighborhood association or interest group

B2/C2. Consistent with Plans: In determining whether the project relates or contributes to documented plans, examine documents cited and submitted, such as:

- New York State Historic Preservation Plan
- Other state/federal/local plans, such as Heritage Area Management Plan, LWRP, Preserve America designation, Path Through History, etc.
- Community comprehensive or master plans
- Local historic preservation ordinance/designations
- Community participation in the CLG program
- Project implements a prior Planning grant

For Acquisition Projects:

D1. Community Support: Demonstration of local participation in and commitment to the project, such as:

- Clear consensus by the local community showing a need to purchase and finance
- Evidence the project is supported by local elected officials and community groups, such as Land Trusts, environmental councils, preservation boards, friends groups, local activists
- Documentation of meetings and involvement (e.g., newspaper articles, meeting notes, letters of support)

D2. Consistent with Plans: In determining whether the project relates or contributes to documented plans, examine documents cited and submitted, such as:

- NYS Open Space Conservation Plan as a priority project
- New York State Historic Preservation Plan
- Heritage Area Management Plan
- LWRP
- Recognized local Open Space Plan
- Community participation in the CLG program
- Other state/federal/local plans, such as Preserve America designation, Path Through History, etc.
- Local plans adopted or reaffirmed within the last 5 years
- Project implements a prior Planning grant

IV. Reasonableness of Cost (0-20) Project planning, administrative structures and budget demonstrate fiscal prudence and readiness to proceed. Is there a logical justification for all expenses? Does the budget narrative include an explanation for each budget line and clearly support the applicant's need for additional financial resources to achieve project outcomes? Does the budget include the required matching funds? Does the proposal describe how the grant recipient will monitor expenditures during the life of the project to ensure that the project stays on schedule and within budget?

A. Budget

- Budget in the application is complete, detailed, computed correctly and contains no extraneous or ineligible expenses.
- The budget is based on a cost estimate from a reliable source.
- Matching funds are on hand and/or application evidences a reasonable expectation that matching funds will be available as and when needed.

B. Readiness

- Necessary project planning and document preparation has been completed.
- Qualified project professionals, properly procured/hired, are on hand.
- Proposed project/work is appropriate and conforms to accepted professional standards.
- Application evidences viable strategy and resources for implementing/operating and maintaining the project in the future.

C. Feasibility

- Administrative structures are in place to handle grants.
- Applicant has proven experience in projects of similar scale and/or scope.
- Timeframe presented in application is reasonable to accomplish all aspects of the work and grant administration (including any necessary fundraising).

IV. OPRHP Commissioner Priorities (0-10)

A. Green improvements – that restore, improve and maintain park lands, historic properties and heritage area resources and infrastructure, and in doing so promote sustainability, increase energy conservation and/or efficiency, install renewable energy sources, and decrease long term maintenance and management costs.

B. Climate Protection - incorporating cost-effective, park-compatible principles that protect park lands, infrastructure, historic properties or heritage-area resources from climate change or storm-related impacts creating a more resilient and sustainable function. Preference may be given to concepts that utilize natural or soft buffering and protections over hardened solutions.

C. Enhanced access, connections, resources – that enhance the public's access to parks and their environmental and recreational resources (including landscape and trail improvements to facilitate connections and special features or signage to improve programming and interpretation), create physical and functional connections among, or provide or enhance public access to, already-protected state and local lands, historic sites, greenways, trails and waterways to bring visitors back.

D. Partners to State Parks – projects undertaken by partner groups in State Parks and Historic Sites. Letter(s) from the Regional Director and Capital Facilities Manager must be submitted with the application.

VI. Regional Economic Development Council Assessment (0-20)

VII. Statewide Assessment "Commissioner Points" (0-10)

A. Geographic Distribution. Consideration may be given to projects in areas that have or have not received funding in recent cycles or where funding is not commensurate with the population of the area. This will be based on the proximity to other funded sites and the diversity of projects being funded on a regional and local basis, as well as the service area of the developed or planned facilities.

B. Maximize Use and Accessibility. Consideration may be given to projects where funding will allow underutilized facilities to be accessed or to develop underutilized resources for public use. This will be based on the resources offered by the facility, the use of those resources and whether the proposed project will help the facility expand and enhance its public use.

C. **Special Engineering, Environmental, Preservation Benefits**. Consideration may be given to develop particularly significant resources and facilities or to develop innovative approaches to preserve valuable resources. This will be based on the type of resource being developed or rehabilitated; its rarity on a local, regional, statewide and national basis; the ability of an innovative technology to address an emergency or mitigate future problems; how well a technology can be "exported" for use on other properties and resources; and how/if the project will allow public access that would not otherwise be available.

D. **Past Performance.** Consideration may be given to how timely an applicant completed previous projects, including its reporting requirements; how successful it was in outreach, especially to minority- and woman-owned businesses; the ongoing upkeep and maintenance of the property; and its cooperation in allowing OPRHP to complete inspections and other follow-up activities.

TOTAL (0-100)

VIII. Project in a Hudson River Greenway Compact Community (5 percent bonus)
Award points if the proposed project is located in a Hudson River Valley Greenway **Compact** Community, and the application documents that the project is consistent with the Greenway criteria of natural and cultural resource protection, regional planning, economic development, heritage and environmental education, and/or public access to the Hudson River (for information, go to: http://www.hudsongreenway.ny.gov/Planning/Greenway_Compact.aspx or the Greenway map at http://www.hudsongreenway.ny.gov/Libraries/PDF_s/Greenway_Map_01-15-2014_1.sflb.ashx).

AWARD CRITERIA DETAILS

- ELIGIBLE AREA, CITY, COUNTY, POPULATION LIMITS, OR POPULATION TARGET TYPES: $7.875 million of the $15.75 million appropriation must be awarded to projects located in Inner City/Underserved areas. {Note: $900,000 of the appropriated amount is directed to specific line items, leaving $14,850,000 available for the competitive award program.}

- LIMITATIONS: While applicants may apply for more than one grant category funded under OPRHP's EPF Program, no project will receive more than one grant award in any funding year. There is no statutory limit on the number of grants one property or one applicant may receive, but in the interest of equity and fairness and in consideration of applicant capacity, applicants that have three or more open grants with OPRHP should not receive additional awards. There is an administrative cap of $500,000 for 2015-2016 awards. Should project costs increase post award, the grant award will not be adjusted upward.

- LONG RANGE GOALS: Special consideration should be given to projects that are referenced in the Statewide Comprehensive Outdoor Recreation Plan (SCORP) or included in other state and local planning initiatives.

- PROJECT TERM COMPLETION DATES: Once all conditions of award are met (see SUCCESSFUL APPLICANT REQUIREMENTS above) and a contract is executed, it is anticipated that acquisition and planning projects will be completed within one year and construction projects within two years; all projects must be completed within five years from the date of the award of the grant. OPRHP will monitor the progress of project work and will recapture awarded funds if significant progress is not made.

ADDITIONAL RESOURCES:

Go to http://www.nysparks.com/grants/consolidated-funding-app.aspx to view forms and resources, including the CFA Guidance Document, which contains additional instructions concerning attachments to the application. For more information, contact the NYS Office of Parks, Recreation and Historic Preservation (OPRHP) Regional Grants Administrator for your county (see list below).

Western New York Region Noelle Kardos Beaver Island State Park 2136 West Oakfield Grand Island, NY 14072 (716) 773-5292, FAX (716) 773-4150 COUNTIES: Allegany, Cattaraugus, Chautauqua, Erie and Niagara	Central New York Region Jean Egenhofer Clark Reservation State Park 6105 East Seneca Turnpike Jamesville, NY 13078-9516 (315) 492-1756, FAX (315) 492-3277 COUNTIES: Cayuga, Cortland, Madison, Onondaga and Oswego
Finger Lakes Region Tom Livak Allegany State Park ASP Rte 1, Salamanca, NY 14779 (716) 354-9101, FAX (716) 354-2255 COUNTIES: Genesee, Livingston, Monroe, Ontario, Orleans, Seneca, Wayne, Wyoming and Yates	Mohawk Valley Region Jean Egenhofer Clark Reservation State Park 6105 East Seneca Turnpike Jamesville, NY 13078-9516 (315) 492-1756, FAX (315) 492-3277 COUNTIES: Fulton, Herkimer, Montgomery, Oneida, Otsego and Schoharie
Long Island Region Traci Christian Belmont Lake State Park PO Box 247 Babylon, NY 11702 (631) 321-3543, FAX (631) 321-3721 COUNTIES: Nassau and Suffolk	Southern Tier Region Laurie Moore 2221 Taughannock Park Road Trumansburg, NY 14886 (607) 387-7041, FAX (607) 387-3390 COUNTIES: Broome, Chemung, Chenango, Delaware, Schuyler, Steuben, Tioga and Tompkins
New York City Region Merrill Hesch NYS OPRHP Adam Clayton Powell, Jr. State Office Building 163 West 125th Street, 17th Floor New York, NY 10027 (212) 866-2599, FAX (212) 866-3186 COUNTIES: Bronx, Kings, New York, Queens and Richmond	Mid-Hudson Region Erin O'Neil NYS OPRHP Taconic Regional Office 9 Old Post Road Staatsburg, NY 12580 (845) 889-3866, FAX (845) 889-8321 COUNTIES: Dutchess, Orange, Putnam, Rockland, Sullivan, Ulster and Westchester
Capital Region Danielle Dwyer Saratoga Spa State Park 19 Roosevelt Drive Saratoga Springs, NY 12866-6214 (518) 584-2000, FAX (518) 584-5694 COUNTIES: Albany, Columbia, Greene, Rensselaer, Saratoga, Schenectady, Warren and Washington	North Country Region Sunshine Jenkins Keewaydin State Park Alexandria Bay, NY 13607 (315) 482-2593, FAX (315) 482-9413 COUNTIES: Clinton, Essex, Franklin, Hamilton, Jefferson, Lewis, and St. Lawrence

Office of Parks, Recreation & Historic Preservation - Recreational Trails Program

Funding Available: Up to $1.2 Million

DESCRIPTION:
The Recreational Trails Program (RTP) was reauthorized on July 10, 2014, when the President signed into law the Moving Ahead for Progress in the 21st Century Act Extension (MAP-21 Extension).

The RTP is an assistance program of the U.S. Department of Transportation's Federal Highway Administration (FHWA). In New York, RTP is a program of the New York State Department of Transportation(NYSDOT) administered by the Office of Parks, Recreation and Historic Preservation (OPRHP). More information on the Federal legislation and program guidance can be found at: http://www.fhwa.dot.gov/environment/recreational_trails/.

The Recreational Trails Program provides funds to states to develop and maintain recreational trails for both motorized and non-motorized recreational trail use. Funding is available for the maintenance and restoration of existing recreational trails, development and rehabilitation of trailside and trailhead facilities and trail linkages for recreational trails, purchase and lease of recreational trail construction and maintenance equipment, construction of new recreational trails, acquisition of easements and fee simple title to property for recreational trails or recreational trail corridors, and assessment of trail conditions for accessibility and maintenance. Grants can fund up to 80% of the total project cost, or, up to 95% if the applicant is a federal agency. Grant awards are capped at $200,000. Should project costs increase post award, the grant award will not be adjusted upward.

PROGRAM MANDATES:
The RTP legislation requires that States use 40% of their funds apportioned in a fiscal year for **diverse** recreational trail use, 30% for **motorized** recreation, and 30% for **non-motorized** recreation.

Below is a description of project types and funding categories.

INTENDED USE	TYPE OF USE EXAMPLES	FUNDING CATEGORIES
Non-Motorized Single Use	Pedestrian only; equestrian only; or bicycle only	Non-motorized Funding
Non-Motorized Diverse Use	Pedestrian, bicycle and skate; equestrian and pedestrian	Non-motorized and Diverse Funding
Diverse Use (includes both non-motorized and motorized uses)	Equestrian in summer, snowmobile in winter	Diverse Funding
Motorized Single Use	Snowmobile only	Motorized Funding
Motorized Diverse Use	Snowmobile and Motorcycles	Motorized and Diverse Funding

1. Non-Motorized project for a Single Use: A project primarily intended to benefit only one mode of non-motorized recreational trail use, such as pedestrian only or equestrian only. Projects serving various pedestrian uses (such as walking, hiking, wheelchair use, running, bird-watching, nature interpretation, backpacking, etc.) constitute a single use for the purposes of this category. *Note: wheelchair use by mobility-impaired people, whether operated manually or powered, constitutes pedestrian use, not motorized trail use.* Projects serving various non-motorized human-powered snow uses (such as skiing, snowshoeing, etc.) constitute a single use for this category.

2. Non-Motorized Diverse Use project: A project primarily intended to benefit more than one mode of non-motorized recreational trail use such as: walking, bicycling, and skating; both pedestrian and equestrian use; or pedestrian use in summer and cross-country ski use in winter.
3. Diverse Use project including both Motorized and Non-Motorized Uses: A project intended to benefit both non-motorized recreational trail use **and** motorized recreational trail use. This category includes projects where motorized use is permitted, but is not the predominant beneficiary. This category includes projects where motorized and non-motorized uses are separated by season, such as equestrian use in summer and snowmobile use in winter. Other examples: a common trailhead project serving separate ATV and bicycle trails; purchasing a machine to groom both snowmobile and cross-country ski trails.
4. Motorized Single Use project: A project primarily intended to benefit only one mode of motorized recreational use, such as snowmobile trail grooming. A project may be classified in this category if the project also benefits some non-motorized uses (it is not necessary to exclude non-motorized uses), but the primary intent must be for the benefit of motorized use.
5. Motorized Diverse Use project: A project primarily intended to benefit more than one mode of motorized recreational use, such as: motorcycle and ATV use; or ATV use in summer and snowmobile use in winter. A project may be classified in this category if the project also benefits some non-motorized uses (it is not necessary to exclude non-motorized uses), but the primary intent must be for the benefit of motorized use.

Projects in categories 1 and 2 count toward the 30 percent non-motorized use requirement.
Projects in categories 2, 3, and 5 count toward the 40 percent diverse trail use requirement.
Projects in categories 4 and 5 count toward the 30 percent motorized use requirement.
For equipment-only purchases and assessment projects, the selection criteria will be based on the primary use of the trail system the project impacts.

ELIGIBLE TYPES OF APPLICANTS:

- Municipalities
- State Agencies
- Federal Agencies
- Other Government Entities
- Not-for-Profit Corporations that have tax-exempt status under the IRS code, are current with pertinent federal and state filings and have pre-qualified in the Grants Gateway (see http://www.grantsreform.ny.gov/Grantees)

The applicant must have an ownership interest in the project property:

Where the applicant is not the property owner:

- A clear and legible copy of the documentation showing such interest in the property (i.e. lease, operating or management agreement) must be provided along with a letter of support for the project from the owner/managing entity stipulating that they will agree to enter into a legally binding agreement
- In the case of State Property, an authorization (i.e. permit) must be submitted if a lease, operating, or management agreement is not already in place. A letter of support from the Capital Facilities Manager must be submitted with the application.
- If the project involves acquisition of the property, describe the status of purchase negotiations and document the owner's intent to sell (signed purchase contract, option agreement, or letter of intent)
- If the project is for trail grooming equipment purchase **ONLY** (or a portion of the project is for trail grooming equipment purchase), a list of landowners and a copy of the land use agreement must be provided.

ELIGIBLE ACTIVITIES/PROGRAM BENEFIT REQUIREMENTS:
All projects funded under the Recreational Trails Grant Program must meet the following eligibility requirements:

- The proposed project must be legally and physically accessible to the public, or be a portion of an identified trailway project which, when completed, will be legally and physically accessible to the public;
- The proposed project must be physically and environmentally developable as a trailway;
- The proposed project must be planned and developed under the laws, policies and administrative procedures of the State; and
- The proposed project must be identified in or further one or more specific goals of the Statewide Comprehensive Outdoor Recreation Plan (SCORP) required by the Land and Water Conservation Fund Act of 1965, or the Statewide Trails Plan, as found at: http://nysparks.com/grants/forms-resources.aspx, or a local trails plan.

Funding under the Recreational Trails Grant Program is available for one or more of the following grant categories and project elements:

- **Maintenance and restoration of existing trails** may be interpreted broadly to include any kind of trail maintenance, restoration, rehabilitation, or relocation. This category may include maintenance and restoration of trail bridges or providing appropriate signage along a trail.
- **Development and rehabilitation of trailside and trailhead facilities and trail linkages for recreational trails** may be interpreted broadly to include development or rehabilitation of any trailside and trailhead facility. The definition of "rehabilitation" means extensive repair needed to bring a facility up to standards suitable for public use (not routine maintenance). Trailside and trailhead facilities should have a direct relationship with a recreational trail; a highway rest area or visitor center is not an appropriate use of RTP funds.
- **Purchase and lease of recreational trail construction and maintenance equipment** includes purchase and lease of any trail construction and maintenance equipment, including lawn mowers and trail grooming machines, provided the equipment is used primarily to construct and maintain recreational trails. This provision does not include purchase of equipment to be used for purposes unrelated to trails. For example, a lawn mower purchased under this program must be used primarily for trail and trailside maintenance, not to maintain open lawn areas or sport fields.
- **Construction of new recreational trails** includes construction of new trail bridges or providing appropriate signage along a trail. In the case of new recreational trails crossing Federal lands, construction of the trails shall be:
    - permissible under other law;
    - necessary and recommended by a Statewide Comprehensive Outdoor Recreation Plan (SCORP);
    - approved by New York State Office of Parks, Recreation and Historic Preservation (OPRHP); and
    - approved by each Federal agency having jurisdiction over the affected lands under such terms and conditions as the head of the Federal agency determines to be appropriate, except that the approval shall be contingent on compliance by the Federal agency with all applicable laws, including the National Environmental Policy Act of 1969 (42 U.S.C. 4321 et seq.), the Forest and Rangeland Renewable Resources Planning Act of 1974 (16 U.S.C. 1600 et seq.), and the Federal Land Policy and Management Act of 1976 (43 U.S.C. 1701 et seq.).
- **Acquisition of easements and fee simple title to property** is self-explanatory. This category may include acquisition of old road or railroad bridges to be used as recreational trail bridges. However, §206(g)(1) prohibits condemnation of any kind of interest in property. Therefore, acquisition of any kind of interest in property must be from a willing landowner or seller.

- **Assessment of trail conditions for accessibility and maintenance** authorizes specific projects to assess trails to determine the level of accessibility for people who have disabilities, to develop programs to provide trail access information, and to assess trails for current or future maintenance needs.

ALLOWABLE COSTS:
All expenditures under these grants must be for goods and services procured in a manner so as to assure the prudent and economical use of public money in the best interests of the taxpayers of the State of New York, to facilitate the acquisition of goods and services of maximum quality at the lowest possible cost under the circumstances, and to guard against nepotism, favoritism, improvidence, extravagance, fraud and corruption. Such procedures may include, but are not limited to, competitive bidding, the solicitation of three price quotes, written requests for proposals, etc.

Eligible budget items include:
Pre-Development, Planning and Design

- **Design Fees** and **Other Professional Fees** are allowed for the preparation of construction documents and to satisfy other pre-construction requirements. Upon approval, planning and environmental assessment costs incurred prior to project approval may be credited toward the non-Federal share cost of the project, limited to costs incurred not more than 18 months prior to project approval. Pre-development costs **should not exceed 15% of the construction costs**. **Administrative costs are not eligible**.
- **Archeology** includes field work, report writing, curation of artifacts and interpretation. If you cannot document prior ground disturbance, it is very likely that an archeological survey will be required prior to any work on the project. Your budget should take into account the need for an archeological survey. Contact your Regional Grant Administrator (RGA) to determine the need and anticipated costs for archeology.
- **Project Planning** is only permitted for projects that assess trail conditions to determine the level of accessibility for people who have disabilities, and to assess trails for current or future maintenance needs. Additional planning costs are not eligible.

Development

- Include only work items related to new development or restoration related to this grant application.
- Include only the costs pertaining to construction and rehabilitation that are directly related to recreational trails and trailside amenities. Where applicable, the budget should identify which costs are for trail clearing, gravelling/paving, bridge work, installation of gates, signs, or other trail-side amenities.

Acquisition of Land

- Provide a breakdown for each parcel showing the type of interest acquired (fee-simple, lease, easement, etc.) and method of acquisition (purchase, donation), number of acres and estimated Fair Market Value of the parcel(s) as determined by a qualified appraiser. **A written estimate of value (windshield appraisal/market valuation) for each acquired parcel must be included**.
- Also include **Appraisals, Surveys, and Legal Fees** under this category. If a grant is awarded, the value of each parcel must be established by a full, detailed (self-contained appraisal), the standards for which can be found at http://nysparks.com/grants/forms-resources.aspx. For any parcel valued at $300,000 or more, two full, detailed (self-contained) appraisal reports are required.

Purchase/Lease of Equipment

- Equipment is defined as tangible, non-expendable personal property having a useful life of more than one year and an acquisition cost of $5,000 or more per unit. Equipment purchased with grant assistance shall be used in the project or program for which it was acquired as long as needed, then may be used for other activities or disposed of in accordance with federal standards.

- **Provide a written estimate and photos (originals or examples from catalogs or brochures) of the type of equipment being purchased or leased**.

INELIGIBLE COSTS:

- **Condemnation** of any kind of interest in property or the use of value of condemned land toward the match requirement;
- **Construction of any recreational trail on State or Federal land for any motorized use** unless:
    - Such uses are legally permissible on such lands, and
    - Such construction is consistent with the management direction in the approved land and resource management plan;
- Upgrading, expanding, or otherwise facilitating **motorized use or access to recreational trails predominantly used by non-motorized recreational trail users** and on which, as of May 1, 1991, motorized use was prohibited or had not occurred.
- The performance of any **Trail Feasibility Study**
- Routine **Law Enforcement**
- **Trail Planning**, if it is the sole purpose of the project. Trail planning costs may be allowed if it is a relatively small portion of an overall trail project.
- **Railroad rights-of-way on which the railroad tracks are in place**, if trail users will traverse on or between the railroad tracks, except for providing a railroad crossing in coordination with the railroad owner, operator, and State agency with jurisdiction over the railroads.
- Improvements to **roads and/or bridges** intended to be generally accessible by low clearance passenger vehicles (regular passenger cars), unless they are specifically designated for recreational trail use by the managing agency
- **Paths or sidewalks** along or adjacent to public roads or streets unless the path or sidewalk is needed to complete a missing link between other recreational trails
- Federally designated **Wilderness areas** are subject to the restrictions of the Wilderness Act (16 U.S.C. 1131)

MATCHING SHARE (APPLICANT SHARE) REQUIREMENTS:

This grant program is administered on a reimbursement basis. Successful applicants will be expected to fund project expenditures upfront, and then submit for reimbursement. Applicants must plan their financial arrangements accordingly.

Successful applicants are reimbursed for up to 80 percent of their eligible expenditures. The reimbursement rate for awarded grants will be determined by the grant award/total cost ratio, which in some cases may be lower than 80%. Note: If the applicant is another Federal agency, the total federal share may not exceed 95%. After the grant award is made, the applicant is responsible for any increases in the total cost of the project. Successful applicants must be prepared to fund the cost of the project and then submit for reimbursement.

- **Cash**: Includes grants other than this grant request.
- **Force Account** (Payroll of applicant): Itemize according to job title or job assignment (on project). At the time of the reimbursement request, grant recipients will be required to document time worked, tasks, pay ratio and payment (including components and percentage of fringe benefit rate). Note: Fringe benefit rate cannot exceed the Federal rate for that fiscal year.
- **Professional Services**: The value of services provided by professional and technical personnel and consultants.
- **Supplies and Materials**: The value of items warehoused (not yet installed) with current market prices at the time they are obtained.

- **Volunteer Labor**: Skilled and professional labor can be computed at the job rate. The value for labor (unskilled labor and work performed by professionals or skilled laborers in an area outside of their area of expertise) of an adult (18 and over) donating time to a project may be computed up to the amount indicated for New York State at http://www.independentsector.org/volunteer_time. (For example, a lawyer donating legal services may compute the value based on the standard billing rate, but the value for the same lawyer donating time painting walls will be calculated up to the amount identified as the Value of Volunteer Time for New York State.)
- **Equipment Usage/Donation**: Compute the value according to its fair market rental value in project location.
- **Real Property**: The value of all property acquired or donated.

PRE-APPLICATION REQUIREMENTS:
The following documentation will be required with the application. See also the Attachment Checklist at http://www.nysparks.com/grants/consolidated-funding-app.aspx which also lists supporting documentation that is requested but not required:

For All Applicants:
- **State Environmental Quality Review Act (SEQR) compliance documentation** – Not-for-profits must fill out the Environmental Review Form available at http://nysparks.com/grants/consolidated-funding-app.aspx. Municipalities must document or describe where they are in the SEQR process.
- **National Environmental Policy Act (NEPA) compliance documentation –** ALL applicants must fill out the Environmental Survey and Supplemental Information Checklist forms available at http://nysparks.com/grants/consolidated-funding-app.aspx.
- **Photos showing the project area and/or equipment to be purchased**
- **1:24,000 scale topographic or planimetric map with the subject property circled**
- **Land Ownership/Land Use Agreement documentation**

For Not-For-Profit Applicants:
- A resolution of municipal endorsement, passed by the governing body of the municipality in which the project is located, which stipulates the approval/endorsement of the application. See a sample of an acceptable resolution of municipal endorsement at http://www.nysparks.com/grants/consolidated-funding-app.aspx. (If the project is for equipment purchase ONLY, this endorsement is not required.)
- **Documentation of Registration and Pre-Qualification** with the **Grants Gateway** to include: **Document Vault Identified (i.e. , GDV-XXXXX-XXXX)** and the **State Pre-Qualification Application Status Report**. Information on this process is available at http://www.grantsreform.ny.gov/Grantees.

For Property Acquisition Projects
- For projects that include **land acquisition, a written estimate of value** (windshield appraisal/market valuation) for each acquired parcel is required within the application.
- Describe the status of purchase negotiations and document the **owner's intent to sell** (signed purchase contract, option agreement, or letter of intent).

For Projects That Include The Purchase Or Lease Of Equipment
- For projects that include purchase or lease of equipment, a written estimate for the type of equipment being purchased or leased is required with the application.
- Applicants purchasing trail grooming vehicles and mechanized equipment primarily constructed with steel or iron must comply with Buy America requirements or must request a waiver. See

FHWA's Notice of Buy America Waiver Request webpage for information: http://www.fhwa.dot.gov/construction/contracts/waivers.cfm

- If the project is for the acquisition of **motorized** grooming or trail maintenance equipment for use on any State Land, a signed statement by the agency or jurisdiction certifying that the use of such equipment (specific to the type and size being purchased with this grant) on state land is consistent with the policies and management plan for such property must be submitted.

SUCCESSFUL APPLICANT REQUIREMENTS:

Successful applicants are advised NOT to begin work until a project contract has been fully executed. Proceeding without advance OPRHP approval will jeopardize grant reimbursement. Certain conditions of award must be met before a contract can be executed with the applicant/grantee. These will include:

- Submission of a signed authorizing resolution that names the contact for the grant and authorizes that contact to enter into and execute a contract with the State
- Registration in the Grants Gateway
- For not-for-profit grantees
    - Maintenance of pre-qualification status in the Grants Gateway
    - Documentation of coverage or exemption for Workers' Compensation and Disability Insurance
    - Being current with pertinent filings under Section 501 of the United States Internal Revenue Code and the following New York State Laws, as applicable: Article 7-A of the Executive Law; Section 8-1.4 of the Estates, Powers and Trusts Law; Section 1508 of the Not-for-Profit Corporation Law; or Section 215 of the Education Law
    - Valid Vendor Responsibility Questionnaire
- Environmental and historic preservation reviews. Including archeological review. Archeology is required in any project that will result in any ground disturbance and must be included in the project budget.

Grant contracts will require that prior to commencement of project work, certain procedures must be followed and documentation provided, including:

- Completion of, and NYSDOT concurrence on Design Report documents including plans, specifications, and Right of Way (ROW) Certificate
- NYSDOT concurrence with National Environmental Policy Act (NEPA) and the Endangered Species Act.
- Compliance with Buy America provisions
- OPRHP concurrence on bidding documents, competitive bidding, Equal Employment Opportunity (EEO), and solicitation of Disadvantaged Business Enterprises (DBEs) may be required prior to start of work depending on the type of project. These requirements will be stipulated in the project contract.
- Projects that involve construction or alteration to any building or structure will require stamped plans and specifications by a licensed professional.
- Any permits required from agencies such as the NYS Department of Environmental Conservation (DEC) or the US Army Corps of Engineers (COE) must be approved before construction begins.

Long term protections are required under this grant program:

- Permanent conservation easements must be granted to the State for any not-for-profits acquiring land for recreation or conservation purposes
- Municipal parkland acquired or developed for trail purposes may be subject to the "6f" requirements of the Land and Water Conservation Fund, which forbid conversion to a use other than recreational
- The Recreational Trails Program prohibits the use of grant funds to accommodate motorized use on trails that have been predominantly used by non-motorized trail users prior to May 1, 1991. All

applicable requirements will be specified in the project contract for an awarded grant project. Please contact your regional grant administrator for information on how these and other applicable statutes may impact your project.

Project costs will be eligible for reimbursement only if grant work meets State and Federal standards and the expenditures are made in compliance with State and Federal requirements, including, but not limited to:

- Compliance with several Federal, State and OPRHP mandates is required, including, but not limited to: SEQR and NEPA environmental reviews, appropriate building codes, the Americans with Disabilities Act, State Labor Law (including prevailing wage), General Municipal Law, Workers Compensation Law, Single Audit Act, Uniform Relocation Assistance and Real Property Acquisition Policies Act, and Section 106 of the National Historic Preservation Act.
- Successful grantees are expected to submit a payment request within ten months of the federal approval date and at least annually thereafter until the project is completed.
- Municipalities are subject to the terms provided for in Section 103 of the General Municipal Law. All purchase contracts involving an expenditure of more than twenty thousand dollars ($20,000) shall be awarded to the lowest responsible bidder after advertisement for sealed bids in the manner provided for in Section 103 of the General Municipal Law.
- Nonprofit organizations are to follow the procurement procedures in 49 CFR 19.40 et seq. All procurement transactions shall be conducted in a manner to provide, to the maximum extent practical, open and free competition. Regardless of equipment cost, awards shall be made to the bidder or offer or whose bid or offer is responsive to the solicitation and is most advantageous to the recipient, price, quality and other factors considered.

For projects that involve properties listed on or eligible for the State/National Register, all work undertaken as part of a grant-assisted project must conform to the Secretary of the Interior's Standards and Guidelines for Archaeology and Historic Preservation. http://www.nps.gov/tps/standards.htm

OPRHP staff will conduct periodic inspections, including a final inspection of the project and post completion inspections to ensure the public benefit is maintained.

