



**2013 Available CFA Resources**



# Table of Contents

<i>Introduction</i> .....	3
<i>Resources Available</i> .....	5
<i>Direct Assistance to Businesses and Other Organizations</i> .....	7
Empire State Development Grant Funds .....	7
Excelsior Jobs Program.....	11
New York State Business Incubator and Innovation Hot Spot Support Program .....	14
ESD Strategic Planning and Feasibility Studies .....	17
Market New York .....	21
ESD Technical Assistance and Training Grants – Opportunity Agenda Projects.....	26
<i>Community Development</i> .....	30
New York State Council on the Arts – Arts, Culture and Heritage Projects .....	30
Community Development Block Grant Program .....	<b>Error! Bookmark not defined.</b>
Urban Initiatives (UI) Program .....	47
Rural Area Revitalization Projects (RARP).....	52
New York Main Street.....	56
New York Main Street Technical Assistance .....	56
Office of Parks, Recreation & Historic Preservation - Environmental Protection Fund Municipal Grant Program .....	64
Office of Parks, Recreation & Historic Preservation - Recreational Trails Program .....	79
NYS Department of Health – Division of Nutrition - Child and Adult Care Food Program (CACFP)....	94
<i>Waterfront Revitalization</i> .....	96
New York Department of State - Local Waterfront Revitalization Program.....	96
Canalway Grants Program .....	100
<i>Energy</i> .....	104
NYS Energy Research and Development Authority - Flexible Technical Assistance .....	104
Small Commercial Energy Efficiency Program: Energy Assessments.....	108
NYS Energy Research and Development Authority - New Construction Program .....	111
NYS Energy Research and Development Authority - Existing Facilities Program .....	113
New York State Energy Research and Development Authority – Industrial and Process Efficiency Program.....	117
New York Power Authority - ReCharge New York .....	120
<i>Environmental Improvements</i> .....	122
New York State DEC/EFC Wastewater Infrastructure Engineering Planning Grant.....	122
Environmental Investment Program.....	127

Environmental Facilities Corporation - Green Innovation Grant Program .....	130
<i>Sustainability Planning and Implementation</i> .....	137
NYS Energy Research and Development Authority – Cleaner, Greener Communities Program, Phase II Implementation Grants.....	137
Department of State - Local Government Efficiency Program .....	148
<i>Education/Workforce Development</i> .....	153
Department of State- Workforce Development .....	153
Department of Labor - Workforce Development .....	156
College Access Challenge Grant .....	157
New York State AmeriCorps Program .....	168
Supplemental Nutrition Assistance Program (SNAP) Opportunities - Employment and Training Initiative .....	184
<i>Low Cost Financing</i> .....	192
Federal Industrial Development Bond Cap .....	192

## ***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 Regional Economic Development Councils developed strategic plans with advice 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 and implementation agenda can be found online at [www.regionalcouncils.ny.gov](http://www.regionalcouncils.ny.gov)

In 2013, the 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 approximately \$750 million in State resources to be made available in 2013 to support economic development priorities of the regions and spur job creation across the state, including \$220 million in competitive funds from Empire State Development.

In addition to the competition, each Council has been tasked with developing an Opportunity Agenda and a Regional Innovation Hot Spot.

The Opportunity Agenda will detail the Regional Council's plans for further linking its Opportunity Area(s) to the region's economic development strategies. Each Opportunity Agenda will create a pilot program to ensure members of the Opportunity Area(s) have the tools they need to overcome barriers to entry in the workforce. This way, individuals who struggle to find or hold a job because of child-care responsibilities, a prior criminal record, a lack of training, or an unstable housing situation, will become part of our economic revitalization.

Each Regional Council is asked to identify an "Innovation Hot Spot" and create a Regional Incubator Plan. Each plan must demonstrate a connection with a higher education institution and have the ability to transition technology from lab to marketplace; demonstrate a link to regional sources of innovation and expertise; provide industry accepted best practice services; agree to maintain and operate program for three years and generate a 2:1 match to the state grant for support services.

Winning incubators will receive financial support services from the state, including legal, technical and business support services. Up to five winning incubators will be accepted in 2013, and five in 2014.

In addition to the \$220 million available for the competitive aspect of the Regional Council process, over \$530 million will be available to applicants through the CFA from various State agencies to support economic development projects that align with the Regional Council's 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 26 programs available through 13 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; Parks, Department of State, Office of National and Community Service; Office of Temporary and Disability Assistance; Higher Education Services Corporation; 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 20%. 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.

# ***Resources Available***

## **Direct Assistance to Business and Other Organizations: Up to \$235.25 million**

- **Empire State Development**
  - Up to \$152 million for ESD Grant Funds
  - Up to \$70 million for Excelsior Jobs Program
  - Up to \$1.25 million for Business Incubator and Innovation Hot Spot Program
  - Up to \$1 million for ESD Grants for Strategic Planning and Feasibility Studies
  - Up to \$10 million for Market New York
  - Up to \$1 million for ESD Technical Assistance and Training Grants – Opportunity Agenda Projects

## **Community Development: Up to \$52.7 million**

- **New York State Council on the Arts**
  - Up to \$4 million for Arts, Culture and Heritage Projects
- **Homes and Community Renewal**
  - Up to \$2 million for Urban Initiatives Program
  - Up to \$1.5 million for Rural Area Revitalization Projects
  - Up to \$25 million for New York State Community Development Block Grant Program
  - Up to \$2.2 million for New York Main Street Program
  - Up to \$200,000 for New York Main Street- Technical Assistance Program
- **Office of Parks, Recreation and Historic Preservation**
  - Up to \$15 million for Environmental Protection Fund Municipal Grants
  - Up to \$2.8 million for Recreational Trail Federal Grants

## **Waterfront Revitalization: Up to \$13 million**

- **Department of State**
  - Up to \$12 million for 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 for \$50 million for Energy Efficiency Programs
- **New York State Power Authority**
  - Up to 910 MW for Recharge New York

## **Environmental Improvements: Up to \$13.4 million**

- **Department of Environmental Conservation**
  - Up to \$2 million for New York State DEC/EFC Wastewater Infrastructure Engineering Planning Grant
- **Empire State Development**
  - Up to \$1 million for Environmental Investment Program
- **Environmental Facilities Corporation**
  - Up to \$10.4 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 \$10.45 million**

- **Department of State**
  - Up to \$750,000 for Community Services Block Grant
- **Higher Education Services Corporation**
  - Up to \$200,000 for College Access Challenge Grant
- **Office of National and Community Service**
  - Up to \$1.5 million for the New York State AmeriCorps Program
- **Department of Labor**
  - Up to \$5 million for Workforce Development
- **Office of Temporary and Disability Assistance**
  - Up to \$3 million for SNAP Opportunities

### **Low Cost Financing: Up to \$350 million**

- **Empire State Development**
  - Up to \$350 million for Industrial Development Bond (IDB) Cap

# *Direct Assistance to Businesses and Other Organizations*

## **Empire State Development Grant Funds**

**Funding Available: Up to \$152 million**

### **DESCRIPTION:**

ESD has several grant programs that together make available \$152 million of capital grant funding 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"). The programs included under this category are the following:

- **Regional Council Capital Fund (Up to \$150 million)**
- **Urban and Community Development Program (Up to \$2 million)**

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. A minimum of \$2 million will be dedicated to projects focused on revitalization in highly distressed areas, central business districts, and commercial strips.

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.

- \* 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:**

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 (or 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 beneficiary 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, water and sewer, communication, and energy generation and distribution. Infrastructure also includes the construction of parking garages. Infrastructure Investment may be used to finance planning or feasibility studies relating to capital expenditures.

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, other local or regional initiatives, agribusiness initiatives, improvements to commercial industrial and mixed-use facilities in highly distressed areas, commercial revitalization activities in central business districts or commercial strips, or other 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 or leasing of land, buildings, machinery and/or equipment;
- Acquisition of existing business and/or assets;
- 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 capital project.

## **INELIGIBLE ACTIVITIES:**

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

- Developer fees;

- Recapitalization/refinancing;
- 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 they are pursuing or intend 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.

**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.
- 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.
- 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 23%. Each project will be assigned an individual contract-specific goal, which may be higher or lower than 23%. 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 may 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 grant. 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.

**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 new 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 new, fully refundable tax credits. Businesses claim the credits over a 10 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 (see Investment Zone list below) 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:**

**Financial Services Data Centers Or Financial Services Customer Back Office Operations:** operations that manage the data or accounts of existing customers or provide product or service information and support to customers of financial services companies, including banks, other lenders, securities and commodities brokers and dealers, investment banks, portfolio managers, trust offices, and insurance companies.

**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.

**PRE-APPLICATION REQUIREMENTS:** N/A

**SUCCESSFUL APPLICANT REQUIREMENTS:** If the application is approved, then within the available credits each year, ESD will enter into a formal agreement with the firm that clearly states the tax credits as well as the job and investment requirements for each year. A firm may only claim tax credits after demonstrating that it meets the minimum eligibility criteria.

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.

**FUNDING PRIORITIES:** The Program is limited to firms in strategic industries 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 all firms in targeted industries creating new jobs in New York. Twenty-five percent is set aside for the Investment Track firms who have at least 50 employees and make significant new capital investments in a New York facility and which 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, 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:** Participation in the Program and the amount of credits authorized is at the discretion of the Commissioner.

**AWARD CRITERIA DETAILS:** The Program is limited to firms in strategic industries with minimum eligibility criteria. Every firm approved for participation in the program is eligible to apply for the Jobs Tax Credit, the Investment Tax Credit, and the R&D Tax Credit. Only certain categories of firms located within an Investment Zone or meeting the Regionally Significant project minimum criteria are eligible to also apply for the Real Property Tax Credit.

**ADDITIONAL RESOURCES:** Program Contact: 518/292-5240

<http://esd.ny.gov/BusinessPrograms/Excelsior.html>

# **New York State Business Incubator and Innovation Hot Spot Support Program**

**Funding Available: \$1.25 million**

## **DESCRIPTION**

The New York State Business Incubator and Innovation Hot Spots Support Program was enacted as part of the 2013-14 State Budget and will provide significant financial support for business incubators in the state. This underscores the importance of business incubation and technology transfer to the Governor's overall economic development strategy.

Business incubation is the process of accelerating the development of entrepreneurial companies through a structured array of business support resources and services targeted to the needs of start-up companies. The business incubator is the entity responsible for organizing and managing these support services.

Empire State Development (ESD) is administering the competitive process for the designation of New York State Business Incubators and New York State Innovation Hot Spots. Applications will be received and reviewed through the Consolidated Funding Application (CFA) process by both the Regional Councils and ESD.

Designated Business Incubators and Innovation Hot Spots will be eligible for operating grants from ESD. Designation as an Innovation Hot Spot brings another benefit for the start-up companies within the Hot Spot. These companies will be eligible for significant state income and sales tax benefits for a period of five years. These benefits include:

- Being subject only to fixed dollar minimum tax or able to deduct income attributable to operations as part of Hot Spot;
- Receiving credit or refund for sales tax on related goods and services.

The goal of the program is to improve the quantity and quality of incubator services provided to young companies, thereby enabling these businesses to successfully transition from start-up phase to larger scale commercialization of their products and services. This was one of the strategies laid out by Governor Cuomo in his State of the State address to more effectively harness our innovation assets and better serve inventors and entrepreneurs. Importantly, this program will provide ESD with valuable information on the companies which are at the early stage of entry into the state's "Innovation Pipeline." ESD will seek to connect these companies with other state programs, such as the NY Innovation Venture Capital Fund, to better serve the growth needs of young companies.

## **ELIGIBILITY**

An entity wishing to be designated as a New York State designated Business Incubator must currently be providing a business incubation program which has been in existence for three years. Applicants must provide a strategic plan for their incubator and its operations and demonstrate that their services align with industry best practices. Applicants must also agree to expand the services they provide to their tenant clients and demonstrate a 2:1 match of state funds.

An entity seeking designation as a New York State Innovation Hot Spot must meet the requirements of a Business Incubator noted above and must be affiliated with one or more colleges, universities or independent research institutions.

An entity may act as a lead entity and apply for designation in partnership with other incubators in the region.

## **FUNDING**

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

Up to \$125,000 will be provided annually to entities designated as a New York State Business Incubator. Ten awards are anticipated in this category for CFA Round Three funding.

Up to \$250,000 will be provided annually to entities designated as a New York State Innovation Hot Spot. ESD is limited by statute to designating no more than five Hot Spots in fiscal 2013-14 with an additional five Hot Spots to be designated in fiscal 2014-15.

## **SUCCESSFUL APPLICANT REQUIREMENTS**

Entities seeking designation as a Business Incubator or an Innovation Hot Spot will be required to:

- Be located in New York State
- Have operated an incubator for the last three years
- Have a demonstrated link to regional sources of innovation and expertise
- Commit to financially and programmatically maintain 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 leadership in the growth of the region's entrepreneurial and innovation network
- Provide a 2:1 match of the grant funds it receives for the operation of the incubator
- 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

## **ADDITIONAL HOT SPOT REQUIREMENTS**

An applicant for an Innovation Hot Spot designation will be required to demonstrate a strong connection to a college or university or a group of colleges or universities in the region, and the ability to successfully transition technology from the laboratory to the marketplace.

## **BEST PRACTICES**

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, services or benefits:

- 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
- 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.

Applications will be evaluated and judged using the following criteria:

- Alignment with regional strategies, priorities, assets and opportunities
- The additional resources which will be leveraged by state grant assistance
- The number of clients served
- Demonstrated success in graduating clients from the incubator
- Type and quality of services provided
- How well the services and programs offered by the incubator conform to best practices
- Effectiveness in accelerating the growth of start-up companies
- The financial and programmatic support of the institution or communities it serves
- Commitment and support of the business sector
- 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?
- 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 in the region?