FUNDING PRIORITIES:
Priority projects are those that clearly demonstrate and document:

- Opportunities for the expansion or growth of an existing trail or network, or the development of new trail-to-trail linkages
- New or improved connectivity between recreational resources, population centers, commercial or cultural destinations
- The creation of high quality trail facilities designed to meet the recreational needs of a community
- The advancement of New York Rising or the Opportunity Agendas of the Regional Economic Development Councils
- Sound administrative infrastructure/reasonableness of costs, including demonstration of project planning, administrative structures and a budget that reflects fiscal prudence and readiness to proceed
- A high level of community support, public involvement, or volunteer labor in the planning, pre-development, or project implementation phases.

SELECTION CRITERIA:
Each application will be reviewed for eligibility and, if determined eligible, will be rated according to the Grant Selection Criteria. Within each region, applications are ranked according to funding category. In selecting which top-ranked projects will get funded, the Commissioner factors in conformance to the mandated spending requirements (Program Mandates). It is not expected that all categories will be funded in all regions.

When award recommendations are finalized, OPRHP submits recommended projects to the Federal Highway Administration for approval. Grant awards are contingent upon federal approval. The Grant Selection Criteria are:

A. Project provides for innovative recreational trail corridor sharing for motorized and/or non-motorized use. (Maximum points = 5)
   Key Consideration: The most important concern is that two or more uses are compatible and provide a safe recreational experience for all users.
   - (5) Project involves two or more trails in the same corridor that accommodate both motorized and non-motorized trail uses.
   - (4) Project involves two or more trails in the same corridor that accommodate either motorized or non-motorized trail uses.
   - (3) Project involves one trail with motorized and non-motorized concurrent uses.
   - (2) Project involves time sharing of the trail other than on a seasonal basis.
   - (1) Project involves seasonal time sharing of the trail.
   - (0) Criterion is not applicable.

B. Project provides for motorized and/or non-motorized use that will enhance the quality and quantity of recreational trail opportunities. (Maximum points = 5)
   Key Consideration: An important consideration is that this project will enhance the quality and quantity of recreational trail opportunities available in the community or region.
   - (5) Project provides for motorized and non-motorized use for both summer and winter activities
   - (4) Project provides for motorized and non-motorized use for either summer or winter activities
   - (3) Project provides either motorized or non-motorized use for summer and winter activities
   - (2) Project provides either motorized or non-motorized use for either summer or winter activities

C. Project provides development of urban trail linkages. (Maximum points = 4)
   Key Consideration: An important consideration is that this project will improve the quality and quantity of recreational experiences and/or offer alternative methods of transportation from communities to recreational, shopping, work or public places.
   - (4) Project meets all of the following:
     - (a) Project provides linkage to other trail opportunities in urban areas
     - (b) Project provides linkage to recreational areas, residential communities work or shopping places, schools, parks, etc. (public places) in urban areas
     - (c) Project is located in a census defined Standard Metropolitan/Micropolitan Statistical Area (SMSA)
   - (3) Project will meet two of the above criteria
   - (2) Project will meet one of the above criteria
   - (0) Project does not meet any of the above criteria

D. Project is identified as a component of a statewide or national trails system, or furthers a specific goal of SCORP or the Statewide Trails Plan or a local trail plan. (Max. points = 5)
   Key Consideration: The degree to which the project is clearly identifiable as a priority for action, ties in with specific goals, priorities and implementation strategies, and/or complies with identified needs of the area.
   - (5) Project is a component of a statewide or national trail system (i.e., National Scenic, Historic or Recreational Trails, Millennium Trails, Hudson River Valley Greenway, Heritage Areas, Canal Recreationway or State Snowmobile Plan) as identified in SCORP or the Statewide Trails Plan.
   - (4) Project furthers a specific goal of a regional trail plan referenced in the Statewide Trails Plan or SCORP.

(3) Project furthers a specific goal of a local trail plan referenced in regional or local planning documents.

E. Index of Need – based on the "Relative Index of Needs" table in SCORP. (Max. points = 5)
Key Consideration: The project satisfies county recreation needs based on a statewide supply and demand assessment.
(1 – 5) points based on the average SCORP Index of Need table for trail activities.

F. Citizens were/will be involved in proposal conception and implementation. (Maximum points = 3)
Key Consideration: The major concern is that this project is responding to citizen-identified needs and shows evidence of citizen support.
(1-3) Citizens or community groups where the project is located have participated in the planning of the project, demonstrated support for the project and/or will be involved in project implementation.

G. Project ties into other trails; greenways; scenic corridors; or natural, cultural, historical and recreational areas. (Maximum points = 4)
Key Consideration:
(a) Project ties into the Hudson River Greenway Trail or another major greenway
(b) Project ties into a designated scenic corridor of National, State or regional significance
(c) Project ties into other trails
(d) Project links natural, cultural, historic or recreation areas or resources
(4) Project will meet three of the above criteria
(3) Project will meet two of the above criteria
(2) Project will meet one of the above criteria
(0) Project does not meet any of the above criteria

H. Volunteer labor, non-traditional labor and other certified donations will be used to accomplish this project. (Maximum points = 6)
Key Consideration: The major concern is that the project will facilitate community involvement in the development of trail opportunities through volunteer labor or other non-traditional labor and/or through the donation of land, equipment or materials.
(a) Land Donations:
(3) points 40+% of total project cost
(2) points 25-39% of total project cost
(1) points 10-24% of total project cost
(b) Equipment, labor and/or material Donations:
(3) points 40+% of total project cost
(2) points 25-39% of total project cost
(1) points 10-24% of total project cost

I. Project will utilize existing corridors (railroad right-of-way, canal towpath, utility lines, publicly owned river valleys or highland ridges, parkways, etc.). (Maximum points = 3)
Key Consideration: The major concern is to maximize the use and maintain the integrity of existing corridors.
(3) The project will utilize an existing corridor
(0) The project will not utilize an existing corridor

J. Project will improve the continuity of a trail system. (Maximum points = 4)
Key Consideration: The concern is to encourage the expansion and integration of trails.
NON-MOTORIZED USE (Non-Motorized Single and Non-Motorized Diverse Categories)

(4) Project is part of a trail system over 10 miles in length
(3) Project is part of a trail system 5-10 miles in length
(2) Project is part of a trail system less than 5 miles in length

MOTORIZED USE (Motorized Single, Motorized Diverse and Diverse Categories)
(4) Project is part of a trail system over 50 miles in length
(3) Project is part of a trail system 5-50 miles in length
(2) Project is part of a trail system less than 5 miles in length

K. Project budget is reasonable, justified and cost-effective. (Maximum points = 18).
Key Consideration: Points are determined by assessing the completeness of the budget for the project, the eligibility and need for the cost items as well as their cost-effectiveness.
(0-3 points) A complete budget containing all details requested in the Request for Applications and in the application
(0-15 points) A budget with eligible and necessary cost estimates that are cost-effective and do not contain extraneous expenses

L. Project addresses federal program initiatives: (Maximum points = 6)
(2) Project utilizes Youth Conservation or Service Corps (information on National Association of Service and Conservation Corps can be found on www.nascc.org)
(2) Project clearly and specifically provides enhanced recreational access for persons with disabilities
(2) Innovative project to mitigate and or minimize impacts to significant environmental resources

M. The advancement of New York Rising or the Opportunity Agendas of the Regional Economic Development Councils (0-2)

N. Regional Economic Development Council Assessment (0-20)

O. Statewide Assessment Factors (Maximum 10 points)
The Commissioner may award any of the following factors up to ten points. All applications will be reviewed for the relevance of these to the project scope:

A. Geographic Distribution. Consideration may be given to projects in areas that have or have not received funding in recent cycles or where funding is not commensurate with the population of the area. This will be based on the proximity to other funded sites and the diversity of projects being funded on a regional and local basis, as well as the service area of the developed or planned facilities.

B. Maximize Use and Accessibility. Consideration may be given to projects where funding will allow underutilized facilities to be accessed or to develop underutilized resources for public use. This will be based on the resources offered by the facility, the use of those resources and whether the proposed project will help the facility expand and enhance its public use.

C. Special Engineering, Environmental, Preservation Benefits. Consideration may be given to develop particularly significant resources and facilities or to develop innovative approaches to preserve valuable resources. This will be based on the type of resource being developed or rehabilitated; its rarity on a local, regional, statewide and national basis; the ability of an innovative technology to address an emergency or mitigate future problems; how well a technology can be "exported" for use on other properties and resources; and how/if the project will allow public access that would not otherwise be available.

D. Past Performance. Consideration may be given to how timely an applicant completed previous projects, including its reporting requirements; how successful it was in outreach, especially to minority- and woman-owned businesses; the ongoing upkeep and maintenance of the property; and its cooperation in allowing OPRHP to complete inspections and other follow-up activities.

TOTAL (0-100)

AWARD CRITERIA DETAILS

- LIMITATIONS: There is no statutory limit on the number of grants one property or one applicant may receive, but in the interest of equity and fairness and in consideration of applicant capacity, applicants that have three or more open grants with OPRHP should not receive additional awards. There is an administrative cap of $200,000 for 2015 awards (minimum of $5,000). Should project costs increase post award, the grant award will not be adjusted upward.

- PROJECT TERM COMPLETION DATES: Certain conditions of award must be met before OPRHP can execute a contract with successful applicants. This includes submission of a signed authorizing resolution that names the contact for the grant and authorizes that contact to enter into and execute a contract with the State, and environmental and historic preservation reviews (including archeological review). Once a contract is executed, all projects must be completed within five (5) years from date of federal approval. Successful grantees are expected to submit a payment request within ten months of the federal approval date and at least annually thereafter until the project is completed. OPRHP will monitor the progress of project work and will recapture awarded funds if significant progress is not being made, lacking compelling justification. Significant progress includes such tasks as retaining consultants, purchasing equipment, executing contracts, initiating construction, submitting payment requests or other tasks required to complete project work pursuant to timeframes established in the grant contract. Any work accomplished and paid for will be subject to all provisions of the contract.

ADDITIONAL RESOURCES:
Go to http://www.nysparks.com/grants/consolidated-funding-app.aspx to view forms and resources, including the CFA Guidance Document, which contains additional instructions concerning attachments to the application. For more information, contact the NYS Office of Parks, Recreation and Historic Preservation (OPRHP) Regional Grants Administrator for your county (see list below).

Western New York Region
Noelle Kardos
Beaver Island State Park
2136 West Oakfield
Grand Island, NY 14072
(716) 773-5292, FAX (716) 773-4150
COUNTIES: Allegany, Cattaraugus, Chautauqua, Erie and Niagara

Central New York Region
Jean Egenhofer
Clark Reservation State Park
6105 East Seneca Turnpike
Jamesville, NY 13078-9516
(315) 492-1756, FAX (315) 492-3277
COUNTIES: Cayuga, Cortland, Madison, Onondaga and Oswego

Finger Lakes Region
Tom Livak
Allegany State Park
ASP Rte 1, Salamanca, NY 14779
(716) 354-9101, FAX (716) 354-2255
COUNTIES: Genesee, Livingston, Monroe, Ontario, Orleans, Seneca, Wayne, Wyoming and Yates

Mohawk Valley Region
Jean Egenhofer
Clark Reservation State Park
6105 East Seneca Turnpike
Jamesville, NY 13078-9516
(315) 492-1756, FAX (315) 492-3277
COUNTIES: Fulton, Herkimer, Montgomery, Oneida, Otsego and Schoharie

Long Island Region
Traci Christian
Belmont Lake State Park
PO Box 247
Babylon, NY 11702
(631) 321-3543, FAX (631) 321-3721
COUNTIES: Nassau and Suffolk

Southern Tier Region
Laurie Moore
2221 Taughannock Park Road
Trumansburg, NY 14886
(607) 387-7041, FAX (607) 387-3390
COUNTIES: Broome, Chemung, Chenango, Delaware, Schuyler, Steuben, Tioga and Tompkins

New York City Region
Merrill Hesch
NYS OPRHP
Adam Clayton Powell, Jr. State Office Building
163 West 125th Street, 17th Floor
New York, NY 10027
(212) 866-2599, FAX (212) 866-3186
COUNTIES: Bronx, Kings, New York, Queens and Richmond

Mid-Hudson Region
Erin O'Neil
NYS OPRHP
Taconic Regional Office
9 Old Post Road
Staatsburg, NY 12580
(845) 889-3866, FAX (845) 889-8321
COUNTIES: Dutchess, Orange, Putnam, Rockland, Sullivan, Ulster and Westchester

Capital Region
Danielle Dwyer
Saratoga Spa State Park
19 Roosevelt Drive
Saratoga Springs, NY 12866-6214
(518) 584-2000, FAX (518) 584-5694
COUNTIES: Albany, Columbia, Greene, Rensselaer, Saratoga, Schenectady, Warren and Washington

North Country Region
Sunshine Jenkins
Keewaydin State Park
Alexandria Bay, NY 13607
(315) 482-2593, FAX (315) 482-9413
COUNTIES: Clinton, Essex, Franklin, Hamilton, Jefferson, Lewis, and St. Lawrence

Waterfront Revitalization

Department of State - Local Waterfront Revitalization Program

Funding Available: Up to $17 million

Description:

The Department of State's Local Waterfront Revitalization Program provides 50:50 matching grants on a competitive basis to eligible villages, towns, cities, and counties (with the consent and on behalf of one or more villages, towns, cities) located along New York's coasts or designated inland waterways to revitalize communities and waterfronts through planning, design, and construction projects, with design and construction tied to prior planning (must have an approved Local Waterfront Revitalization Program or relevant component substantially completed). Construction projects also must be on public property, or where a permanent public interest, such as conservation easement, has been established. This is a reimbursement program.

Eligible Types of Applicants:

Eligible applicants are villages, towns, or cities, and counties (with the consent and on behalf of one or more towns, villages, or cities) which are located along New York's coasts or inland waterways designated pursuant to Executive Law, Article 42. A list of coastal water bodies and designated inland waterways is available at http://www.dos.ny.gov/funding/. Applicants may also partner with other organizations; however, only applications from eligible applicants will be evaluated for funding. If successful, all applicable procurement requirements must be met for such partnerships. Applications submitted by not-for-profit organizations (including, but not limited to, community-based organizations, neighborhood groups) and for-profit organizations are ineligible and will not be scored.

Eligible applicants working in partnership with neighboring municipalities to address regional land use, waterfront revitalization, community development, and resource and/or environmental issues or opportunities are encouraged to apply. Only the municipality identified as the applicant (one village, town, city, or county) will be awarded a contract.

- For general planning needed to advance any of the eligible activities listed below, an applicant must be a village, town, city, or county with the consent and on behalf of one or more towns, villages, or cities located along New York's coast or a designated inland waterway.
- For project-specific planning, feasibility, design, and/or marketing needed to advance eligible activities, an applicant must be a village, town, city, or county with the consent and on behalf of one or more towns, villages, or cities, currently preparing a LWRP or component, or with an approved LWRP or component.
- For construction of projects needed to advance eligible activities, an applicant must be a village, town, city with an approved LWRP or the relevant LWRP component substantially completed, or a county with the consent and on behalf of one or more eligible town, village, or city with an approved LWRP or relevant LWRP component substantially completed.

Applicants that have been awarded Department grants in the past should have demonstrated responsible contracting with the Department to be eligible for an award from this procurement.

Amendments cannot be made to the original contracted scope of work, for example, applicants that receive funding for general planning or for project-specific planning, feasibility, design, and/or marketing projects may use this funding for these purposes only.

Eligible Activities / Program Benefit Requirements:
Local Waterfront Revitalization Program Grant Funding will be available for program planning, feasibility, design, or marketing of specific projects, and construction projects, to advance the preparation or implementation of strategies for community and waterfront revitalization through the following grant categories:

- Preparing or Implementing of a Local Waterfront Revitalization Program
- Redeveloping Hamlets, Downtowns and Urban Waterfronts
- Planning or Constructing Land and Water-based Trails
- Preparing or Implementing a Lakewide or Watershed Revitalization Plan
- Preparing or Implementing a Community Resilience Strategy or Updating an LWRP to Incorporate Resilience Strategy
- Preparing or Implementing a Clean Transportation Strategy

Eligible Costs:
Costs must be adequately justified and directly support the project. Proposed total project costs must be essential to project completion. Grant funds may be used for the following costs:

- Personal Services – including direct salaries, wages, fringe benefits for activities related to project work by municipal employees and for grant administration for preparation of reports, vouchers and contract related administration required by the Department. Grant administration may not exceed 15% of the award amount or $50,000, whichever is less.
- Non-Personal Services – including supplies and materials, travel, equipment, consultant/contractual services for direct project related costs and limited grant administration, and other goods and services. Grant administration may not exceed 15% of the award amount or $50,000, whichever is less.

NOTE: Land acquired within three years prior to the contract start date or within the executed contract term may be used only as local match for construction projects (i.e., not to exceed 50% of the total cost of the project).

Ineligible Costs:
The following costs are ineligible costs and will neither be reimbursed with grant funds nor accepted as the required local match:

- Indirect or overhead costs of the municipality, such as rent, telephone service, general administrative support, computers, office equipment, general office supplies, general operations costs, membership fees, subscription costs
- Salaries and other expenses of elected officials, whether incurred for purposes of project direction, execution, or legislation. However, volunteer services contributed by these officials to the project may be used as local match, provided that such services are outside the performance of their official duties
- Fund raising events/expenses
- Federal assistance
- Other Environmental Protection Fund awards
- Land acquisition (except as noted above)
- Taxes, insurance, fines, deficit funding
- Contingency costs
- Lobbying expenses
- Costs incurred prior to the contract start date
- Costs that are not adequately justified or that do not directly support the project

These costs will be eliminated from the total project costs in the grant application.

Pre-Application Requirements:
None. However, Informational Public Workshops will be held (see below under additional resources).

Successful Applicant Requirements:

New York State Grants Gateway
Successful grant applicants will be required to register through the New York State Grants Gateway (http://grantsreform.ny.gov).

Standard Cost Reimbursement Contract
Each successful applicant must enter into a standard cost reimbursement contract with the Department of State which includes this Request for Applications, the successful applicant's proposal, an agreed upon work program, any other attachments or exhibits, and the standard clauses required by the NYS Attorney General for all state contracts including Attachment A along with Article 15-A of the New York Executive Law. All necessary municipal resolutions and certifications must be received prior to entering into contracts. The contract will be: 1) subject to approval by the Attorney General and State Comptroller; 2) required to submit final products in both hard copy and electronic format; 3) subject to payment only upon proper documentation and compliance with reimbursement procedures; and all other contractual requirements. (A copy of a standard contract along with Attachment A and Article 15-A is available from the Department.)

To ensure that funds are awarded to applicants that are ready to move forward, the Department of State reserves the right to rescind an award if the state contract is not signed and returned within a reasonable amount of time. There will be no contract advance available to grantees. Expenses incurred prior to the start date of the state contract cannot be reimbursed.

Compliance with Procurement Requirements
All contracts by municipalities for service, labor, and construction involving not more than $35,000 and purchase contracts involving not more than $20,000 are subject to the requirements of General Municipal Law §104-b, which requires such contracts to comply with the procurement policies and procedures of the municipality involved. All such contracts shall be awarded after and in accordance with such municipal procedures, subject to the Minority or Women-Owned Business Enterprise (MWBE) requirements as set forth below and any additional requirements imposed by the State as set forth in Attachment C of the Master Contract.

The municipal attorney, chief legal officer or financial administrator of the municipality shall certify to the Department of State that applicable public bidding procedures of General Municipal Law §103 were followed for all service, labor, and construction contracts involving more than $35,000 and all purchase contracts involving more than $20,000. In the case of contracts by municipalities service, labor, and construction contracts involving not more than $35,000 and purchase contracts involving not more than $20,000, the municipal attorney, chief legal officer or financial administrator shall certify that the procedures of the municipality established pursuant to General Municipal Law §104-b were fully complied with, in addition to the MWBE requirements.

The municipal attorney, chief legal officer or financial administrator for the municipality shall certify to the Department of State that alternative proposals and/or quotations for professional services were secured by use of written requests for proposals through a publicly advertised process. This certification will verify that the procurement requirements were met and ensure the prudent and economical use of public funds for professional services of maximum quality at reasonable cost.

Record Retention and Audits
The successful applicant shall establish and maintain, in paper or electronic format, complete and accurate books, records documents, receipts, accounts, and other evidence directly pertinent to its performance under Master Contract with the Department of State. Payment requests may be subject to periodic reviews. The successful applicant will be required to agree to produce and retain for the balance of the term of the Master Contract, and for a period of six years from the later of the date (i) the Master Contract and (ii) the most recent renewal of the Master Contract, any and all Records necessary to substantiate upon audit, the proper deposit and expenditure of funds received under the Master Contract. Such records may include, but not be limited to, original books of entry (e.g., cash disbursements and cash receipts journal), and the following specific records (as applicable) to substantiate the types of expenditures noted (i) personal service expenditures: cancelled checks and the related bank statements, time and attendance records, payroll journals, cash and check disbursement records including copies of money orders and the like, vouchers and invoices, records of contract labor, any and all records listing payroll and the money value of non-cash advantages provided to employees, time cards, work schedules and logs, employee personal history folders, detailed and general ledgers, sales records, miscellaneous reports and returns (tax and otherwise), and cost allocation plans, if applicable, (ii) payroll taxes and fringe benefits: cancelled checks, copies of related bank statements, cash and check disbursement records including copies of money orders and the like, invoices for fringe benefit expenses, miscellaneous reports and returns (tax and otherwise), and cost allocation plans, if applicable, (iii) non-personal services expenditures: original invoices/receipts, cancelled checks and related bank statements, consultant agreements, leases, and cost allocation plans, if applicable, (iv) receipt and deposit of advance and reimbursements: itemized bank stamped deposit slips, and a copy of the related bank statements.

Minority or Women-Owned Business Enterprise Participation
Applicants will be required to comply with and certify that the requirements of Article 15-A of the New York State Executive Law: Participation By Minority Group Members and Women With Respect To State Contracts by providing opportunities for MBE/WBE participation have been met and further certify that the applicant will maintain such records and take such actions necessary to demonstrate such compliance throughout the completion of the project. Article 15-A of the New York State Executive Law, as amended, authorized the creation of a division of Minority and Women's Business Enterprise Development to promote employment and business opportunities on state contracts for minorities and women. This law supersedes any other provision in state law authorizing or requiring an equal employment opportunity program or a program for securing participation by minority and women-owned business enterprises. Under this statute, State agencies are charged with establishing business participation goals for minorities and women. The Department of State administers a Minority and Women-owned Business Enterprises (MWBE) Program as mandated by Article 15-A. For purposes of this solicitation, the Department hereby establishes an overall goal of 30% for MWBE participation, 15% for Minority-Owned Business Enterprises (“MBE”) participation and 15% for Women-Owned Business Enterprises (“WBE”) participation (based on the current availability of qualified MBEs and WBEs).

Contract Period
Subject to the continued availability of funds in the budget, the contract period shall not exceed three years from the start of the project. No extensions are anticipated. The earliest start date of contracts is April 1, 2015. Special consideration for extensions due to extreme extenuating circumstances, will only be granted on a case-by-case basis. To ensure timely completion, the Department encourages submission of an application for a discrete phase (e.g. planning, design, construction) of a project.

Satisfactory Progress
It is imperative that the grant recipient complete the project as set forth in the agreed upon work program and individual monitoring plan. Failure to render proof of satisfactory progress or to complete the project to the satisfaction of the State may be deemed an abandonment of the project and may cause the suspension or

termination of any obligation of the State. Satisfactory progress toward implementation includes, but is not limited to, executing contracts and submitting status reports and payment requests in a timely fashion, retaining consultants, written certification of compliance with procurement requirements, completing plans, designs, permit applications, reports, or other tasks identified in the work program within the time allocated for their completion. The Department may recapture awarded funds if satisfactory progress is not being made on the implementation of a grant project. Applicants should not submit applications if they do not expect to initiate the project within a reasonable time period after receiving an executed contract and will not be able to complete the project within the time period cited in the application.

Other Grant Requirements for Construction Projects
Grant funded work must be done on public property or where there is a permanent public interest established, such as a conservation easement and must provide a direct benefit for the general public. Property where improvements are made must remain available to the public and provide direct public benefit for the intended useful life of the project. Property sold or transferred prior to the useful life may require that grant funds are returned to the Department.

Projects intended to be open to the public must be open to the general public and not limited to residents of the municipality receiving a grant. Signage to this effect must be provided at these sites.
It is required that project design and construction be undertaken under the supervision of an architect and/or engineer licensed to practice in the State of New York. In addition, proper certification from a licensed architect or engineer, as appropriate to the task, will be required for the preparation of designs and specifications and for the submission of as-built plans upon completion of the project.

Prior to the start of construction, the successful applicant will be required to install a sign satisfactory to the Department identifying the Department's funding of the project. The project sign will need to remain in place for the useful life of the improvements undertaken.

In addition to responsibility for compliance with local regulations, the grant recipient is responsible for complying with applicable State and Federal regulations, including, but not limited to:

- State Environmental Quality Review Act
- State Freshwater and Tidal Wetlands Acts
- US Army Corps of Engineer permits
- Coastal Erosion Hazards Areas Act
- Floodplain Management criteria
- State and Federal laws and regulations for Historic Preservation
- Coastal Zone Management Act (federal)

Grantees will be expected to provide quarterly reports, request reimbursement using forms provided by the Department, and complete a final project summary report and measurable results form.

Funding Priorities:
Projects that revitalize communities and waterfronts and also advance NY Rising Community Reconstruction Plans, regional strategies developed by the ten Regional Economic Development Councils, including Opportunity Agenda strategies, Global NY, or Veterans Initiatives.

Application Evaluation Criteria:
Applications will be reviewed according to the specific criteria presented below.

Minimum Criteria:
Eligible applicants are villages, towns, or cities, and counties with the consent and on behalf of one or more towns, villages, or cities which are located along New York's coasts or designated inland waterways. Failure to meet this criterion will result in immediate disqualification of the application, which will not be further evaluated.

Program Criteria:
Applications will be evaluated to assess the degree to which they meet the following program criteria:

- Vision (maximum of 4 points)
- Process (maximum of 8 points)
- Strategies (maximum of 28 points)
- Implementation (maximum of 20 points)
- Leveraging (maximum of 12 points)
- Performance Measures (maximum of 8 points)
- Evaluation of Budget and Cost (maximum of 20 points)

Regional Economic Development Council Endorsement:
Additional points (up to 20 points) may be given to grant proposals that are determined to advance strategic plans developed by the Regional Economic Development Council for the area where the project is located.

Award Method:
A total score of 100 points is possible for any application, of which up to 80 percent would be derived from program criteria and up to 20 percent from Regional Economic Development Council (REDC) endorsement. An unadjusted maximum score of 100 points is possible based on programmatic criteria. Averaged scores will be multiplied by 0.8 to arrive at an 80% programmatic score, or up to 80 points. To this programmatic score, up to 20 points will be added based upon the REDC endorsement score. REDC points are based on regional economic priorities.

The Department of State will fund the highest scoring applications until the allocated funds are exhausted. Regional distribution of grant proposals, information from interagency discussion, applicant's performance under previously awarded EPF LWRP grants, and consistency with the Smart Growth Public Infrastructure Policy Act will be factors used in determining successful grant proposals. Up to $17 million is anticipated for awards for this procurement.

Eligible Area, City, County Population Limits or Population Target Types:
Approximately $6,250,000 will be spent for projects which are in, or primarily serve, areas where demographic and other relevant data demonstrate that the areas are: densely-populated and have sustained physical deterioration, decay, neglect, or disinvestment, or where a substantial proportion of the residential population is of low income, or is otherwise disadvantaged and is underserved with respect to the existing recreational opportunities.

Matching Fund Requirements:
Local Match: State assistance awarded and paid shall not exceed 50% of the total eligible cost for the project. Match required is 100% of total grant award, based on total direct project costs. The total eligible cost of the project is the total of costs set forth in the grant application, less any federal assistance and other state assistance from the Environmental Protection Fund. In addition, the Environmental Protection Fund grants provided under this program may not be used as the local match for any federal grants without explicit permission from the Department. State assistance payments will be made to grant recipients based on actual expenditures for eligible costs up to the amount of the grant awarded.

Explicit demonstration of local match comprising 50% of the total project cost is required at the time of application. Failure to fully demonstrate this match (the amount, type and source) within the application may result in a reduced award amount or in the disqualification of the application.

Additional Resources:
The Request for Applications is available on the Department of State's website: http://www.dos.ny.gov/funding. Updates and/or modifications to the RFA, along with answers to written questions received, will be posted on the Department of State's website.

Pre-application workshops will be held at several locations around the State. The workshop schedule and further information are available at http://regionalcouncils.ny.gov/. All those who would like to have the application process explained or have process-related questions are encouraged to attend.

For general questions on this grant program, please contact Kenneth Smith, New York State Department of State, Office of Planning and Development, 99 Washington Avenue, Albany, Suite 1010, New York 12231, call (518) 474-6000, email: kenneth.smith@dos.ny.gov.

Canalway Grants Program

Funding Available: Up to $1 million

DESCRIPTION:

The "Canalway Grants Program" includes up to $1.0 million in competitive grants available to eligible municipalities, and 501(c)(3) non-profit organizations along the New York State Canal System. The minimum grant request amount is $25,000. The maximum grant request is $150,000. Grant administration and pre-development costs shall not exceed 10% of the grant award amount.

FUNDING PRIORITIES:

Priority will be given to projects are intended to further the goals and objectives of the NYS Canal Recreationway Plan and Regional Economic Development Councils Strategic Plans. The projects should preserve and rehabilitate canal infrastructure, enhance recreational opportunities for water-based and land-side users, promote tourism, economic development, and revitalization of the canal corridor and the corresponding region. Funding can be used to expand public access, increase recreational use, improve services for motorized and non-motorized boaters, increase visitation, and stimulate private investment along the NYS Canal System. Canal CFA projects are expected to offer a greater appreciation and understanding of canal and community history, and to promote the protection of environmental and historic canal resources. Additional consideration will be given to projects that also advance the New York Rising or the Opportunity Agendas of the Regional Economic Development Councils

ELIGIBLE TYPES OF APPLICANTS:

- Municipalities
- Not-for-profit Corporations

Not-for-profit corporations are subject to New York State's Not-For-Profit Corporation Law. In order to apply under this program, a not-for-profit corporation must have proof of incorporation (or equivalent document) from the NYS Department of State or NYS Board of Regents, a charities registration number from the NYS Office of the Attorney General, and proof of tax-exempt status under the IRS code.

ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:

Eligible canal capital projects include, but may not be limited to: constructing new buildings, vessels or structures; constructing additions or improvements which enlarge, expand, enhance or extend existing buildings, vessels or structures; new systems in existing buildings, vessels or structures (HVAC, plumbing, electrical, mechanical, propulsion); substantial renovations or preservation of existing buildings, vessels or structures, including reconfigurations (removal or construction of walls, ceilings and flooring, windows, window frames, hulls); site preparation and improvements associated with a project (excavation, demolition, roadways, sidewalks, exterior lighting, sprinkler systems, utility hook-ups); acquisition of furnishings, fixtures, machinery and equipment with a useful life in excess of five years; constructing or rehabilitating segments of Canalway Trail; constructing or rehabilitating docks or bulkeaheads for the purpose of public access to and from the Canal System; and/or hazardous waste clean-up associated with a project.