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 and Innovation Hot Spots 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. Among other requirements, these reports will include a list of every business served by the incubator and the progress that has been made in growing these companies.

## **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) 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. 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.

### **ELIGIBLE TYPES OF APPLICANTS:**

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

### **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:

- If the location is in 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 indicators 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 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.
- 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 23%. Each project will be assigned an individual contract-specific goal, which may be higher or lower than 23%. 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: \$10 million**

#### **DESCRIPTION**

For the 2013-2014 Fiscal Year, up to \$10 million has been appropriated for *Market New York*, a program that will support regionally themed New York focused projects. *Market New York* will help to bolster tourism growth by promoting tourism destinations, attractions, and special events. Additionally, Market New York will support capital grant funding for tourism facilities in New York. The Market New York 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.

Funding is available for projects intended to create or retain jobs and/or increase tourism 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 through attraction of tourists to the dedicated area.

**While this is one program there are two separate funding tracks available, each with different requirements and administrative reviews. Funding tracks are the following:**

- 1.) "Regional Tourism Marketing Competition"; and
- 2.) "Tourism Facility Funding".

#### **Eligible Entities 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.

### **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 23%. Each project will be assigned an individual contract-specific goal, which may be higher or lower than 23%. 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.

### **INFORMATION APPLICABLE TO SPECIFIC FUNDING TRACK**

#### **1.) Regional Tourism Marketing Competition**

Applicants must demonstrate how the project will work to promote and forward the strategic goals of the corresponding Regional Council's strategic plan. Applications will be accepted for projects that include plans to market regional tourism destinations or attractions and existing or newly created special events. All projects should align with I LOVE NEW YORK marketing. Note: Any use of the I LOVE NEW YORK logo must be approved by ESD and conform to ESD guidelines.

#### **Regional Tourism Marketing Competition Eligible Expenses**

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

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

#### **Regional Tourism Marketing Competition Ineligible Expenses**

Ineligible expenses may include but are not limited to:

- food, alcohol, or other expenses deemed ineligible by ESD;
- fringe benefits (i.e. wages including supplemental pay; benefits such as health insurance, retirement benefits, and other non-mandated benefits); and
- expenses reimbursed from any other source or agency may not be claimed for reimbursement.

Expenses incurred prior to submission of a CFA should 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.

### **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. Reimbursement requests are required to be made on a periodic basis.

### **Regional Tourism Marketing Competition Reporting**

Progress reports and requests for reimbursement will be submitted on a periodic basis which will be outlined in the contract with successful awardees.

## **2.) Tourism Facility Funding**

Tourism Facility Funding proposals must align with the appropriate Regional Council(s) strategic plan and/or how implementation of the proposal will work to promote and forward the strategic goals of the corresponding Regional Council's plan. Applications will be accepted for projects that include plans to expand, construct, restore or renovate regional tourism destinations and attractions. When appropriate these projects will look to align with I LOVE NEW YORK branding. Note: Any use of the I LOVE NEW YORK logo must be approved by ESD and conform to ESD guidelines.

### **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 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 they are pursuing or intend to pursue multiple ESD funding sources, including grants, loans and tax incentives.

### **Tourism Facility Funding Eligible Expenses**

Eligible projects costs should be associated with 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;
- new construction, renovation or leasehold improvements;
- acquisition of furniture and fixtures; and
- soft costs of up to twenty-five percent (25%) of total project costs.

### **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;
- Recapitalization/refinancing;
- Training; and
- Residential development, although program funds may be used for the commercial component of a mixed-use project.

Expenses incurred prior to submission of a CFA should 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 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.

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.

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 State law, after approval by the ESD Directors, a public hearing may 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 grant. 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.

### **MARKET NY SELECTION CRITERIA (Applies to Both Tracks)**

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

ESD will establish an internal technical review committee that will score each eligible application based on the following criteria:

#### **Vision and Regional Economic Development Strategies 30 pts**

How well does the theme and/or scope of this project support the Regional Economic Development Council strategic plan for the affected region(s)? [10 pts]

What is the overall economic impact that the project identified in the application on a region? If applying for the Regional Tourism Marketing Competition, how well does the project propose to market regional thematic related assets/activities? If applying for Tourism Facility Funding including, but not limited to, the number and impact of any direct or indirect jobs that will be created/retained? [20 pts]

#### **Scope of Work and Financial Viability 20 pts**

How realistic was the timeline provided and did it include individual steps of the overall project, including specific dates? [10 pts]

Did the proposal provide information, including target audience and geographic and demographic data? What is the likelihood the proposed project will increase tourism in New York? [5 pts]

Does the applicant provide information that proves they are able to financially start the project on their own? [5 pts]

#### **Innovation/Effectiveness 20 pts**

How well does the applicant demonstrate an effective implementation of the proposed project? Is there a unique message or unique offering being conveyed to help motivate potential visitors to come visit a region(s)? [15pts]

Is there sufficient supporting evidence of how the project will effectively be executed? [5 pts]

#### **Leveraged Resources 10 pts**

Is there at least the minimum required amount of leverage through private and/or public financing? Does the applicant show additional funding for the proposal outside of the minimum required? [10 pts]

#### **More Information/Assistance**

For more information please contact the New York State Division of Tourism staff at [RegionalTourism@esd.ny.gov](mailto:RegionalTourism@esd.ny.gov) and/or 518.292.5360.

# **ESD Technical Assistance and Training Grants – Opportunity Agenda Projects**

**Funding Available: Up to \$1 million**

## **DESCRIPTION**

Through ESD’s Economic Development Purposes Fund, funding of up to \$1 million is available for working capital grants of up to \$100,000 each to support 1) technical assistance to local businesses and 2) training and career development opportunities to local workers. Projects should focus on economic development purposes, and preference shall be given to projects supporting Regional Economic Development Council Opportunity Agenda priorities and located in highly distressed areas. Each grant requires at least 10% of total project costs in the form of cash equity contributed by the Applicant organization.

## **ELIGIBLE TYPES OF APPLICANTS:**

- Not-for-profit Corporations
- Community Development Organizations
- Economic Development Organizations
- Local Development Corporations

## **ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:**

Assistance is available in the following two categories:

- Technical assistance to local businesses
- Training and career development opportunities to local workers

## **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, training workers, providing career development opportunities, and analyzing potential development opportunities or obstacles to development.

**Priority will be given to projects supporting Regional Economic Development Council Opportunity Agenda priorities and 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:

- If the location is in 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 President of the United States 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 indicators 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 project's ability to advance the Opportunity Agenda priorities of the Regional Council for the region in which the proposed project is located;
- 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;
- The project's ability to deliver worker training and/or career development opportunities;
- 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 impacted by the project identified in the 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 opportunities offered by and resulting from the project.

**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 measurable deliverables.

**Leveraged Resources:**

- The degree to which the project is leveraged with additional resources and funds, including 10% cash equity; and
- The degree to which the project will result in tangible and intangible benefits to the area impacted by the project.

**Performance Measures:**

- The Applicant's demonstrated organizational capacity and experience in completing activities similar to or related to the project proposed in the application, or the Applicant's ability to acquire the expertise through a consultant or another entity; and
- The estimated return on investment that the project identified in the application will provide to New York State;
- The project's consistency with the Applicant's strategic plan and other 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.
- 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.
- 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.
- 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 23%. Each project will be assigned an individual contract-specific goal, which may be higher or lower than 23%. 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.

**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>.

# *Community Development*

## **New York State Council on the Arts – Arts, Culture and Heritage Projects**

**Funding Available: Up to \$4 million**

### **DESCRIPTION:**

Funds for Local Assistance are available 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.

### **GOALS:**

The Regional Economic Development Council (REDC) Program awards are investments of public funds for support of activities, services and goods provided to one or more organizations whose arts, culture or heritage project or activity will benefit visitors to and citizens of New York State. The awards will assist organizations and communities to:

- Broaden and encourage greater public access to and participation in the arts through development, promotion and presentation of a wide range of projects and services that build and strengthen collaborative relationships among new partners, including arts and non-art non-profits, education entities, local governments and for-profit businesses;
- Revitalize and improve neighborhoods;
- Strengthen and stimulate economic and cultural development and the leadership role of arts and cultural organizations within the community;
- Create new jobs, retain existing jobs, provide workforce development opportunities for young adults, and expand business opportunities through the development and support of existing community resources;
- Support projects that respond to clearly articulated needs of a community and/or enhance the appreciation of local cultural activities through creatively designed participatory arts programs and marketing initiatives;
- Develop new catalytic projects that enhance public participation in and visibility of arts, culture and heritage activities;
- Develop arts, cultural and heritage tourism initiatives which promote and provide recreational and educational opportunities related to community or regional arts institutions, cultural events, architecture and preservation, folk life, history and/or local heritage resources;
- Engage in creative place making projects which bring together partners from the public, private, and non-profit sectors along with community members to strategically shape the physical and social character of a neighborhood, town, city, or region around arts, cultural and heritage activities; and
- Support acquisition of Artistic Program Capital Equipment that will develop, enhance, and improve the presentation and delivery of artistic services and activities for NYS's citizens and visitors.

**PRIORITIES:**

Priority will be given to entities that did not receive REDC Program funding in FY12-13.

The goal for NYSCA's Regional Economic Development Program's funding rationale will be to support grant awards being made in all ten of the state's regions and all the boroughs of New York City.

**ELIGIBLE APPLICANTS and ACTIVITIES:**

NYSCA awards grants to non-profit organizations incorporated in New York State, New York State Indian tribes, and units of local New York State government.

Please click here to review the complete listing of applicant eligibility requirements:

[http://www.arts.ny.gov/public/grants/who\\_is\\_eligible.htm](http://www.arts.ny.gov/public/grants/who_is_eligible.htm)

Please click here to review funding restrictions:

[http://www.arts.ny.gov/public/grants/nysca\\_does\\_not.htm](http://www.arts.ny.gov/public/grants/nysca_does_not.htm)

For the REDC Program, the mission of the applicant or the lead applicant in a partnership **must be** primarily related to arts, culture or heritage. The mission or commercial purpose of partnering organizations **is not required** to relate primarily to arts and culture.

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

Applications for FY13-14 support from the REDC Program **cannot be made** to other FY13-14 NYSCA grant programs.

**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 categories of support for other eligibility requirements and funding restrictions.**

**CATEGORIES OF SUPPORT:**

Applicants may apply to only **one** of the following categories:

1. Arts, Culture and Heritage Projects
2. Artistic Program Capital Equipment (Building Related Capital Equipment Purchases and Improvements **are not** eligible for support)
3. Digital Film Projector Conversion Program
4. Arts Intern Workforce Development Program in Cooperation with the State University of New York (SUNY) and City University of New York (CUNY)

**CATEGORY DESCRIPTION and GRANT CONDITIONS & REQUIREMENTS:**

**1) Arts, Culture and Heritage Projects:**

Grant awards will range from \$50,000 - \$100,000. Projects may include: presentation of arts, culture and heritage activities; art education programs; workforce development and student advancement and training programs; and development and implementation of business, artistic program, marketing plans and facility planning initiatives. The applicant may not apply for more than 50% of the project's cost.

Other revenue and in-kind support must be identified and available for project completion. The contract and work period is from January 2014 through December 2014. Re-grant projects are not eligible for funding.

## **2) Artistic Program Capital Equipment Purchases:**

Grant awards will range from \$5,000 - \$49,500. Equipment and project cost is restricted to depreciable capital purchases and installation of artistic program capital equipment. **Support is available for neither staff training nor building related capital equipment or improvements.** To apply **the applicant must have received funding from NYSCA in FY10-11, FY 11-12, and FY12-13.** Please make efforts to obtain bids from NYS Certified Minority and Women owned businesses and visit <http://www.esd.ny.gov/MWBE.html> for a listing of certified businesses. **Please consult an accountant or auditor to confirm that the artistic program equipment is depreciable as defined by Generally Accepted Accounting Principles (GAAP)** and is not a building improvement. Examples of **ineligible** equipment requests include: non-depreciable audiovisual equipment, office furniture or shelving, stackable chairs, most computers and software, and telephones. The applicant may not apply for more than 50% of the equipment's and installation cost. Other revenue and in-kind support must be identified and available for project completion. The contract and work period is from January 2014 through December 2014. Re-grant projects are not eligible for funding.

## **3) Digital Film Projector Conversion Program:**

Grant awards will range from \$5,000 - \$100,000. Please make efforts to obtain bids from NYS Certified Minority and Women owned businesses and visit <http://www.esd.ny.gov/MWBE.html> for a listing of certified businesses. The applicant may not apply for more than 50% of the conversion program's cost. Other revenue and in-kind support must be identified and available for project completion. The contract and work period is January 2014 through December 2014. Re-grant projects are not eligible for funding.

For more information about the Digital Film Projector Conversion Program, please contact: Karen Helmerson, NYSCA Electronic Media and Film Program Director, at [karen.helmerson@arts.ny.gov](mailto:karen.helmerson@arts.ny.gov) or 212-459-8824.

### **Prerequisites**

- Digital Film Projector Conversion equipment **must be** DCI compliant.
- The applicant's screening program **must have been** established for a minimum of five years and must have occurred in FY12-13.

### **Eligibility**

- Non-profit organizations that have established screening programs for at least the last five years and own their screening facilities, or rent screening facilities on a project or per screening basis.
- Non-profit organizations that have established screening programs for at least the last five years and do not own or rent screening facilities **may apply** in partnership with commercial cinemas.
- Non-profit organizations that have established screening programs for at least the last five years that intend to apply in partnership with for-profit or commercial cinemas **must have** a signed, legal agreement(s) stating all terms and conditions of the partnership.

### **Areas of Support**

NYSCA offers two primary areas of support for the purchase of digital film projector equipment conversion. Applicant organizations **may apply** for one or both areas of support.