PRE-APPLICATION REQUIREMENTS:

Boundary Eligibility: Projects must be located along one of the four canals of the Canal System (Erie, Champlain, Oswego and Cayuga-Seneca), trail linkages or connections to existing Canalway Trail segments, or the historic canal alignment. See map and list of eligible communities at http://www.canals.ny.gov/community/grant-muni.html

Applicants must demonstrate a minimum of 50% match.

The applicant is responsible for obtaining all required permits and approvals from federal, state, and local agencies, such as the U.S. Army Corps of Engineers, NYS Department of Environmental Conservation and

NYS State Office of Parks, Recreation and Historic Preservation, and any others that may be required by the NYS Thruway Authority/Canal Corporation.

Please note that the New York State Canal Corporation is subject to the State Smart Growth Public Infrastructure Act (Chapter 433 of the Laws of 2010) and must, to the extent possible, make funding decisions consistent with the provisions of the Act.

SUCCESSFUL APPLICANT REQUIREMENTS:
For projects proposed by a municipality, the municipality will be lead agency for purposes of the State Environmental Quality Review Act (SEQRA) or will be responsible for initiating lead agency designation procedures, if there are other involved agencies. For new projects initiated after receipt of the grant award letter, the Canal Corporation shall be an involved agency. The municipality shall meet the procedural and substantive requirements of SEQRA and any other state, federal or local law, rules, regulations, ordinances, codes and requirements. For non-profit organizations, the Canal Corporation will determine whether it will proceed as lead agency, initiate the lead agency designation procedures or refer lead agency to the local municipality. If the project is a Type I or Unlisted Action, the Environmental Assessment Form will be required prior to contract for award. If a Determination of Significance has been established, documentation will be required prior to contract for award.

Grant funds will be provided on a reimbursement basis **ONLY**. Receipts, invoices and other documentation must meet the requirements of the Canal Corporation and the Office of the State Comptroller. Reimbursement will only be provided for projects or portions of a project initiated ***after*** the date of the grant award letter from the Canal Corporation. Projects may be initiated prior to receipt of the award letter, and ***matching expense*** documentation will be accepted for expenses up to one year prior to the date of the award letter, but reimbursement will ***only*** be provided for portions of the project initiated ***after*** the date of the award letter.
No reimbursement payments will be issued prior to final contract execution.

The Canal Corporation reserves the right to reallocate funding and grant awards based upon available funds and grant requests.

INELIGIBLE ACTIVITIES:

- Use of grant funds for land acquisition is prohibited (however the costs of acquisition may be used as a local match)
- Grant funds cannot be used to cover operating expenses

SELECTION CRITERIA: Each project will be rated with the following evaluation criteria. Criteria #1, Regional Council Endorsement will carry 20% weight and an independent weighting committee will assign weights for criteria 2 through 9. Final ranking of project applications will be based on a weighted scoring.

Vision and Regional Strategies

- Is the project endorsed by the corresponding Regional Economic Development Council?

- Is the project consistent with the goals and objectives of the NYS Canal Recreationway Plan? Does it enhance an existing harbor, service port, lock project or the Canalway Trail, or improve public access to the Canal System and Canal related amenities?

- Is the project consistent with regional or intermunicipal plans, including NYS Department of State "Local Waterfront Revitalization Program" (LWRP), Erie Canalway National Heritage Corridor Management Plan, NYRising Community Plans, Global NY Regional Strategies, Opportunity Agenda, or other regional and local plans?

Public/ Stakeholders:

- Is widespread support from residents and other canal stakeholders demonstrated in the application?

Financial Viability

- Is the project budget reasonable and clearly defined?

Innovation/Effectivesness

- Will the project increase canal visitation and/or participation in canal related activities?

- Does the project support celebration of the bicentennial of the Erie Canal between 2017 and 2025 and/or will it enhance efforts to recognize the significance and rich heritage of the Erie Canal in the years following the Bicentennial?

- Does the project protect or enhance historic and natural resources of the Canal System?

Implementation

- Does the proposal reflect a reasonable and achievable timeframe for completion including project milestones and identification of parties responsible for project oversight?
- Does the proposal define a reasonable and achievable strategy for the long term operation and maintenance of the project?

AWARD CRITERIA DETAILS:
A 50% match will be required on all grants and must be fully documented according to the requirements of the Canal Corporation and the Office of the State Comptroller.
Principal types of applicant share are:

Cash: Includes grants other than this grant request.

Force Account (Payroll of applicant): Itemize according to job title or job assignment (on project). At the time of the reimbursement request, grant recipients will be required to document time worked, tasks, pay ratio and payment (including components and percentage of fringe benefit rate).

Professional Services: The value of services provided by professional and technical personnel and consultants. Three-year retroactivity applies.

Supplies and Materials: The current market value of items warehoused (not yet installed). Three-year retroactivity applies; use value current at time items were obtained.

Volunteer Labor: Skilled and professional labor can be computed at the job rate. The value for labor (unskilled labor and work performed by professionals or skilled laborers in an area outside of their area of

expertise) of an adult (18 and over) donating time to a project may be computed up to the amount identified as the Value of Volunteer Time for New York State at http://www.independentsector.org/volunteer_time (For example, a lawyer donating legal services may compute the value based on the standard billing rate, but the value for the same lawyer donating time painting walls will be computed up to the amount identified as the Value of Volunteer Time for New York State).

Equipment Usage: Compute the value according to its fair market rental value in project location.

Real Property: The value of all property acquired, donated or converted from other purposes should be included in the project schedule. One year retroactivity applies to all three categories.

Canal Corporation assistance toward the costs of the project shall not exceed 50% of the approved project cost. The Canal Corporation shall not be responsible for any increases in the total project costs beyond the grant approval amount indicated in the award letter from the Canal Corporation. Qualifying match types include in-kind services, federal funding, other state funding, donated services or volunteer labor, force account (paid labor), supplies, materials and land acquisition (however, grant funds CANNOT be used for land acquisition.) Donated professional services should be valued at the prevailing hourly rate with overhead costs.

Maintenance and operation of facilities receiving grants will be the responsibility of the applicant. All successful applicants will be required to enter into a formal contract and agree to other legal documents with the Canal Corporation to ensure the long term protection of the property and also restrict changes in the use of the property. A preservation covenant or conservation easement must be conveyed for work involving historic resources.

The liability for projects constructed, owned and maintained by awardees on real property not under the jurisdiction of the Canal Corporation will remain with the grant awardees. Projects on Canal Corporation real property must be designed and constructed with Canal Corporation approval and in accordance with engineering and design standards of the Canal Corporation. Projects must provide for public safety and must not interfere with canal operations or navigation. Projects will be required to meet all applicable insurance requirements. Trail projects must be built according to the AASHTO guidelines for the development of bicycle facilities (2012).

Projects on Canal Corporation real property may require the purchase, lease or permitting of the real property from the Canal Corporation, in accordance with all applicable laws and regulations and the Canal Corporation's "Canal Real Property Management Policy" and standard operating procedures.
Project plans must be reviewed and approved by the Canal Corporation before advertisement or contract letting.

All work undertaken as part of a grant-assisted project that involves properties listed or eligible for the State/National Historic Register must conform to the Secretary of the Interior's Standards and Guidelines for Archeology and Historic Preservation. (See www.nysparks.state.ny.us/shpo)
All projects must comply with all applicable local, state and federal laws, rules, regulations, requirements, ordinances and codes.

ADDITIONAL RESOURCES: For more information eligible applicants should contact the New York State Canal Corporation, 200 Southern Boulevard, Albany, NY, call 518-436-3055 or go to http://www.canals.ny.gov.

Energy

NYSERDA Energy Efficiency Programs

Funding Available: Up to $50 million available

NYS Energy Research and Development Authority - Flexible Technical Assistance

DESCRIPTION:
Program provides eligible New York State commercial, industrial, and institutional end users with objective and customized engineering analysis to help make informed energy decisions.

ELIGIBLE TYPES OF APPLICANTS:
FlexTech is funded through the Energy Efficiency Portfolio Standard (EEPS) on a first-come, first served basis until funds are exhausted. Eligible Applicants are New York State electricity or gas distribution customers of a participating utility company, who pay into the System Benefits Charge (SBC). The SBC may be a line item on the customer's utility bills.

Eligible Applicants include, but are not limited to:

- Commercial Facilities
- Industrial Facilities
- Public and Private K-12 schools
- Colleges and Universities
- Healthcare Facilities
- Agricultural Facilities
- Municipalities (Local Government)
- State Agencies & Government
- Not-for-profit Corporations

ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:
Customers who are in need of a service provider may choose from NYSERDA's FlexTech Consultant list comprised of firms under NYSERDA contract who have been competitively selected to provide technical services across the state. The current list of FlexTech Consultants is available on NYSERDA's website at www.nyserda.ny.gov/flextech Alternatively, customers may select their own service provider. Potential service providers include, but are not limited to: ESCOs, energy consultants, and engineering companies.

Eligible study categories include:

- Energy Feasibility Studies — Studies and customized recommendations for the energy consuming systems at your facility that align with your business goals.
- Master Planning — Ongoing identification of energy opportunities for your business. Services include energy, carbon and sustainability master planning, long-term energy management support, and RFP preparation.
- Industrial Process Efficiency — Studies focusing on increasing productivity while improving energy performance. The findings of these studies help your company define and reduce energy use per unit of production.

- Data Centers — Assess energy efficiency and reduce energy and carbon impacts in your data center support systems. Includes items such as system upgrades or replacement, server virtualization, and redundancy optimization.
- Retro-commissioning — Systematic process to determine how well building systems perform interactively to meet the operational needs of owners and occupants.
- Combined Heat and Power — Study to investigate the feasibility of installing gas-fired combined heat and power at your site.
- Peak-load Reduction and Load Management — Develop comprehensive protocols that allow customers to respond to curtailment calls from the New York Independent System Operator (NYISO) during periods of New York electrical system capacity constraints.
- Farm Energy Audits: Energy feasibility studies that provide farmers with cost effective, energy efficiency opportunities for their farm process.

PRE-APPLICATION REQUIREMENTS:
Customers must be contributing to the SBC. Work conducted prior to scope of work receipt is not eligible for cost-sharing.

SUCCESSFUL APPLICANT REQUIREMENTS:
Successful Applicants will work with NYSERDA staff, their NYSERDA FlexTech Consultant, or chosen service provider, to develop a detailed and site specific scope of work. This scope of work will then be reviewed and approved by NYSERDA. Please contact NYSERDA for scope of work requirements.

Upon NYSERDA approval of the scope of work, NYSERDA will issue a Purchase Order for the project. Applicants may begin study execution upon NYSERDA's receipt of the scope of work at their own risk. Cost-share funds are not committed until the application and scope of work are approved and a Purchase Order is issued.

The draft final report will then be developed and submitted to NYSERDA for review and comment. Please contact NYSERDA for final report requirements. Upon NYSERDA approval of the final report, final payment may be issued.

FUNDING PRIORITIES:
Eligible applications are accepted on a first-come, first served basis until funds are exhausted.

INELIGIBLE ACTIVITIES:
- New facilities or those that have undergone substantial renovations, which have not been occupied for more than one year are not eligible for funding.
- Whole building, new construction, or new equipment commissioning is not eligible for funding under this program.
- Detailed engineering design is not eligible for funding under this program.
- Applications seeking funding for single, multifamily, or Publicly Assisted Housing are not eligible under this program, but may apply under NYSERDA's Residential Energy Affordability programs.
- Applications seeking funds to support the sale or distribution of energy are not eligible for funding under this program except as defined in NYSERDA's CHP requirements.
- Equipment purchases are not eligible for funding under this program, except for metering equipment, software costs, and other data collection hard costs. To be eligible for funding, the equipment must be a necessary component of the funded study. Please refer to PON 1746 for additional information.
- No service provider may apply for more than 25% of the funds available under this program.
- Power quality, power factor, and power conditioning studies are not eligible for funding under this program.

- Utility billing error analysis is not eligible for funding under this program.
- Retro-commissioning studies without the potential for significant energy savings are not eligible for funding. Study costs may be prorated at NYSERDA's discretion with NYSERDA cost-sharing only the energy efficiency components. Funds may be used for evaluation of facilities only and may not be used to correct deficiencies found. Calculations demonstrating the potential energy impacts from repairing each deficiency are required. NYSERDA reserves the right to determine which projects are classified as Retro-commissioning.
- Organizations that generate, transmit, or distribute energy for sale are not eligible for funding under this component of the program.
- Applications for generation studies without a heat recovery component are not eligible for funding.
- Applications for studies proposing to evaluate generation systems utilizing fuel sources other than natural gas are not eligible for funding.
- Applications seeking assistance with evaluating CHP systems for which the potential generation capacity would be larger than 50 MW or mechanical equivalent in total prime mover capacity, including back up, are not eligible for funding.
- Applications seeking assistance with evaluating CHP systems for which less than 75% of the electricity generated would be used on-site are not eligible for funding.

SELECTION CRITERIA:
FlexTech provides funding on a first-come, first served basis until funds are exhausted.

AWARD CRITERIA DETAILS

- ELIGIBLE AREA, CITY, COUNTY POPULATION LIMITS OR POPULATION TARGET TYPES: Customers must be contributing to the System Benefits Charge (SBC) on their electric or gas utility bill in order to be eligible. Distribution customers of the six major New York State electric utilities (Central Hudson Gas & Electric Corporation, Consolidated Edison, New York State Electric & Gas Corporation, National Grid, Orange and Rockland Utilities, Inc., and Rochester Gas and Electric Corporation) may contribute to the SBC. Gas utility customers may also be contributing to the SBC on their gas utility bill.

- LIMITATIONS:
    - For most applications, NYSERDA will contribute fifty percent (50%) of the eligible study costs, up to the lesser of either $1,000,000 or ten percent (10%) of the Applicant's annual energy costs, based on an approved Scope of Work.
    - Service providers and customers are limited to ten (10) open applications at any given time.
    - Unless otherwise negotiated, all work funded under this program must be completed within two (2) years of issuance of the Purchase Order.
    - Service provider travel costs are limited to 3% of the total project cost.
    - An independent third-party consultant is required for all projects.

- LONG RANGE GOALS: FlexTech's goal is to increase productivity and economic competitiveness of participating facilities by identifying and encouraging the implementation of cost-effective energy efficiency. The FlexTech EEPS resource acquisition goal for 2012-2015 is 445,000 MWh of electric savings and 400,000 MMBtus of natural gas savings.

- PROJECT TERM COMPLETION DATES: Individual study schedules vary. Unless otherwise negotiated, all work funded under this program must be completed within two (2) years of issuance of the Purchase Order.

- MATCHING FUND REQUIREMENTS / DEADLINES: If the customer chooses to work with a NYSERDA FlexTech Consultant, NYSERDA's contribution, up to 50% of the total project cost, will be

paid directly to the Consultant, provided the work is acceptable to the customer and NYSERDA. The customer will pay the remaining percentage of the total project cost of the Consultant fees directly to the Consultant under terms and conditions to be negotiated by the customer and the consultant.

- For eligible Farm customers using a NYSERDA FlexTech Consultant, NYSERDA will contribute the first $2,500 towards the cost of the audit, with no customer cost-share required. Eligible additional assistance above $2,500 will be cost-shared 50% by the customer and NYSERDA.

If the customer chooses to work with an independent service provider, the customer will pay 100% of the total project cost directly to the independent service provider under terms and conditions to be negotiated by the Applicant and the independent service provider. NYSERDA will reimburse the customer, up to 50% of their contribution to the total eligible project cost, provided the work is acceptable to the customer and NYSERDA.

All projects must include cost-sharing in the form of matching cash support from the customer. In-kind contributions of any type are not allowed as matching funds.

FlexTech funding is set to expire December 2015, however, the program may close prior to December 25, 2015 if funds are fully exhausted.

ADDITIONAL RESOURCES:
FlexTech Main Page: www.nyserda.ny.gov/flextech

FlexTech Cost-Shared studies – outline of process: http://www.nyserda.ny.gov/All-Programs/Programs/FlexTech-Program/FlexTech-Process

Small Commercial Energy Efficiency Program: Energy Assessments

DESCRIPTION:
Small Commercial Energy Assessments offer eligible small business and not-for-profit customers free walk-through energy audits to identify potential energy efficiency improvements. Small Commercial Energy Assessments are available to eligible customers statewide. Facilities must have an average electric demand of 100 kW or less and have ten or fewer full-time equivalent employees at that site to be eligible for Small Commercial Energy Assessments.

ELIGIBLE TYPES OF APPLICANTS:
Eligible applicants include nonresidential customers with an average electric demand of 100 kW or less and ten or fewer full-time equivalent employees at that site including:

- Small Businesses
- Not-for-profit Corporations

ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:
Small Commercial Energy Assessments evaluate standard energy efficiency measures within eligible facilities. These measures include, but are not limited to: lighting, lighting controls, heating, ventilation air conditioning (HVAC), temperature controls, commercial kitchen equipment, and building envelope improvements. Small Commercial Energy Assessments will evaluate standard energy efficiency measures for all fuel types including but not limited to: electric, gas, oil, and propane. After the energy assessment is complete, the Small Commercial Energy Assessment Contractor presents an energy assessment report that outlines

recommended improvements, as well as energy and cost savings, to the customer. The goal of the report is to provide the customer with unbiased information to make informed energy decisions.

The Small Commercial Energy Efficiency Program also offers implementation assistance, including assistance accessing financial incentives and low-interest financing opportunities, to customers that seek to implement energy efficiency measures recommended on their energy assessments. Customers must have an energy assessment report prior to accessing implementation assistance.

SUCCESSFUL APPLICANT REQUIREMENTS:
Customers should calculate their average electric demand to ensure eligibility. To determine average electric demand, sum the demand (kW) indicated on your electric bill for each of the past 12 months and divide it by 12. Only facilities with an average electric demand of 100 kW or less are eligible to participate. NYSERDA's Small Commercial Energy Assessment Contractor can assist customers with calculating their average electric demand.

FUNDING PRIORITIES:
Eligible applications are accepted on a first-come, first served basis until funds are exhausted.

INELIGIBLE ACTIVITIES:
Energy efficiency measures beyond the measures outlined above may not be eligible.

SELECTION CRITERIA:
The Small Commercial Energy Efficiency Program provides funding on a first-come, first served basis until funds have been exhausted.

AWARD CRITERIA DETAILS

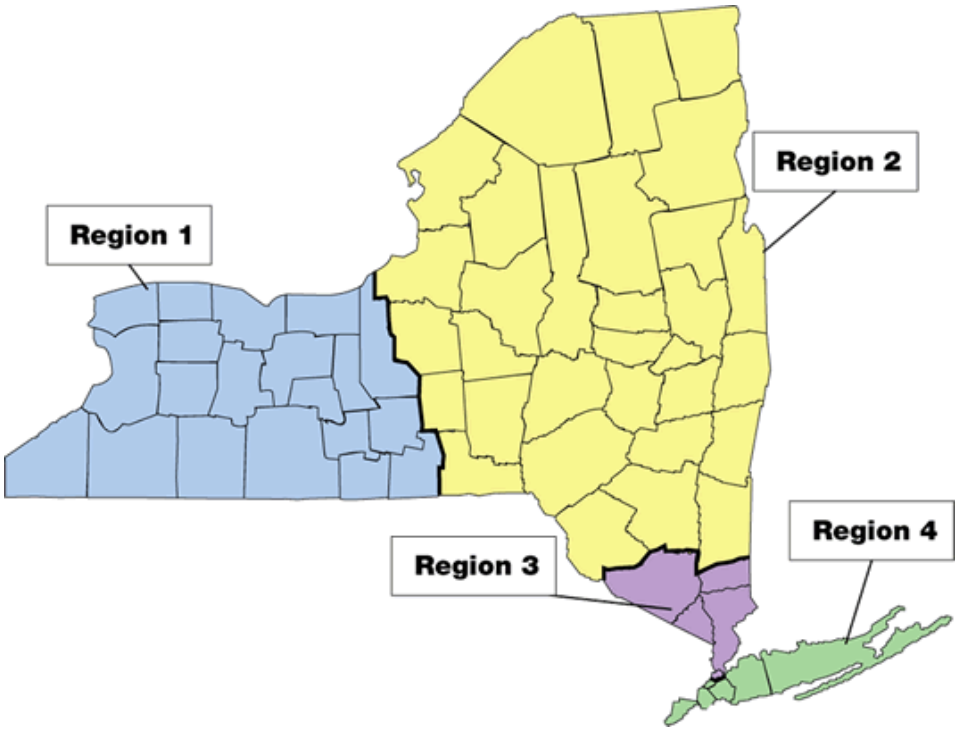
- ELIGIBLE AREA, CITY, COUNTY POPULATION LIMITS OR POPULATION TARGET TYPES: Free energy assessments are available to small businesses and not-for-profits statewide on a first-come, first-served basis until funds are exhausted.
- LIMITATIONS:
    - Only facilities with an average electric demand of 100 kW or less that are used or operated by a small business or not-for-profit organization with ten or fewer full-time equivalent employees are eligible for Small Commercial Energy Assessments.
- LONG RANGE GOALS: The Small Commercial Energy Efficiency Program seeks to provide customers with unbiased, credible information to help them make informed energy decisions and to provide implementation assistance to help customers access available financial incentives and low-interest financing to make energy efficiency improvements to their buildings.
- PROJECT TERM COMPLETION DATES: Individual energy assessment times vary. Typical assessments are completed within 4-6 weeks from application.

ADDITIONAL RESOURCES:
Small Commercial Energy Assessments: www.nyserda.ny.gov/small-commercial-energy-assessment.

Small Commercial Energy Assessment Contractors:

Region 1 - GDS Associates Contact: Vivian Thompson Phone: 800-437-4495 FAX: 866-611-3791 Email: vivian.thompson@gdsassociates.com	**Region 2** - L&S Energy Services Contact: Michelle Wooddell Phone: 518-383-9405 x223 FAX: 518-383-9406 Email: MWooddell@LS-Energy.com
Region 3 - Daylight Savings Contact: Felicia Van Doran Phone: 845-291-1275	**Region 4** - TRC Contact: Laura Giannini Phone: 518-688-3136

FAX: 845-291-1276 Email: fvandoran@daylightsavings.us	FAX: 518-348-1194 Email: **LGiannini@trcsolutions.com**



Region 1 Counties
Chautauqua, Cattaraugus, Erie, Niagara, Orleans, Genesee, Wyoming, Allegany, Monroe, Livingston, Steuben, Ontario, Yates, Wayne, Seneca, Schuyler, Chemung, Tompkins, Tioga, Cayuga

Region 2 Counties
Dutchess, Columbia, Greene, Rensselaer, Albany, Schoharie, Otsego, Washington, Saratoga, Schenectady, Montgomery, Fulton, Herkimer, Oneida, Madison, Onondaga, Oswego, Jefferson, Lewis, Hamilton, Warren, Essex, Clinton, Franklin, St. Lawrence, Cortland, Broome, Chenango, Delaware, Sullivan, Ulster

Region 3 Counties
Orange, Putnam, Rockland, Westchester, Bronx
Region 4 Counties
Kings, Queens, Richmond, New York, Nassau, Suffolk

ADDITIONAL RESOURCES:
Small Commercial Energy Assessment webpage: www.nyserda.ny.gov/small-commercial-energy-assessment.

Small Commercial Energy Efficiency Project Manager:
Jeff Hertik at (518) 862-1090 x3398 or jeff.hertik@nyserda.ny.gov

NYS Energy Research and Development Authority – Commercial New Construction Program

DESCRIPTION:
The Commercial New Construction Program (CNCP) provides technical assistance and financial incentives to promote the installation of energy-efficient electric equipment in new and substantially renovated commercial and industrial buildings.

ELIGIBLE TYPES OF APPLICANTS:
- State and local governments, businesses, not-for-profit and private institutions, public and private schools, colleges and universities, and health care facilities in New York State that are electricity or firm gas customers of a participating utility company, and that pay, or will pay, into the System Benefits Charge, are eligible for incentives.

ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:
- Projects for which an architect or engineer is preparing and certifying construction documents, including:
    - New buildings or space within a new building
    - Substantial renovations to existing buildings where the space has been, or will be, vacant for at least 30 consecutive days; or where there is a change of use (e.g. warehouse to office)

PRE-APPLICATION REQUIREMENTS
- None

SUCCESSFUL APPLICANT REQUIREMENTS:
- Submit a Consolidated Funding Application (CFA).
- Working with NYSERDA, identify, analyze and document potential energy efficiency measures and incentives. Technical assistance services during this phase may require cost-sharing between NYSERDA and the applicant, with the applicant's prior approval.
- Purchase and install equipment after receiving an incentive offer from NYSERDA.
- Upon NYSERDA approval of project completion, a check will be issued to the customer. *

  * NYSERDA may elect to inspect projects prior to final approval. If requested by NYSERDA the applicant must also provide access to the site for post-occupancy measurement and verification.

FUNDING PRIORITIES:
- All applications to the CNCP are given equal consideration; and
- To ensure eligibility to participate in all services available through the CNCP and to maximize CNCP benefits, NYSERDA recommends that applications be submitted in the early schematic design phase or sooner.

INELIGIBLE ACTIVITIES:
- Applicants may not obtain incentives for the same energy efficiency measures through other NYSERDA programs or from programs offered by their local utility;
- Ineligible projects include renovations and equipment upgrades at existing facilities where the facility will remain occupied during construction;
- Applicants who do not, or will not, pay into the System Benefits Charge through their local utility company are ineligible for participation in the program;

- Applicants may not obtain incentives for energy efficiency measures installed before an application is submitted and an CNCP incentive offer is issued by NYSERDA;
- Energy-efficiency measures must be cost effective; and
- Energy-efficiency measures involving fuel switching are ineligible.

SELECTION CRITERIA:

- The program is open enrollment, advertised as a Program Opportunity Notice (PON), and is offered on a first come, first served basis subject to funding availability as of the date of the program offer letter.
- Incomplete or unauthorized applications will be returned.

AWARD CRITERIA DETAILS:

- ELIGIBLE AREA, CITY, COUNTY POPULATION LIMITS OR POPULATION TARGET TYPES: State and local governments, businesses, not-for-profit and private institutions, public and private schools, colleges and universities, and health care facilities in New York State that are electricity or firm gas customers of a participating utility company, and that pay, or will pay, into the System Benefits Charge, are eligible for incentives.

- LIMITATIONS: Each PON is offered with defined technical assistance and incentive rates and caps. Refer to the current PON for details.

- LONG RANGE GOALS: The CNCP offers technical support and financial incentives to effect a permanent transformation in the way buildings are designed and constructed for energy efficiency in New York State.

- PROJECT TERM COMPLETION DATES: Financial incentives are based upon the predicted performance of building energy efficiency improvements as compared to a designated baseline. NYSERDA will provide written pre-approval of custom measure and whole building design applications qualified for financial incentives. This pre-approval authorizes the applicant to proceed with the specification, purchase and installation of specific equipment and building features described in the approved application. NYSERDA will hold the necessary incentive funds for the applicant until the building is completed. The applicant will be asked to provide written certification that the equipment and building features have been installed. Upon NYSERDA review and approval of the completed installation and any technical reports, a check will be issued to the applicant. NYSERDA may elect to inspect any and all projects prior to final approval and the applicant must provide site access to NYSERDA staff or contractors after project completion for possible measurement and verification.

- MATCHING FUND REQUIREMENTS / DEADLINES: Technical assistance is offered on a cost-shared basis and will be invoiced after delivery of the technical assistance report approved by NYSERDA or upon cancellation of the technical assistance services. Payment of the applicant's portion of the cost share is due within 30 days of the invoice date.

ADDITIONAL RESOURCES:

More information is available at http://www.nyserda.ny.gov/new-construction.
1-866-NYSERDA

NYS Energy Research and Development Authority - Existing Facilities Program

DESCRIPTION:
Existing Facilities Program (EFP)
The Existing Facilities Program offers resources to help offset the costs of implementing energy efficiency improvements in existing commercial facilities across New York State. Performance-Based (custom) and Pre-Qualified (prescriptive) project types may be eligible for electric and natural gas improvements on a first-come, first-served basis until funds are exhausted.

Commercial and institutional facilities that pay the SBC charge on their utility bills are eligible. In addition, Con Edison electric customers who pay into the Monthly Adjustment Clause (MAC) in the Downstate region may be eligible for additional incentives through the Demand Management Program (DMP) for projects resulting in summer peak demand (kW) reductions.

Applications will be accepted on a first-come, first-served basis through 5:00 pm EST on December 31, 2015, or until funds are exhausted.

ELIGIBLE TYPES OF APPLICANTS:
- Municipalities
- State Agencies
- Public Benefit Corporations
- Public Authorities
- Not-for-profit Corporations (ex. of full definition requirements)
  (ex. of sample language requirement * Not-for-profit corporations are subject to New York State's Not-For-Profit Corporation Law. In order to apply under this program, a not-for-profit corporation must have proof of incorporation (or equivalent document) from the NYS Department of State or NYS Board of Regents, a charities registration number from the NYS Office of the Attorney General, and proof of tax-exempt status under the IRS code. Copies of these documents must be submitted with the application;
- For-profit Corporations
- Energy Service Companies (ESCOs)
- Facility owners
- Management companies
- Tenants with the authority to make improvements

Definitions:
- *Applicant* = the entity receiving the approved incentive amount upon project completion, and who will be responsible for delivering the energy savings. Applicants can include third parties such as Energy Service Companies (ESCOs), facility owners, management companies, and/or tenants with the authority to make improvements.

- *Facility* = the building or structure where the energy-efficient measures are being implemented.

- *Customer* = the owner/operator/tenant of the facility or space where the project will be implemented.

- *Project* = the plan for the implementation of eligible measures at a specified facility. The Project may include multiple energy efficiency measures.

ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:
Electric and Natural Gas Efficiency incentives are offered to offset capital costs of energy efficiency projects that reduce energy consumption at an eligible facility.

Energy Storage Performance-Based incentives are offered to support peak demand reductions associated with energy or thermal (ice) storage systems.

Demand Response (DR) Performance-Based incentives are offered to offset the costs of installing new load curtailment-enabling systems that enable a facility to enroll in a Demand Response Program. Generators must meet the latest EPA New Source Performance Standards (NSPS).

Monitoring-Based Commissioning (MBCx) Performance-Based incentives are offered for cost-effective energy efficiency projects that deliver verifiable annual energy savings resulting from the installation of information gathering technologies that provide critical data to monitor and alter building operations. Additionally, NYSERDA seeks to promote clear communication of energy usage to the occupants of commercial and institutional spaces, thereby facilitating a coordinated means to reduce consumption and lower costs.