- **Technical Assistance/ Professional Services**

Including but not limited to research, planning and assessment, organizational and professional development, consultants, training and education. Assistance may also include services necessary to support conversion from seller to purchaser; for installation; and for sustainable operations of the system (such as systems integration, maintenance, site visits, utilities, software, internet upgrades and staff training).

- **Digital Film Projector Conversion Equipment Purchase**

Including but not limited to the purchase of items that **are depreciable and essential** to a fully operating Digital Film Conversion Package: digital projectors, digital servers and storage systems, sound systems, or any other necessary physical item.

### **Partnerships**

Applicant Organizations may request support for Digital Film Projector Conversion when the equipment is to be housed by a Screening Partner; under these conditions:

- The Applicant Organization retains ownership control of the digital projector(s) and all related equipment
- The Screening Partner may contribute to the cost of Equipment Purchase, but will not retain any rights of ownership
- The Screening Partner may also contribute to the project's Technical Assistance/ Professional Services and installation costs
- A Memorandum of Understanding (MOU) must be provided by the Applicant Organization, outlining the partnership in detail, including the programming agreement and schedule
- There must also be an Operating Agreement between the Programmer and Screening Partner outlining operational issues such as, but not limited to:
  - Equipment maintenance
  - Equipment operation
  - Staffing
  - Operational costs and responsibilities
  - Insurance
  - Other
- See Digital Film Projector Conversion Project application questions for complete list of required support materials

#### **4) Arts Intern Workforce Development Program in Cooperation in the State University of New York, SUNY, and City University of New York, CUNY:**

Grant awards will range from \$2,500 - \$9,000. **Only organizations with operating budgets of \$500,000 or less may apply to this category. All interns must be students enrolled at a SUNY or CUNY campus during the internship.** Internships must take place for a minimum of three consecutive months and a maximum of nine consecutive months and for a minimum of 250 hours and a maximum of 750 hours. **The applicant may apply for support for up to two different interns and the grant award will not exceed 70% of the budget associated with the wages or stipend paid to the intern.** Any required payroll taxes, fringe benefits and other costs related to the internship are the responsibility of the applicant and **are not** supported by the grant funding. Internships may relate to all aspect of an arts organization's operations (artistic program, special projects and events, fiscal operations, marketing and resource development, facility, technology, etc.).

To learn about the 64 SUNY campuses visit: [http://www.suny.edu/About\\_SUNY/ourcampuses.cfm](http://www.suny.edu/About_SUNY/ourcampuses.cfm) and for a directory of contacts related to finding eligible Arts Interns from SUNY campuses please visit: [http://www.arts.ny.gov/public/guidelines/SUNY\\_Employer\\_Contacts.pdf](http://www.arts.ny.gov/public/guidelines/SUNY_Employer_Contacts.pdf)

To learn about the 24 CUNY campuses visit: <http://www.cuny.edu/about/colleges.html> and for a directory of contacts related to finding eligible Arts Interns from CUNY campuses please visit: [http://www.arts.ny.gov/public/guidelines/CUNY\\_NYSCA\\_Internship\\_Contact\\_List\\_2013.pdf](http://www.arts.ny.gov/public/guidelines/CUNY_NYSCA_Internship_Contact_List_2013.pdf)

#### **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:**

For more information on the CFA program and NYSCA's funding opportunities, eligible applicants should contact Susan Peirez, NYSCA REDC Program Director, at [susan.peirez@arts.ny.gov](mailto:susan.peirez@arts.ny.gov) or 212-459-8829.

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 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:**

Complete information on NYSCA’s grant process can be found at <http://www.arts.ny.gov/public/grants/index.htm>.

### **How does the Arts Council review grant applications?**

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.

### **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](http://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](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 New York State 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.

## **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) Economic Development, (2) Small Business Assistance, (3) Public Infrastructure, or (4) Public Facilities.

### **1) Economic Development**

The NYS CDBG Economic Development program consists of two funding activities: Economic Development and Small Business Assistance. 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 Economic Development funds include, but are not limited to: acquisition of real property; financing of machinery, furniture, fixtures and equipment; building construction and renovation; working capital; inventory; and employee training expenses. Funds awarded under the NYS CDBG Small Business program may not be used for new construction activity.

#### **Economic Development**

Eligible non-entitlement units of local government must apply on behalf of the business seeking NYS CDBG funds. Funding is provided for traditional economic development activities such as business attraction, expansion, and retention projects to provide financial assistance to for-profit businesses for an identified CDBG eligible activity. The project must result in the creation or retention of permanent job opportunities principally benefitting low and moderate income persons.

- NYS CDBG can fund up to 40% of a total project cost.
- A minimum of one (1) full-time equivalent job must be created or retained for every \$15,000 in NYS CDBG funds.
- NYS CDBG funds should be used as gap funding to induce project completion.

#### **Small Business Assistance**

Eligible non-entitlement units of local government must apply on behalf of the small business seeking NYS CDBG funds. Funding is provided to eligible communities to foster small business development and growth. For the purposes of the Small Business Assistance program, a small business is defined as a commercial enterprise with twenty five (25) or fewer full-time equivalent employees at the time of application.

- NYS CDBG can fund up to 40% of a total project cost.
- A minimum of one (1) full-time equivalent job must be created or retained for every \$25,000 in NYS CDBG funds.
- A minimum of 20% owner equity contribution to the project is required. However, the required equity contribution may be reduced to 10% if the project qualifies as “Green”. The CDBG Green Incentive Checklist must be completed and submitted in the CFA.

**2) Public Infrastructure (water/sewer/storm water)**

The NYS CDBG Public Infrastructure program consists of, but is not limited to, drinking water source development, storage, and distribution; sanitary sewage collection and treatment; associated water and sewer lateral connections; flood control and storm water drainage. Projects may include public works components such as sidewalks, streets, parking, open space, and publicly-owned utilities that are demonstrated to be directly related to the primary activity. Eligible projects 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. Applications requesting funding solely for residential water and sewer lateral connections are considered for funding under the NYS Homes and Community Renewal Unified Funding, CDBG Housing Funding Category, which is not part of the CFA. For information on HCR's Unified Funding and eligible funding activities see the OCR website at <http://nysdhcr.gov/AboutUs/Offices/CommunityRenewal/FundingOpportunities.htm>.

**3) 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. NYS CDBG funds can be used for construction or renovation of facilities, but cannot be used to cover the day-to-day operational costs, 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 inspect such facilities during the five (5) year period to substantiate compliance.

**Activity Funding Limits:**

**Town, Cities or Villages:**

Economic Development	<b>\$100,000 - \$750,000</b>
Small Business Assistance	<b>\$25,000 - \$100,000</b>
Public Infrastructure (water/sewer/storm water only)	<b>\$600,000</b>
Public Facilities	<b>\$400,000</b>

**Counties:**

Economic Development	<b>\$100,000 - \$750,000</b>
Small Business Assistance	<b>\$25,000 - \$100,000</b>
Public Infrastructure/	<b>\$750,000</b>
Public Facilities	<b>\$400,000</b>

**Joint Applicants:**

Public Infrastructure (water/sewer/storm water only)

**\$900,000****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://nysdhcr.gov/Programs/NYS-CDBG/EligibleCommunities.htm>.

Municipalities may elect to have a separate entity submit an application on their behalf, this is not a joint application, but can occur when a County submits an application on behalf of a Town, and the activity is taking place entirely within the jurisdiction of the Town.

**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, as amended. These require applicants to follow a citizen participation plan providing for a minimum of one public hearing held prior to the submittal of an application and making the application available to the public for inspection at the municipal office(s). Upon award, a recipient of CDBG funds must hold a minimum of one public hearing to report project accomplishments.

**Successful Applicant Requirements:**

Applications must include the documents listed below. Depending on the specifics of the project, additional information and documentation may be required.

**For Economic Development & Small Business Applications****Business Information:**

- Business plan, with resumes of principals, market analysis, marketing strategy, and impact on local competitors.
- A written commitment from the business that it will make at least 51% of the jobs on a FTE basis available to LMI persons as well as a commitment of the equity contribution proposed in the budget.
- A description of the hiring process when indicating that at least 51% of the jobs will be "taken by" LMI persons.

**Business Financial Information:**

- Business financial statements for each of the past three years (balance sheets and income statements), including all notes and disclosures.
- Past three years business federal income tax returns, complete copies.
- Current business financial statements (less than 60 days old).
- Current business debt schedule (corresponds to current balance sheet).
- Projected business debt schedule (with CDBG and other new debt).
- Monthly cash flow projections for two years, with and without CDBG.
- Balance sheet and profit and loss statement for three years with and without CDBG.

**Personal Financial Information:**

- Current personal financial statement of principal(s) with 20 percent or more ownership (less than 60 days old).

- Past three years personal federal tax return (complete copies) for each principal with 20 percent or more ownership.

Source Documents:

- Commitment letter(s) from all other funding sources, including proposed terms.
- Third party cost estimates, including documentation of the cost of real property, acquisition, construction/rehabilitation, and/or equipment costs.

Documentation of State Environmental Quality Review (SEQR) Compliance:

- Exhibit 2-3A Certificate of SEQRA 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).

**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 a joint application and one of the units of local government as the primary applicant.

Authorization for Submission of an Application on behalf of another municipality:

- A cooperation agreement and a resolution authorizing an Applicant to submit an application on behalf of a unit of local government.

Source Documents:

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

Documentation of State Environmental Quality Review (SEQR) Compliance:

- Exhibit 2-3A Certificate of SEQRA 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).

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. 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. In addition, 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://nysdhcr.gov/Programs/NYS-CDBG/GrantAdministration.htm>.

#### **Funding Priorities:**

Priority will be provided to projects that demonstrate a clearly defined need, address specific community and economic development priorities, and meet the objectives of the New York State Community Development Block Grant Program.

#### **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.

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.

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.

#### **Selection Criteria:**

##### **Economic Development and Small Business Assistance**

Applications within the funding categories of Economic Development and Small Business Assistance are rated and scored using the criteria below. Applications are evaluated and ranked against all applications within the Economic Development 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 or retain permanent, full-time equivalent jobs for persons from low- to moderate-income families.

###### **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 reasonableness of the project costs.

**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 number of jobs created/retained in relation to CDBG investment (CDBG cost per job created/retained).
- 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.
- The demonstrated viability of the business.
- The project’s alignment with green principles and sustainable development practices.
- The overall quality of the jobs to be created/retained, and the ability for future advancement of the employees.

**Public Infrastructure (water/sewer/storm water) 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.

### **Award Criteria Details:**

#### **Eligible Area, City, County Population Limits Or Population Target Types:**

Projects must be located in non-entitlement areas such as villages, towns or cities 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.

**Long Range Goals:**

Based on the HUD approved 2011-2015 Consolidated Plan, New York State outlined long-term goals for the NYS CDBG program over the five-year period as outlined in the 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 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.

**Matching Fund Requirements / Deadlines:**

Economic Development

Up to 40% of a total project cost can be funded with CDBG funds for projects seeking Economic Development and Small Business Assistance program funds. Additionally, a minimum of 20% owner equity contribution is required for projects seeking funding through the Small Business Assistance program. For the Small Business Assistance program, the equity contribution may be reduced to 10% if the project qualifies as “Green” per the Office of Community Renewal criteria contained on the Green Incentive Checklist.

**Additional Resources:**

For more information, eligible applicants should contact New York State Homes and Community Renewal, 38-40 State St, Albany, New York 12207, call (518) 474-2057 or visit:

<http://nysdhcr.gov/AboutUs/Offices/CommunityRenewal/FundingOpportunities.htm>

## **Urban Initiatives (UI) Program**

**Funding Available: Up to \$2 million**

**Description:**

The Urban Initiatives (UI) program was established in Article 16-A of New York State Private Housing Finance Law. The Urban Initiatives program is administered by the Office of Community Renewal (OCR) under the direction of the New York State Housing Trust Fund Corporation (HTFC).

The purpose of the Urban Initiatives program is to provide financial/technical resources to New York communities for the restoration and improvement of housing, commercial areas and public/community facilities in urban neighborhoods. This program will provide grants to not-for-profit community based organizations and charitable organizations that have a direct interest in improving the health, safety and economic viability of a distressed urban neighborhood or other aspects of the area environment that are related to community preservation or renewal activities.

**Eligible Types of Applicants:**

Eligible applicants include not-for-profit corporations that have been engaged primarily in relevant community preservation activities for at least one year prior to application. The applicant's officers, directors and members must be representative of the residents and other legitimate interests of the neighborhood.

**Eligible Areas:**

Eligible areas for Urban Initiatives projects are neighborhoods within cities, towns or villages with a population of twenty thousand or more.

An eligible neighborhood for UI projects 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 eighty 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.

Projects demonstrating a direct benefit to persons and families whose incomes do not exceed eighty percent of the area median income for the county or MSA in which a project is located are not required to meet criterion (iii) above.

Applications that provide unclear responses, do not address each of the three criteria, or do not provide supporting documentation will be deemed ineligible.

**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 Urban Initiatives (UI) project. The resolution must be attached to 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.

- The resolution must be passed prior to the application deadline.
- Draft or proposed resolutions are not acceptable.
- Support letters **do not** meet this requirement.
- The resolution must be for the current 2013 funding round, and the specific UI project application.
- If the municipality or Community Board provides only a summary letter without the full text of the resolution, please also provide copy of the meeting minutes to document the vote and formal board resolution.

Applications without a Municipal Resolution, as described above, will be deemed ineligible.

**Eligible Activities:**

Applicants may request between \$50,000 and \$150,000 to undertake housing preservation and community renewal activities in distressed neighborhoods by preserving existing housing units, generating new housing units, upgrading commercial and retail areas, and by creating innovative approaches to neighborhood and community revitalization which improve cultural and community facilities. Matching funds are required, and the UI funds must not exceed 75% of the total project cost.

UI funds may be used for project expenses incurred subsequent to contract execution including: renovation, rehabilitation, demolition, and/or clearance and sealing of any building or other structure, provided that such funds may not be used for planning of any such activity or for operating an office to be used by the qualified applicant and provided further that no funds shall be used for acquisition unless such acquisition is in conjunction with the renovation, rehabilitation, demolition, clearance, or sealing of any building or structure. UI projects must result in a completed, occupied space.

Applicants must specifically demonstrate how the project contributes to local planning and development efforts.

Eligible occupants of UI projects are persons and families whose income does not exceed 80% of the area median income for the metropolitan statistical area (MSA) or county in which the project is located. Non-residential projects must benefit municipalities in which more than 50% of the population has incomes of 80% or less of the area median income for the MSA or county in which the project is located.

Please contact the Office of Community Renewal prior to submitting an application to discuss project eligibility.

**Ineligible Activities:**

Ineligible uses of UI funds include, but are not limited to: general organizational operating expenses; capitalizing a revolving loan fund; 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; site work or ancillary activities on a property, including grading, parking lots, sidewalks, landscaping, fences, free standing signs, and general maintenance; and pre-development planning and associated expenses, as UI projects 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 UI funds. Please contact the Office of Community Renewal prior to submitting an application to discuss project eligibility.

**Funding Priorities:**

UI was established to improve distressed urban neighborhoods of New York State. Applications should propose a comprehensive approach to strengthen both the commercial and residential sectors. Applicants able to successfully demonstrate broad local support and linkages between the proposed project and local planning and development efforts will receive priority consideration. Applicants documenting high percentages of committed matching and leveraged funds will receive the highest scores.

## **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 UI project activity, 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, as this will form the basis for the impact score in the following section. Each application will be rated in comparison with all other applications received.

- Residential need (up to 5 points)  
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 (up to 5 points)  
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 activities described in the application will have a positive public benefit and sustainable positive impact on the target area and surrounding community and neighborhoods. In part, this rating is based on the proposed strategy of using Urban Initiatives resources to stimulate private investment to revitalize the targeted commercial area and nearby residential neighborhoods.

- Residential impact (up to 5 points) - Evaluates the likelihood that investment of UI funds will preserve or improve housing units in the neighborhood. Projects that propose meeting affordable housing needs 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 (up to 5 points) - Evaluates the likelihood that investment of UI funds will improve the aesthetics of the commercial corridor, spur investment of private resources, and mobilize additional resources to sustain 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 (up to 15 points) – Evaluates local support and linkages between the proposed project and local planning and development efforts.

### **Leveraging - 15 Points**

Measures the extent to which the UI resources will result in additional investments committed to the projects. Applicants documenting high percentages of committed matching and leveraged funds will receive the highest scores.

### **Implementation Capacity - 30 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 HCR 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.

- Experience (up to 5 points) - Up to 5 points are available to applicants who have a successful record of achievement within the community where the proposed project is located, and have assembled a team with experience in community development, housing rehabilitation, and/or commercial revitalization in mixed-use districts on a scale comparable to the proposed project.
- Implementation Capacity (up to 25 points) – Proposals that have identified feasible, ready to go projects, obtained local approvals, and have necessary organizational structures and procedures in place to implement the proposed project, without delay, will be eligible for up to twenty-five points.

**Award Criteria Details:**

The OCR 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.

OCR reserves the right to reject or modify elements of any and all proposals and to recommend funding in an amount less than requested.

**Limitations:**

The owner of a property improved with UI funds must agree for a minimum of five years to: maintain the property in good operating order and condition; to 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.

Eligible occupants of UI projects are persons and families whose income does not exceed 80% of the area median income for the metropolitan statistical area (MSA) or county in which the project is located. Non-residential projects must benefit municipalities in which more than 50% of the population has incomes of 80% or less of the area median income for the MSA or county in which the project is located.

**Project Term Completion Dates:**

Recipients of UI 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 and 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 reallocation.

**Matching Fund Requirements / Deadlines:**

UI operates as a reimbursement program and the UI program requires matching funds. Participating projects must have cash or construction financing available to complete the renovation projects after contract execution, the UI funds may be requested to reimburse no more than 75% of the total project cost, up to the amount of UI funds awarded.

Projects that cannot be completed within a 24-month contract term will not be reimbursed.

**Additional Resources:**

For more information, applicants should contact New York State Homes and Community Renewal, 38-40 State St, Albany, New York 12207, call (518) 474-2057 or visit:

<http://www.nyshcr.org/AboutUs/Offices/CommunityRenewal/>

## **Rural Area Revitalization Projects (RARP)**

**Funding Available: Up to \$1.5 million**

**Description:**

The Rural Area Revitalization Projects (RARP) program was established in Article 17-B of New York State Private Housing Finance Law. The RARP program is administered by the Office of Community Renewal (OCR) under the direction of the New York State Housing Trust Fund Corporation (HTFC).

The purpose of the RARP program is to provide financial/technical resources to New York communities for the restoration and improvement of housing, commercial areas and public/community facilities in rural areas of the state. This program will provide grants to not-for-profit community based organizations and charitable organizations that have a direct interest in improving the health, safety and economic viability of a rural area or other aspects of the area environment that are related to community preservation or renewal activities.

**Eligible Types of Applicants:**

Eligible applicants include not-for-profit corporations that have been engaged primarily in relevant community preservation activities for at least one year prior to application. The applicant's officers, directors and members must be representative of the residents and other legitimate interests of the neighborhood.

**Eligible Areas:**

Eligible areas for Rural Area Revitalization Projects are cities, towns and villages having a population of less than twenty-five thousand.

An eligible area for Rural Area Revitalization Projects shall mean a city, town or village: (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.

Projects demonstrating a direct benefit to persons and families whose incomes do not exceed ninety percent of the area median income for the county or MSA in which a project is located are not required to meet the criterion (iii) above.

Applications that provide unclear responses, do not address each of the three criteria, or do not provide supporting documentation will be deemed ineligible.

**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 Rural Area Revitalization Project (RARP). The resolution must be attached to 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.

- The resolution must be passed prior to the application deadline.
- Draft or proposed resolutions are not acceptable.
- Support letters **do not** meet this requirement.
- The resolution must be for the current 2013 funding round, and the specific RARP application.
- If the municipality or Community Board provides only a summary letter without the full text of the resolution, please also provide copy of the meeting minutes to document the vote and formal board resolution.

Applications without a Municipal Resolution, as described above, will be deemed ineligible.

**Eligible Activities:**

Applicants may request between \$50,000 and \$150,000 to undertake housing preservation and community renewal activities in distressed rural areas by preserving existing housing units, generating new housing units, upgrading commercial and retail areas, and by creating innovative approaches to neighborhood and community revitalization which improve cultural and community facilities. Matching funds are required, and the RARP funds must not exceed 75% of the total project cost.

RARP funds may be used for project expenses incurred subsequent to contract execution including: renovation, rehabilitation, demolition, and/or clearance and sealing of any building or other structure, provided that such funds may not be used for planning of any such activity or for operating an office to be used by the qualified applicant and provided further that no funds shall be used for acquisition unless such acquisition is in conjunction with the renovation, rehabilitation, demolition, clearance, or sealing of any building or structure. RARP projects must result in a completed, occupied space.

Applicants must specifically demonstrate how the project contributes to local planning and development efforts.

Eligible occupants of RARP projects are persons and families whose income does not exceed 90% of the area median income for the metropolitan statistical area (MSA) or county in which the project is located. Non-residential projects must benefit municipalities or rural areas in which more than 50% of the population has incomes of 90% or less of the area median income for the county or MSA in which the project is located.

Please contact the Office of Community Renewal prior to submitting an application to discuss project eligibility.

**Ineligible Activities:**

Ineligible uses of RARP funds include, but are not limited to: general organizational operating expenses; capitalizing a revolving loan fund; 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; site work or ancillary activities on a property, including grading, parking lots, sidewalks, landscaping, fences, free standing signs, and general maintenance; and pre-development planning and associated expenses, as RARP projects 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 RARP funds. Please contact the Office of Community Renewal prior to submitting an application to discuss project eligibility.

**Funding Priorities:**

RARP was established to encourage community preservation and improvement in the rural areas of the state. Applications should propose a comprehensive approach to strengthen both the commercial and residential sectors. Applicants able to successfully demonstrate broad local support and linkages between the proposed project and local planning and development efforts will receive priority consideration. Applicants documenting high percentages of committed matching and leveraged funds will receive the highest scores.

**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 RARP activity, 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, as this will form the basis for the impact score in the following section. Each application will be rated in comparison with all other applications received.

- Residential need (up to 5 points)  
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 (up to 5 points)  
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 activities described in the application will have a positive public benefit and sustainable positive impact on the target area and surrounding community and neighborhoods. In part, this rating is based on the proposed strategy of using RARP resources to stimulate private investment to revitalize the targeted commercial area and nearby residential neighborhoods.

- Residential impact (up to 5 points) - Evaluates the likelihood that investment of RARP funds will preserve or improve housing units in the neighborhood. Projects that propose meeting affordable housing needs 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 (up to 5 points) - Evaluates the likelihood that investment of RARP funds will improve the aesthetics of the commercial corridor, spur investment of private resources, and mobilize additional resources to sustain 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 (up to 15 points) – Evaluates local support and linkages between the proposed project and local planning and development efforts.

### **Leveraging - 15 Points**

Measures the extent to which the RARP resources will result in additional investments committed to the projects. Applicants documenting high percentages of committed matching and leveraged funds will receive the highest scores.

### **Implementation Capacity - 30 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 HCR 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.

- Experience (up to 5 points) - Up to 5 points are available to applicants who have a successful record of achievement within the community where the proposed project is located, and have assembled a team with experience in community development, housing rehabilitation, and/or commercial revitalization in mixed-use districts on a scale comparable to the proposed project.
- Implementation Capacity (up to 25 points) – Proposals that have feasible, ready to go projects, obtained local approvals, and have necessary organizational structures and procedures in place to implement the proposed project, without delay, will be eligible for up to twenty-five points.

### **Award Criteria Details:**

The OCR 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.

OCR reserves the right to reject or modify elements of any and all proposals and to recommend funding in an amount less than requested.

### **Limitations:**

The owner of a property improved with RARP funds must agree for a minimum of five years to: maintain the property in good operating order and condition; to 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.

Eligible occupants of RARP projects are persons and families whose income does not exceed 90% of the area median income for the metropolitan statistical area (MSA) or county in which the project is located. Non-residential projects must benefit municipalities in which more than 50% of the population has incomes of 90% or less of the area median income for the MSA or county in which the project is located.

### **Project Term Completion Dates:**

Recipients of RARP 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

and 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 reallocation.

**Matching Fund Requirements / Deadlines:**

RARP operates as a reimbursement program and RARP projects require matching funds. Participating projects must have cash or construction financing available to complete the renovation projects after contract execution, the RARP funds may be requested to reimburse no more than 75% of the total project cost, up to the amount of RARP funds awarded.

Applicants documenting high percentages of committed matching and leveraged funds will receive priority consideration. Projects that cannot be completed within a 24-month contract term will not be reimbursed.

**Additional Resources:**

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

## **New York Main Street**

**Funding Available: Up to \$2.2 million**

and

## **New York Main Street Technical Assistance**

**Funding Available: Up to \$200,000**

**Description:**

The New York Main Street (NYMS) Program was created by the New York State Housing Trust Fund Corporation (HTFC) in 2004 to provide resources for the purpose of assisting New York's communities with Main Street and downtown revitalization efforts. Article 26 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 New York State 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 \$2.2 million available for traditional NYMS program building renovation programs, OCR and HTFC will make up to \$200,000 available for NYMS Technical Assistance (NYMS-TA) projects. NYMS-TA projects must directly improve an organization and/or community's capacity or readiness to administer a future NYMS building renovation program, and this correlation must be clearly demonstrated in an application.

**Eligible Types of Applicants:**

Eligible applicants for the NYMS Program and NYMS-TA 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:**

NYMS and NYMS-TA Projects must be located in an eligible target area. Applicants must clearly identify how the target area meets all three components of the statutory definition of 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.

Applications that do not address each of the three criteria, or do not provide clear source documentation will be deemed ineligible. Vague or unclear responses cannot be interpreted as an eligible target area.

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.

**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 NYMS-TA project. The resolution must be attached to 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.

- The resolution must be passed prior to the application deadline.
- Draft or proposed resolutions are not acceptable.
- Support letters do not meet this requirement.
- The resolution must be for the current 2013 funding round and the specific NYMS program or NYMS-TA project application.
- If the municipality or Community Board provides only a summary letter without the full text of the resolution, please also provide copy of the meeting minutes to document the vote and formal board resolution.

Applications without a Municipal Resolution, as described above, will be deemed ineligible.

**Eligible Activities:**

**New York Main Street (NYMS) Program Eligible Activities**

Applicants may request a total of between \$50,000 and \$200,000 for the following activities:

**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. Renovation projects that provide direct assistance to residential units may be awarded an

additional \$10,000 per residential unit, up to a per building maximum of \$100,000, not to exceed 75% of the total project cost.

Streetscape Enhancement: In addition to building renovation funds, applicants may request up to \$15,000 in grant funds for streetscape enhancement activities, such as: planting trees, installing street furniture and trash cans, and performing other supportive activities to enhance the NYMS target area.

- A streetscape enhancement grant will only be awarded as an activity ancillary to a building renovation project and cannot be applied for on its own.
- Streetscape enhancement activities must be reviewed for eligibility and approved 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.