Overall Equipment & Project Eligibility
Most ENERGY STAR®-listed equipment is eligible. All other equipment must meet the following criteria:

Lighting
- All four-foot T8 fixtures must be high performance, or low wattage, as defined by the Consortium for Energy Efficiency (CEE).
- Installation of T12 lighting technology is not eligible for funding.
- Only hardwired and pin-based CFLs are eligible. Screw-in compact fluorescent lighting with any type of adapter is not eligible for funding. Any adapter (i.e. locking devices/discs/pin-based converters/etc…) that secures screw-in compact fluorescent lighting does NOT make screw-in CFLs eligible for incentives.
- Re-lamping projects are not eligible for funding. Re-lamping is defined as the replacement of only the removable lamp(s) in a light fixture of the same technology type.
- De-lamping / lamp removal may contribute to no greater than 20% of a project's total energy savings.
- Applicants implementing Solid State Lighting (SSL) projects must review the most current EFP SSL (LED) policy for eligibility.
- All lighting projects require the Existing Facilities Program Lighting Form.

HVAC
All HVAC equipment must meet the pre-qualified program standards as listed on the EFP's Pre-qualified Worksheets or must exceed ASHRAE 90.1 2007 by at least 2%, whichever is more stringent.

Super-Efficient Electric Chiller Bonus
Water-cooled electric chillers greater than or equal to 300 tons may be eligible for a bonus if the proposed efficiencies exceed the centrifugal standard detailed in [Addendum 'bt'] of ASHRAE 90.1 2007 by specified levels.

Demand Management Program Incentives
Projects or project portfolios that achieve a combined demand reduction of at least 50 kW may be eligible for Demand Management Program incentives. Projects that achieve a demand reduction of 500 kW or greater may be eligible for a bonus incentive. This is a jointly administered program with ConEd.

Eligible demand management measures may include:

- Thermal (Ice) Storage
- Battery Storage
- Chiller and HVAC upgrades
- Controls and Building Management Systems
- Demand Response
- Lighting and Lighting Controls
- Fuel Switching: Non-electric AC
- Process Efficiency (Please see PON2456)

In addition, there may be a bonus pool available for large projects or project portfolios that achieve at least 500 kW of demand reduction. The large project bonus may be allowed to exceed the 50% project cost cap and is available on a first-installed, first-paid basis until bonus funds are exhausted.

Custom Projects

Applicants considering projects other than lighting, HVAC, motors, Variable Frequency Drives (VFDs), or Energy Management Systems (EMS) should contact NYSERDA to discuss eligibility.

PRE-APPLICATION REQUIREMENTS:

None

SUCCESSFUL APPLICANT REQUIREMENTS:

To apply to the Existing Facilities Program you must submit a Consolidated Funding Application (CFA). The program is an open enrollment offering that is advertised as a Program Opportunity Notice (PON), and it is offered on a first come, first served basis until funds are exhausted.

To Receive Pre-Qualified Incentives:

1) Check the appropriate Pre-Qualified Measures Worksheets on the Existing Facilities website to make sure that all proposed equipment meets the specified eligibility criteria.

2) Complete the project: purchase, install, and commission the proposed equipment.

3) Complete and submit the following REQUIRED documentation within 90 days of project completion:

    - Appropriate Pre-Qualified Measure Worksheets
    - Current, complete utility bill documenting the System Benefits Charge
    - Equipment specification sheets supporting applicable eligibility criteria
    - Invoices for equipment verifying purchase and installation

4) NYSERDA will evaluate the project using the required program documentation. If approved, incentives will be paid directly to the Applicant.

To Receive Performance-Based Incentives:

1) Complete and submit the following REQUIRED documentation before or within 90 days of project contracting, and prior to any demolition or removal of existing equipment or installation of new equipment for the project:
    - Current, complete utility bill documenting the System Benefits Charge
    - Proposed equipment specification sheets supporting applicable eligibility criteria
    - For lighting projects, please include the Existing Facilities Program Lighting Form found on our website

- For other projects, please include preliminary calculations that reflect the anticipated energy savings
- For projects that include more than one building, please include the Multiple Facility Template

2) NYSERDA evaluates the project based on the submitted documentation. If deemed eligible, a Purchase Order will be issued to the Applicant. The Applicant will have two years from the issue date of the Purchase Order to complete the project.

3) The Applicant submits an Engineering Analysis for NYSERDA's approval. The Engineering Analysis includes, but is not limited to, project description, detailed energy savings calculations, and economic evaluation.

4) NYSERDA (or a NYSERDA assigned Technical Consultant) reviews the Engineering Analysis and conducts a pre-installation inspection. NYSERDA may request revisions to the Engineering Analysis as necessary. After the pre-installation site inspection and approval of the Engineering Analysis, NYSERDA will notify the Applicant and facility contact that they can implement the project. (An Applicant proceeding with demolition or installation before NYSERDA issues a Purchase Order does so at its own risk.)

5) The Applicant implements the project and notifies NYSERDA that the project is complete and ready for a post-installation inspection.

6) The Applicant revises the Engineering Analysis to reflect post-installation conditions and submits it to NYSERDA's assigned Technical Consultant. NYSERDA conducts a post-installation inspection and collects relevant documentation (including invoices) and any other remaining items.

7) Upon approval of all final deliverables, NYSERDA issues the full incentive for projects not requiring Measurement and Verification (M&V) to the Applicant, and partial payment for projects requiring M&V. Those projects requiring M&V must be completed in accordance with the approved Engineering Analysis. When the M&V is complete, NYSERDA reviews the results and releases the remaining funds. Final incentive levels may be adjusted based on data gathered during post-installation inspection and/or within the M&V results.

FUNDING PRIORITIES:
The program is offered as open enrollment, advertised as a Program Opportunity Notice (PON), and is offered on a first come, first served basis until funds are exhausted.

INELIGIBLE ACTIVITIES:
1) Projects with simple payback periods greater than 18 years (excluding NYSERDA incentives) are ineligible. NYSERDA's incentives will be adjusted to ensure these payback thresholds are adhered to.
2) Applicants may not obtain incentives for the same energy efficiency measures through other NYSERDA programs or from programs offered by their local utility.
3) Ineligible projects include power quality, power factor improvements, and most fuel switching activities. Residential projects are also ineligible for participation in the program.

SELECTION CRITERIA:
The program is an open enrollment offering that is advertised as a Program Opportunity Notice (PON), and is offered on a first come, first served basis subject to funding availability.

AWARD CRITERIA DETAILS:

- ELIGIBLE AREA, CITY, COUNTY POPULATION LIMITS OR POPULATION TARGET TYPES: Statewide – Facilities must pay into the System Benefits Charge (SBC).

  LIMITATIONS:
  Per Facility Incentive Caps:
- Pre-Qualified Incentives
  - $30,000 - Electric Measures
  - $30,000 - Natural Gas Measures

- Performance-Based Incentives
  - $2,000,000 - Electric Efficiency, Energy Storage & Demand Response
  - $500,000 - Monitoring-Based Commissioning
  - $200,000 - Natural Gas ($60,000 - National Fuel customers only)

- LONG RANGE GOALS: EFP will save 799,848 MWH and 482,556 MMBtu of gas by 2015. An additional 100 MW will be saved by June 1, 2016 through the DMP.

- PROJECT TERM COMPLETION DATES: All measures must achieve savings for at least five years. See Successful Applicant Requirements for additional information.

- MATCHING FUND REQUIREMENTS / DEADLINES: The total incentive cannot exceed 50% of the project cost for most projects. For demand response projects and projects that bundle electric and/or natural gas efficiency and demand response, the total incentive cannot exceed 75% of the project cost. Project cost may include equipment, labor, and engineering expenses.

ADDITIONAL RESOURCES:
EFP Website: http://www.nyserda.ny.gov/All-Programs/Programs/Existing-Facilities-Program
DMP Website: http://www.nyserda.ny.gov/All-Programs/Programs/Demand-Management-Program
Buildings Outreach: Outreach@nyserda.ny.gov

1 (866) NYSERDA
info@nyserda.ny.gov

NYS Energy Research and Development Authority – Industrial and Process Efficiency Program

DESCRIPTION:
The New York State Energy Research and Development Authority (NYSERDA)'s Industrial and Process Efficiency (IPE) Program provide performance-based assistance to manufacturers and data centers implementing energy efficiency and process improvements.

IPE assists commercial and industrial manufacturers and data centers in identifying ways to improve energy efficiency through capital investments and process improvements by offering capital incentives and practical technical assistance while recognizing the importance of sustaining reliability and maximizing uptime. IPE's goal is to help manufacturers and data centers increase product output and improve data processing as efficiently as possible. IPE focuses on projects that improve manufacturing process productivity and data center efficiency. For example, projects that increase throughput, reduce scrap, improve productivity, and prioritize and optimize server loads all have an energy component. Manufacturing, industrial, and data center facilities are eligible for participation in this program and are engaged through effective marketing, which includes key account strategies to build ongoing relationships as the primary energy efficiency resource for customers.

In addition, Con Edison electric customers who pay into the Monthly Adjustment Clause (MAC) in the Downstate region are eligible for additional incentives through the **Demand Management Program (DMP).** DMP is jointly administered by NYSERDA and Con Edison. It offers enhanced incentives for projects resulting in summer peak demand (kW) reductions. The peak demand period is defined as Monday through Friday from 2:00-6:00pm between the months of June and September.

ELIGIBLE TYPES OF APPLICANTS:
All of New York State manufacturing, industrial and data center facilities that pay into the System Benefits Charge (SBC).

- Manufacturing facilities, or support operations such as warehousing and distribution sites.
  - Example: Plastics and Packaging, Chemicals, Petrochemicals, Metals, Paper and Pulp, Transportation, Biotechnology, Pharmaceutical, Food and Beverage, Mining and Mineral Processing, General Manufacturing and Equipment Manufacturers.
- Data Centers located in various business sectors
  - Example: Manufacturing, Financial, Higher Education, Health Care, Commercial Real Estate, Service Provider, Co-location Facilities, Government, Legal, Insurance, and Telecom

ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:
Applications will be accepted on a first-come, first-served basis, or until funds are exhausted. Additional funds through the Demand Management Program are available for projects completed by June 1, 2016.

Incentive Type	Utility	All Other Utility Territories	ConEd Territory
Process and Energy Efficiency	Electric	$0.12/kWh	$0.16/kWh
	Natural Gas*	$15/MMBtu	$20/MMBtu
Operational & Maintenance (O&M)	Electric	$0.05/kWh	$0.05/kWh
	Natural Gas*	$6/MMBtu	$6/MMBtu

Incentive Type	Utility	All Other Utility Territories	ConEd Territory
Maximum Incentive	All Projects	50% Project Cost	
	Electric	No Cap	
	Natural Gas	$1 million/Facility/Year	

**** As of August 31st, 2014, the Industrial and Process Efficiency (IPE) Program has closed the waiting list for natural gas efficiency projects. All budgeted funds have been committed. Effective immediately, NYSERDA's IPE Program will no longer accept applications for natural gas incentive projects. IPE funds for electric efficiency projects are still available, applications are still being accepted for these projects.***

- Generally, projects that save energy are eligible; however, NYSERDA's focus is on projects that improve manufacturing process productivity and data center efficiency.
    - For example, projects that increase throughput, reduce scrap, improve productivity, and prioritize and optimize server loads all have an energy component and may be eligible for a NYSERDA incentive.

- NYSERDA also provides incentives for improvements to support system efficiency such as motors, VFDs, process cooling, compressed air, air flow management (hot isle/cold isle), and UPS system upgrades.

- O&M incentives are available for projects that deliver verifiable annual energy savings resulting from upgrades or initiatives to improve operations. Projects may involve: Compressed air system leak management, replacement of leaking steam traps, installation of cogged styles fan belts, burner tune-up, server power management, air flow controls optimization, or dynamic temperature monitoring and adjustment.

- In order to be considered eligible, a facility must pay into the System Benefits Charge (SBC) as electric and/or natural gas distribution customers through one of the following utility companies:
    - The Brooklyn Union Gas Company d/b/a National Grid NY
    - Central Hudson Gas & Electric Corporation
    - Consolidated Edison Company of New York, Inc.
    - KeySpan Gas East Corporation d/b/a National Grid (KEDNY/KEDLI)
    - National Grid Generation d/b/a National Grid
    - National Fuel Gas Distribution Corporation
    - New York State Electric & Gas Corporation
    - Orange and Rockland Utilities, Inc.
    - Rochester Gas and Electric Corporation

- Projects must qualify for an incentive of at least $30,000.
- A facility may receive an incentive for a specific energy efficiency measure either through NYSERDA or a utility company, but not both.

Additional incentives for Con Edison electric customers:

Demand Management Program Incentives
Projects or project portfolios that achieve a combined demand reduction of at least 50 kW are eligible for Demand Management Program incentives. Projects that achieve a demand reduction of 500 kW or greater will be eligible for a bonus incentive.

Eligible demand management measures include:

- Thermal (Ice) Storage
- Battery Storage
- Chiller and HVAC upgrades
- Controls and Building Management Systems
- Demand Response
- Lighting and Lighting Controls
- Fuel Switching: Non-electric AC
- Process Efficiency

In addition, there is a bonus pool available for large projects or project portfolios that achieve at least 500 kW of demand reduction. The large project bonus can exceed the 50% project cost cap and is available on a first-installed, first-paid basis until funds are exhausted.

PRE-APPLICATION REQUIREMENTS:

- Current copy of the facility's utility bill with SBC notation
- Description of the energy efficiency project
- Facilities can apply to the program and receive incentives directly from NYSERDA or use a third party if desired

SUCCESSFUL APPLICANT REQUIREMENTS:

- Engineering Study: Incentives are based on a site/process specific engineering analysis. NYSERDA's Technical Reviewers are available to assist with the required engineering analysis at no cost to the facility.
- Measurement and Verification (M&V): NYSERDA may use metering and other M&V tools at the Applicant's facility. In addition to the installation incentives described above, any incremental M&V costs will be performed by NYSERDA's technical reviewer at no additional cost to the applicant.
- Project approval is in the form of a purchase order issued to the Applicant by NYSERDA. Generally, the purchase order is issued as soon as a reasonably accurate estimate of the energy savings is available. For straightforward projects, a purchase order is issued within a few weeks of application. For more complex projects, a site visit by NYSERDA staff and/or a NYSERDA technical reviewer may be required to develop a clear understanding of the project and to estimate energy savings. In either case, the goal is to approve projects as quickly as possible.

FUNDING PRIORITIES:
Applications will be accepted on a first-come, first-served basis until funds are exhausted. Additional funds for DMP are available for projects completed by June 1, 2016.

SELECTION CRITERIA:
Applications will be accepted on a first-come, first-served basis until funds are exhausted. Additional funds for DMP are available for projects completed by June 1, 2016.

AWARD CRITERIA DETAILS:

- ELIGIBLE AREA, CITY, COUNTY POPULATION LIMITS OR POPULATION TARGET TYPES:
  All of New York State manufacturing, industrial and data center facilities that pay into the System Benefits Charge (SBC).
- DMP applicants are Con Edison electric customers that pay into the Monthly Adjustment Clause (MAC) in the Downstate region.
- LIMITATIONS:
  Minimum project: at least $30,000 incentive
  Multiple projects can be bundled together to reach the minimum
  Project Incentive Cap: 50% of project cost
  Facility Incentive Cap: No facility incentive cap for electric projects
  $1 million natural gas per facility per year*
  **** As of August 31st, 2014, the Industrial and Process Efficiency (IPE) Program has closed the waiting list for natural gas efficiency projects. All budgeted funds have been committed. Effective immediately, NYSERDA's IPE Program will no longer accept applications for natural gas incentive projects. IPE funds for electric efficiency projects are still available, applications are still being accepted for these projects.***
- DMP incentives are only available for projects completed prior to June 1, 2016. Projects or project portfolios must achieve a combined demand reduction of at least 50 kW. Projects that achieve a demand reduction of 500 kW or greater will be eligible for a bonus incentive.
- LONG RANGE GOALS:
  IPE Program Goals:
  - Electric Savings: 859,487 MWh
  - Natural Gas Savings: 3.12 million MMBtu

  DMP Program Goal:
  - 100MW by June 1, 2016
- PROJECT TERM COMPLETION DATES:
  Project Process/Milestones:
  - Applicant submits application
  - Technical Reviewer is assigned to project
  - Technical Reviewer reviews energy savings of project
  - NYSERDA issues purchase order for estimated incentive
  - Facility installs project
  - Technical Reviewer verifies the installation and energy savings
  - NYSERDA awards incentive

  A facility may take up to 2 years to complete a project.
  DMP projects must be completed by June 1, 2016.
- MATCHING FUND REQUIREMENTS / DEADLINES:
  The IPE project incentive cap is 50% of project cost.
  The DMP project incentive cap is 50% of project cost.

ADDITIONAL RESOURCES:

Website: www.nyserda.ny.gov/ipe
Contact us: IPEOutreach@nyserda.ny.gov

New York Power Authority - ReCharge New York

Amount available: Up to 141 Megawatts (availability as of 4/1/15)

Description:

ReCharge New York (RNY) is a statewide economic development power program designed to retain or create jobs through allocations of lower cost electricity to businesses and Not-for-Profit Corporations. The majority of the power remaining to be allocated will be for businesses that plan to expand operations in the state or are looking to relocate to New York State. The RNY power program is a valuable tool for promoting economic development within the state. Businesses and Not-for-Profit Corporations are eligible to apply. The program is not available to sports venues, retail businesses, gaming or entertainment related establishments, and places of overnight accommodations.

Allocations of ReCharge New York power will be awarded based on a competitive application process based on legislative criteria. Recommended allocation awards must be approved by the Economic Development Power Allocation Board and the New York Power Authority Board of Trustees. Allocations of RNY power (in kW) will be delivered after the execution of a contract. The contract could be a term of up to seven years and will specify employment commitments and other terms and conditions for retaining the RNY power allocation.

For more information, eligible applicants should call the ReCharge New York Hotline at 888-JOBSNYS (888-562-7697) or email Recharge.NewYork@nypa.gov.

Environmental Improvements

DEC/EFC Wastewater Infrastructure Engineering Planning Grant

Funding Available: Up to $2 million

Description

The New York State Department of Environmental Conservation (DEC), in conjunction with the New York State Environmental Facilities Corporation (EFC), will offer grants to municipalities to help pay for the initial planning of eligible Clean Water State Revolving Fund (CWSRF) water quality projects. Up to $2 million has been made available for this program.

The Wastewater Infrastructure Engineering Planning Grant will assist municipalities with a Median Household Income (MHI) of $65,000 or less with the engineering and planning costs of CWSRF-eligible water quality projects. Grants of up to $100,000[1] (with a 20% required local match) will be provided to finance activities including engineering and/or consultant fees for engineering and planning services for the production of an engineering report.

The ultimate goal of this wastewater infrastructure engineering planning grant program is to advance water quality projects to construction for needy communities. Successful applicants can use the engineering report funded by the grant to seek financing through the CWSRF program or other funding entities to further pursue the identified solution.

Eligible Types of Applicants

- Municipalities as defined in 21 NYCRR 2602 New York State Clean Water Revolving Fund Regulations; and
- Median household income (MHI) of the municipality is equal to or less than $65,000 according to the United States Census 2010, American Community Survey, http://factfinder2.census.gov/faces/nav/jsf/pages/index.xhtml. A summary of the 2010 MHI census data can also be found on the EFC EPG website, http://www.efc.ny.gov/Default.aspx?tabid=485.

Eligible Activities

Funding can be used by municipalities for the preparation of an engineering report[2] and planning activities to determine the scope of water quality issues, evaluate alternatives, and propose a capital improvement project. In addition, the costs to conduct an environmental review for the recommended alternative in the report are eligible.

Priority will be given to municipalities proposing planning projects that are:

- required by an executed Order on Consent;
- required by a State Pollutant Discharge Elimination System (SPDES) permit;
- upgrading or replacing an existing wastewater system;
- constructing a wastewater treatment and/or collection system for an unsewered area; or
- identified in a Total Maximum Daily Load (TMDL).

Smart Growth alternative(s) and green infrastructure alternative(s) must be considered and documented in the engineering report.

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[1] See the "Award Criteria, Limitations" section of this document for details of funding amounts.

[2] See the "Key Definitions" section of this document for specific information on the required contents of the engineering report.

In accordance with the laws, rules and regulations governing the CWSRF, projects defined in the federal Clean Water Act, Section 212 as treatment works must be publicly-owned.

The following minimum alternatives need to be considered for projects with ***no existing wastewater infrastructure***:

- decentralized systems;
- new sewers and connection to regional wastewater treatment facility; and
- new sewers and a wastewater treatment facility.

The following minimum alternatives need to be considered for projects with ***existing wastewater infrastructure***:

- rebuilding existing wastewater infrastructure; and
- connecting to regional wastewater treatment facility.

Ineligible Activities

- Projects that do not lead to the restoration or protection of a surface waterbody.
- Projects that do not address improvements to a publicly-owned treatment works.[3]
- Projects and scope listed on the 2015 CWSRF Intended Use Plan Annual Project Priority List.
- Design and construction costs for any projects.

Grant Award Details

Option 1 - $30,000 Grant

- Population of Municipality: 50,000 or less according to the United States Census 2010, http://factfinder2.census.gov/faces/nav/jsf/pages/index.xhtml.
- Type of Planning Project: any wastewater infrastructure-related.
- Local Match: calculated based on 20 percent of the total project costs.
- Example of Project Costs, Grant Award and Local Match Amounts.

Total Project Costs:	$37,500
Grant Award:	$30,000 (80% of total project costs)
Local Match:	$ 7,500 (20% of total project costs)

[3] See the "Key Definitions" section of this document on what is considered an eligible publicly-owned treatment works activity.

Option 2 - $50,000 grant

- Population of Municipality: Greater than 50,000 according to the United States Census 2010, http://factfinder2.census.gov/faces/nav/jsf/pages/index.xhtml.
- Type of Planning Project: any wastewater infrastructure-related.
- Local Match: 20 percent of the total project costs.
- Example of Project Costs, Grant Award and Local Match Amounts:

Total Project Costs:	$62,500
Grant Award:	$50,000 (80% of total project costs)
Local Match:	$12,500 (20% of total project costs)

Option 3 - $100,000 grant

- Population of Municipality: no limit
- Type of Planning Project: Only for wastewater infrastructure inflow and infiltration issues as a result of an Order on Consent or SPDES Permit Compliance Schedule.
- Local Match: 20 percent of the total project costs.
- Example of Project Costs, Grant Award and Local Match Amounts:

Total Project Costs:	$125,000
Grant Award:	$100,000 (80% of total project costs)
Local Match:	$25,000 (20% of total project costs)

Match

All grants require a local match equal to 20% of the total project costs. The match can include cash and/or in-kind services[4]. Other grants may not be used for local match. The applicant should identify the source of the match at the time that the application is submitted. The grant will provide up to 80% of the total eligible project costs.

Grant Payment

The grant will be disbursed in two payments. The municipality will be eligible to receive half the award amount, as an advance payment once the grant agreement is executed. The remainder of the grant award will be paid when the municipality's engineering report has been completed and accepted by DEC and EFC.

Project Term Completion Dates

Grant recipients must submit a complete engineering report within 9 months of their grant agreement being executed.

Long Range Program Goals

The state encourages grant recipients to use the engineering report completed under this grant to seek financing through the CWSRF program or from other funding entities to further pursue the recommended solution.

[4] See the "Key Definitions" section of this document for specific information on what is considered in-kind services.

Selection Criteria
Projects will be scored and selected based on the following criteria.

	Points Assigned	Criteria
Regional Economic Development Priority	20 points	Alignment with the goals and priorities of its Regional Economic Development Council (REDC).
Performance Measures	40 points	Severity of existing water quality impairments.
Strategies	24 points	Proposed project is required by an Order on Consent, SPDES permit or TMDL.
Vision	12 points	Planning project is identified in a formally adopted plan and has both public support and a committed local leadership.
Agency Priority	4 points	Alignment with DEC and EFC priorities

Multiple Application Submissions
Only one project per municipality may be awarded in this Round. If an applicant is submitting multiple applications for their municipality, they are asked to prioritize their applications.

Successful Applicant Requirements
Documentation: Recipients must provide documentation of the following requirements before entering into a grant agreement for the planning project.

- Legal right to own, operate and maintain the project for the duration of its useful life.
- Compliance with the New York State Smart Growth Infrastructure Policy Act of 2010.
- Compliance with the New York State's Minority/Woman-owned Business Enterprises (M/WBE) requirements. (http://www.nysefc.org/Default.aspx?tabid=465)
- Detailed final budget and plan of finance including all third party funding agreements, and satisfaction of the minimum 20% local match requirement. (http://www.nysefc.org/Default.aspx?tabid=485)
- Local resolution authorizing and obligating local match funds. The match can include cash and/or in-kind services. Other grants may not be used for local match. Sample resolution language can be found at: http://www.nysefc.org/Default.aspx?tabid=485
- Designation of an Authorized Representative for the project.
- Executed Engineering Agreement that includes Minority and Women Owned Business Enterprises (MWBE) contract language provided by EFC. An MWBE Work Plan and approved Utilization Plan will be required if the Engineering Agreement exceeds $25,000.
- A local resolution declaring State Environmental Quality Review Act (SEQR) findings or determinations for the planning activities associated with the grant.
- Acknowledgement of project review by the New York State Office of Parks and Historic Preservation's State Historic Preservation Office (SHPO). EFC expects to obtain this on behalf of the recipients.

Key Definitions
Engineering Report - means the document or documents, which determines the technical and economic feasibility of a CWSRF eligible project. [Reference: 21 NYCRR 2602.2(a)(22) New York State Clean Water Revolving Fund Regulations]

Please refer to Appendix G of the 2015 CWSRF Intended Use Plan or the EFC EPG website (http://www.efc.ny.gov/Default.aspx?tabid=485) for a detailed template of the required engineering report components. The template outline is included below. In particular, the report must recommend a capital improvement project and consider both Smart Growth alternative(s) and green infrastructure alternative(s). Reports must be submitted both electronically and in hardcopy.

Required Engineering Report Components:

1. Problem Defined – Description of the existing system, condition and problems needing correction.
2. Flow and Organic Load – The existing, design average and peak flows and waste load.
3. Impact On Existing Wastewater Facilities – Include location map, history, financial status, waste, energy or water audits.
4. Project Description – A written description of the project and the need for the project.
5. Drawing/ Site Plan –Drawings of the project site and anticipated location of proposed facilities.
6. Site Information – Include topography, soils, geologic conditions, depth to bedrock, groundwater level, floodway or floodplain considerations.
7. Engineering Criteria – Engineering criteria to be used in design of the project shall be included.
    a. Description
    b. Design Criteria
    c. Map
    d. Environmental Impacts
    e. Land Requirements
    f. Potential Construction Problems
    g. Cost Estimates
8. Alternatives Considered and Alternative Selection – Alternatives that comply with NYS' Smart Growth Act and include green infrastructure, water efficiency, and energy efficiency attributes need to be considered. The report must also include a No Action alternative. Identify the selected alternative and discuss the reasons for selection.
    a. Life Cycle Cost Analysis
    b. Smart Growth Analysis
    c. Green Infrastructure Alternatives
    c. Non-Monetary Factors
    d. Preliminary Project Design
    e. Project Schedule
    f. Permit Requirements
    g. Sustainability Considerations
    h. Total Project Cost Estimate (Engineer's Opinion of Probable Cost)
    i. Annual Operating Budget
    j. Debt Service Reserve
    k. Short-lived Asset Reserve
9. Environmental Review – Include a discussion of relevant primary and secondary impacts. If appropriate, include mitigation measures taken and compliance with regulatory agencies.
10. Summary – A concise summary of any additional pertinent information.
11. Conclusion and Recommendations

In-Kind Services - means services performed by capable and qualified employees of the grant recipient for technical and administrative force account that are directly related to and in support of the development of the Engineering Report and are deemed reasonable by the Environmental Facilities Corporation.

Municipality - means any county, city, town, village, district corporation, county or town improvement district, Indian reservation wholly within New York State, any public benefit corporation or public authority established pursuant to the laws of New York or any agency of New York State which is empowered to construct and operate a project, or any two or more of the foregoing which are acting jointly in connection with a project. [Reference: 21 NYCRR 2602.2(a)(49) New York State Clean Water Revolving Fund Regulations]

Planning - means the orderly development of a project concept from the original statement of need or purpose through the evaluation of alternatives to a final recommendation on a course of action and measures to implement the selected alternative, including completion of the environmental review process. [Reference: 21 NYCRR 2602.2(a)(51) New York State Clean Water Revolving Fund Regulations]

Treatment Works (Publicly-Owned) – means eligible activities identified in section 2.1.1.1 of the Clean Water State Revolving Fund Final Intended Use Plan (IUP) for Federal Fiscal Year 2015.

Additional Resources

For more information, visit http://www.efc.ny.gov or http://www.dec.ny.gov/pubs/81196.html

New York State DEC of Environmental Conservation (DEC) – Water Quality Improvement Project Program

Funding Available: Up to $35 million

Description

The Water Quality Improvement Project (WQIP) program is a competitive, statewide reimbursement grant program open to local governments and not-for-profit corporations for projects that directly address documented water quality impairments. Grants awarded through the WQIP program can fund up to 85% of the total project cost for Wastewater Treatment Improvement projects. Grant recipients may receive up to 75% of the total project cost for Non-agricultural Nonpoint Source Abatement and Control, Aquatic Habitat Restoration, Municipal Separate Storm Sewer System projects.

Funding Breakdown:
Up to $35 million

- *Up to $33.1 million statewide)*
- *Up to $1.9 million available in the Peconic Estuary Comprehensive Management Plan/South Shore Estuary Reserve areas*

Eligible Types of Applicants

Generally, applicants meeting the following criteria are eligible for WQIP funds. There is some variability among eligible applicants for specific project types.

- Municipalities
- Municipal corporations
- Soil and water conservation districts
- Not-for-profit corporations, (**Only** aquatic habitat restoration projects)

Applicants that have been awarded DEC grants in the past should have demonstrated responsible contracting with the DEC to be eligible for an award from this procurement.

Eligible Activities/Program Benefit Requirements

Funding through the Water Quality Improvement Project (WQIP) program is available for the following types of projects:

Non-agricultural Nonpoint Source Abatement and Control:
(Up to $13.3 million available statewide)
(Up to $1.9 million available in the Peconic Estuary Comprehensive Management Plan/South Shore Estuary Reserve areas)

Eligible Applicants

- Municipalities (see definition listed in Environmental Conservation Law §54-0101)
- Soil and water conservation districts

All municipalities and soil and water conservation districts must register in the NYS Grants Management System to be eligible for this grant (http://grantsreform.ny.gov).

Eligible Projects

Nonpoint Source Best Management Practices (BMPs)

Details on specific practices can be found in in the following guidance documents.