Example NYMS Application Request:

\$170,000	Building Renovation Funds: to renovate five buildings
\$15,000	Streetscape Enhancement Funds: install bike racks and benches
\$15,000	Administration
<b>\$200,000</b>	<b>Maximum 2013 NYMS Request Amount</b>

**New York Main Street (NYMS) Program Ineligible Activities**

Ineligible uses of NYMS funds include, but are not limited to: general organizational operating expenses; capitalizing a revolving loan fund; improvements to structures owned by religious or private membership organizations; improvements to municipally-owned buildings used for municipal purposes; demolition; new construction; the purchase of non-permanent fixtures, such as furnishings, appliances, electronics, and business equipment; 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; and pre-development planning and associated expenses, as NYMS projects 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. Please contact the Office of Community Renewal prior to submitting an application to discuss project eligibility.

**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 projects must directly improve an organization and/or community’s capacity or readiness to administer a future NYMS building renovation program, and this correlation must be clearly demonstrated in an application.

Examples of eligible projects include, but are not limited to, the following:

**Building Reuse Feasibility Study**

Study for the rehabilitation or adaptive re-use of downtown, mixed-use buildings to provide property owners with the resources necessary to make informed decisions regarding the feasibility of rehabilitation projects, and may include; historic and architectural analysis; building condition

assessment; building code analysis; proposed uses for the building; plan drawings; green technology potential; cost estimates; and funding strategies, including historic tax credits; and pro-forma analysis.

#### 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.

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

Ineligible uses of NYMS-TA funds include, but are not limited to: administrative expenses, general 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.

#### **Funding Priorities:**

A proposed 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. NYMS-TA projects must directly improve an organization and/or community's capacity or readiness to administer a future NYMS building renovation program, and this correlation must be clearly demonstrated in an application. Additionally, priority is given to proposals for 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.

#### **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, as this will form the basis for the impact score in the following section. Each application will be rated in comparison with all other applications received.

- Residential need (up to 5 points)  
Evaluates the severity of need for affordable housing or rehabilitation of the existing housing stock and vacant buildings in the proposed target area. Included in this analysis should be housing availability for median-income residents and the extent of substandard housing in the target area, based on measures such as age, extent of known deficiencies, and health, safety, and code violations.
- Commercial need (up to 5 points)  
Evaluates the extent of need for commercial investment in the proposed target area that the private sector alone has been unable to provide. This evaluation will be based on objective measures of need, such as commercial vacancy rates, degree and history of disinvestment, unemployment, and other socio-economic and labor market data provided by the applicant. Applicants that empirically demonstrate substantial need for public investment in the proposed target area will receive maximum points.

### **Impact - 30 Points**

Measures the extent to which the activities described in the application will have a positive public benefit and sustainable positive impact on the target area and surrounding community and neighborhoods. In part, this rating is based on the proposed strategy of using NYMS resources to stimulate private investment to revitalize the targeted commercial area and nearby residential neighborhoods.

- Residential impact (up to 8 points) - 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 (up to 8 points) - 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.
- Local Initiative (up to 5 points) - 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. The existence of active community-based downtown revitalization efforts will enhance an applicant's score in this area.
- Design (up to 4 points) - 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 & District Promotion (up to 5 points) - 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. Applications that demonstrate the capacity to grow the district's existing economic base to find new opportunities, while meeting the challenges of commercial sprawl, will receive the highest scores. Consideration is also given to applicants who demonstrate a strong understanding of current economic conditions in the district, identify opportunities for market growth, and provide plans for monitoring the economic performance of the district.

**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 - 30 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 (up to 5 points) - Up to 5 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. These 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 up to five points as well.
- Implementation Capacity (up to 25 points) – Proposals that have identified specific projects, obtained local approvals, and have necessary organizational structures and procedures in place to implement the proposed projects, without delay, will be eligible for up to twenty-five 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 – 10 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 – 40 points**

Evaluates the 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 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.

**Award Criteria Details:**

NYMS-TA proposals must be for future NYMS projects. OCR and HTFC will not fund a NYMS-TA proposal related to an open NYMS contract, or a NYMS project proposed in CFA III. Award of a NYMS-TA proposal does not guarantee future NYMS funding.

The OCR 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.

OCR reserves the right to reject or modify elements of any and all proposals and to recommend funding in an amount less than requested.

Documents and materials produced using NYMS-TA funds must identify New York Homes and Community Renewal (HCR) and the New York State 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 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 and NYMS-TA 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 / Deadlines:**

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 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.

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.

Projects that cannot be completed and occupied within a 24-month contract term will not be reimbursed.

**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 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 \$15.5 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. Municipalities and not-for-profit organizations with an ownership interest in the property are eligible to apply. Historic properties must be listed on the State or National Register of Historic Places. Properties not currently listed, but scheduled for nomination review at the State Board for Historic Preservation meeting of September 19, 2013 or December 5, 2013, are eligible to apply. Heritage Areas projects must be identified in an approved management plan for Heritage Areas designated under sections 35.03 and 35.05 of the Parks, Recreation and Historic Preservation Law. 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.

**ELIGIBLE TYPES OF APPLICANTS:**

- Municipalities
- State Agencies
- Public Benefit Corporations
- Public Authorities
- 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, proof of tax-exempt status under the IRS code, and be current with pertinent filings under Section 501 of the United States Internal Revenue Code, and either Article 7-A of the New York Executive Law, or Section 8-1.4 of the New York Estates, Powers and Trusts Law, or Section 1508 of the New York Not-for-Profit Corporation Law, or Section 215 of the New York Education Law .

To be eligible for this funding category, the following documentation is required and must be submitted by the application deadline (see “Additional Resources” below for more information):

**For All Applicants:**

1. **State Environmental Quality Review Act (SEQR) compliance documentation** – Not-for-profits must fill out the Environmental Review (EMB) Form available at <http://www.nysparks.com/grants/consolidated-funding-app.aspx>. Municipalities must document or describe where they are in the SEQR process.
2. **Photos showing the project area**
3. **1:24,000 scale topographic or planimetric map with the subject property circled**
4. **Schematic Site Plan**

**For Municipal Applicants:**

Legislative authorization of alienation, if applicable

**For Not-for-Profit Applicants:**

1. Copy of the Certificate of Incorporation from the Department of State or Board of Regents, or equivalent AND
2. Documentation of tax-exempt status under the IRS Code

**For Not-for-Profit Applicants Applying under the Parks Program:**

The endorsement of the municipality in which a park project is located. A sample of an acceptable Municipal Endorsement is located 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:**

1. Documentation of affiliation such as a Memorandum of Understanding (MOU) or Memorandum of Agreement (MOA) AND
2. A letter of support from the facility manager

**ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:** Funding under the EPF Municipal Grant program is available for the following grant categories and project elements:

- **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. To ensure the public benefit from the investment of state funds, 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 park acquisition projects undertaken by not-for-profit corporations. Any park project undertaken by municipalities is subject to the State’s Parkland Alienation Law. The Handbook

on the Alienation and Conversion of Municipal Parkland is 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. Properties not currently listed, but scheduled for nomination review at the State Board for Historic Preservation meeting of either September 19, 2013 or December 5, 2013, 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. All work must conform to the Secretary of the Interior's Standards for the Treatment of Historic Properties. To ensure the public benefit from the investment of state funds, preservation covenants or conservation easements will be conveyed to the State (OPRHP) for all historic property grants.
- **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 below. For exact Heritage Area boundaries, see the maps at <http://www.nysparks.com/grants/heritage-areas/default.aspx> or contact the Heritage Area.

- \* Albany
- \* Buffalo
- \* Kingston
- \* Hudson-Mohawk/RiverSpark  
(Cohoes, Colonie, Green Island, Troy, Waterford Town/Village, Watervliet)
- \* Lake Erie Concord Grape Belt (portions of Chautauqua County)
- \* Long Island North Shore Heritage Area (Nassau and Suffolk Counties north of Rte. 25/I-495)
- \* Niagara Falls Underground Railroad Heritage Area (City of Niagara Falls)
- \* Susquehanna (Broome and Tioga Counties)
- \* Western Erie Canal Heritage Corridor (Erie, Niagara, Orleans, Monroe and Wayne Counties)
- \* Harbor Park (NYC)
- \* Ossining
- \* Rochester – High Falls
- \* Sackets Harbor
- \* Saratoga Springs
- \* Schenectady
- \* Seneca Falls
- \* Syracuse
- \* Whitehall

#### **ALLOWABLE COSTS:**

##### 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. Goods and services which are not required by law to be procured pursuant to competitive bidding must be 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. 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.

Construction - Include only work items related to this grant application.

#### Acquisition

- Provide a breakdown for each parcel showing 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) as determined by a qualified appraiser. **A written estimate of value (windshield appraisal/market valuation) for each parcel must be included.** Include the value of any land that will be acquired through donation to the project or converted from other purposes. Acquisition costs must be incurred during the project term or up to one year prior to the application deadline. If a grant is awarded, the value of each parcel must be established by a full, self-contained appraisal, the standards for which can be found at <http://www.nysparks.com/grants> (under Grants, click on Forms & Resources). For any parcel valued at \$300,000 or more, two full, self-contained appraisal reports are required.
- Associated acquisition costs should also be included under this category. Eligible items include 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.**

#### 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 independent audit or 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 \$120.

**PRE-APPLICATION REQUIREMENTS:** The checklist for required and supporting documentation is provided below under "Additional Resources" and is also available at OPRHP's website <http://www.nysparks.com/grants/consolidated-funding-app.aspx>.

**SUCCESSFUL APPLICANT REQUIREMENTS:** Successful applicants are advised NOT to begin work until a project contract has been fully executed. Certain conditions of award must be met before a contract can be executed. 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, environmental and historic preservation reviews (including archeological review) and OPRHP acceptance of plans and specifications, bidding documents, competitive bidding, and solicitation of Minority and Women-owned Business Enterprises (MWBs), etc. Proceeding without advance OPRHP approval will jeopardize grant reimbursement.

Archeology is required in any project that will result in any ground disturbance and must be included in the project budget. An audit of project expenditures and revenues is required and must be included in the budget in order to be reimbursed. Title insurance is required for acquisition projects, whether funded by the grant or as part of the match, and must be included in the project budget in order to facilitate Attorney General review of clear title documentation. The State will share in these expenses.

All parties with an ownership interest in the property, including lien holders, will be required to sign the project agreement. All lien holders must subordinate their interests to those of the State.

Long term protections are required under this grant program. Any work involving a historic resource will require that a preservation covenant be conveyed to OPRHP. Any not-for-profit corporation undertaking a park development project will be required to convey a public access covenant to OPRHP. Any not-for-profit acquiring real property for recreation or conservation purposes must grant the State a permanent conservation easement to the property. All park projects undertaken by municipalities are subject to State alienation law. The Handbook on the Alienation and Conversion of Municipal Parkland is available at <http://www.nysparks.com/publications/>.

Not-for-profit organizations will be required to provide proof of incorporation, proof of tax-exempt status under the IRS code, proof of coverage or exemption by Workers' Compensation and Disability Benefits, and be current with pertinent filings under Section 501 of the United States Internal Revenue Code, and either Article 7-A of the New York Executive Law, or Section 8-1.4 of the New York Estates, Powers and Trusts Law, or Section 1508 of the New York Not-for-Profit Corporation Law, or Section 215 of the New York Education Law .

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 Article 15A of the Executive Law, Minority and Women-owned Business Enterprises/Equal Employment Opportunity. Grant recipients will be required to solicit MWBs before commencing work and to document efforts involving MWBs 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 to 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 post completion inspections 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.
- 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, and decrease long term maintenance and management costs.
  - 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.

**INELIGIBLE ACTIVITIES:** Work completed prior to award is not eligible for reimbursement or for match. There are two exceptions: 1) 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 and 2) Acquisition costs retroactive no more than one year prior to the application deadline are eligible costs.

**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 predetermined, based on ZIP Code) Points are predetermined, based on the ZIP Code of the project location. The Poverty Table utilized is located at <http://nysparks.com/grants/consolidated-funding-app.aspx>. Also note if this ZIP Code meets the threshold for 75% funding.

## **II. Resource Impact** (up to 25 points)

For Parks Projects:

A1. Community Impact (0-10) 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 (0-15) 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.

For Historic Preservation Projects:

B1. Level of Significance (0-10) 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 (0-15) Points are awarded based on the type (e.g., deterioration, damage, demolition, inappropriate development), extent (e.g., isolated, widespread, accelerated), severity, immediacy, and degree (e.g., recent, on-going, imminent) of threat to the property from negligence, development pressure, inappropriate treatment, etc.

For Heritage Area Projects:

C1. Addresses current Heritage Area programs (0-10) 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 (0-15) 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.

For Acquisition Projects:

D1. Environmental and Recreational Contribution (0-10) 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 (0-15) 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.

### III. Planning Initiatives (up to 10 points)

For Parks Projects:

A1. Statewide Index of Need (0-5): (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
- LWRP
- Recognized local Open Space Plan
- Community participation in the CLG program
- 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. 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. 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, 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:

C1. 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)

C2. 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 or federal plans
- 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).

**V. 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 and decrease long term maintenance and management costs.

B. 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.

C. Partners to State Parks – projects undertaken by partner groups in State Parks and Historic Sites. A letter 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, (see <http://www.hudsongreenway.ny.gov/Planning/Compact.aspx> or to the Greenway map at [http://www.hudsongreenway.ny.gov/Libraries/PDFs/Greenway Map01-20-12.sflb.ashx](http://www.hudsongreenway.ny.gov/Libraries/PDFs/Greenway%20Map01-20-12.sflb.ashx)) 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.

### **AWARD CRITERIA DETAILS**

ELIGIBLE AREA, CITY, COUNTY POPULATION LIMITS OR POPULATION TARGET TYPES: \$7.75 million of the \$15.5 million appropriation must be awarded to projects located in Inner City/Underserved areas. {Note: \$2.725 million is directed to specific line items, leaving \$12,775,000 available for the competitive award program.}

- **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 more than three open grants with OPRHP should not receive additional awards. There is an administrative cap of \$500,000 for 2013-14 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 State Comprehensive Outdoor Recreation Plan (SCORP). Additional consideration should be given to projects that are included in other state and local planning initiatives. The Commissioner's priorities for this grant program are:
  - 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 and decrease long term maintenance and management costs.
  - 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.
- **PROJECT TERM COMPLETION DATES:** All 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, environmental and historic preservation reviews (including archeological review) and OPRHP acceptance of plans and specifications, bidding documents, competitive bidding and solicitation of Minority and Women-owned Business Enterprises (MWBES), etc. When these materials are provided and are deemed satisfactory, OPRHP can develop a contract with the applicant. Once a contract is executed, it is anticipated that construction projects be completed within two years, and acquisition and planning projects be completed within one year; all projects must be completed within five years from 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. Successful applicants are expected to raise their full share within one year of the grant award. Failure to do so could result in the recapture of the grant award in order to fund viable, ready projects.
- **MATCHING FUND REQUIREMENTS / DEADLINES:** Successful applicants are reimbursed for 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 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](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. **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.

**ADDITIONAL RESOURCES:** For more information, eligible applicants should contact the NYS Office of Parks, Recreation and Historic Preservation (OPRHP) Regional Grants Administrator for your county (see list below) or visit <http://www.nysparks.com/grants>

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

Finger Lakes Region

Lynn LeFeber  
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

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

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

<p><u>Long Island Region</u> Traci Christian Belmont Lake State Park PO Box 247 Babylon, NY 11702 (631) 321-3543, FAX (631) 321-3721 COUNTIES: Nassau and Suffolk</p>	<p><u>Southern Tier Region</u> 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</p>
<p><u>New York City Region</u> Merrill Hesch NYS OPRHP Adam Clayton Powell, Jr. State Office Building 163 West 125<sup>th</sup> Street, 17<sup>th</sup> Floor New York, NY 10027 (212) 866-2599, FAX (212) 866-3186 COUNTIES: Bronx, Kings, New York, Queens and Richmond</p>	<p><u>Mid-Hudson Region</u> 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</p>
<p><u>Capital Region</u> 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</p>	<p><u>North Country Region</u> Gayle Underhill-Plumb Keewaydin State Park Alexandria Bay, NY 13607 (315) 482-2593, FAX (315) 482-9413 COUNTIES: Clinton, Essex, Franklin, Hamilton, Jefferson, Lewis, and St. Lawrence</p>

**Attachments listed below in boldface are required of every application; applications lacking these attachments (or an acceptable explanation) will be deemed incomplete.** Depending upon the particular circumstances of your project, **other attachments may be required.** Still **other attachments, while not required, may be essential to support rating points.** All documents should be current to this grant cycle. See below for additional guidance.

**REQUIRED DOCUMENTATION:**

**For ALL Applicants:**

- 1. State Environmental Quality Review Act (SEQR) compliance documentation** - Not-for-profits must fill out the Environmental Review (EMB) Form available at <http://www.nysparks.com/grants/consolidated-funding-app.aspx> . Municipalities must document or describe where they are in the SEQR process.
- 2. Photos showing the project area**
- 3. 1:24,000 scale topographic or planimetric map with the subject property circled**
- 4. Schematic Site Plan**

**For Municipal Applicants:**

Legislative authorization of alienation, if applicable

**For Not-for-Profit Applicants:**

1. Copy of the Certificate of Incorporation from the Department of State or Board of Regents, or equivalent AND
2. Documentation of tax-exempt status under the IRS Code

**For Not-for-Profit Applicants applying under the Parks program:**

A Signed Municipal Endorsement. A sample of an acceptable endorsement is available at:  
<http://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.

**For partner groups of State Parks or Historic Sites:**

1. Documentation of affiliation such as a Memorandum of Understanding (MOU) or Memorandum of Agreement (MOA) AND
2. A letter of support from the facility manager

**SUPPORTING DOCUMENTATION:**

- Ownership documentation
- Evidence of local historic preservation or landmark designation
- Clearly marked excerpts from project-specific planning documents
- Clearly marked excerpts from federal, statewide, regional or local planning documents
- Written documentation clearly identifying community involvement, including resolution that local plan was adopted or reaffirmed within the last 5 years, if in a formally adopted plan
- Documentation from State agencies regarding remediated brownfields, protected species, habitats, etc.
- Documentation of pre-construction planning, procurement of services, consultant qualifications, etc.
- Ground disturbance documentation
- Written estimate of fair market value (market valuation), for any property that will be acquired or used as match
- Permits
- Canal Corporation approval
- All official project endorsements, partnerships and letters of support
- For stand-alone planning projects, submit documentation of components of final product and justification of budget estimate

**Ownership Documentation**

Provide a clear and legible copy of the current recorded deed to the property, showing Liber and Page number or electronic filing number of recording. In addition, if the applicant has less than fee simple ownership in the property, a clear and legible copy of the documentation showing such interest in the property (i.e., lease, management agreement, etc.) must be provided. If there are any restrictions on the use or ownership of the property, provide documentation of such liens or restrictions (e.g., Title Policy Schedule B). If acquisition is proposed, describe the status of purchase negotiations and document the owner's intent to sell (signed purchase contract, option agreement, or letter of intent).

**State Environmental Quality Review Act Compliance (SEQR)**

**NOT-FOR-PROFIT CORPORATIONS:** Complete the Environmental Review (EMB) Form available online at <http://www.nysparks.com/grants/consolidated-funding-app.aspx> . Also include with your application clear drawings, maps, or plans of existing and proposed natural and man-made conditions on the site and the areas immediately adjacent to the site.

**MUNICIPALITIES:** The municipality will be SEQR lead agency if OPRHP is the only other agency involved, or will be responsible for initiating lead agency designation procedures if there are other involved agencies (e.g., the Department of Environmental Conservation (DEC) via a required permit). The lead agency is required to classify projects under SEQR as follows:

If your project is Type II, it is not subject to SEQR. If this is the case, provide a statement as to the classification of your project and the reason. If any permits are required, list them in your statement.

If your project is subject to SEQR, consult SEQR regulations to determine if it is classified Unlisted or Type I. If it is Unlisted, submit a completed Short Environmental Assessment Form (EAF) (Parts I-III). If the project is classified Type I, submit a completed Full Environmental Assessment Form and either a negative declaration or a Final Environmental Impact Statement (FEIS) and SEQR Findings.

If the project's impacts have been previously reviewed under SEQR, supporting documentation must be submitted (e.g., FEIS and SEQR Findings Statement).

#### Photos

Provide images (scanned photographs or born-digital; photocopies are not acceptable substitutes) showing the overall project area and documenting existing conditions. Include photos of any structures more than 50 years old within, or immediately adjacent to, the project area. Provide views to these features from the project site, as well as views of the project site from them. Key all images to a schematic site plan (see below).

#### Map

Submit a 1:24,000 scale USGS or DOT planimetric map with the subject property circled. An 8½" x 11" section, copy, or printout is acceptable, so long as it shows at least 1:24,000 scale and is clearly marked as to scale and source, including Quad Name and/or Code. Go to the NYS GIS Clearinghouse <http://gis.ny.gov/gisdata/quads/> for downloadable, printable maps.

#### Schematic Site Plan

Provide a document that connects the narrative, photos, budget, and for a historic property the work detail, together pictorially.

For parks, a site plan that identifies the boundary of the park that is the subject of the application as well as how it relates to the surrounding areas (properties adjoining the site, roadways, water bodies, public access), what facilities are currently existing on proposed site (arrows or legend to indicate type - baseball fields, playgrounds, pavilions, parking areas, public access to the site, links to surrounding areas via trails, etc. and location of those facilities within the park), and what facilities are being proposed (type and location); these would then be linked to photos showing the subject area and surrounding areas, the narrative describing the work being contemplated, and the budget showing estimated costs.

With historic properties, two dimensional plans or elevations which identify the areas of the structure or site with the conditions as they currently exist that are the subject of the application (i.e., arrows to mortar joints, cracks, bricks); these would have a legend or some other way to link back to photos which show the areas of concern, the narrative and work detail which describe both existing conditions and the proposed work to correct issues, and the budget showing the estimated costs to accomplish the work.

#### Project-specific Planning Documents

Provide clearly marked excerpts in support of the project narrative, clearly citing date and source, or a link if posted online.

#### Local, State and Federal Planning Documents

Provide clearly marked excerpts in support of the project narrative AND either a copy of the resolution adopting or reaffirming the local plan within the last five years OR if the project is not specifically identified in a formally adopted plan, provide written documentation clearly identifying community involvement (e.g., an official resolution by the governing body of the applicant, approving and/or endorsing the project and affirming public and community support for it, evidence of public participation, public outreach plan, press releases/announcements, public meetings, events, fundraising campaign plans). Provide copies of official project endorsements, partnerships and letters of support.

#### Permits

Depending on the project scope, some grant projects will require permits from agencies such as the NYS Department of Environmental Conservation (DEC) or the US Army Corps of Engineers (COE). Contact the permitting agencies directly to determine if any permits are needed, especially if your project is located in or adjacent to a water body (e.g., stream, river, lake, wetland, canal).

#### Canal Corporation Approval

Any project that is approved for funding and is located on land under the jurisdiction of the Canal Corporation must receive all necessary approvals of the Canal Corporation prior to the final execution of a project agreement.

#### Stand-Alone Planning Grants

If the grant proposal is for a planning project other than the preparation of contract documents (plans and specifications), identify in detail the components of the final product. Submit a draft table of contents or equal.

For planning budgets involving just the preparation of plans and specifications, provide at least two professional estimates for construction costs or submitted construction bids to justify the proposed consultant costs. For other planning projects (condition studies, etc.), submit justification for consultant costs.

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

**Funding Available: Up to \$2.8 million**

**DESCRIPTION:** The Recreational Trails Program (RTP) was reauthorized on July 6, 2012, when the President signed into law the Moving Ahead for Progress in the 21st Century Act (MAP-21). This guaranteed funding for surface transportation programs at over \$105 billion for fiscal years 2013 and 2014. Funds for the Recreational Trails Program are provided by MAP-21.

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 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/](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, and acquisition of easements and fee simple title to property for recreational trails or recreational trail corridors.

#### FUNDING ELIGIBILITY

1. 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.
2. The proposed project must be physically and environmentally developable as a trailway.
3. The proposed project must be planned and developed under the laws, policies and administrative procedures of the State.
4. 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, the Statewide Trails Plan, or a local trails plan.

#### 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.**

#### **ELIGIBLE TYPES OF APPLICANTS:**

- Municipalities
- State Agencies
- Federal Agencies
- Other Government Entities
- 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, proof of tax-exempt status under the IRS code, and be current with pertinent filings under Section 501 of the United States Internal Revenue Code, and either Article 7-A of the New York Executive Law, or Section 8-1.4 of the New York Estates, Powers and Trusts Law, or Section 1508 of the New York Not-for-Profit Corporation Law, or Section 215 of the New York Education Law.

To be eligible for this funding program, the following documentation is required and must be submitted by the application deadline (see "Additional Resources" below for more information):

#### **For All Applicants:**

- 1. 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.
- 2. 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>.
- 3. Photos showing the project area and/or equipment to be purchased**
- 4. 1:24,000 scale topographic or planimetric map with the subject property circled**

## 5. Land Ownership/Land Use Agreement documentation

### For Not-for-Profit Applicants:

1. The endorsement of the municipality in which the project is located. A sample of an acceptable Municipal Endorsement is located at <http://nysparks.com/grants/consolidated-funding-app.aspx> (If the project is for equipment purchase ONLY, this endorsement is not required.)
2. Copy of the Certificate of Incorporation from the Department of State or Board of Regents, or equivalent
3. Documentation of tax-exempt status under the IRS Code

**PERMITTED USES:** Funding under the Recreational Trails Grant program is available for the following:

- **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** is self-explanatory for projects not located on Federal land. This category may include 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.

## ALLOWABLE COSTS:

### Pre-Development

- **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.  
Goods and services which are not required by law to be procured pursuant to competitive bidding must be 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.
- **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.
- Pre-development costs **should not exceed 15% of the construction costs. Administrative costs are not eligible.**

### Development

- Include only work items related to new development or restoration related to this grant application.

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

#### **USES NOT PERMITTED:**

- **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 nonmotorized 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
- **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)

**PRE-APPLICATION REQUIREMENTS:** The checklist for required and supporting documentation is provided below under “Additional Resources” and is also available at OPRHP’s website <http://nysparks.com/grants/consolidated-funding-app.aspx>.

**SUCCESSFUL APPLICANT REQUIREMENTS:** Successful applicants are advised NOT to begin work until a project contract has been fully executed. Certain conditions of award must be met before a contract can be executed. 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 and 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. OPRHP acceptance of plans and specifications, bidding documents, competitive bidding, and solicitation of Minority and Women-owned Business Enterprises (MWBES) may be required prior to start of work depending on the type of project. These requirements will be stipulated in the project contract. Proceeding without advance OPRHP approval will jeopardize grant reimbursement.

Long term protections are required under this grant program. All trails/trail facilities utilizing these funds will be expected to be available to the general public for a specified period of time, ranging from 10-25 years, depending on the amount of federal funds awarded. In addition, any equipment purchased with these funds will be subject to specific terms and conditions as specified in the project contract. Any not-for-profit acquiring land for recreation or conservation purposes must grant the State a permanent conservation easement to the property. Any 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 specific timeframe for any particular grant will be determined by OPRHP and the project contract will be conditioned to reflect this requirement.

Not-for-profit organizations will be required to provide proof of incorporation, proof of tax-exempt status under the IRS code, proof of coverage or exemption by Workers' Compensation and Disability Benefits, and be current with pertinent filings under Section 501 of the United States Internal Revenue Code, and either Article 7-A of the New York Executive Law, or Section 8-1.4 of the New York Estates, Powers and Trusts Law, or Section 1508 of the New York Not-for-Profit Corporation Law, or Section 215 of the New York Education Law.