- NYSDEC NPS Best Management Practices Catalogs, (http://www.dec.ny.gov/chemical/96777.html)
- NYSDEC SW Design Manual, (http://www.dec.ny.gov/chemical/29072.html)
- NYSDEC Forestry BMPs for WQ – BMP Field Guide 2011 edition, (http://www.dec.ny.gov/lands/37845.html)
- 2014 Intermediate Design Manual, (http://www.dec.ny.gov/chemical/79072.html)

Priority Best Management Practices

- *Decentralized Wastewater Treatment Facilities for Failing On-site Treatment Systems*:
  The construction of decentralized wastewater treatment facilities including the necessary collection and conveyance system. The decentralized wastewater treatment facility must consist of a subsurface treatment and disposal system designed in accordance with DEC standards. Collection may take the form of either a septic tank effluent pump (STEP) or septic tank effluent gravity (STEG), grinder pump or gravity sewer system. Applicants must demonstrate that necessary approvals and agreements can be in place within 12 months of grant award to complete the process of sewer district formation. Maximum grant available per facility is $1,275,000.
- *In-Lake Controls for Nutrients*
  Fine bubbler aeration (Equipment only) – Proposals for in-lake aeration must:
  - Show that a plan has been completed for controlling external sources and that the plan is being implemented;
  - Provide a study completed by a qualified professional (e.g., certified lake manger, professional engineer)that identifies significant internal lake loading and justification for fine bubbler aeration;
  - Provide a plan for long term operation and maintenance of the aeration system.
- *Peconic Estuary* – Installation of Nonpoint Source BMPs to reduce nitrogen.
- *Green Infrastructure Practices, including*:
  - Green Infrastructure Practices to address Combined Sewer Overflows (CSO) that are either under an approved Long Term Control Plan or are for projects that the DEC has determined are consistent and compatible with the requirements for an approved Long Term Control Plan are eligible. Projects should include policies and procedures to maintain green infrastructure.
- *Stormwater Retrofits*
- *Stream Stabilization/Restoration*

Projects must be consistent with practices identified in approved DEC guidance documents noted above.

Priorities

Highest priority will be given to projects specifically identified in a Total Maximum Daily Load (TMDL) Implementation Plan, 9-element Watershed Plan or explicitly identified in the Waterbody Inventory/Priorities Waterbodies List (PWL) sheet as "precluded" or "impaired." Secondary priority will be given to projects addressing an identified priority of a TMDL Implementation Plan or a 9-element Watershed Plan or addressing waterbodies identified on the (WI/PWL) as being “stressed” or threatened”.

Grant and Match Funds

Grant Funds are available for up to 75 percent of the total project costs. Applicants must provide match funds of at least 25 percent of the total project costs.

Eligible Costs
Eligible costs are those costs incurred to implement the project. Planning and design costs for nonpoint source abatement and control projects may be considered for reimbursement if they are associated with implementing the project. Planning and design costs alone are not eligible to be funded under this grant. This funding cannot be used to purchase land.

Match Funds
Match funds consist of cash contributions and in-kind services put forth by the applicant to complete the awarded project. Match funds include: municipal personal services, fringe benefits, supplies, materials, and land acquisition. Match funds must consist of activities considered eligible for WQIP funding. State or federal grant dollars cannot be used for the match funds. When applying for this grant, the applicant must show how they will meet the match funds requirements.

Contact
New York State Department of Environmental Conservation
Division of Water, Don Tuxill, (518) 402-8168

Wastewater Treatment Improvement:
(Up to $13.0 million available statewide)
(Up to $1.9 million available in the Peconic Estuary Comprehensive Management Plan/South Shore Estuary Reserve areas)

Eligible Applicants
- Municipalities. (see definition listed in Environmental Conservation Law §56-0101)

All municipalities must register in the NYS Grants Management System to be eligible for this grant (http://grantsreform.ny.gov).

Eligible Projects
- Wastewater Effluent Disinfection – Wastewater treatment projects (as defined in Environmental Conservation Law §56-0101) to upgrade municipal systems to meet new wastewater treatment effluent disinfection requirements and increase wastewater treatment plant resiliency with the installation of backup power. Prior to submitting an application, eligible projects must have been notified that their treatment system requires an upgrade to add effluent disinfection. Maximum grant available per facility is $2.5 million.
- General wastewater infrastructure improvements - Wastewater treatment improvement projects (as defined in Environmental Conservation Law §56-0101) to upgrade municipal systems to meet wastewater treatment discharge requirements. Maximum grant available per facility is $2.5 million.

Priorities
DEC's highest priority is to fund projects addressing effluent disinfection. Secondary priority will be given to projects addressing wastewater infrastructure improvements.

Grant and Match Funds
Grant funds are available for up to 85 percent of the total project costs. Applicants must provide match funds of at least 15 percent of the total project costs.

Eligible Costs
Eligible costs are limited to construction costs that are part of construction contracts, i.e., general, electrical, plumbing, HVAC and mechanical. The following costs are NOT eligible for reimbursement: engineering, design, legal, construction oversight and non-construction costs incurred during the construction phase of the project.

Match Funds
Match funds consist of cash contributions and in-kind services put forth by the applicant to complete the awarded project. Match funds include: municipal personal services, fringe benefits, supplies, materials, and land acquisition. Match funds must consist of activities considered eligible for WQIP funding. State or federal grant dollars cannot be used for the match funds. When applying for this grant, the applicant must show how they will meet the match funds requirements.

Contact
NYS Department of Environmental Conservation
Division of Water, Koon Tang, (518) 402-8238

Aquatic Habitat Restoration:
(Up to $2.5 million available Statewide)
(Up to $1.9 million available in the Peconic Estuary Comprehensive Management Plan/South Shore Estuary Reserve areas)

Eligible Applicants
- Municipalities (as defined in Environmental Conservation Law §54-0101)
- Soil and water conservation districts
- Not-for-profit corporations (as defined in Environmental Conservation Law §54-0101).

All municipalities and soil and water conservation districts must register in the NYS Grants Management System to be eligible for this grant (http://grantsreform.ny.gov).
All not-for-profits must register and prequalify in the NYS Grants Management System to be eligible for this grant (http://grantsreform.ny.gov).
Eligible Project Types
Aquatic Habitat Restoration (as defined in Environmental Conservation Law §56-0101) projects must meet the following criteria to be eligible for WQIP funding. Additional activities will be eligible for projects located within Nassau and Suffolk Counties:

1. Projects located in New York State (including Peconic and South Shore Estuaries):
   Eligible applications must focus on work that improves aquatic connectivity, and refers to the natural pathways which allow for the movement of biota and physical material. Projects should seek to increase aquatic organism passage, as well as any other related ecological connectivity conditions. Projects should correct limitations to aquatic connectivity and must focus on culverts, bridges or dams that are causing these barriers.
   Sample projects, include, but are not limited to, the following:
   - Upgrade and replacement of road stream crossing structures (culverts and bridges) to a larger size and appropriate design to increase ecological connectivity and hydrologic capacity. Guidance for such projects is found at: http://www.dec.ny.gov/permits/49066.html
   - Removal or breach of stream barriers such as dams or weirs that limit aquatic connectivity. Removals must meet natural resource management goals of an area
   - Removal or alteration of impoundments for aquatic passage in locations that have been regionally ranked or have been identified as being of biologic importance such as those in the Hudson River Estuary
   - Stream daylighting, the opening of streams which have been previously enclosed in permanent tunnels
2. Projects within the Peconic and South Shore Estuaries
   Additionally, eligible applications must improve the ecological condition of the waters of the state including ponds, bogs, wetlands, bays, sounds, streams, rivers, or lakes and shorelines with the

intent to support a spawning, nursery, wintering, migratory, nesting, breeding, or foraging environment for fish and wildlife and other biota.

Sample projects, include, but are not limited to, the following:

- Restoration or management of tidal or freshwater wetlands
- Creation or restoration of submerged aquatic vegetation
- Restoration or enhancement of shellfish and shellfish beds

Priorities

Highest priority will be given to projects addressing waterbodies identified on the Waterbody Inventory/Priority Waterbodies List (WI/PWL) as being “precluded” or impaired”. Secondary priority will be given to projects addressing waterbodies listed on the WI/PWL as “stressed” or “threatened”.

Grant and Match Funds

Grant funds are available for up to 75 percent of the total project costs. Applicants must provide the remaining match funds of at least 25 percent of the total project costs.

Although there is no maximum grant amount that can be requested, individual grants are typically from $25,000 to $500,000.

Eligible Costs

Eligible costs are those costs incurred to implement the project (see above for examples of eligible projects). Planning, design, construction management, maintenance, reconstruction, revitalization, or rejuvenation activities are eligible for this project type only. Planning and design costs alone are not eligible to be funded under this grant.

Match Funds

Match funds consist of cash contributions and in-kind services put forth by the applicant to complete the awarded project. Match funds include: personal services, fringe benefits, supplies, equipment, materials, and land acquisition. Match funds must consist of activities considered eligible for WQIP funding. State or federal grant dollars cannot be used for the match funds. When applying for this grant, the applicant must show how they will meet the match funds requirements.

Project-Specific Funding Information

Funding is available for qualifying projects located statewide and specifically confined within the Peconic and South Shore Estuaries. An amount of no more than $1,900,000 will be available for eligible projects (e.g., wastewater treatment, nonpoint source abatement and control, aquatic habitat restoration) in the Peconic and South Shore Estuaries.

Contact

NYS Department of Environmental Conservation
Division of Fish, Wildlife and Marine Resources, Josh Thiel, (518) 402-8978

Municipal Separate Storm Sewer Systems (MS4s):
(Up to $3 million available statewide)

Eligible Applicants

- Regulated Traditional MS4s (as defined by 40 CFR 122.26(b)(16))
- Soil and water conservation districts

All municipalities and soil and water conservation districts must register in the NYS Grants Management System to be eligible for this grant (http://grantsreform.ny.gov). Only the lead applicant needs to register in the NYS Grants Management System.

Funding will be considered for proposals submitted on behalf of multiple regulated MS4s.

To be eligible to receive funding, applicants must be participating in an area-wide municipal cooperative stormwater group. If one does not currently exist, the applicant needs to document the steps that are being taken to develop such a group. In these cases, the group has to be in place prior to receiving a grant award. In the rare case where a coalition does not exist nor will be established in the project area, the applicant must justify the reasons in the application.

Applicants requesting funds must provide a list of cooperating MS4s and signed letters of intent from each of them. If funded, applicants must get a signed commitment from each participating MS4 that it will deliver its share of the outputs in the contract workplan.

Eligible Projects

Eligible activities include (*proposed projects must meet the minimum MS4 permit requirements*):

1. Completion of gap analysis to identify barriers to green infrastructure in local laws that prevent the following:
    - Reduction of impervious areas;
    - Preservation of natural areas and conservation design;
    - Incorporation of green design elements for stormwater management (i.e., wing gutters, curbs, direct connections); and
    - Promotion of efficient, compact development patterns and infill
2. Revision of local laws to remove barriers to green infrastructure. (*Applicant must demonstrate that gap analysis is complete to be eligible for local law revisions*).
3. Comprehensive system mapping/program mapping
    - Mapping requirements:

REQUIRED Items for Comprehensive System Mapping/Program Mapping	**Basic Comprehensive Map** (only newly designated MS4s)	**Required Elements Map** (Maps must include these elements to be considered for funding)	**Additional Elements Map** (Elements beyond the minimum required elements)
Waterbody Mapping			
All Waterbodies within the MS4 jurisdiction	X		
Impaired Segments		X	
Outfall Mapping			
Electronic GIS Map	X		
Receiving Waterbody Name	X		
Type of Conveyance		X	
Outfall material		X	
Outfall shape		X	
Type of outfall		X	
Submerged in water?		X	
Submerged in sediment?		X	
Sewershed Boundary			
Preliminary	X		
Impaired waters			X
Per MS4 outfall			X
Land Use within Impaired Watersheds (Commercial, HD Residential, LD Residential, Industrial, Open Space)			X
Land Use within Other sewersheds (Commercial, HD Residential, LD Residential, Industrial, Open Space)			X
Priority Areas			
Areas with Onsite wastewater systems subject to Part IX requirements	X		
Description of Concern (Sewershed to impaired waters, septic systems, high water table, industrial area, etc.)		X	
Pollutant(s) of Concern (Litter, Sediment, Nutrients, etc.)		X	
Areas of Shallow Groundwater			X
Areas of Low Infiltrative Soils			X
Areas of historic on-site sanitary system failures			X
Other areas of Concern (wetlands, riparian buffers, flood plains, steep slopes, etc.)			X
Areas with Onsite wastewater systems (Typical age?)			X

Stormwater Management Practice (SMP) Mapping (minimum data must include)			
Location		X	
Type of SMP (Pond, Bioretention, Swale, Rain Garden, etc.)		X	
Reason for SMP (Retrofit, New Development, Flood Control, etc.)			X
Ownership of SMP			X
Location where SMP discharges (Does SMP drain to MS4?)			X
Contributing Drainage area to SMP (if known) Construction date (if known)			X
Last Inspection date (if known)			X
Municipality owned/operated facilities			
Location		X	
Type (Municipal Buildings, DPW Garage, vehicle and fleet maintenance areas (fire station, police station, bus stations), landfills, salt storage areas, parks & open space, solid waste disposal areas, transfer stations, marinas, etc.)		X	
Contact			X
Last Assessment Date			X
Storm Sewer System Mapping (for areas not subject to Part IX)			
Type of Conveyance System (closed pipe or open drainage			X
*Closed Pipe (Pipe material; Shape; Size)			X
*Open Drainage (Channel/Ditch lining material; Shape; Dimensions; Locations and dimensions of any culvert crossings)			X
Drop Inlet, catch basin and manhole locations			X
Number and size of connections to catch basins and manholes			X
Direction of Flow			X

Purchase of equipment already owned and available through the cooperative stormwater group and development of materials already available through the group are not eligible for funding.

Grant and Match Funds
Grant and match funds are available for up to 75 percent of the total project costs. Applicants must provide the remaining match funds of at least 25 percent of the total project costs.

Eligible Costs
Eligible costs are those costs incurred by MS4s to develop and implement a stormwater management program (SWMP) that complies with GP-0-15-003.

Match Funds
Match funds consist of cash contributions and in-kind services put forth by the applicant to complete the awarded project. Match funds include: municipal personal services, fringe benefits, supplies, materials, and land acquisition. Match funds must consist of activities considered eligible for WQIP funding. State or federal grant dollars cannot be used for the match funds. When applying for this grant, the applicant must show how they will meet the match funds requirements.

Contact
New York State Department of Environmental Conservation
Division of Water, Carol Lamb-Lafay, (518) 402-8123

Pre-Application Requirements:
All municipalities and soil and water conservation districts must register in the NYS Grants Management System to be eligible for this grant (http://grantsreform.ny.gov) .

All not-for-profits must register and prequalify in the NYS Grants Management System to be eligible for this grant. (http://grantsreform.ny.gov).

Successful Applicant Requirements:

State of New York Master Grant Contract
Successful applicants will be required to sign a State of New York Master Contract (MGC) and will be required to comply with statewide, agency and program terms and conditions, and payment and reporting requirements as identified in the MGC. The MGC for Water Quality Improvement Projects (WQIP) can be viewed at: http://www.dec.ny.gov/pubs/44916.html .
DEC staff are available to assist successful applicants through the contracting process. Failure to submit the documents required by the MGC could cause an applicant to lose their award, and DEC reserves the right to withdraw a grant award if a grant recipient fails to enter into a contract in a timely manner.

Contract Period
DEC prefers contract terms of 2 -3 years in length. In rare cases, contracts can have a maximum term of 5 years. Project-related costs incurred on or after May 1, 2015 will be eligible for reimbursement.

Minority and Woman-owned Business Enterprise (M/WBE) and Equal Employment Opportunity (EEO) Goals
The DEC has established Minority and Women-owned Business Enterprise (M/WBE) and Equal Employment Opportunity (EEO) goals for use when procuring goods or services. These goals reflect DEC's objective to obtain a "fair share" of its needs from small, minority and women-owned businesses and to comply with Executive Law Article 15-A, Economic Development Law Article 4-A and 5NYCRR Parts 140-144, Rules and Regulations of the Minority and Women's Business Development Program. WQIP grant recipients must consider the M/WBE-EEO goals in the development of their WQIP state assistance contracts and will be required to submit an M/WBE Utilization Plan before a contract can be fully approved. More detail on the M/WBE-EEO goals can be found in the Master Contract for grants, Attachment A-1 (A) Agency Specific Terms and Conditions.

Satisfactory Progress

Grant recipients are expected to show satisfactory progress with the development of a project workplan and implementation of the project. Satisfactory progress includes, but is not limited to, timely submission of all necessary documents for contract execution, such as, quarterly payment requests, quarterly narrative reports, quarterly expenditure reports final project summary report. Successful applicants are expected to manage their WQIP projects in accordance with the terms and condition of the State of New York Master Grant Contract. Failure to make satisfactory progress or to complete the project to the satisfaction of the State may be deemed an abandonment of the project and may cause the termination of any financial obligation of the State.

Operation and Maintenance of Completed WQIP Projects

Grant recipients are fully responsible for ensuring the proper and efficient monitoring operation and maintenance of the project satisfactory to DEC, including, but not limited to, retaining a sufficient number of qualified staff and ensuring performance or required tests and requirements. After completion of the project, the grantee shall, for a period of thirty years (the useful life of the project as provided in State Finance Law § 61[18]), operate the project or otherwise cause the project to be operated properly and in a sound and economical manner and shall maintain, preserve and keep the project, or cause the project to be maintained, preserved and kept, in good repair, working order and condition and shall make, or cause to be made, all necessary and proper repairs, replacements and renewals from time to time, so that at all times the project may be operated properly in a manner consistent with the performance standards for the project, with the contract and with the requirements of any related permit or other governmental approval of the project.

Funding Priorities:

See individual project descriptions for funding priorities.

Ineligible Activities:

- Proposals that do not address a water quality impairment.

Selection Criteria:

Projects will be scored and selected based on the following criteria.

Nonpoint Source Abatement and Control AND Wastewater Treatment Improvement Projects

	Maximum Points			**Minimum Points**
Performance Measures	Project specifically identified in: • TMDL Implementation Plan, • Watershed Action Agenda, • SPDES Permit • SPDES Permit Modification • 9-element Watershed Plan or • Long Term Control Plan Waterbody listed on PWL as “precluded” or “impaired”.	Project addresses priorities in: • TMDL Implementation Plan, • Watershed Action Agenda, • SPDES Permit • SPDES Permit Modification • 9-element Watershed Plan or • Long Term Control Plan Waterbody listed on	Addresses a documented water quality impairment not listed on the PWL. ***Points: 10***	Project necessary to preserve or protect a surface waterbody not listed on the PWL. ***Points: 5***

	Points: 40	PWL as “stressed” or “threatened”. ***Points: 20***		
Reasonablenes s of Cost	Exceptional value for the cost, as it applies to impact on project objectives, including feasibility of timely implementation. ***Points: 20***	Cost is reasonable, and project provides a good value and timely implementation as it applies to program priorities. ***Points: 10***	Cost is reasonable, benefits are at a scale and cost equivalent to fair market value of the item or project being delivered but provides only modest benefit as it applies to program priorities. ***Points: 5***	Cost not reasonable for this type of project. ***Points: 0***
Vision	Proposed project will improve a waterbodies impairment level as it pertains to impairments as listed on the Waterbodies Inventory/Priority Waterbodies List (WI/PWL) by two levels or will eliminate the impairment. ***Points: 10***	Proposed project will improve a waterbodies impairment level as it pertains to impairments as listed on the Waterbodies Inventory/Priority Waterbodies List (WI/PWL) by one level. ***Points: 5***	Proposed project will have no reduction to the impairment level as it pertains to impairments listed on the Waterbodies Inventory/Priority Waterbodies List (WI/PWL). ***Points: 0***	
Project Readiness	Project has all necessary permits (or does not need permits) and approvals. The project is ready to move forward with construction. ***Points: 5***	Project is not ready to proceed with construction but has some of the necessary approvals and is expected to lead to construction without delay. ***Points: 3***	Project has not secured any of the necessary approvals and is not ready to proceed to construction. ***Applications that fall into this category will not be funded.*** ***Points: 0***	

Experience and Ability	Applicant has shown the ability to complete all WQIP projects. ***Points: 5***	Applicant has shown the ability to complete most WQIP contracts. **OR** Applicant has not previously been awarded a WQIP grant but appears to have the experience and ability to carry out the project. ***Points: 3***	Applicant has demonstrated poor management of WQIP contract(s). **OR** Applicant has not previously been awarded a WQIP grant and does not appear to have the experience and ability to carry out the project. ***Applications that fall into this category will not be funded.*** ***Points: 0***
Regional Economic Development Priority	***Points for this criterion are provided by the Regional Economic Development Councils.***		
Total Maximum Points	**100 points**		

Aquatic Habitat Restoration (AHR) Projects

	Maximum Points				**Minimum Points**
Performance Measures (Statewide Projects)	*Species Miles*[5]: 10 or more *Barrierity*[6]: Significant or greater ***Points: 40***	*Species Miles:* 3 or more *Barrierity:* Moderate or greater ***Points: 30***	*Species Miles:* 1 or more *Barrierity:* Minor or greater ***Points: 20***	*Species Miles:* 0.1 or more *Barrierity:* Minor or greater ***Points: 10***	*Species Miles:* 0 *Barrierity:* Moderate or greater ***Points: 5***
Performance Measures (Peconic/SSER Projects)	*Excellent*: Addresses a habitat restoration priority (or critical habitat) identified in a Federal or state management plan, the Peconic Estuary Management Plan (http://www.peconicestuary.org/ccmp/index.php) or SSER Management Plan (http://www.lisser.us/background-pages/cmp.htm) and provides benefit to 3 or more SGCN or Federal trust species. ***Points: 40***	*Good*: Addresses 2 or more habitat restoration priorities (or critical habitats) identified in a Federal of State management plan, the Peconic Estuary Management Plan or SSER Management Plan and provides benefit to 2 or more State SGCN or Federal trust species. ***Points: 30***	*Fair*: Addresses one or more habitat restoration priorities (or critical habitats) identified in a Federal or State management plan, the Peconic Estuary Management Plan or SSER Management Plan and provides benefit to one or more State SGCNs or Federal trust species. ***Points: 20***	*Poor*: Addresses any goal identified in a Federal or state management plan, the Peconic Estuary Management Plan or SSER Management Plan and provides direct benefit to any species of management concern to the Department. ***Points: 10***	*Lowest*: Addresses any goal identified in a Federal or State management plan, the Peconic Estuary Management Plan or SSER Management Plan. ***Points: 5***
Reasonableness of Cost	Exceptional value for the cost, as it applies to impact on project objectives, including feasibility of timely implementation.	Cost is reasonable, and project provides good habitat value and timely implementation as it applies to program priorities.	Cost is reasonable, benefits are at a scale and cost equivalent to fair market value of the item or project being delivered but provides only modest	Cost not reasonable for this type of project.	

[5] Species Miles: See explanation at the end of this matrix.

[6] Barrierity: See explanation at the end of this matrix.

	Points: 20	***Points: 10***	benefit as it applies to program priorities. ***Points: 5***	***Points: 0***
Vision	Proposed project will improve a waterbodies impairment level as it pertains to the goals of the Aquatic Habitat Restoration category or such impairments as listed on the Waterbodies Inventory/Priority Waterbodies List (WI/PWL) by two levels or will eliminate the impairment. ***Points: 10***	Proposed project will improve a waterbodies impairment level as it pertains to the goals of the Aquatic Habitat Restoration category or such impairments as listed on the Waterbodies Inventory/Priority Waterbodies List (WI/PWL) by one level. ***Points: 5***	Proposed project will have no reduction to the impairment level as it pertains to the goals of the Aquatic Habitat Restoration category or such impairments as listed on the Waterbodies Inventory/Priority Waterbodies List (WI/PWL). ***Points: 0***	
Project Readiness	Project has all necessary permits (or does not need permits) and approvals. The project is ready to move forward with construction. ***Points: 5***	Project is not ready to proceed with construction but has some of the necessary approvals and is expected to lead to construction without delay. ***Points: 3***	Project has not secured any of the necessary approvals and is not ready to proceed to construction. ***Applications that fall into this category will not be funded.*** ***Points: 0***	
Experience and Ability	Applicant has shown the ability to complete all WQIP projects.	Applicant has shown the ability to complete most WQIP contracts. **OR** Applicant has not previously been awarded a WQIP grant but appears to have the experience and ability to carry	Applicant has demonstrated poor management of WQIP contract(s). **OR** Applicant has not previously been awarded a WQIP grant and does not appear to have the experience and ability to carry out the project. **Applications that fall into this category will not be funded.**	

	Points: 5	out the project. ***Points: 3***	***Points: 0***
Regional Economic Development Priority	***Points for this criterion are provided by the Regional Economic Development Councils.***		
Total Maximum Points	**100 points**		

<u>Species Miles</u>
Describes the functional gain achieved by removing a barrier to aquatic organism passage. The total number of SGCN (http://www.dec.ny.gov/animals/9406.html) or other aquatic species of management concern to the Department is multiplied by the total number of stream miles which will be made accessible to these species. Stream miles is calculated by totaling the linear distance of each stream segment, including tributaries, from the existing barrier traveling upstream until the next impassable barrier. (Species x Stream Miles = Species Miles

Barrierity

Describes the severity to which a structure creates a barrier to aquatic organism passage. It is derived from a protocol for calculating this value as part of the Stream Continuity Project (SCP) (http://www.streamcontinuity.org/). When this methodology is not possible, professional judgement will be used to assess a structure that most closely replicates the categories used by SCP.

Severe	Less than 0.3
Significant	0.3001 – 0.5
Moderate	0.5001 – 0.7
Minor	0.7001 – 0.9
Insignificant	0.9001 – 0.9999

Municipal Separate Storm Sewer System (MS4) Projects

	Maximum Points			**Minimum Points**
Performance Measures	Project addresses mapping and municipal code activities (gap analysis/code revision). ***Points: 40***	Project addresses municipal code/local law revision (gap analysis complete). ***Points: 20***	Project addresses municipal mapping. ***Points: 10***	Project addresses gap analysis. ***Points: 5***
Reasonableness of Cost	Exceptional value for the cost, as it applies to impact on project objectives, including feasibility of timely implementation. ***Points: 20***	Cost is reasonable, and project provides good habitat value and timely implementation as it applies to program priorities. ***Points: 10***	Cost is reasonable, benefits are at a scale and cost equivalent to fair market value of the item or project being delivered but provides only modest benefit as it applies to program priorities. ***Points: 5***	Cost not reasonable for this type of project. ***Points: 0***
Vision	Project greatly exceeds permit requirements (revision of municipal codes that mandate the use of GI or mapping including many above and beyond elements). ***Points: 10***	Project exceeds permit requirements (revision of municipal codes that encourage or incentivize GI or mapping including some above and beyond elements). ***Points: 7***	Project meets permit requirements (revision of municipal codes that do not create obstacles to GI or performing gap analysis). ***Points: 4***	Project only partially meets or does not meet permit requirements. ***Points: 1***

Project Readiness	Project has all necessary pieces in place to complete gap analysis, code revision and/or mapping. ***Points: 5***	Project has some of the necessary pieces in place to complete gap analysis, code revision and/or mapping. ***Points: 3***	Project has not secured any of the necessary approvals and is not ready to proceed with project implementation. ***Applications that fall into this category will not be funded.*** ***Points: 0***
Experience and Ability	Applicant has shown the ability to complete all WQIP projects. ***Points: 5***	Applicant has shown the ability to complete most WQIP contracts. **OR** Applicant has not previously been awarded a WQIP grant but appears to have the experience and ability to carry out the project. ***Points: 3***	Applicant has demonstrated poor management of WQIP contract(s). **OR** Applicant has not previously been awarded a WQIP grant and does not appear to have the experience and ability to carry out the project. ***Applications that fall into this category will not be funded.*** ***Points: 0***
Regional Economic Development Priority	***Points for this criterion are provided by the Regional Economic Development Councils.***		
Total Maximum Points	**100 points**		

Award Criteria Details:
Funding will be distributed to the highest scoring projects in each category until the available funding is exhausted or amount listed in the RFA has been met.

Additional Resources:
The Request for Applications is available on the Department of Environmental Conservation's website: http://www.dec.ny.gov/pubs/4774.html. Updates and/or modifications to the RFA, along with answers to questions received, will be posted on the DEC's website. Questions should be submitted to user.water@dec.ny.gov.

Pre-application workshops will be help around the State. The workshop schedule along with additional information is available at http://regionalcouncils.ny.gov/. All those who would like to have the application process explained or have process-related questions are encouraged to attend.

Environmental Facilities Corp. - Green Innovation Grant Program

Funding Available: $14.85 million

DESCRIPTION:

The Green Innovation Grant Program (GIGP) provides grants on a competitive basis to projects that improve water quality and demonstrate green stormwater infrastructure in New York. GIGP is administered by the New York State Environmental Facilities Corporation (EFC) through the Clean Water State Revolving Fund (CWSRF) and is funded through a grant from the United States Environmental Protection Agency (EPA).

Green infrastructure practices treat rainwater as a valuable resource to be harvested and used on site, or filtered and allowed to soak back into the ground, recharging our aquifers, rivers and streams. The plants used in green infrastructure help to cool our surroundings and improve air quality through the process of evapotranspiration. These green practices can also help beautify our streets and neighborhoods, improve property values, revitalize downtowns and improve the overall quality of our lives.

Projects selected for funding go beyond providing a greener solution, they maximize opportunities to leverage the multiple benefits of green infrastructure, which include restoring habitat, protecting against flooding, providing cleaner air, and spurring economic development and community revitalization. At a time when so much of our infrastructure is in need of replacement or repair and communities are struggling to meet competing needs, we need resilient and affordable solutions like green infrastructure that can meet many objectives at once.

The amount of funding available for Round 7 of GIGP (GIGP 7) is $14.85 million. EFC seeks highly visible demonstration projects which:

- Create and maintain green, wet-weather infrastructure
- Spur innovation in the field of stormwater management
- Build capacity locally and beyond, to construct and maintain green infrastructure
- Facilitate the transfer of new technologies and practices to other areas of the State

GIGP 7 applicants are strongly encouraged to work with their Regional Council to align their project with regional goals and priorities. EFC reserves the right to fund all, or a portion of, an eligible proposed project. Funding will be provided to selected projects to the extent that funds are available.

ELIGIBLE TYPES OF APPLICANTS:

- Municipalities
- State Agencies
- Public Benefit Corporations
- Public Authorities
- Not-for-profit Corporations
- For-profit Corporations
- Individuals
- Firms
- Partnerships
- Associations
- Soil and Water Conservation Districts

Eligible applicants may submit more than one grant application, however, EFC reserves the right to limit GIGP 7 funding to one grant award per applicant.

ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:
The Green Innovation Grant Program provides funding for eight specific green infrastructure practices:

Permeable pavement, *e.g.* porous asphalt, concrete, or pavers
Permeable pavement is designed to convey rainfall through the pavement surface into an underlying reservoir where it can infiltrate, thereby reducing stormwater runoff from a site. Given appropriate soil and subsurface conditions, permeable pavements can be used in any type of development, for example: roads, parking lots, sidewalks, basketball and tennis courts, playgrounds, and plaza surfaces. Permeable pavement includes pervious asphalt and concrete and pervious pavers such as reinforced turf, interlocking modules and pavers.

Bioretention, *e.g.* rain gardens or bioswales
Bioretention systems are shallow vegetated depressions often referred to by a variety of names such as bioinfiltration areas, biofilters, rain gardens, bioswales, or recharge gardens. They are very effective at removing pollutants and reducing stormwater runoff. These systems are designed to collect water in the depression where it ponds on the surface. This water is then used by the vegetation in evapotranspiration and infiltrated into the soil. Larger volume systems are designed to include stone storage underneath the soil to provide additional stormwater capacity. Properly designed bioretention techniques mimic natural ecosystems through species diversity, density and distribution of vegetation, and the use of native species, which results in a system that is resistant to insects, disease, pollution, and climatic stresses.

Green roofs and green walls
Green roofs consist of vegetation, growing media, and a drainage layer installed on top of a conventional flat or sloped roof. The rooftop vegetation soaks up rainwater. Some of this water evaporates off the surface, some is used by the plants in evapotranspiration, and in larger storms a portion of the water will runoff. Through storage of water in the plants, the soils and the drainage layer, the green roof reduces stormwater runoff volumes and attenuates peak flows.

Green Walls are typically vertical systems which consist of a modular container to hold growing media and vegetation. Vegetation can be rooted in the ground, or in modular containers, growing blocks or growing mats located at various heights along the face of the structure. In addition, green walls provide air quality and stormwater benefits, and can help to reduce energy usage.

Stormwater street trees / urban forestry programs designed to manage stormwater
Stormwater street trees include engineered tree pits, tree boxes and trenches designed to capture stormwater from the adjacent roadway and manage the stormwater through evapotranspiration and infiltration. Urban Forestry Programs use a detailed inventory and map of existing and proposed trees to manage and maintain their urban forest. These tools help determine planting sites, select appropriate species, schedule maintenance, and evaluate the most effective practices to ensure tree health and stormwater capacity. By using these tools, an urban forestry program provides water quality benefits in addition to numerous other benefits including: reduced energy usage by shading buildings in the summer to reduce thermal loads and blocking winter winds, providing wildlife habitat, sequestering carbon dioxide and other greenhouse gases, intercepting and absorbing pollutants through their leaves and branches; increasing property values and revenues, reducing crime, engaging residents in creating safer neighborhoods, improving walkability of communities, calming traffic, and promoting smart growth.

Construction or restoration of wetlands, floodplains, or riparian buffers
Riparian Buffers are vegetated or undisturbed natural areas that filter runoff before it enters a waterbody. Riparian zones reduce sediment, nitrogen, phosphorous, pesticides and other pollutants by soaking the water and associated pollutants into the ground where some of these can be broken down. Healthy riparian buffers increase habitat, stabilize channels and banks, improve water quality, provide stream shade and temperature control, and improve aesthetics.

Floodplains are a natural water right-of-way that provide temporary storage for large flood events, keeping people and structures out of harm's way and preserving riparian ecosystems and habitats. Over time, people have filled-in and built on floodplains thereby reducing nature's ability to cope with large rain events. Restoring floodplains helps provide safe storage of excess water in large storm events, reduce volume through infiltration and evaporation, and filter sediment and nutrients from the water before it reaches or re-enters the larger waterbody.

Constructed Wetlands are shallow marsh systems planted with emergent vegetation that are designed to treat stormwater runoff. They are extremely effective for pollutant removal, can mitigate peak rates and reduce runoff volume. Constructed wetlands have considerable aesthetic and wildlife benefits and are a good option for retrofitting existing detention basins.

Stream daylighting

Stream daylighting includes the removal of natural streams from artificial pipes and culverts to restore a natural stream morphology that is capable of accommodating a range of hydrologic conditions while also providing biological integrity. Stream daylighting improves habitat, promotes infiltration, helps reduce pollutant loads and can provide better runoff attenuation because it increases the storage size of the natural system. The historic enclosure of rivers and streams often took place in urbanized areas to accommodate development. Stream daylighting re-establishes stream banks where culverts once existed. This often requires updating of existing grey stormwater infrastructure. When the operation is complete, what was once a linear pipe of heavily polluted water becomes a meandering stream with dramatic improvements to both aesthetics and water quality. Stream daylighting is not only an important water quality practice, but it is also a powerful economic development and community revitalization tool.

Downspout disconnection

Downspout disconnection is the removal of roof runoff from a direct connection to a combined or storm sewer. Historically, many communities required that roofs have stormwater connected to the sewer to rapidly convey the water away from the structure. However, by redirecting the rain to a designated vegetated pervious area, runoff volume can be greatly reduced and water quality benefits can be achieved. When disconnecting a downspout, the runoff is directed to a vegetated and pervious area where plants and soil can filter and infiltrate the water.

Stormwater harvesting and reuse, *e.g.* rain barrel and cistern projects

Rain barrels are rooftop catchment storage systems typically utilized in residential settings while cisterns are large-scale rain barrels used in commercial and industrial settings. Rain barrels and cisterns capture and store stormwater runoff to be used later for lawn and landscaping irrigation, or water can be filtered and used for non-potable activities such as car washing or filling swimming pools. Rain barrels and cisterns may be constructed of any water-retaining material; their size varies from hundreds of gallons for residential uses to tens of thousands of gallons for commercial and/or industrial uses. The storage systems may be located either above or below ground and may be constructed of on-site material or pre-manufactured.

PRE-APPLICATION REQUIREMENTS:

All applicants must submit a conceptual site plan, existing conditions plan, a feasibility study, and site photographs with their Consolidated Funding Application (CFA). Minimum content requirements for the feasibility study, conceptual site plan, and existing conditions plan, are included in the CFA and can also be found at: www.efc.ny.gov/gigp

SUCCESSFUL APPLICANT REQUIREMENTS:
Recipients must provide documentation of the following before entering into a grant agreement:

- Legal right to own, operate and maintain the project for the duration of its useful life
- Compliance with the Smart Growth Infrastructure Act of 2010 and the State's M/WBE requirements.
- Successful completion of all State environmental and historic preservation reviews i.e. SEQR and SHPO.
- Detailed final budget and plan of finance including all third party funding agreements, intermunicipal agreements, and satisfaction of the minimum 10% local match requirement
- Designation of an Authorized Representative for the project
- EFC Approved Final Feasibility Study

FUNDING PRIORITIES:
GIGP 7 will provide funding for green stormwater infrastructure projects with a clear water quality benefit. Projects must provide metrics showing the benefits to water quality in New York State. Applicants should refer to the New York State Stormwater Management Design Manual http://www.dec.ny.gov/chemical/29072.html for design guidance.

INELIGIBLE ACTIVITIES:
Projects which are **NOT ELIGIBLE** for GIGP funding include:

- Stormwater controls that have impervious or semi-impervious liners and provide no compensatory evapotranspirative or harvesting function for stormwater retention
- Stormwater ponds that serve an extended detention function and/or extended filtration, including dirt-lined detention basins
- In-line and end-of-pipe treatment systems that only filter or detain stormwater
- Underground stormwater control and treatment devices such as swirl concentrators, hydrodynamic separators, baffle systems for grit, trash removal/floatables, oil and grease, inflatable booms and dams for in-line underground storage and diversion of flows
- Stormwater conveyance systems that are not soil/vegetation based (swales) such as pipes and concrete channels
- Hardening, channelizing or straightening streams and/or stream banks
- Street sweepers, sewer cleaners, and vactor trucks
- Asbestos abatement
- Amenities i.e. bus shelters, benches, light poles, traffic devices, etc.
- Potable water irrigation systems
- Green infrastructure practices which are being implemented to comply with the requirements of the New York State Department of Environmental Conservation SPDES General Permit for Stormwater Discharges from Construction Activity Permit No. GP-0-15-002 ("Permit"). (Note practices which are over and above Permit requirements will be considered for funding)
- Wetlands construction or restoration required as compensation (mitigation) for adverse impacts to wetlands or other environmental damage caused through construction activities. This ineligible category includes both tidal and freshwater wetland mitigation projects

SELECTION CRITERIA:
EFC will score and select projects based on the following criteria:

- Measurable improvement or protection of water quality, including applicant's proposal for generating water quality metrics
- Alignment with the goals and priorities of its Regional Council Strategic Plan
- Addressing or demonstrating solutions to Regional water quality issues
- Applicant's plan for the long-term operation, maintenance, and water quality / flow monitoring of the project
- Outreach and educational opportunities provided by the project applicant in order to facilitate the transfer of new technologies, knowledge, and practices to other NYS water quality issues and other regions of the State
- Reducing flow to a Combined Sewer System
- Ability to be replicated to improve water quality in an urban area
- Leveraging of additional resources through removing barriers to collaboration, developing new partnerships, utilizing staff and in-kind resources, securing other funding and investments, and/or provides workforce development
- Likelihood of project success, based on project development at time of application
- The extent to which the project spurs innovation in the area of green stormwater infrastructure, through research, development, and/or the adoption of new technologies
- Revitalization of communities - building projects in municipal centers, utilizing land recycling, retrofits, and/or infill
- Projects identified in a NY Rising Community Reconstruction Program Plan or a NY Rising Countywide Resiliency Plan
- Public stakeholder engagement in the development of the project
- Fostering safe, healthy, walkable neighborhoods through improved access to affordable multimodal transportation choices as part of green street projects

AWARD CRITERIA DETAILS *(i.e. include any factors or targets that must be met to be considered eligible)*

- ELIGIBLE AREA, CITY, and COUNTY POPULATION LIMITS OR POPULATION TARGET TYPES: EFC encourages applications from every region of the State, from any type of project applicant. EFC must consider regional distribution in the determination of awards, to the extent practicable
- LIMITATIONS: Water quality projects whose primary purpose is water protection are eligible for the entire cost of the project. Projects with a primary purpose other than water quality may be partially eligible for GIGP funding for the portion of the projects that are clearly related to the improvement or protection of water quality
- LONG RANGE GOALS: N/A
- PROJECT TERM COMPLETION DATES: Recipients must complete all requirements to enter into a grant agreement within six months of the award
- MATCHING FUND REQUIREMENTS / DEADLINES: Grants will be available for up to 90% of the total eligible project costs set forth in the application. A minimum 10% match from state or local sources is required. Prior to entering into a Grant Agreement with EFC, the Applicant will be required to demonstrate that funding is available to complete the project

ADDITIONAL RESOURCES:
For more information, visit http://www.efc.ny.gov/gigp

Sustainability Planning and Implementation

NYS Energy Research and Development Authority – Cleaner, Greener Communities Program, Phase II Implementation Grants

Funding Available: Up to $30 million

APPLICATION DUE DATES
Category 1 – Incentive Applications (open enrollment): NYSERDA will continue to accept applications through the *existing program*, PON 2721 - Category 1, which was released in 2013, until 4:00p.m. Eastern Time on September 30, 2019, until funds are exhausted, or until the solicitation is revised by NYSERDA, whichever comes first.
Category 2 – **Flexible Funding Pilots (Rolling Applications - Competitive):** NYSERDA will continue to accept applications for Category 2 under PON3106 on a rolling basis until 4:00p.m. Eastern Time on September 30, 2019, until funds are exhausted, or until the solicitation is revised by NYSERDA, whichever comes first.
Category 3 – **Community-Scale Sustainability Projects (Due Date Competitive)**: Applications for Category 3 under PON3106 are due by 4:00p.m. Eastern Time on July 31, 2015.

INTRODUCTION

The Cleaner, Greener Communities (CGC) Program was announced by Governor Cuomo in his 2011 State of the State address as a competitive grant program to encourage communities to develop and implement regional sustainable growth strategies. The CGC Program builds on the Climate Smart Communities Program, which was established in 2009 by the New York State Department of Environmental Conservation and the New York State Energy Research and Development Authority (NYSERDA) as a network of local governments across New York that have committed, by voluntarily adopting the Climate Smart Communities Pledge, to reduce their greenhouse gas (GHG) emissions and to prepare for unavoidable changes in climate. The CGC Program provides enhanced support for development and implementation of regional sustainability plans to help ensure that New York State's (NYS) ongoing and substantial investments in infrastructure help to shift communities and NYS as a whole toward a more environmentally and economically sustainable future. The primary goal of the CGC Program is to encourage communities to create public-private partnerships and develop regional sustainable growth strategies in such areas as emissions control, energy efficiency, renewable energy, low-carbon transportation, and other carbon reductions. Phase I of CGC provided funding to the 10 Regional Economic Development Council (REDC) regions in NYS for the development of Regional Sustainability Plans. Phase II of CGC (CGC II) offers grant funding for projects that support the goals of each region's respective sustainability planning effort. This solicitation, PON3106, is the third and final round in a series of funding rounds to support these types of projects. A total of $90 million in potential funding awards is available over the three-year life of the CGC Program. The CGC Program is funded with proceeds from the Regional Greenhouse Gas Initiative (RGGI), the purpose of which is to lower carbon emissions in the participating states.

PROGRAM DESCRIPTION

Through Round 3 of CGC II, NYSERDA is offering competitive grants for the implementation of market-transforming sustainability initiatives and projects that accelerate the adoption of sustainable planning and development practices, are innovative, create multiple community benefits, reduce carbon emissions, leverage public and private resources, and propel NYS toward an environmentally and economically vibrant and resilient future. Funding will support policy and plan development, technical assistance, and

implementation of projects and initiatives that have the ability to be inspirational and replicated to expand market adoption and overall impact. Funding will also support communities taking action to move toward a self-sustaining clean energy future. Projects will stimulate environmentally sustainable economic growth consistent with the CGC Phase I Regional Sustainability Plans and REDC Strategic Plans. These projects will be holistic in nature, exhibit positive impacts at a scale larger than typical NYSERDA-funded projects, and contribute to an improved quality of life through a systems approach of connecting the natural, built, and human environments. Projects and initiatives selected under CGC II will not only save energy and reduce carbon emissions; they will also make NYS a better place to live, work, and do business.

All projects must demonstrate a contribution to the reduction of carbon emissions either through direct outcomes or indirect influence in areas such as future growth and development patterns. Finally, CGC II is a unique program that should fill gaps and leverage other sources of funding in ways that could not otherwise be accomplished. Round 3 of CGC II is flexible in that it supports a variety of project types; however, it is focused in its priority objective of achieving significant market transformation to reduce carbon pollution.

FUNDING CATEGORIES – SUMMARY

Category 1 – Photovoltaic and Electric Vehicle Supply Equipment Permitting Incentive Applications (Open-Enrollment): This category is a continuation of Category 1 in NYSERDA PON 2721, which was released in 2013. Please reference the Category 1 Fact Sheet, which can be found at the CGC Guidance Documents webpage, for more detailed program requirements and application instructions. Approximately $1 million is available for communities to adopt streamlined permitting and other ordinances for photovoltaic systems and electric vehicle charging stations, with awards of up to $10,000 per applicant. NYSERDA may add other permitting or model ordinances as they become available for communities to adopt and apply for incentives under this category. **NYSERDA will continue to accept applications through the Consolidated Funding Application for Category 1 until 4:00p.m. Eastern Time on September 30, 2019, until funds are exhausted, or until the solicitation is revised by NYSERDA, whichever comes first.**

Category 2 – Flexible Funding Pilots (Rolling Applications - Competitive): Up to $5 million will be available to communities for assistance with completing transformative clean energy and sustainability projects that have both an immediate and long-term impact on carbon mitigation. In order to qualify for funding, municipalities will have to complete four of six Steps in order to submit an application for funding. These projects will prepare a community, region, or project for a more sustainable and resilient future; thereby creating direct or indirect community benefit and carbon reductions. This category is intended to be flexible in that NYSERDA may periodically add and remove eligible project types based on the needs identified in the market over time. Any changes will be communicated on the CGC Guidance Documents webpage. Projects must be ready to commence within three months of NYSERDA award notification and should be completed within three years of contract execution. Applicants may not commence work on any portion of the project until there is a fully executed contract with NYSERDA. Awards will range from $25,000 to $250,000 per project, with a cap of $250,000 per applicant per year and a 25% minimum cost share requirement. Award amounts will be primarily based on the innovative and transformative merits of the application in its ability to advance energy efficiency, renewable energy, or carbon mitigation as well as economic development benefits. **NYSERDA will continue to accept applications for Category 2 on a rolling basis until 4:00p.m. Eastern Time on September 30, 2019, until funds are exhausted, or until the solicitation is revised by NYSERDA, whichever comes first.** For specific application requirements, please see the section of this document entitled “FUNDING CATEGORIES – DETAILED PROGRAM REQUIREMENTS.”

Category 3 – Community-Scale Sustainability Projects (Due Date Applications - Competitive): Up to $25 million will be available for community-scale sustainability projects that are innovative and transformational in their contributions to advancing energy efficiency, renewable energy, or carbon mitigation, as well as economic development benefits; thereby creating direct community benefit and reduction of carbon emissions. Project types include showcase or anchor construction projects, as well as innovative projects or programs that stimulate market transformation. Projects must be ready to commence within three months of NYSERDA award notification and should be completed within three years of contract execution. Applicants may not commence work on any portion of the project until there is a fully executed contract with NYSERDA. Awards will range from $500,000 to $3 million per project with a 25% cost share requirement. Award amounts will be primarily based on the innovative and transformative merits of the application in its ability to advance energy efficiency, renewable energy, or carbon mitigation as well as economic development benefits. **Proposals for Category 3 are due by 4:00p.m. Eastern Time on July 31, 2015.** For specific application requirements, please see the section of this document entitled "FUNDING CATEGORIES – DETAILED PROGRAM REQUIREMENTS."

FUNDING CATEGORIES – DETAILED PROGRAM REQUIREMENTS

CATEGORY 1: PHOTOVOTAIC AND ELECTRIC VEHICLE SUPPLY EQUIPTMENT PERMITTING INCENTIVES

This category is a continuation of Category 1 in NYSERDA Program Opportunity Notice (PON) 2721, which was released in 2013. Please reference the Category 1 Fact Sheet, which can be found at the CGC Guidance Documents webpage, for more detailed program requirements and application instructions. Approximately $1 million is available for communities to adopt streamlined permitting and other ordinances for photovoltaic systems and electric vehicle charging stations, with awards of up to $10,000 per applicant. NYSERDA may add other permitting or model ordinances as they become available for communities to adopt and apply for incentives under this category. **NYSERDA will continue to accept applications through the Consolidated Funding Application for Category 1 until 4:00p.m. Eastern Time on September 30, 2019, until funds are exhausted, or until the solicitation is revised by NYSERDA, whichever comes first.**

ELIGIBLE APPLICANTS – CATEGORY 2

Local governments (county, city, town, village, or Indian tribal government or nation located within NYS) in New York State are eligible to apply for funds. Municipalities may form partnerships and submit a joint proposal, but one entity must be identified as the lead applicant on behalf of the group or consortium. All involved municipalities must meet the eligibility criteria outlined in the section of this document titled "Category 2 Project Eligibility: Required Steps." A single municipality, or a group or consortium of municipalities, may choose to designate a non-municipal entity (private, non-profit, etc) to be the lead applicant, but the lead applicant must provide letters of support from each municipality involved in the project. The lead applicant, if successful, will have a contractual obligation to NYSERDA and will act as the main point of contact for NYSERDA for all project-related matters.

ELGIBLE APPLICANTS – CATEGORY 3

Local governments (county, city, town, village, or Indian tribal government or nation located within NYS), private companies, non-governmental organizations, and other entities with projects located in New York State are eligible to apply for funds. NYS governmental or quasi-governmental agencies, authorities, or entities are NOT eligible applicants. Public-private and public-public partnerships are encouraged to maximize the opportunity for innovation, impact, and leveraging of other sources of funds. Applicants may form partnerships and submit a joint proposal, but one entity must be identified as the lead applicant on behalf of the group or consortium. NYS governmental or quasi-governmental agencies, authorities, or entities may be project partners, but cannot be the lead applicant and cannot contribute funding toward any required applicant cost share. The lead applicant, if successful, will have a contractual obligation to NYSERDA and will act as the main point of contact for all project-related matters.

CATEGORY 2: FLEXIBLE FUNDING PILOTS

Funding Available: $25,000 to $250,000 per project with a 25% minimum cost share requirement

Category 2 Project Eligibility: Required Steps
In order to qualify for funding, all Category 2 applicants must first complete four of six relatively low-cost Steps and submit proof of completion for each Step. The six Steps, including more information on how to meet the requirements for each Step, are outlined in the PON3106 – Category 2 Required Steps and Project Types document, which can be found on the CGC Guidance Documents website. Required Steps and eligible Project Types are subject to change. NYSERDA will communicate any changes on the CGC Guidance Documents website. Applicants may request a pre-review of the documentation of completion of required Steps by sending an email, with all requested documentation attached, to CGC@nyserda.ny.gov.

Note that applicants may be eligible to earn points towards certification through the Climate Smart Communities (CSC) Certification Program by completing the Steps and for completing one or more projects under this category.

Category 2 Project Eligibility: General Eligibility Criteria

Eligible applicants may choose to include only one specific project in their application, but proposals targeting multiple projects or initiatives are also eligible under this category. All proposals must demonstrate how initiatives are innovative, support local or regional sustainable economic development, and will serve to transform future market practice in a manner that will have multiple long term community benefits and reduction of carbon emissions.

Applicants may request between $25,000 and $250,000 of NYSERDA funding per project, with a cap of $250,000 per applicant per year. NYSERDA may make award offers at amounts lower than those for which the applicant proposed pursuant to the scope and merit of the proposal received, but will not make awards less than $25,000. NYSERDA, in order to avoid double-funding projects or measures within projects, may also adjust awarded funding amounts at any time based on new information regarding other project funding secured. A minimum cost-share of 25% of total project cost is required. For example, if an applicant requests $75,000 from NYSERDA, the applicant must also commit a minimum cost share of $25,000, for a total minimum project cost of $100,000. The applicant cost-share and the NYSERDA share must contribute to the same project or tasks within the project intended to reduce carbon emissions, promote energy efficiency, or increase use of renewable energy. All proposed cost-share must be confirmed by signed commitments from contributing parties. Other NYS funding sources, including other NYSERDA funding, shall not count toward the proposer's cost-share. Cost share may include private equity, private or federal grants, loans, in-kind or volunteer services documented in dollar value, or other non-NYS government funding sources. For the purposes of this solicitation, "NYS government funding" is defined as a grant or an incentive that is received from a NYS governmental entity. This funding cannot be counted as any portion of the applicant cost share. For the purposes of this solicitation, annual NYS funding going toward standard operating costs for an organization is not considered "NYS government funding."

Applications will be evaluated based on the degree to which the project supports the criteria outlined in the section of this document entitled "Category 2 Selection Criteria." Applicants may not commence work on any portion of the project until there is a fully executed contract with NYSERDA. This shall include any activity funded by NYSERDA or other activity included as part of the proposed applicant cost share. Projects must be ready to commence within three months of award notification and should be complete within three years of contract execution. Applicants are required to append a proposed scope of work,

including a budget and project timeline, with their application. Applications that do not include the required appendix with complete information in the format requested will be deemed ineligible. Applicants must also agree, or provide written exceptions, to NYSERDA's standard contracting Terms and Conditions, which can be found on the CGC Guidance Documents webpage. NYSERDA reserves the right to condition awards pending applicant acceptance of industry-appropriate or other NYSERDA program equipment performance, measurement and verification, or commissioning requirements that are not specifically outlined in this guidance document. Applicants with projects that contain measures that are eligible for existing or upcoming NYSERDA programs will be required to meet the performance specifications outlined in those programs. NYSERDA may reach out to applicants via email with specific follow-up questions after reviewing proposals. Should NYSERDA request additional information, applicants will have five business days to respond in order for that information to be considered in the evaluation process.

Category 2 Eligible Project Types
Subject to the approval of the required documentation for four of the six required Steps referenced above, applicants may apply for funding for one or more of the eligible project types outlined in the PON3106 – Category 2 Required Steps and Project Types document, which can be found on the CGC Guidance Documents website. Brief descriptions of each project type are included within this document and applicants may be eligible to earn points towards certification through the CSC Certification Program for completion of one or more of the project types.

All project proposals must demonstrate how projects support local or regional sustainable economic development, and will serve to transform future market practice in a manner that will have multiple long term community benefits and reduction of carbon emissions.

Category 2 Ineligible Project Types
Projects that are not listed under the section of this document entitled "Category 2 Eligible Project Types."

Category 2 Application Process
Applications will be accepted through the Consolidated Funding Application (CFA). NYSERDA will continue to accept applications for Category 2 on a rolling basis through September 30, 2019, until funds are exhausted, or until the solicitation is revised by NYSERDA, whichever comes first. A separate CFA must be completed for each project.

Category 2 Selection Criteria
Projects will be scored and awarded on a competitive, rolling basis. No project or applicant is guaranteed funding. However, no one applicant may receive more than $250,000 per year. NYSERDA may condition awards upon applicant acceptance of requests for minor modifications to project scopes to ensure that CGC Program goals are met. NYSERDA's selection criteria are based on the five program objectives outlined below, with a total number of available points allocated to each.

- Stimulate Market Transformation (20 possible points)
- Support Clean Energy and Sustainable Planning Projects or Services (20 possible points)
- Create Regional and Community Benefit (20 possible points)
- Leverage CGC Funds (20 possible points)
- Reduce Carbon Emissions (20 possible points)

Applications will be accepted on a rolling basis and reviewed by a small team of internal and external subject matter experts as outlined below.

- Review meetings will be held periodically, on at least a quarterly basis, depending on the volume of applications.
- Applicants must earn a minimum of 50% of available points in each program objective area to be considered eligible.
- To receive an eligibility determination in any given quarter, applications must be finalized and submitted through the CFA by the first business day of the last month of the quarter. Otherwise, applications will be reviewed the following quarter.
- Eligible applications will be awarded funding in the order in which they were received.
- NYSERDA reserves the right to reject proposals that would otherwise be eligible for other existing NYSERDA or other New York State funding opportunities. However, NYSERDA will assist the applicant in accessing those other funding opportunities.

Under each program objective area is a set of questions to provide guidance in responding to the program objective. Applicants do not need to respond to every guiding question and are encouraged to use other descriptions to demonstrate how their project meets each objective.

1. **Stimulate Market Transformation** (20 possible points)

- *Does the initiative include the application of an innovative or new approach to plan or better prepare for a sustainable future?*
- *Does the initiative apply best practices from other regions or states that are not readily applied in the region or NYS?* If so, give examples that are being duplicated.
- *Does the initiative create the potential for replication and transfer to other regions or locales to create the potential for larger scale impact?*
- *Is a new planning practice, method or approach being introduced?*
- *Is the initiative inspirational in that it will engage and inspire stakeholders or stimulate action by others?*
- *Is the initiative a demonstration or pilot that has not been attempted previously*?
- *Is the initiative ready to begin?* Provide a status of necessary approvals and any entitlements received.
- *How will the initiative be shared or used to promote broader transformation and adoption in other communities?*

2. ***Support Clean Energy and Sustainable Planning Projects or Services*** *(20 possible points*)

- *Are new methods of sustainable planning practices being applied or introduced to the community?* i.e., complete streets, form based codes, smart land use planning, etc.
- *Are new or advanced clean energy technologies being applied or introduced to the community?* i.e. LED street lighting, alternative fuel vehicles, anaerobic digesters, etc.
- *Are sustainability and resiliency criteria included in the initiative?* If so, provide references for sources or standards being utilized and why they were chosen.
- *If pre-development project assistance is requested, how will the future project be enhanced in the area of sustainability through this specialized technical support?* i.e., design charrette, community needs or vulnerability assessment, market or technical feasibility, surveys, etc.
- *If subcontractors are to be used for the initiative how will they be selected to ensure they have the required expertise to address issues of energy efficiency, renewable energy, or carbon mitigation as well as economic development?* i.e., credentials, certificates or other specialized training. Please note that if the applicant intends to select a subcontractor after an award by NYSERDA, then the applicant must follow NYSERDA's subcontracting requirements as detailed in Article V of the Sample Terms and Conditions, which can be found on the CGC Guidance Documents webpage.

3. **Create Regional and Community Benefit** (20 possible points)

- *How will the initiative provide direct or indirect economic benefit to the region?* i.e., jobs creation or retention, retention of local dollars through export substitution, increase income levels, new local dollars generated, etc.
- *How will the initiative provide direct or indirect social value to the region?* i.e., retention of cultural or historical assets, vulnerable populations addressed, improved access to community assets, expand educational opportunities, etc.
- *How will the initiative provide environmental value to the region?* i.e., enhance and protect natural assets, green infrastructure planning, restoration of ecological assets, etc.
- *How will the impacted community be engaged in the planning and communications process for the initiative?*
- *Is there local support for the initiative?* Please provide letters of support.
- *Does the initiative align with the applicable Regional Sustainability Plan?* What goals or Sustainability Indicators are being addressed?
- *Does the initiative demonstrate an integrated approach with benefits across multiple areas of the locale or region?*
- *What efforts will be made to transfer knowledge and educate the broader community and region about the initiative?*
- *Is the project located in a Climate Smart Community, a Certified Climate Smart Community, an environmental justice area, a brownfield opportunity area, REDC Opportunity Agenda Area, or other relevant special areas?*
- *Is the project included in a NY Rising Community Reconstruction Program Plan or a NY Rising Countywide Resiliency Plan (For more information, please visit: http://stormrecovery.ny.gov/community-reconstruction-program)?*

4. **Leverage CGC Funds** (20 possible points): a minimum 25% non-NYS funded cost share must be demonstrated. In-kind and volunteer support documented as dollar equivalent may contribute to this requirement.

- *How will CGC funds fill a unique initiative funding gap that cannot be filled elsewhere?*
- *What is the total initiative cost and what assumptions have been applied to develop this cost?* i.e.*, is it based on actual bids, comparable initiatives, etc?*
- *What other funds (document both NYS government and non-NYS government funds) will be applied to this initiative and for what components?* A minimum of a 25% non-NYS government funding cost share must be confirmed by signed commitments from contributing parties.
- *What type of in-kind support will be provided and what is the estimated dollar value?*
- *What type of volunteer support will be provided and what is the estimated dollar value?*
- *If this is a pre-development initiative do you anticipate applying for future NYS project funding?*
- *How will this initiative leverage private investment dollars?*
- *How cost-effective is the initiative?* i.e., *what is cost per metric ton of carbon reduced (calculated as CGC Investment $ per GHG Savings (MTCDE / year)?*

5. **Reduce Carbon Emissions** (20 possible points): NYSERDA understands that many planning type initiatives may not have direct carbon emission reductions attributable to the initiative. Please respond to this objective based on either indirect or directly quantifiable carbon reductions based on the type of initiative proposed.

- *Does the initiative provide a quantifiable reduction of carbon emissions?* If so, provide the numbers and explain the methodology used to calculate the reduction.
- *How does the initiative support and promote smart land use and growth principles?*

- *How does the initiative directly or indirectly reduce energy consumption or provide strategies/policies to achieve reductions?*
- *How does the initiative directly or indirectly increase deployment of renewable energy or provide strategies/policies to achieve increased deployment of renewable energy technologies?*
- *In what ways will the initiative modify or inform current policies or programs that may create barriers to energy use reduction or renewable energy deployment?*

Category 2 Examples of Eligible Project Types
Please see the PON3106 – Category 2 Required Steps and Project Types document, which can be found on the CGC Guidance Documents website that outlines high-level hypothetical project descriptions to provide some examples of what NYSERDA considers "eligible" project types under Category 2. The hypothetical project type descriptions are not exhaustive, are not a list of preferred project types, and are intended only to provide an additional level of clarity. Applications for project type examples included are not guaranteed to receive funding and will be evaluated according to the aforementioned criteria along with every other application. Please contact CGC@nyserda.ny.gov with any questions.

CATEGORY 3: COMMUNITY-SCALE SUSTAINABILITY PROJECTS
Funding Available: Up to $25 million

Category 3 Project Eligibility
Category 3 projects must fit into one of the two following descriptions. Research and development activities are not eligible.

1. Showcase or anchor construction projects that deliver one or more key elements of a defined sustainable neighborhood development effort. To be eligible, the effort must: (i) be either a project(s) identified as part of an approved neighborhood master plan that consists of several buildings OR an actual development project that consists of several buildings; (ii) meet prerequisites (see prerequisites below) for smart location, walkable streets, compact development, neighborhood connections, and green infrastructure and buildings; AND (iii) demonstrate that the project strategy has the potential to lead to replication or other spill-over effects.

   Prerequisites for showcase or anchor construction projects:

   A. SMART LOCATION
      a. Reinvests in existing neighborhoods, connects to adjacent development, is served by transit or neighborhood amenities, or cleans up a contaminated site
      b. Avoids habitats for endangered species or creates a habitat conservation plan
      c. Avoids wetlands and leaves a buffer of at least 100 feet
      d. Avoids prime agricultural land
      e. Avoids floodplains
   B. WALKABLE STREETS
      a. Includes public-facing building entries (other than a parking lot) on 90% of building frontage
      b. Includes a minimum of 15% of street length with building-height-to-street-width ratio of at least 1 to 3
      c. Includes a minimum of 90% of street length with sidewalks
      d. Includes no more than 20% of street length with garage doors
   C. COMPACT DEVELOPMENT
      a. Provides at least 7 dwelling units per acre for residential
      b. Meets a minimum 0.5 floor-area ratio for non-residential
   D. NEIGHBORHOOD CONNECTIONS
      a. Includes streets or pathways into the development at least every 800 feet
      b. Includes at least 140 intersections per square mile
      c. If the project has no internal streets, is surrounded within a ¼ mile by an existing street network of at least 90 intersections a square mile
      d. Provides for bicycle paths and bicycle parking

E. GREEN INFRASTRUCTURE AND BUILDINGS
   a. Targets making 90% of building square footage a minimum of 10% more efficient than the energy code
   b. Targets reducing water usage 20% over baseline requirements or use
   c. Uses a green building rating system to certify at least one project building

For more detail regarding how to meet these pre-requisites, please reference the U.S. Green Building Council's Leadership in Environmental and Energy Design (LEED) for Neighborhood Development rating system[7].

2. Innovative projects or programs that either: (i) facilitate, develop, or expand a private-sector business model targeting delivery of community-wide clean energy services or sustainability projects as described in number 1 above; OR (ii) utilize innovative and well integrated community engagement or aggregation strategies to accelerate community-wide demand for clean energy projects or services. Eligible applicants must demonstrate their program's ability to affect or deliver impact at community scale, and how their program will facilitate the development of self-sustaining mechanisms for the applicable clean energy installations or services, or sustainability projects as described in number 1 above. Eligible project strategies or measures must reduce GHG emissions, and include, but are not limited to, the types described below:

   A. Implementing an innovative financing mechanism
   B. Implementing an innovative outreach or aggregation strategy
   C. Providing *scalable* technical assistance services addressing specific market barriers
   D. Other innovative projects or programs that break down market barriers

NYSERDA anticipates awarding projects that are innovative and transformational in their contributions to advancing sustainable development; thereby creating direct community benefit and reduction of carbon emissions. All projects must also support energy efficiency, renewable energy, or carbon mitigation. Projects for which the main goal is to increase deployment of Electric Vehicles (EVs) in New York State are eligible for bonus points.

Applicants must request $500,000 to $3,000,000 of NYSERDA funding per project. NYSERDA may make award offers at amounts lower than those for which the applicant proposed, pursuant to the scope and merit of the proposal received, but will not make awards less than $500,000. NYSERDA, in order to avoid double-funding projects or measures within projects, may also adjust awarded funding amounts at any time based on new information regarding other secured project funding. A minimum cost-share of 25% of the total project cost is required. For example, if an applicant requests $750,000 from NYSERDA, the applicant must commit a minimum cost share of $250,000, for a total minimum project cost of $1,000,000. The applicant cost-share and the NYSERDA share must contribute to the same project or tasks within the project intended to reduce carbon emissions, promote energy efficiency, or increase use of renewable energy. All demonstrated cost-share must be confirmed by signed commitments from contributing parties. Other NYS funding sources, including other NYSERDA funding, shall not count toward the proposer's cost-share. Cost share may include private equity or grants, loans, in-kind or volunteer services documented in dollar value, or other non-NYS government funding sources. For the purposes of this solicitation, "NYS government funding" is defined as a grant or an incentive that is received from a NYS governmental entity. This funding cannot be counted as any portion of the applicant cost-share. For the purposes of this solicitation, annual NYS funding going toward standard operating costs for an organization is not considered "NYS government

[7] http://www.usgbc.org/resources/leed-neighborhood-development-v2009-current-version

funding." A retainage equal to 10% of the NYSERDA award will be withheld throughout the project and will be payable upon project completion and acceptance by NYSERDA of all required reporting.

Applications will be evaluated against one another based on the degree to which the project supports the criteria outlined in the section of this document entitled "Category 3 Selection Criteria." Applicants may not commence work on any portion of the project until there is a fully executed contract with NYSERDA. This shall include any activity funded by NYSERDA or other activity included as part of the proposed applicant cost share. Projects must be ready to commence within three months of contract execution and should be complete within three years of contract execution. Applicants are required to append a proposed scope of work, including a budget and project timeline, with their application. Applications that do not include the required appendix with complete information in the format requested will be deemed ineligible. Applicants must also agree, or provide written exceptions, to NYSERDA's standard contracting Terms and Conditions, which can be found on the CGC Guidance Documents webpage. NYSERDA reserves the right to condition awards pending applicant acceptance of industry-appropriate or other NYSERDA program equipment performance, measurement and verification, or commissioning requirements that are not specifically outlined in this guidance document. Applicants with projects that contain measures that are eligible for existing or upcoming NYSERDA programs will be required to meet the performance specifications outlined in those programs. NYSERDA may reach out to applicants via email with specific follow-up questions after reviewing proposals. Should NYSERDA request additional information, applicants will have five business days to respond in order for that information to be considered in the evaluation process.

Category 3 Ineligible Projects

Projects must meet eligibility requirements outlined in the section of this document entitled "Category 3 Project Eligibility." The following project types or measures are **NOT** eligible for Category 3 funding:

- Projects or measures within projects that are required by law or regulations
- Projects that have an aggregate adverse effect on indoor or outdoor air quality, carbon emissions, or public health in general
- Development, implementation, or funding of outreach, education, or technical assistance programs targeting municipal or other local governments that are not services being targeted under the below referenced Communities Local Support Framework preferred project type under this category.
- Natural gas, electricity, or other "fuel distribution or supply lines" including, but not limited to, gas pipelines and electricity lines. For the purposes of this solicitation, combined heat and power systems and district energy systems are not considered "fuel distribution or supply lines"
- Design and construction costs for projects comprised of only residential buildings consisting of between one and four units
- Research and development (R&D) or commercialization efforts for products, processes, or other activities
- Biomass heating or biomass energy generation equipment that combusts or gasifies any fuel other than premium wood pellets. Premium wood pellet biomass measures are eligible, but must comply with NYSERDA's CGC Biomass Heating System Program Requirements, which can be accessed at the CGC Guidance Documents webpage. For the purposes of this solicitation, landfill gas energy generation equipment, bio-digesters, and the fuels produced as a result of their processes, are not considered biomass. Projects that duplicate or exceed the incentives available under the Renewable Heat NY Program are ineligible for funding under this solicitation. District heating biomass projects are eligible but either must include a completed thorough feasibility study (if requesting funding for implementation) or request funding for completion of a thorough feasibility study (if requesting funding for design).
- Costs of consumables, including, but not limited to, fuels such as gasoline, wood pellets, fuel oil, and biodiesel

- Projects consisting of a single building that is not part of a larger (multiple buildings) approved community or neighborhood plan
- Projects focused on the installation of a single technology into a building or site
- Research studies

Category 3 Application Process
Applications will be accepted through the Consolidated Funding Application (CFA). Applications for Category 3 are due by 4:00p.m. Eastern Standard Time on July 31, 2015. It is expected that resulting awards will be announced in Fall 2015. A separate CFA must be completed for each unique project.

Category 3 Selection Criteria
Projects will be scored and awarded on a competitive basis. No project, region, or applicant is guaranteed funding. No one project, region, or applicant may receive more than 25% of available Category 3 funding. NYSERDA may condition awards upon applicant acceptance of requests for minor modifications to project scopes to ensure that CGC Program goals are met. NYSERDA's selection criteria are based on the program objectives outlined below with a total number of points allocated to each.

- Stimulate Market Transformation (15 possible points)
- Support Clean Energy and Sustainable Development Projects or Services (15 possible points)
- Create Regional and Community Benefit (10 possible points)
- Leverage CGC Funds (10 possible points)
- Reduce Carbon Emissions (20 possible points)
- Preferred Eligible Project Types (5 possible points)
- Electric Vehicle Market Development Project Types (5 possible points)

Because proposals will be submitted through the CFA process, the REDCs will score projects based on consistency with their respective Regional Strategic Plan and the relative level of priority. The REDCs will provide 20% of the total score. NYSERDA will convene a Technical Evaluation Panel (TEP) to review and rank eligible proposals for technical merit pursuant to the project selection criteria noted below and to assign the remaining 80% of the score. NYSERDA reserves the right to adjust awards based on statewide portfolio or regional distribution needs. Under each program objective area is a set of questions to provide guidance in responding to the program objective. Applicants do not need to respond to every guiding question and are encouraged to use other descriptions to demonstrate how their project meets each objective.

1. **Stimulate Market Transformation** (15 possible points)

- *Does the project include the application of an innovative or new approach to projects in the region or state of a comparable size and type?*
- *Does the project apply best practices or technologies from other regions or states that are not readily applied in the region or NYS?* If so, give examples that are being duplicated.
- *Does the project create the potential for replication and transfer to other regions or locales to create the potential for larger scale impact? To what extent does the proposer document the potential for replication?*
- *How will the project be promoted or used as an educational opportunity to transfer knowledge and stimulate future projects of this type?*
- *Does the proposal identify the anticipated market barriers, infrastructure deficiencies, and/or regulatory issues and propose solutions for how they will be overcome?*
- *Is a new technology, system, practice, method or approach being introduced?*
- *Is the project a demonstration or pilot that has not been attempted previously?*
- *What efforts have been taken to assess and reduce risk during implementation?*

- *Is the project inspirational in that it will engage and excite stakeholders or stimulate action by others?*
- *Will the project be ready to begin within 3 months of contract execution?* Provide a status of necessary approvals and documentation of any entitlements received.

2. **Support *Clean Energy and Sustainable Development Projects or Services*** (15 possible points)

- *Are new methods of sustainable design and construction being applied or introduced through the project?*
- *Are new or advanced clean energy technologies being applied or introduced to the community?* e.g.. LED street lighting and electric vehicles.
- *Are sustainability and resiliency criteria included in the project?* If so, provide references for sources or standards being utilized and why they were chosen.
- *Does the project support and promote smart land use and growth principles?*
- *Has the project applied LEED ND or other equivalent sustainability rating systems?* Include a summary of the score sheet results with an explanation on how it was derived.
- *What features or strategies used in the project respond to regional Sustainability Indicators?*
- *If subcontractors are to be used for the project how will they be selected to ensure they have the required expertise to address issues of sustainability?* e.g., credentials, certificates or other specialized training or project experience. Please note that if the applicant intends to select a subcontractor after an award by NYSERDA, then the applicant must follow NYSERDA's subcontracting requirements as detailed in Article V of the Sample Terms and Conditions, which can be found on the CGC Guidance Documents webpage.

3. **Create Regional and Community Benefit** (10 possible points)

- *To what extent has the proposer demonstrated that the project will support economic development in the region or all applicable regions if a project overlays more than one REDC region?*
- *How will the project provide direct economic benefit to the region?* i.e., jobs creation or retention, retention of local dollars through export substitution, increase income levels, new local dollars generated.
- *To what extent has the proposer discussed the current state of the supply chain as well as anticipated changes in the next 6 to 12 months?*
- *To what extent has the proposer described targeted activities as well as anticipated changes in the next 6 to 12 months?*
- *How will the project provide direct social value to the region?* i.e., retention of cultural or historical assets, vulnerable populations addressed, improved access to community assets, expand educational opportunities, etc.
- *How will the project provide direct environmental value to the region?* i.e., enhance and protect natural assets, green infrastructure, and restoration of ecological assets.
- *How will the affected community be engaged in the planning and communications process for the project?*
- *Does the project provide benefits to a culturally diverse population that is inclusive of varying income levels, vulnerable populations, and mixed age populations?*
- *Is there local support for the project? What approvals have been secured?* Please provide letters of support.
- *Does the project align with the applicable Regional Sustainability Plan? What goals or Sustainability Indicators are being addressed?*
- *Does the project demonstrate an integrated approach with benefits across several areas of the project?*
- *What efforts will be made to transfer knowledge and educate the broader community and region about the project?*

- *Is the project located in a Climate Smart Community, a Certified Climate Smart Community, an environmental justice area, a brownfield opportunity area, REDC Opportunity Agenda Area, or other relevant special areas?*
- *Is the project included in a NY Rising Community Reconstruction Program Plan or a NY Rising Countywide Resiliency Plan? (For more information, please visit: http://stormrecovery.ny.gov/community-reconstruction-program)*

4. **Leverage CGC Funds** (10 possible points):

- *How will CGC funds fill a unique project funding gap that cannot be filled through other means?*
- *What is the total project cost and what assumptions have been applied to develop this cost?* i.e., is it based on actual bids, and comparable projects?
- *What other funds (document both NYS government and non-NYS government funds) will be applied to this project and for what components?* A minimum of a 25% non-NYS government funding cost share funding must be documented. Please see the "Example Funding Breakout" below for one way a project may submit.
- *What type of in-kind support will be provided and what is the estimated dollar value?*
- *What type of volunteer support will be provided and what is the estimated dollar value?*
- *How will this initiative leverage private investment dollars?*
- *How cost-effective is the initiative?* i.e., *what is cost per metric ton of carbon reduced (calculated as CGC Investment $ per GHG Savings (MTCDE / year)?*

5. **Reduce Carbon Emissions** (20 possible points):

- *Does the project provide direct reduction of carbon emissions? What is the amount of reduction and how was it calculated?*
- *How does the initiative directly reduce energy consumption? What is the amount of reduction and how was it calculated?*
- *How does the project provide renewable sources of energy? What is the amount of renewable energy supplied and how was it calculated?*
- *Do the project plans include methods for evaluating the anticipated reduction in energy use and carbon emissions?*

6. **Preferred Eligible Project Types** (5 possible points)

- *Does the project fall under one of the preferred eligible project types in this solicitation?*
- *If so, to what extent has the applicant demonstrated that the project will meet the goals identified under that preferred eligible project type?*

7. **"Electric Vehicle Market Development" Project Types** (5 possible points)

- *Does the project fall under the preferred project type "Electric Vehicle Market Development?"*
- *If so, to what extent does the project include innovative solutions that will stimulate and expand the market for electric vehicle purchases in New York State?*
- *What will be the cost per new electric vehicle purchase generated by this project?*
- *How many new electric vehicle sales will result from this project?*
- *EV Market Development projects should expand EV adoption by using NYSERDA funds in a cost-effective manner. Successful projects will leverage significant private funds to match NYSERDA funds and should be able to demonstrate increased EV sales in the three years following the award. To be considered cost-effective, the proposed project should be able to generate additional new EV sales at a rate of one battery electric vehicle or more per $3,000 of NYSERDA funds, or one plug-in hybrid vehicle or more per $1,500 of NYSERDA funds.*

Category 3 Examples of Eligible Projects

Preferred eligible project types:

The following project types outline what NYSERDA considers preferred "eligible" project types under Category 3. Although applications for these project types are not guaranteed to receive funding, they will be evaluated according to the aforementioned criteria along with every other project application and given preference over project types not listed in this section.

Electric Vehicle Market Development:

This preferred project type includes innovative solutions that will complement and not overlap with existing efforts stimulate and expand the market for electric vehicle purchases in New York State. For more information on NYSERDA's current efforts in electric vehicle market development, please visit http://www.nyserda.ny.gov/chargeny. Potential examples of initiatives or projects under this category include:

- Community-based electric vehicle purchase incentives: Funding for the design and implementation of a program to reduce the purchase cost of electric vehicles to end-users and generate a sustained increase in demand for electric vehicles. This would involve development of a program to increase awareness, engage stakeholders, and offer incentives to market participants including municipalities, private companies, and/or residents. In their application applicants should detail their strategic approach for how this type of initiative can be implemented to increase electric vehicle sales in a cost-effective manner. Potential strategies could include:
    - Incentives for consumer EV purchases paired with a multi-stakeholder, consumer-focused marketing and educational campaign and an effort to increase charging station access;
    - Community-based aggregation of electric vehicle purchases that raises consumer interest in electric vehicles through grassroots marketing and brings down the price of the cars for individual consumers through economies of scale;
    - Bulk electric vehicle purchasing collaborative for public and/or private fleets;
    - Employers offering incentives to employees for purchasing electric vehicles coupled with the installation of charging stations at the business location for employee use; and
    - Dealer engagement initiative to generate more widespread marketing of EVs and offer incentives to car dealers for selling more EVs.
- Model Electric Vehicle (EV) Communities or Regions: Applicants can apply to design and implement a model EV community or region project to offer a suite of incentives and services to accelerate the purchase of EVs in their community. These incentives and services can include: free parking for electric vehicles; reduced or free charging of electric vehicles at public charging stations; incorporation of EVs into car sharing fleets and public transit fleets; collaborative events with stakeholders such as employers, car dealers, and non-profits; integration of EVs into public and private fleets; and installation of new public charging stations. Applicants must include signed letters of support from the local government or local governments (if project targets several local governments) included in the project application.

Low-to-Moderate Income (LMI) Innovative Solutions

This preferred project includes innovative solutions that will complement and not overlap with existing efforts, including initiatives administered by NYSERDA, other New York State agencies, and utilities and serve as a pilot for potential expansion statewide for initiatives that show promise for increasing energy affordability and access to energy efficiency and clean energy solutions for LMI households and communities. Potential examples of initiatives or projects under this project type include:

- Affordability strategies, such as oil to gas conversions on a community scale or bulk fuel purchases for low-income consumers: municipalities can access the Empire State Purchasing Group bid system for bulk fuel purchases. Local governments could include fuel purchases for Home Energy Assistance Program (HEAP) recipients, with the procurement of municipal fuel purchases, thus decreasing the commodity cost and stretching the HEAP dollars. A bulk fuels purchase pilot should include strategies that offset greenhouse gas emissions associated with the bulk fuel source;

- Minimum efficiency standards for low-income rental housing (e.g. Housing Choice Voucher program): Under this project type, applicants could work with local governments and/or applicable state and federal affordable housing program administrators to establish energy efficiency standards for these units; and
- Aggregation or other innovative strategies to increase access to energy efficiency and clean energy services for LMI households and communities.

K-12 schools program

This preferred project includes innovative solutions that will complement and not overlap with existing efforts for K-12 schools, including initiatives administered by NYSERDA and other New York State agencies, such as the K-Solar Program. K-12 schools are a key element of a community and local governments should work together with these institutions to leverage clean energy education to community residents. Potential examples of initiatives or projects under this category for communities to work with K-12 schools include:

- Anchor Demonstration Projects: Funding available for implementation of energy efficiency and renewable energy projects at the school. This funding would include funding for educational components, such as educational kiosks and a plan for education and outreach on the benefits of the technology/project to the school and local community. This would allow the school to demonstrate the benefits of the technology implemented so that it can serve as an educational component for the school as well as the local community.
- Energy Manager and Energy and Sustainability Master Plan: Funding available for a sustainability and energy manager who would be charged with developing an energy and sustainability master plan for the school, tracking energy performance against goals defined in the master plan, and developing curriculum for energy and sustainability classes to be taught at the school, which could include student participation in identifying opportunities for energy improvements.

Communities Local Support Framework

The New York State Communities Partnership (NYSCP) is New York State's new, unified approach to driving clean energy action and energy literacy in local governments and communities across the state. As an inter-agency effort administered by NYSERDA, the NYSCP will streamline municipal and community access to currently diffuse state energy programs, resources, and tools. By working closely with municipalities, local partners, community organizations, and market actors, the NYSCP will leverage whole-community involvement in clean energy deployment, scaling the penetration of cost effective energy actions across the state. Under this preferred project type, NYSERDA seeks proposals from qualified organizations to provide regionally-based education, customer relationship services, and technical assistance to communities in support of the NYSCP as Regional Support Contractors (RSCs). Services to be provided by projects awarded under this project type may include, but not be limited to:

1. Increase participation in NYSCP related programs and initiatives.
2. Engage Local Partners that increase NYSCP's outreach and education in the Territory.
3. Assist communities with accessing other local, state and federal resources to assist in the execution of projects. Act as an ombudsman, assisting municipalities by facilitating introductions to community business development partners, investors or other agents of business growth and development.
4. Provide technical assistance and consulting services to communities undertaking advanced and high impact energy actions and projects. Examples of technical assistance services include:
    a. Develop and customize existing templates, workbooks, checklists, and other guidance documents for communities to use to undertake activities and projects;
    b. Meet with communities to assess clean energy progress to date and develop a plan prioritizing the next, most impactful step(s) or action(s);
    c. Provide on-demand, but limited, technical support including, but not limited to, expert land use planning advice, assistance with basic energy efficiency and emissions calculations, explaining benefits of certain actions or projects in more detail.
5. Assist communities with becoming Climate Smart Communities (CSCs) and with CSC Program Certification.

6. Conduct consumer marketing and education about NYSCP programs to educate community leaders, business owners, and the general public on the benefits of energy efficiency and renewable resources.
7. Reporting and data management.

Applicants must apply to provide services in a minimum of three contiguous Economic Development Regions as defined by Empire State Development, with the exception of Long Island and New York City that can be its own combined service territory. Regions include: North Country, Capital District, Mid-Hudson, Long Island, New York City, Mohawk Valley, Southern Tier, Central New York, Finger Lakes and Western New York. More detail on this example project type, including potential services to be provided can be found in the Category 3 Example Statement of Work found on the CGC Guidance Documents website.

Other example eligible project types:

The following hypothetical project descriptions provide some examples of what NYSERDA considers "eligible" project types under Category 3. The hypothetical project descriptions below and additional list of project types that follow are not exhaustive, are not a list of preferred project types, and are intended only to provide an additional level of clarity. Applications for project examples or types included are not guaranteed to receive funding and will be evaluated according to the aforementioned criteria along with every other project application. Please contact CGC@nyserda.ny.gov with any questions.

LED Streetlights Community Aggregation Project

Organization XYZ is planning to work with the Villages of Model and Trial, the Town of Sample, the City of Sample, and the City of Example to implement an innovative group purchasing initiative for LED Streetlights. All communities either already own their streetlights or are planning to work with Utility ABC to take advantage of a newly launched LED rate tariff. Organization XYZ will work with Engineering Firm, PC, which specializes in lighting, to undertake a detailed inventory of all streetlights and to conduct a thorough Feasibility Study to determine if an LED streetlight conversion is desirable and economical in each community. For all communities with positive results from the Feasibility Study, Organization XYZ will work with Engineering Firm, PC and representatives from each of the communities to design a Request for Proposals (RFP) to solicit a qualified firm to install LED streetlights in each community, including final lighting design work. The RFP will include detailed requirements regarding different streetlight fixture specifications (maximum lumen out, color rendering, color temperature, uniformity, glare, etc), desired lighting controls (dimmability, emergency notification capabilities, etc), energy savings, and minimum investment payback periods. Organization XYZ will also work with Sample Financial Institution on behalf of the municipalities to design and secure a financing option that will allow each of the participating communities to maintain their current operational budgets and services without increasing taxes for their residents.

Neighborhood Watershed Green Streets Project

Example Neighborhood lies on a slope that backs into Example River and was built in the early 20th-century with a combined sanitary and stormwater sewer. A wastewater treatment plant abuts the river, treating sewage water before releasing it. The growing intensity of summer storms in recent years has caused an increase in both upstream sewer back-ups and direct overflow discharge into the river. This has resulted in recurring damages to public and private property, endangers human safety during and immediately after storms, and may be placing Example Water District at risk of a lawsuit for violating the Clean Water Act. As part of the recently completed Example Neighborhood Master Plan, which has achieved Stage 1 LEED ND certification, the District has put in place a plan to reduce the total load and peak loads on the sewer system and the treatment plant by installing green street features such as planted swales and connected vegetated detention basins. The plan also includes a program to assist homeowners who install green roofs and rain gardens on their property. Load reductions at the Wastewater Treatment Plant are expected to result in up to a 50% reduction in energy use for water treatment. Example Water District has partnered with Green Development, Inc. to seek assistance from the Cleaner, Greener Communities program for $1.5 million of this $6.25 million project, part of which will be covering green street features in upstream parts of the Neighborhood. The NYSERDA funding would support the green street feature development on two residential blocks and on a group of recently approved mixed use developments spanning 40 acres. The cost of construction for the new mixed use building developments is being paid for by Green Development, Inc. NYSERDA would also support the installation of energy improvement covering the incremental cost of installing LED street, path, and area lighting in the affected areas. This NYSERDA work would include the stormwater structures and rain gardens associated with the street layout and construction. Green Development would pay for the construction of the roads, improved pedestrian amenities, renovations to the buildings, and the stormwater conveyances to connect the green infrastructure for drainage; and connections for rooftop drainage to the new stormwater infrastructure. The Green Development group has identified two other sites in nearby Example 1 City and Example 2 City that have Brownfield Redevelopment Areas currently nearing completion of remediation for which the same type of development would be applicable. If successful, they intend to replicate the development described in the Example Neighborhood Master Plan at these two additional locations as well as undertake a statewide marketing campaign showcasing the benefits of the additional green project features.

Rooftop Solar Power Systems for Low-Income Housing Redevelopment Project in a High-Priority Area

Example Community Developer seeks funding to help develop an abandoned 10-acre site into a mixed-use community featuring 300 rental apartment units with commercial space on the ground floor of all buildings. 35% of the units will be affordable housing and the rest will be rented at market rate. The site is located in a U.S. Department of Housing and Urban Development designated Qualified Census Tract making the Developer eligible for the Low Income Housing Tax Credit. As part of efforts to control costs for low-income residents and to enhance the quality of life for all residents, Developer intends to integrate enhanced pedestrian and public transportation amenities, such as wide sidewalks, pedestrian signaling, covered bus shelters and additional bus stops, on site water recycling, rooftop community gardens, energy efficiency, and technologies including solar thermal systems and solar photovoltaic panels. A gap analysis completed by Green Consulting Firm using the LEED ND rating system identified these project elements as opportunities to help the project achieve certification. However, the added cost of energy efficiency and green design features is difficult to include in low income housing. Developer has applied separately for other NYSERDA and US Department of Energy funding for the extra costs of energy efficiency design features. Preliminary design studies have estimated the total incremental cost of wider sidewalks, enhanced pedestrian signaling, and increased bus stops, which will increase pedestrian activity and reduce vehicle miles traveled in the area, at $1 million. Developer is seeking $750k in assistance from the Cleaner Greener Communities program for these amenities and will provide the remaining $250k in sub-contracted services paid for by Developer. The total cost of the full construction project, including all building construction and enhanced energy and sustainability features, is estimated at $20 million. As part of the LEED ND gap analysis, Green Consulting Firm determined that the project, as designed, meets all prerequisites for the program. Developer has registered the project and, pending the results of an updated cost-benefit analysis by the same firm, plans to pursue LEED ND certification for the project.

Sustainable Community Rent-to-Own Project

Low to medium income homes are often in older buildings that are not energy efficient. New, energy efficient homes are often out of reach financially for this population. Project Developer is seeking funding to finance construction, marketing and initial operation of a new, mixed-use rent-to-own condominium project in Example City. Project design, site acquisition and zoning permits have been completed for a 2-acre infill site that would feature 60 apartment units of varying size and 5,000 square feet of retail space. The proposed design has received Stage 1 LEED ND Conditional Approval, including points for planning of infrastructure energy efficiency, water efficiency, and on-site renewable energy production and water recycling. Under the Developer's proposed business model, a specially-created housing corporation would own and manage the apartments, retail space and landscape. Residents would be selected on income-based criteria, and would "purchase" an apartment with no money down and an agreed monthly rent payment, where a portion of each month's rent goes to paying for a predetermined "sale price". The buildings have been designed at a cost that enables the monthly rent for a unit not to exceed 30% of area median income for a family of four. Once total rent payments on a unit match the "sale price," the renter becomes a full owner and shareholder in the housing corporation, with the same rights as a condominium owner.

The project includes the following features:

- *60 apartment units for low to middle income households*
- *5,000 square feet of retail space to provide walkable access to neighborhood services and jobs*
- *Stage 1 LEED ND conditional approval will plan for reduced energy/emission footprints of the development*
- *Innovative financing plan to facilitate home ownership by low/medium income heads of households*

Arrangements have been made with Example Local Bank so that renters can obtain mortgages to become full owners once their total rent payments are equal to the previously agreed upon sale price. Project Developer is seeking a $5 million grant from the Cleaner Greener Communities program to leverage a $100,000 from the NYS Department of State Community Development Block Grant program plus Project Developer's initial $2 million investment and to meet Example Local Bank's requirements for an $8 million loan that will enable construction to begin within 3 months. Project Design is built on a scalable model to enable similar projects on sites 1 to 5 acres in size, and if successful Project Developer intends to reproduce this model on up to 5 pre-identified sites in Example Region and to showcase the design at industry trade shows at the state and national level.