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. OPRHP is committed to programs of Affirmative Action. OPRHP staff will assist you in undertaking Affirmative Action initiatives as you plan your project. New York State Executive Law Article 15A pertains to Minority and Women-owned Business Enterprises (MWBE) and Equal Employment Opportunity (EEO) which requires State Agencies to insure that all state contracts as defined therein with a value in excess of \$25,000 comply with these regulations. In addition, capital construction projects in excess of \$100,000 will be assigned specific goals for MWBE participation based on the scope of work and the availability of MWBEs to perform work in the project area. The grantee will be required to report participation with each payment request and summarize all participation in the final payment request/final report. Capital construction projects for \$100,000 or less will be asked to show Good Faith Efforts and solicit MWBEs during the project, report participation with each payment request and summarize in the final payment request/final report their specific efforts to include MWBE participation.

Compliance with several Federal, State and OPRHP mandates is required, including, but are 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. 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.

Construction documents require review before any work can begin and some contracts must be publicly bid following applicable guidelines. Projects that involve construction or alteration to any building or structure will require stamped plans and specifications by a licensed professional. Please contact your regional grant administrator before any project work is undertaken. 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.

**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 = 20).

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.

- (0-4 points) A complete budget containing all details requested in the Request for Applications and in the application
- (0-16 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](http://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. Regional Economic Development Council Assessment (0-20)

N. 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:

- the geographic distribution of other fundable projects in any given application cycle
- the extent to which the project will maximize the accessibility of a trail;
- special engineering, environmental and historic preservation concerns or benefits;
- the past performance, if any, of the project sponsor on previous projects, including its compliance with Equal Employment Opportunity and Minority and Women-Owned Business Enterprise programs.

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 more than three open grants with OPRHP should not receive additional

awards. There is an administrative cap of \$200,000 for 2013-14 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.
- **MATCHING FUND REQUIREMENTS:** This is an 80/20 reimbursement grant program. 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.
- **PRINCIPLE 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). 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](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.

**ADDITIONAL RESOURCES:** For more information, eligible applicants should contact the OPRHP Regional Grant Administrator for their county as noted in the table below or visit <http://www.nysparks.com/grants>.

<p><u>Western New York Region</u>            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</p>	<p><u>Central New York Region</u>            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</p>
<p><u>Finger Lakes Region</u>            Lynn LeFeber            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</p>	<p><u>Mohawk Valley Region</u>            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</p>
<p><u>Long Island Region</u>            Traci Christian            Belmont Lake State Park            PO Box 247            Babylon, NY 11702            (631) 321-3543, FAX (631) 321-3721            COUNTIES: Nassau and Suffolk</p>	<p><u>Southern Tier Region</u>            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</p>
<p><u>New York City Region</u>            Merrill Hesch            NYS OPRHP            Adam Clayton Powell, Jr. State Office Building            163 West 125<sup>th</sup> Street, 17<sup>th</sup> Floor            New York, NY 10027            (212) 866-2599, FAX (212) 866-3186            COUNTIES: Bronx, Kings, New York, Queens and Richmond</p>	<p><u>Mid-Hudson Region</u>            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</p>
<p><u>Capital Region</u>            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</p>	<p><u>North Country Region</u>            Gayle Underhill-Plumb            Keewaydin State Park            Alexandria Bay, NY 13607            (315) 482-2593, FAX (315) 482-9413            COUNTIES: Clinton, Essex, Franklin, Hamilton, Jefferson, Lewis, and St. Lawrence</p>

**Attachments listed below in boldface are required of every application as noted; applications lacking these attachments (or an acceptable explanation) will be deemed incomplete.** Depending upon the particular circumstances of your project, **other attachments may be required.** Still **other attachments, while not required, may be essential to support rating points.** All documents should be current to this grant cycle. See below for additional guidance.

#### **REQUIRED DOCUMENTATION:**

##### **For All Applicants:**

- 1. 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.
- 2. 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>.
- 3. Photos showing the project area and/or equipment to be purchased**
- 4. 1:24,000 scale topographic or planimetric map with the subject property circled**
- 5. Land Ownership/Land Use Agreement documentation**

##### **For Not-for-Profit Applicants:**

- 1. The endorsement of the municipality in which a project is located. A sample of an acceptable Municipal Endorsement is located at <http://nysparks.com/grants/consolidated-funding-app.aspx>.** (If the project is for equipment purchase ONLY, this endorsement is not required.)
- 2. Copy of the Certificate of Incorporation from the Department of State or Board of Regents, or equivalent**
- 3. Documentation of tax-exempt status under the IRS Code**

#### **ADDITIONAL/SUPPORTING DOCUMENTATION:**

- Additional requirements for property or equipment acquisition projects
- Schematic Development Plan for Development Projects ONLY.
- Evidence of local historic preservation or landmark designation (e.g. municipal list of designated properties, copy of the preservation designation, etc.).
- Clearly marked excerpts from federal, statewide, regional or local planning documents
- Clearly marked excerpts from project-specific planning documents including a copy of a resolution that the local plan was adopted or reaffirmed within 5 years, if in a formally adopted plan.
- Written documentation clearly identifying community involvement (e.g., an official resolution by the governing body of the applicant, approving and/or endorsing the project and affirming public and community support for it, evidence of public participation, public outreach plan, press releases/announcements, public meetings, events, fundraising campaign plans).
- Copies of official project endorsements, partnerships and letters of support.
- Documentation of pre-construction planning, procurement of services, consultant qualifications, etc.
- Ground disturbance documentation
- Permits

Land Ownership/Land Use Agreement Documentation

Applicant must identify ownership and provide the Deed Liber/Reel and page # or the electronic filing number of the deed for the property. In addition, if the applicant has less than fee simple ownership in the property, a clear and legible copy of the documentation showing such interest in the property (i.e., lease, operating or management agreement) must be provided. If there are any restrictions on the use or ownership of the property, provide documentation of such liens or restrictions (e.g., Title Policy Schedule B). If acquisition is proposed, 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.

If the applicant is not the owner of any portion of the land on which the project takes place, the applicant must provide a letter of support for the project from the owner/managing entity stipulating that they will agree to enter into a legally binding agreement, or in the case of State Property an authorization (i.e. permit), if there is not one already in place. Copies of any existing agreements or authorizations must also be submitted with the application. This is required for projects on state land.

For Property or Equipment Acquisition Projects

1. For projects that include **land acquisition, a written estimate of value** (windshield appraisal/market valuation) for each acquired parcel is required with the application.
2. 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.
3. 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 of 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.

State Environmental Quality Review Act (SEQR) Compliance

*NOT-FOR-PROFIT CORPORATIONS:* Complete the Environmental Review Form available online at <http://nysparks.com/grants/consolidated-funding-app.aspx>. Also include with your application clear drawings, maps, or plans of existing and proposed natural and man-made conditions on the site and the areas immediately adjacent to the site.

*MUNICIPALITIES:* The municipality will be SEQR lead agency if OPRHP is the only other agency involved, or will be responsible for initiating lead agency designation procedures if there are other involved agencies (e.g., the Department of Environmental Conservation (DEC) via a required permit). The lead agency is required to classify projects under SEQR as follows:

- If your project is Type II, it is not subject to SEQR. If this is the case, provide a statement as to the classification of your project and the reason. If any permits are required, list them in your statement.
- If your project is subject to SEQR, consult SEQR regulations to determine if it is classified Unlisted or Type I. If it is Unlisted, submit a completed Short Environmental Assessment Form (EAF) (Parts I-III). If the project is classified Type I, submit a completed Full Environmental Assessment Form and either a negative declaration or a Final Environmental Impact Statement (FEIS) and SEQR Findings.
- If the project's impacts have been previously reviewed under SEQR, supporting documentation must be submitted (e.g., FEIS and SEQR Findings Statement).

National Environmental Policy Act (NEPA) Compliance

Review of the trail project under the National Environmental Policy Act (NEPA) is completed by the federal agency funding the project, in this case the Federal Highway Administration (FHWA). Usually the

information provided in the project application including the SEQR compliance information, satisfies the needs of the FHWA for NEPA review. However, depending on the project, additional information may be required. The project sponsor may be required to provide any additional information requested by FHWA or OPRHP needed to comply with NEPA review. If additional information is needed, this will be specified in the Project Contract.

#### Photos

Provide clear color images (photographs or digital images; photocopies are not acceptable substitutes) showing the overall project area and documenting existing conditions. Include photos of any structures more than 50 years old within, or immediately adjacent to, the project area. Provide views to these features from the project site as well as views of the project site from them. Key all images to a schematic development plan (as applicable). Equipment purchase projects must include photos of the type of equipment to be acquired (originals or examples from catalogs or brochures).

#### Maps

Submit a 1:24,000 scale USGS or DOT planimetric map with the subject property circled. The map must show at least 1:24,000 scale and be clearly marked as to scale and source, including Quad Name and/or Code. Go to the NYS GIS Clearinghouse <http://gis.ny.gov/gisdata/quads/> for downloadable maps. This map is **required**.

In addition, submit map(s) that show the location of the specific project site(s) and clearly indicate the location of any proposed new trail segments, as applicable.

#### Local, State and Federal Planning Documents

Provide clearly marked excerpts in support of the project narrative AND either a copy of the resolution adopting or reaffirming the local plan within the last five years OR if the project is not specifically identified in a formally adopted plan, provide written documentation clearly identifying community involvement (e.g., an official resolution by the governing body of the applicant approving and/or endorsing the project and affirming public and community support for it, evidence of public participation, public outreach plan, press releases/announcements, public meetings, events, fundraising campaign plans). Provide copies of official project endorsements, partnerships and letters of support.

#### Project-specific Planning Documents

Provide clearly marked excerpts in support of the project narrative, clearly citing date and source, or a link if posted online.

#### Permits

Depending on the project scope, some grant projects will require permits from agencies such as the NYS Department of Environmental Conservation (DEC) or the US Army Corps of Engineers (COE). It is recommended that you consult with the New York State's Online Permit Assistance and Licensing office at 518-474-8275 or at <http://www.nys-permits.org> (click on Permits by Agency) or DEC and/or the COE directly, to determine if any permits are needed, especially if your project is located in or adjacent to a water body. (e.g., stream, lake, wetland, canal).

If the project involves any of the following situations, special permits/approvals may be required: the crossing of any public highway; the crossing of any railroad, gas line, power line or other utility right-of-way; the crossing of any stream; encroachment of any wetlands, building structures or providing a water supply; construction of new trails crossing state/Federal lands; other permits.

# NYS Department of Health – Division of Nutrition - Child and Adult Care Food Program (CACFP)

The Child and Adult Care Food Program (CACFP) is a nutrition education and meal reimbursement program helping providers serve nutritious and safely prepared meals and snacks to children and adults in day care settings. CACFP's Mission is to ensure that nutritious and safely-prepared meals and snacks are available to children and adults in day care settings and to provide reimbursement for qualifying meals and snacks served in child or adult day care centers, outside-school-hours care programs, family day care homes, and homeless shelters.

## **ELIGIBLE TYPES OF APPLICANTS:**

Participating sponsors include:

- CHILD CARE CENTERS, including head start centers, and outside school hour programs serving children up to 12 years of age;
- HOME-BASED FAMILY and GROUP CHILD CARE, including legally exempt providers caring for subsidized children;
- COMMUNITY-BASED ADULT DAY CARE CENTERS that are approved by federal, state or local authorities to provide day care services to adults with disabilities;
- AFTER SCHOOL PROGRAMS providing educational or enrichment programming for children up to 19 years of age; and
- HOMELESS SHELTERS providing meals to resident children living with a parent or guardian.

## **PROCESS**

1. Potential sponsors, organizations and individuals interested in participating in CACFP, contact us by phone, email, mail or fax.
2. Potential sponsors speak with a day care center nutritionist to determine eligibility and discuss the program further.
3. Packets of information and necessary application/forms are mailed out to the potential sponsor. *(These applications/forms are customized, depending on what kind of program is requesting to participate.)*
4. CACFP checks to make sure the potential sponsor is not on the National Disqualified list. (organizations or individuals on the list are not eligible to participate in CACFP and application materials are not sent).
5. If an application is not submitted in a timely manner or if the application is incomplete, CACFP follows up with the potential sponsor.
6. Once a complete application is received, CACFP conducts a preapproval visit to the center.
7. The sponsor is notified in writing when the application is completely approved and receives a CACFP manual.

## **ELIGIBILITY**

Nonparticipating agencies and programs may apply for CACFP at any time during the year. All participating day care programs must reapply annually. For more information about the Child and Adult Care Food Program in New York State, go to:

<http://www.health.ny.gov/prevention/nutrition/cacfp/aboutcacfp.htm>

or please contact:

*Child and Adult Care Food Program (CACFP)*

*150 BROADWAY*

*6<sup>th</sup> Floor - Room 650*

*ALBANY, NY 12204-2719*

*Phone: 1-800-942-3858 OR (518) 402-7400*

*FAX: (518) 402-7252*

**ADDITIONAL RESOURCES:** [www.health.ny.gov/CACFP](http://www.health.ny.gov/CACFP)

# *Waterfront Revitalization*

## **New York Department of State - Local Waterfront Revitalization Program**

**Funding Available: Up to \$12 million**

### **Description:**

The Local Waterfront Revitalization Program provides 50:50 matching grants on a competitive basis to revitalize communities and waterfronts. This is a reimbursement program.

### **Eligible Types of Applicants:**

Eligible applicants are villages, towns, cities, and counties with the consent and on behalf of one or more town, village, or city located along New York's coasts or inland waterway 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, and all procurement requirements must be met.

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.