Local Smart Grid Improvement Service
Example Utility has expressed a desire to strengthen grid capacity while reducing fossil fuel use at power plants and enabling customers to produce small-scale renewable energy using solar panels. However, due to stagnant revenue and outstanding debt, Example Utility does not have the capital to fully finance improvements that would allow the injection of excess power produced by homes and commercial buildings into a smart grid. If improvements were implemented, customers could receive discounts on their power bills based on injected power, providing a powerful incentive to install small-scale renewable energy production solutions on buildings. Example Renewable Energy Services, LLC (ERES), an electrical equipment and construction contractor based in Example City, NY, proposes to fill the gap by implementing smart grid improvements in targeted areas and sharing a portion of the resulting electricity bill discounts with customers who install new renewable power production capacity on their property. ERES seeks a $900,000 grant from the Cleaner, Greener Communities program, matching a $300k commitment from Example Utility, in order to launch this project in Example Pilot Area. As part of this project a formal, binding agreement on payments for renewable power production will be developed between Example Utility, ERES, and local property owners. The total project cost is $1.2 million. If successful, ERES will scale this project to offer grid improvement services to utilities throughout New York State, without the need for any additional NYS subsidies.

Category 3: Example Funding Breakout
In the first hypothetical Category 3 example above, the applicant is proposing a $6,250,000 project that is seeking $1,500,000 from NYSERDA to help fund $250,000 in engineering fees and an additional $1,150,000 for the installation of energy efficient lighting, rain gardens, rooftop gardens, drainage conveyances, and appurtenant structures to lower energy use and reduce the discharge of water to a combined sewer system. The cost breakout is provided in the budget table below. The Community Master Plan focuses on the components of a complete neighborhood plan consistent with LEED-ND goals. An engineering supplement will provide plans for the construction of the stormwater structures, and the project will conclude with the actual construction of the lighting and the infrastructure required to connect the rooftops and street drainage to rain gardens.

Category 3: Example Schedule
A schedule, presented as a table or chart, should highlight the anticipated period of performance for each task, and key milestones should be displayed. A simplified example follows the funding breakout below.

Example Budget Disclosure

Project Component	Cost Share	Cost-Share Description	Other Funding	Other Funding Description	NYSERDA/Cleaner, Greener Communities Share	NYSERDA-Share Description	Total
Purchase and installation of LED street, path, and area lighting (incremental cost vs. traditional lighting)	$20,000	Direct cash contribution from Example Community	n/a	n/a	$200,000	NYSERDA funding will pay for remaining incremental cost of lighting fixtures	$220,000
Engineering design	$75,000	Sub-contracted Engineering support from the Example Water District, including utilization of the District's on-call engineering firm	n/a	n/a	$150,000	NYSERDA funding will pay for the remainder of the engineering consulting	$225,000
Construction of rooftop and rain garden infrastructure and connections to stormwater retention devices	$0	n/a	$155,000	Grant from New York State Department of Environmental Conservation	$900,000	NYSERDA to pay for green infrastructure construction	$1,055,000
Community redevelopment aid for porous pavement, renovations of old buildings, and district co-gen system	$4,500,000	All construction of pavement, building renovations, purchase of energy equipment, and open space improvements will be paid by the District with a grant that has been approved by HUD.	n/a	n/a	$250,000	NYSERDA funding will pay for the design and installation of the energy system renovations in existing buildings to ensure compatibility with the new district co-gen system.	$4,750,000
Total:	$4,595,000		$155,000		$1,500,000		$6,250,000

Simplified example schedule

Project Task	**Q1/Y1**	**Q2/Y1**	**Q3/Y1**	**Q4/Y1**	**Q1/Y2**	**Q2/Y2**	**Q3/Y2**	**Q4/Y2**	**Q1/Y3**	**Q2/Y3**	**Q3/Y3**	**Q4/Y3**
Contract Executed / Completed												
Task 1: Project Administration, reports												
Task 2: Site plans and permitting												
Task 3: Construction												

SUSTAINABILITY INDICATORS

Anticipated benefits associated with CGC II projects under Categories 2 and 3 should be measured, to the extent feasible, using statistics tracked by sustainability indicators outlined in every Regional Sustainability Plan. Each successful applicant shall, throughout the course of the contract with NYSERDA, collect the required metrics described in the attached Project Benefits Metrics Report Template. Descriptions of these metrics are available in the Sustainability Indicator Guidance Document, which can be found on the CGC Guidance Documents webpage. To encourage consistent quantification methodology and adherence to the goals outlined in each Regional Sustainability Plan, project proposals shall also focus on sustainability indicators that were specifically targeted in the sustainability plan applicable to the region in which the project is located. Every project application must positively influence at least one sustainability indicator in its region's sustainability plan. State-wide initiatives should address at least one of the five required common indicators included in all Regional Sustainability Plans.

- Number of permanent jobs created (full-time equivalent [FTE])
- Energy cost savings/year ($)
- Other investment ($)
- Total energy savings by fuel type/year (million British thermal units[MMBTU]); and
- GHG savings/year (metric tons carbon dioxide equivalents [MTCDE]).

Project benefits should be estimated, with methods described in the Sustainability Indicator Guidance Document. These benefits should be reported using the Project Benefits Metrics Report Template and attached to the CFA. Both of these documents are available on the CGC Guidance Documents webpage. The benefits will be refined and demonstrated again in a final report prepared by each successful applicant at the conclusion of the project.

For more information on the Cleaner, Greener Communities Program or to reference your region's Regional Sustainability Plan, please visit http://www.nyserda.ny.gov/Statewide-Initiatives/Cleaner-Greener-Communities.aspx

GENERAL CONDITIONS

Proprietary Information: Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 http://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

Procurement Lobbying Requirements - State Finance Law sections 139-j and 139-k
NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at http://www.ogs.ny.gov/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html
The attached Proposal Checklist calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

Tax Law Section 5-a – NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of $100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. *See,* ST-220-TD (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. *See,* ST-220-CA (available at http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf). The Department has developed guidance for contractors which is available at http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf.

Omnibus Procurement Act of 1992 - It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority- and women-owned business enterprises, as bidders, subcontractors, and suppliers on its procurement Agreements.

Information on the availability of New York subcontractors and suppliers is available from:

Empire State Development
Division For Small Business
625 Broadway
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development
Minority and Women's Business Development Division
625 Broadway
Albany, NY 12207

CONTRACT AWARD
NYSERDA may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Category 2, 3 and 4 Sample Agreements to contract successful proposals. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA may

decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

LIMITATION

This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement.

DISCOLSURE REQUIREMENT

The proposer shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States, and shall describe circumstances for each. When a proposer is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of NYSERDA after the award of a contract, NYSERDA may exercise its stop-work right pending further investigation, or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

DISCLAIMER

Projects identified in the appendices and the content of the CGC Phase I Regional Sustainability Plans are meant to provide examples of potential ways to address the strategies identified in the reports and were submitted to the planning consortiums as part of the public outreach efforts by the consortium. These projects are in no way prioritized or guaranteed to receive funding through Phase II Implementation Funding of the CGC Program. Projects not listed in the appendices section or content of the plans will have equal opportunity to submit an application for funding through Phase II. Regardless of being listed in the plan, a CFA must be submitted in order to be considered for funding in CGC II. All projects must address the qualifications and eligibility requirements listed in this Guidance Document. NYSERDA reserves the right to issue revisions to this solicitation at any time. Any revisions will be announced and posted on NYSERDA's website at www.nyserda.ny.gov.

ADDITIONAL RESOURCES

All CGC program resources and guidelines can be found on the CGC Guidance Documents webpage at the following location: http://www.nyserda.ny.gov/cgc. NYSERDA may host an interactive online webinar-based information session to answer questions about this solicitation. Webinar information will be posted on NYSERDA's CGC Guidance Documents webpage. Within two weeks of the information session, NYSERDA will issue a "Frequently Asked Questions" document specific to this solicitation and will post it on this website. All other questions about this solicitation should be submitted to NYSERDA, in writing, at CGC@nyserda.ny.gov. Due to the large number of inquiries expected, NYSERDA may not be able to return phone calls.

Department of State - Local Government Efficiency Program

Funding Available: Up to $4 Million

DESCRIPTION

For the 2015-2016 program year $4 million is available under the Local Government Efficiency (LGE) Grant program to assist local leaders identify best practices and implement actions focused on reducing municipal expenditures, limiting the growth in property taxes and increasing efficiencies in service delivery. Projects can include local government reorganization, functional or service delivery consolidation, city or county charter revisions that include functional consolidation, cooperative service agreements, and establishment of regional service delivery mechanisms.

ELIGIBLE APPLICANTS

Local government efficiency projects must implement new opportunities for financial savings or exhibit great potential to modernize existing services. Additional benefits may include improving organization or management structures or improving public access to services.

Generally local governments must apply cooperatively for an LGE grant. However, in certain instances the program can provide direct assistance to fiscally stressed local governments to implement internal reorganizations or service delivery modifications.

ELIGIBLE ACTIVITIES / PROGRAM FUNDING:

Local governments may apply for implementation planning and implementation projects.

- The maximum funding for planning, or the planning component of a project that includes both planning and implementation, is $12,500 for each local government involved in the project, not to exceed $100,000.
- The total maximum cumulative funding for a project is $200,000 for each local government involved in the project, not to exceed $1,000,000.

Applicants are required to provide matching funds for all projects.

- For a planning grant, matching funds equal to at least 50% of the total project cost shall be required. Upon implementation, the original matching funds required will be refunded up to 90% of the eligible costs.
- For an implementation project, matching funds equal to at least 10% of the total project cost shall be required.

All grants are reimbursement grants. In order to receive full funding, the awardees must demonstrate that the project has received all appropriate public consideration, referenda where required.

For projects that implement a previously funded planning grant under the Local Government Efficiency (LGE) Grant program or the Shared Municipal Services Incentive (SMSI) program, the grant award from this RFA will be increased by the amount of the local matching funds provided for the planning grant.

PRE-APPLICATION REQUIREMENTS:

None

SUCCESSFUL APPLICANT REQUIREMENTS:

The Department of State requires that all successful applicants enter into a contract with the State of New York. The contract will be a fixed term agreement and will be dated April 1, 2015 – March 31, 2019. The Department of State may cancel an award if the state contract is not returned in a timely manner.

If an applicant is awarded a grant, the contract must be returned to the Department of State within ninety (90) days from its receipt to ensure that funds go to applicants that are ready to move forward. All projects must be managed in accordance with the terms and conditions of the state contract and follow state and local procurement policies.

Failure to render satisfactory progress or to complete the project to the satisfaction of the state may be deemed an abandonment of the project and may cause the suspension or termination of any financial obligation of the state. Satisfactory progress includes, but is not limited to, execution of the state contract and submission of all necessary documents for execution by the state, submitting timely payment requests in accordance with the payment schedule in the state contract, completing satisfactory work products, and other tasks negotiated and agreed to in the executed state contract.

Expenses incurred after April 1, 2015 are eligible for reimbursement. Expenses incurred prior to the start date of the state contract cannot be reimbursed. The grant contractor will be required to submit payment requests every three (3) months.

Recipients of grants must submit project status reports along with every request for payment. Project close-out requires completion of terms and activities outlined in the state contract, including all deliverables identified in the work plan.

The New York Department of State Division of Local Government Services (DLGS) staff monitors each grant and will make site visits during the course of project completion to determine the rate and quality of progress. Notification of contract related meeting schedules and other media events must be provided to DLGS staff. In addition, some projects may be selected for more extensive review and inclusion in the Local Government Efficiency Annual Report submitted to the Governor and Legislature, and may be used as a resource for providing technical assistance.

INELIGIBLE ACTIVITIES:

For this application, projects shall not include plans for a local government re-organization eligible to receive a funding pursuant to the New York Department of State Local Government Citizens Re-Organization Empowerment Grant (CREG). CREG can assist those local governments that are developing plans for consolidation or dissolution pursuant to the terms of General Municipal Law 17-A, the "New N.Y. Government Reorganization and Citizen Empowerment Act". CREG funding is available on a monthly basis. Please visit the LGE program website at http://www.dos.ny.gov/funding/ for more information on submitting a CREG grant.

PROJECT SELECTION CRITERIA:

An application is eligible to receive a total final score of 100, of which 80 percent is derived from program review criteria and 20 percent is allocated to the applicable Regional Economic Development Council (REDC) endorsement.

Application of LGE program score

- Each application will be judged on an initial scale of 100 points to establish a program base score. The final program score will then be multiplied by a factor of 0.8 (100 x 0.8 = 80 points) to determine the final LGE program score.

Application of Regional Economic Development Council score

- Each REDC may award up to 20 points for each project, based upon the project's concurrency with the regional priorities.

LGE Program Base Scoring Criteria (Up to 100 points)

Priorities (Possible 20 points)

- The project implements the functional consolidation of a local government service (5 points)
- The project received funds through other state community and infrastructure development programs; supports multi-agency funding for the benefit of all local governments, NY Rising Community Reconstruction Program Plan, green infrastructure or nature-based water systems, projects supporting Veterans, a Countywide Resiliency Plan or projects identified by the Opportunity Agenda.. (5 points)
- The project implements a planning project completed with SMSI or LGE funds. (5 points)
- Any of the project partners uses multi-year financial planning. (5 points)

The following numerical evaluation scale will be used to assess the degree to which the application meets the grant criteria set forth below.

- Fully meets program criteria 5 points
- Partially meets program criteria 3 points
- Marginally meets program criteria 1 point
- Does not meet criteria 0 points

Project Need (Possible 5 points)

- Significance of existing conditions that created the need for the project, including unplanned increases in local expenditures or other financial challenges, recent requirements to modify existing service delivery or changes in the municipal workforce.

Cost Savings - (Possible 5 points)

- How much savings, as percentage of budget, will be generated by the completion of the project?

Potential Tax Levy Impact (Possible 5 points)

- How the action may affect the property tax levy.

Performance Measurement (Possible 5 points)

- How continued performance of the project is measured to determine the future effectiveness of the project after implementation.

Operational Impacts (Possible 5 points)

- How the project will change current business practices or management operations associated with the impacted services.

Future Investment (Possible 5 points)

- How the fiscal benefits and outcomes realized by the project will stimulate investment in other relevant local government efforts.

Service Delivery Impact (Possible 5 points)

- How the project will make significant impacts on the delivery of services and how the public will be affected by the project.

Project/Partner Readiness (Possible 5 points)

- What actions have already been undertaken that commit the local governments to complete the project.

Sustainability (Possible 5 points)

- How the local governments will institutionalize the organizational and/or service delivery changes.

Public Engagement (Possible 5 points)

- How the project ensures ongoing transparency, public participation and stakeholder engagement.

Work Plan Detail (Possible 5 Points)

- Clarity and detail of the work plan, including the project timeline, specific phases and associated tasks, and deliverables.

Work Plan Feasibility (Possible 5 Points)

- Feasibility of the work plan to complete the project within the scope and timeline.

Budget and Costs Determination (Possible 5 Points)

- How the budget and costs were determined.

Budget Detail and Adequacy (Possible 5 Points)

- How the budget includes adequate detail for all project tasks and components involved, is cost-effective, presents necessary and realistic costs, and does not contain extraneous expenses.

Budget Relationship with Work Plan (Possible 5 Points)

- How costs relate to and support activities in the proposed work plan.

Expense Eligibility (Possible 5 Points)

- How expenses meet eligibility requirements of the program.

ADDITIONAL RESOURCES: http://www.dos.ny.gov/lg/lge/index.html

Education/Workforce Development

Department of Labor - Workforce Development

Funding Available: Up to $5 million
Department of Labor – Workforce Investment Act

DESCRIPTION:
Provides grants on a competitive basis for occupational skills training of employed and unemployed workers to enhance hiring and workforce skills, commensurate with regional economic development strategic plans.

Occupational skills training is defined as instruction conducted in an institutional or worksite setting designed to provide individuals with, or upgrade them in, the skills required to perform a specific job or group of jobs needed by the business.

ELIGIBLE PROJECT TYPES:
Business Hiring and Training Incentives

Existing Employee Training Program
Program Description:
This program provides $2 million in Workforce Innovation and Opportunity Act funds to businesses to train their existing employees in specific occupational skills needed by that business or industry that lead to job advancement.

The position(s) targeted for training must exist and be filled at the time the proposal is submitted. Part time employees are eligible for training under this grant if they have a permanent, year-round attachment to the business. Temporary employees, seasonal employees, public (federal, state, county, municipal, public authority and public benefit corporation) employees and volunteers are not eligible for training under the Existing Employee Training Program.

Allowable costs under this program include:

1. The costs of outside vendors or in-house trainers to provide on-site or off-site classroom training and the costs of textbooks or training materials directly associated with the training. Training provided by in-house staff may not be billed at a per trainee rate. NYSDOL will only reimburse for the actual hourly wage rate (salary only, no fringe benefits) of the in-house trainer. Training by in-house staff must be for a minimum of two trainees per course.
2. Distance learning fees (i.e., the fee for the training slot and software that is required to deliver the program of training). This grant will not pay for the cost of any hardware that may need to be purchased in order to access the instruction.
3. Credentialing exam fees.

The method of selection will be based on a point system with the technical portion of NYSDOL's rating criteria at 60% of the total and cost at 20% of the total. The REDC will also review the proposal and award a maximum of 20 points (20%). Scores for the Existing Employee Training Program will be tabulated separately from the other three NYSDOL programs available under this RFP because of the different source of funding. Existing Employee Training Program proposals will be awarded in rank order beginning with the proposal(s) with the highest total points until the WIA Statewide Activities funds allocated to the program have been exhausted.

New Hire Training Program

Program Description:

This program provides $1 million in Workforce Innovation and Opportunity Act funds to businesses to train dislocated workers who require on-the-job training upon being hired. Businesses hiring new workers that need training on specific occupational skills will be eligible to receive reimbursement for up to 50% of the employee's wages for a period of time appropriate for the employee to become proficient in the occupation, but not to exceed six (6) months.

A "Dislocated Worker" is defined as any of the following:

- An individual who has been terminated or laid off, or who has received notice of termination or layoff, and is unlikely to return to a previous industry or occupation;
- An individual who has been terminated or laid off, or has received notice of termination or layoff, as a result of any permanent closure of, or any substantial layoff at, a plant, facility, or enterprise;
- An individual who was self-employed, but is unemployed as a result of general economic conditions or because of natural disasters; **or**
- An individual who is a displaced homemaker - an individual who has been dependent on the income of another family member, but is no longer supported by that income; and is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment.

Funds may be used to pay up to 50% of the new hire's wages to compensate for the business' extraordinary costs associated with the additional demands on the supervisor's time. There are no funds available for any other costs (e.g., equipment, tools, hardware, software, textbooks, etc.).

Additional program requirements include the following:

1. The New Hire Training must occur at a physical business location in New York State.
2. The New Hire Training must apply to a job opportunity for full-time employment (defined as 35 hours or more per week) in New York State paying a minimum of $10.00/hour.
3. Wage calculations to determine New Hire Training Program reimbursement may not include payment for holiday or overtime hours worked.
4. The training must occur on-the-job while the trainee is engaged in productive work.
5. The new hires must be employees of the business, and not independent contractors or contract employees.
6. Eligible applicants may only apply for one New Hire Training Program grant under this solicitation, not one per location. Submission of multiple New Hire Training Program applications by one or more locations of an applicant may result in the rejection of all of the applications.
7. The applicant may not apply for seasonal positions or positions based on the addition of commission or tips to a sub-minimum wage base salary.
8. The hiring business must be willing to assure that:
    a. The intention in hiring is for the newly hired employee to remain employed with the business at the same or higher rate of pay upon completion of the training.
    b. The training will take place during the newly hired employee's work hours (i.e., during the shift/hours for which the worker was hired) and the employee will be compensated at no less than their normal rate of pay.
    c. No currently employed worker shall be displaced by the newly hired employee, including a partial displacement such as a reduction in the hours, wages, or employment benefits.
    d. It will be in compliance with New York State labor law and federal law for the protection of workers.

The method of selection will be based on a point system, with the technical portion of NYSDOL's rating criteria at 60% of the total and cost at 20% of the total. The REDC will also review the proposal and award a maximum of 20 points (20%). Scores will be tabulated for the New Hire Training Program separately from the other three NYSDOL programs available under this RFP. Proposals will be awarded in rank order beginning with the proposal(s) with the highest total points until the WIA Rapid Response funds allocated to the New Hire Training program have been exhausted.

Unemployed Worker Training Program

Program Description:

This program provides Workforce Investment Act funds to provide occupational skills training of dislocated workers to prepare them for full-time jobs (35 hours per week or more) needed by a business or group of businesses in the region. Training is provided in a classroom setting, and there must be a commitment from business(es) to interview individuals who successfully complete the training.

A "Dislocated Worker" is defined as any of the following:

- An individual who has been terminated or laid off, or who has received notice of termination or layoff, and is unlikely to return to a previous industry or occupation;
- An individual who has been terminated or laid off, or has received notice of termination or layoff, as a result of any permanent closure of, or any substantial layoff at, a plant, facility, or enterprise;
- An individual who was self-employed, but is unemployed as a result of general economic conditions or because of natural disasters; **or**
- An individual who is a displaced homemaker - an individual who has been dependent on the income of another family member, but is no longer supported by that income; and is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment.

Allowable costs under this program include:

1. The costs of training providers to provide classroom training to dislocated workers.
2. The cost of credentialing exam fees.
3. The costs of textbooks or training materials directly associated with the training.
4. The cost of software that is required to deliver the program of training.

The method of selection will be based on a point system, with the technical portion of NYSDOL's rating criteria at 60% of the total and cost at 20% of the total. The REDC will also review the proposal and award a maximum of 20 points (20%). Scores will be tabulated for the Special Populations Training Program and Unemployed Worker Training Program and then combined into one master list. Proposals will be awarded in rank order beginning with the proposal(s) with the highest total points until the WIA Rapid Response funds allocated to the Unemployed Worker Training and Special Populations Training programs have been exhausted. A total of $2 million has been allocated to fund the two programs.

Special Populations Training Program

Program Description:

This program provides Workforce Innovation and Opportunity Act funds to provide for training of dislocated workers in special populations (e.g., ex-offenders, limited English proficiency, individuals with disabilities, recipients of Temporary Assistance for Needy Families, veterans) who require classroom-based occupational skills training in order to be qualified to be hired for full-time employment (35 or more hours per week) in the region.

Allowable costs under this program include:

1. The costs of training providers to provide classroom training to unemployed workers in special populations.
2. The cost of credentialing exam fees.
3. The costs of textbooks or training materials directly associated with the training.
4. The cost of software that is required to deliver the program of training.

The method of selection will be based on a point system, with the technical portion of NYSDOL's rating criteria at 60% of the total and cost at 20% of the total. The REDC will also review the proposal and award a maximum of 20 points (20%). Scores will be tabulated for the Special Populations Training Program and Unemployed Worker Training Program and then combined into one master list . Proposals will be awarded in rank order beginning with the proposal(s) with the highest total points until the WIA Rapid Response funds allocated to the Special Populations Training and Unemployed Worker Training programs have been exhausted. A total of $2 million has been allocated to fund the two programs.

ELIGIBLE APPLICANTS:

- For Existing Employee Training and New Hire Training:
  - Private sector for-profit businesses, including corporations, LLCs, LLPs, etc. with two or more employees;
  - Private sector not-for-profit businesses with two or more employees.
- For Unemployed Worker Training and Special Populations Training:
  - Private sector for-profit businesses, including corporations, LLCs, LLPs, etc. with two or more employees;
  - Private sector not-for-profit businesses with two or more employees;
  - Local workforce investment boards with two or more employees; or
  - Training providers with two or more employees.

Unincorporated LWIBs interested in applying must designate the local area's WIA Grant Recipient or Fiscal Agent as the official grantee for any award under this offering. Training should be provided by the training providers on the Eligible Training Provider List. LWIBs have the authority to enter into contracts with institutions of higher education, such as community colleges, or other eligible training providers to facilitate the training of multiple individuals in high-demand occupations. LWIBs/One-Stop Operators should not deliver training directly with these WIA funds.

In keeping with the Governor's promise to reform the State's grant contracting process, New York State has established a standardized statewide grant contracting system called the Grants Gateway, which is designed to facilitate prompt contracting.

- *All* for-profit entities are required to register in this system in order to be able to enter into a contract with New York State. For-profit entities must log-in to the Grants Gateway website at https://grantsgateway.ny.gov and follow the instructions to complete the registration.
- *All* not-for-profit organizations must also register with the system and must take the additional step of prequalifying by completing a basic profile and storing organizational

documents. Both registration and prequalification must be completed by not-for-profit organizations no later than the application due date. Failure to do so will mean that their applications will not be reviewed. Not-for-profit organizations will be able to submit their responses online, and, once reviewed and approved by a state agency prequalification specialist, the not-for-profit organization will be able to apply for grants, and all information will be stored in a virtual, secured vault. Not-for-profit organizations will only have to prequalify once every three years, with responsibility to keep their information current throughout the three year period.

For additional information on registration and prequalification, please log on to the Grants Gateway web site at https://grantsgateway.ny.gov.

AWARD, CONDITIONS & REQUIREMENTS:
Awards may not exceed $100,000 per business. Please note that there are four NYSDOL Workforce Development programs available under this RFP: the Existing Employee Training Program, the New Hire Training Program, the Special Populations Training Program, and the Unemployed Worker Training Program. Eligible businesses may apply for funding under one, two, three or all four of these programs. However, the maximum award that a business may receive is $100,000 regardless of the number of NYSDOL programs for which it applies.

In addition, there is a cap per trainee of $5,000 for each program proposal (not per-trainee per-course). If the training proposed by the business exceeds a cost of $5,000 per trainee, the business must pay the difference. Note that this is a cap per trainee, not an average cost per trainee.
For those applicants that are applying for multiple NYSDOL programs under the CFA, funds for two, three or all four programs cannot be combined to use on the same trainees. For example, an applicant may not use New Hire Training funds to train a new worker on-the-job and then use Existing Employee Training funds to send the same worker to classroom training. Each group of trainees must remain separate and distinct and be trained solely under one NYSDOL CFA program.

Matching Fund Requirements:
The Existing Employee Training, Unemployed Worker Training, and Special Populations Training Programs have no match requirements, but leveraged funds will factor in the scoring of proposals. The New Hire Training Program match must be at least 50% of the trainee's wages.

Match percentages for these three programs will be awarded points as follows:

- 0% to 25% = 0 points;
- 25.01% to 50% = 2 points;
- 50.01% to 75% = 4 points; and
- 75.01% and up = 6 points.

Please note that, for the Existing Employee Training Program, wages to be paid to trainees during training can be calculated and cited as leveraged funds in the application budget.

The New Hire Training Program match must be at least 50% of the trainee's wages.

Match percentages for this program will be awarded points as follows:

- 50% to 60% = 0 points;
- 60.01% to 70% = 2 points;
- 70.01% to 80% = 4 points; and
- 80.01% and up = 6 points.

Contracts:
The start date for all contracts resulting from this RFP may be no earlier than the date of the award letter issued by NYSDOL and no later than six months from the date of the award letter.

Training may not begin until after an award is made (i.e., once the due date has passed, reviews have been completed, due diligence has been completed, EEO Staffing plan approvals have been made, awardees have been determined and award letters have been issued). The earliest start date for any contract resulting from this RFP is the date of the award letter. Any training that begins and/or is paid for prior to the date of the award letter will fall outside the contract period and be ineligible for reimbursement.

Contracts resulting from this RFP will be awarded for a period of up to one year and will operate on a cost reimbursement basis. Only not-for-profit organizations funded under the Unemployed Worker Training or Special Populations Training Programs will be eligible for a cash advance of up to 25% upon contract execution at the Department's sole discretion and subject to the availability of funds appropriated and available for contracts entered into pursuant to this RFP. Any award must be expended on program activities in New York State.

Once a contract has been developed and formally executed, funds will be released to the business on a cost reimbursement basis, meaning that a grantee must first pay the trainer and then submit a voucher to NYSDOL for reimbursement. Vouchers must be submitted to NYSDOL on the prescribed forms before payment is made. For cost reimbursements to be approved certain records must be kept and specific documents submitted.

CONTACT / ADDITIONAL PROGRAM INFORMATION:
The contact for this program is Andrew Gehr, New York State Department of Labor, Division of Employment and Workforce Solutions, State Office Campus, Building # 12, Room # 440, Albany, New York, 12240, (518) 457-0361.

Applicants may submit questions via electronic mail (labor.sm.dews.CFA@labor.ny.gov). Questions regarding this RFP will be accepted no later than July 22, 2015. No telephone inquiries will be accepted. All inquiries should include the following reference in the Subject line: "CFA Question". Answers to all questions will be posted on NYSDOL's web site (http://labor.ny.gov/businessservices/funding.shtm) on an ongoing basis, with the final posting taking place no later than July 24, 2015.

This RFP and any related questions and answers are available on NYSDOL's web site at http://www.labor.ny.gov/businessservices/funding.shtm and at http://labor.ny.gov/cfa/index.shtm.

The New York State Department of Labor is an Equal Opportunity Employer. Auxiliary aids and services are available upon request to individuals with disabilities.

Low Cost Financing

Federal Industrial Development Bond Cap

Available Funding: Up to $300 million

DESCRIPTION:
Up to $300 million of the 2015 statewide private activity bond allocation ("volume cap") authority under Federal guidelines will be dedicated to facilitate lower cost tax-exempt bond financing for qualified projects by authorized State and/or local government issuers.

ELIGIBLE APPLICANTS/PROJECT TYPES:
In order to receive the benefits of a tax-exempt interest rate, private borrowers and their projects must be eligible under one of the federally-recognized private activity bond categories described in the Internal Revenue Code (IRC) sections 142-144, and 1394.

The most common economic-development related private activity bonds include:

- Industrial Development Bonds for small ($10 million or less) manufacturing projects; and
- Exempt Facility Bonds, which cover a wide range of facilities including:
    - Airports;
    - Mass commuting facilities;
    - Qualified residential rental projects;
    - Facilities for the furnishing of local electric energy or gas;
    - Local district heating or cooling facilities; and
    - Sewage facilities and solid waste disposal facilities.

Projects must meet the eligibility requirements of the federal IRC and any laws, rules, or regulations governing the provision of financial assistance by the authorized issuer. Preference will be given to NY Rising Community Reconstruction Program, Global NY, Veterans' initiative and Opportunity Agenda projects identified by the appropriate Regional Council(s).

Applicants must be authorized issuers (e.g., local industrial development agency (IDA)) or agents of such authorized issuers. Where the applicant is not the authorized issuer, the authorized issuer must be included as a co-applicant.

CONTACT/ADDITIONAL PROGRAM INFORMATION:
For more information eligible applicants should visit
http://www.empire.state.ny.us/BusinessPrograms.html
or contact George LaPointe at Empire State Development by calling (518) 292-5307.

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