Applicants working in partnership with neighboring municipalities to address regional land use, community development, and resource and/or environmental issues or opportunities are encouraged to apply. One eligible applicant must be identified as the applicant with whom the contract will be executed.

### **Eligible Activities / Program Benefit Requirements:**

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

- Preparation or Implementation 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

### **Grant funds may be used for the following eligible costs:**

- Direct salary costs -including wages, salaries, fringe benefits, and supplemental compensation paid to employees of the municipality for personal services.
- Direct non-salary costs -including costs for printing, travel, equipment, materials, supplies, consultant and contractual services, and other goods and services directly associated with the project.

NOTE: Land acquisition may only be used as part of the local share for construction projects (i.e. not to exceed 50% of the total cost of the project).

**Pre-Application Requirements:**

None (However, Informational Public Workshops will be held. See below under additional resources)

**Successful Applicant Requirements:**

**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-1 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: 1) be subject to approval by the Attorney General and State Comptroller; require submission of final products in both hard copy and electronic format; 2) be 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-1 and Article 15-A is available from the Department.) There will be no contract advance available to grantees.

**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 MWBE requirements and any additional requirements imposed by the State.

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.

**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.

### **Satisfactory Progress**

It is imperative that the grant recipient complete the project as set forth in the agreed upon work program. 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 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 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. Project design and construction is required to 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. Construction sites must be in public ownership or have public-access easements. In addition to responsibility for compliance with local regulations, the grant recipient is responsible for complying with applicable State and Federal regulations

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 the strategies of Regional Economic Development Councils

### **Ineligible Activities:**

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, and general administrative support.
- 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.
- Federal assistance.
- Other Environmental Protection Fund awards.
- Costs that are not adequately justified or that do not directly support the project. These costs will be eliminated from the final grant award.

**Selection Criteria:**

Applications will be reviewed for eligibility and scored according to specific criteria listed below. A successful proposal is not expected to meet all of these criteria.

**Program Criteria:**

Applications will be evaluated to assess the degree to which they meet the following program criteria (with total available points) are:

- Vision (4 points)
- Process (8 points)
- Strategies (28 points)
- Implementation (12 points)
- Leveraging (12 points)
- Performance Measures (16 points)
- Evaluation of Budget and Cost (20 points)

**Regional Economic Development Council Endorsement (20 points):**

Up to an additional 20 points may be awarded based on the degree to which an application advances strategies of the Regional Economic Development Councils.

**Award Criteria Details:**

A total of 100 points is possible for any application, of which up to 80 percent would derive from program criteria and up to 20 percent from Regional Economic Development Council endorsement.

An unadjusted maximum score of 100 points is possible based on programmatic criteria. Averaged scores will be multiplied by .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 Regional Economic Council Endorsement score.

The Department of State will fund the highest scored applications until the allocated funds are exhausted. In addition, the geographic distribution of grant proposals, information from interagency discussion, the level of funding available, and consistency with the Smart Growth Public Infrastructure Policy Act will be factors used in determining successful grant proposals.

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

Not less than \$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.

**Project Term Completion Dates:**

The initial contract term shall not exceed three years from the start of the project, with the provision to extend for two, twelve month periods if necessary.

**Matching Fund Requirements:**

Local Match: State assistance awarded and paid shall not exceed 50% of the total eligible costs for the project. The total cost of the project is the total eligible costs set forth in the grant application, less any federal assistance and other state assistance from the Environmental Protection Fund. State assistance

payments will be made to grant recipients based on actual expenditures for eligible costs up to the amount of the grant awarded. A local match of 50% of the project cost must be demonstrated at the time of application. Explicit demonstration of 50% match, within the budget narrative and budget categories of the application, is required. Failure to do so will result in application disqualification.

**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://www.dos.ny.gov/funding/>. 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 Communities and Waterfronts, 99 Washington Avenue, Albany, Suite 1010, New York 12231, call (518) 474-6000, email [kenneth.smith@dos.ny.gov](mailto: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 \$50,000. The maximum grant request is \$150,000. Grant administration and pre-development costs shall not exceed 10% of the grant award amount.

Projects are intended to meet the objectives of the Regional Economic Development Councils Strategic Plans and the NYS Canal Recreationway Plan. 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. Funding can be used to expand public access, increase recreational use, improve services for motorized and non-motorized boaters, increase tourism, and stimulate private investment along the canal. Canal projects are also expected to offer a greater appreciation and understanding of canal and community history, and to promote the protection of environmental and historic canal resources.

**ELIGIBLE TYPES OF APPLICANTS:**

- Municipalities
- State Agencies
- Public Authorities
- 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 bulkeheads 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/corporation/grant-muni.html>

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. (See <http://www.dec.ny.gov/permits/357.html>)

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, 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:

- 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 or is it located on or near an existing harbor, service port or lock project or the Canalway Trail?
- Does the project demonstrate sensitivity to the environmental/cultural/ historic nature of the Canal System?
- Is the project budget clearly defined and reasonable, are cost saving strategies identified?
- Is the project consistent with regional or inter-municipal plans such as NYS Department of State "Local Waterfront Revitalization Program" (LWRP) Plans, Erie Canalway National Heritage Corridor Management Plan, or other regional and local plans?
- Are multiple funding sources and project stakeholders identified?
- Can the project help attract and serve new canal users including those outside the community?
- Does the proposal reflect a reasonable and achievable timeframe for completion?
- Is there a strategy identified to monitor project performance?
- Is there a strategy for the long-term operation and maintenance of the project?

\*Carries 20% weight

**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. 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 will 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 (1999).

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](http://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.

# *Energy*

## **NYS Energy Research and Development Authority - Flexible Technical Assistance**

Funding Available: Up to \$6 million

### **FlexTech Program: Cost-Shared Studies**

#### **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). Eligible applicants are New York State electricity or gas distribution customers of a participating utility company, who pay into the Systems Benefit 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 a technical services across the state. The current list of FlexTech Consultants is available on NYSERDA's website at:

[www.nyserda.ny.gov/flextech](http://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 operational and 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 combined heat and power at your site.

Peak-load Reduction & 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 application 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, that have not been occupied for more than one year are ineligible for funding.

- Whole building or new construction 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 representing up to 50% of the eligible FlexTech project costs. To be eligible for funding, the equipment must be a necessary component of the funded study.
- 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 which 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.

#### **AWARD CRITERIA DETAILS**

- **ELIGIBLE AREA, CITY, COUNTY POPULATION LIMITS OR POPULATION TARGET TYPES:** Customers must be contributing to the Systems Benefit 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.
  - Commissioning of new equipment or systems within an existing building is eligible, but must focus on the energy aspects of proper operating parameters. Calculations demonstrating the potential energy impacts from repairing each deficiency are required.
  - Service provider travel costs are limited to 3% of the total project cost.
  - Interval metering, sub-metering, software program costs, and other hard costs may be eligible for funding where the added expense is justified through increases in the overall effectiveness of the technical evaluation. The purpose and type of interval meter along with installation locations must be detailed in the scope of work. Interval meters must be capable of capturing time sensitive data no less frequently than once-per-hour. Data must be accessible no less than once-per-day. Requested funds for these costs cannot exceed 50% of the eligible FlexTech project costs. NYSERDA reserves the right to reduce the allowable metering costs in a study below 50%.
  - 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 \$2500 towards the cost of the audit, with no customer cost-share required. Eligible additional assistance above \$2500 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.

**ADDITIONAL RESOURCES:**

FlexTech Main Page: [www.nyserda.ny.gov/flextech](http://www.nyserda.ny.gov/flextech)

FlexTech Cost-Shared studies – outline of process: <http://www.nyserda.ny.gov/BusinessAreas/Energy-Efficiency-and-Renewable-Programs/Commercial-and-Industrial/CI-Programs/FlexTech-Program/FlexTech-Process.aspx>

## **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 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, including but not limited to:

- Small Businesses
- Not-for-profit Corporations
  - its members, directors, or officers, except as allowed by statute.

**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.

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

**INELIGIBLE ACTIVITIES:** Energy efficiency measures beyond the standard measures outlined above may be ineligible for study.

**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 assessment are available to small businesses and not-for-profits statewide.
- **LIMITATIONS:**
  - Only facilities with an average electric demand of 100 kW or less 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.nyscrda.ny.gov/small-commercial-energy-assessment](http://www.nyscrda.ny.gov/small-commercial-energy-assessment).

Small Commercial Energy Assessment Contractors:

<b>Region 1</b> - C.J. Brown Energy Contact: Lisa Grabenstatter Phone: 716-565-9190 FAX: 716-633-5598 Email: <a href="mailto:lag@cjbrownenergy.com">lag@cjbrownenergy.com</a>	<b>Region 2</b> - L&S Energy Services Contact: Michelle Wooddell Phone: 518-383-9405 x223 FAX: 518-383-9406 Email: <a href="mailto:MWooddell@LS-Energy.com">MWooddell@LS-Energy.com</a>
<b>Region 3</b> - Daylight Savings Contact: Frank Lauricella Phone: 845-291-1275 FAX: 845-291-1276 Email: <a href="mailto:flauricella@daylightsavings.us">flauricella@daylightsavings.us</a>	<b>Region 4</b> - EME Group Contact: Brendan Liffey Phone: 212-529-5969 FAX: 212-529-6023 Email: <a href="mailto:bliffey@emegroup.com">bliffey@emegroup.com</a>



**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, Putnam

**Region 3 Counties**

Orange, Rockland, Westchester, Bronx, Nassau, Suffolk

**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](http://www.nyserda.ny.gov/small-commercial-energy-assessment).

Small Commercial Energy Efficiency Project Manager: Kathryn Fantauzzi  
(518) 862-1090 x3456 or [kf3@nyserda.ny.gov](mailto:kf3@nyserda.ny.gov)

# NYS Energy Research and Development Authority - New Construction Program

Funding Available: Up to \$16 million

## DESCRIPTION:

The New Construction Program (NCP) 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, multi-family buildings (seeking green building certification), 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 NCP are given equal consideration; and
- To ensure eligibility to participate in all services available through the NCP and to maximize NCP 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;
- Except as specifically noted under NCP eligibility, multi-family residential projects are ineligible for participation in the program;
- 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 NCP 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, multi-family buildings (seeking green building certification), 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 NCP 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 all 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. 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**

**Funding Available: \$12 million**

**DESCRIPTION:**

The Existing Facilities Program (EFP) offers Performance-Based incentives to encourage Applicants to implement cost-effective energy efficiency projects that deliver verifiable annual energy savings. EFP also offers Pre-Qualified incentives to encourage Applicants to purchase and install more energy-efficient equipment for small-sized energy projects and equipment replacement projects.

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; and
- Organizations.

All commercial and institutional Facilities that pay the SBC charge are eligible. Incentives are structured to provide payments for electric and natural gas efficiency projects that reduce energy usage. The Program targets certain market sub-sectors such as commercial, institutional, municipal, not-for-profits, K-12 schools, and big-box retail.

*Definitions:*

- *Applicant* = The entity that will receive the approved incentive amount upon project completion, and 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 efficiency improvements within the facility.

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

#### **ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:**

**Electric and Natural Gas Efficiency** incentives are offered to offset capital costs of cost-effective energy efficiency projects that reduce energy consumption at an eligible facility.

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

**Demand Response (DR)** incentives are offered to offset a portion of the technology costs that enable facilities to participate in Demand Response programs.

**Monitoring-Based Commissioning (MBCx)** incentives are offered to support the implementation of continuous commissioning programs, as well as protocols and systems that promote persistent and measurable operational based energy savings.

#### **Overall Equipment Eligibility**

Most ENERGY STAR®-listed equipment is eligible. All other equipment must meet the following criteria:

##### Lighting

- All lighting projects require the [Existing Facilities Program Lighting Form](#).
- 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 ineligible for funding.
- Only hardwired and pin-based CFLs are eligible. Screw-in compact fluorescent lighting with any type of adapter is ineligible 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 ineligible for funding. Re-lamping is defined as the replacement of only the removable lamp(s) in a light fixture.
- 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 should review the most current [EFP SSL \(LED\) policy](#) for eligibility.

##### Motors

All motors must qualify as National Electric Manufacturers Association (NEMA) Premium Efficiency Motors.

##### HVAC

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

##### Super-Efficient Electric Chiller Bonus

Water-cooled electric centrifugal chillers with capacities greater than or equal to 300 tons are eligible for a bonus incentive if the efficiencies of the proposed equipment exceed the associated ASHRAE 90.1 2007 centrifugal chiller full load standard by at least 3% (Path A) or integrated part load value by at least

12.5% (Path B). Bonus incentive calculations are based on nameplate efficiencies. New super-efficient chillers that are installed to accommodate load growth or to replace existing non-electric cooling are eligible for this bonus. Chillers not covered by ASHRAE 90.1 2007 (addendum m) and backup chillers are ineligible for this bonus incentive.

For more information, refer to the [Technical Guidance Document for Chillers](#) and the [Super Efficient Electric Chiller Bonus Estimator](#).

#### 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 subject to funding availability. Program Opportunity Notices (PONs) are advertised for a specific time period, and CFAs must be received between the start and finish date of a PON.

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.

- 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 conducts a pre-installation inspection and reviews the Engineering Analysis 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 subject to funding availability.

**INELIGIBLE ACTIVITIES:**

- 1) Projects with simple payback periods greater than 18 years or less than one year (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 fuel switching. Residential projects are also ineligible for participation in the program.
- 4) Energy-efficiency measures must be cost effective

**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 (\$30,000 - National Fuel customers only)
- LONG RANGE GOALS: EFP will save 799,848 MWH and 482,556 MMBtu of gas by 2015.
- 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://nyserda.ny.gov/efp>

EFP Program Manager: Scott Smith  
(518) 862-1090 x3344 or [sas@nyserda.ny.gov](mailto:sas@nyserda.ny.gov)

## **New York State Energy Research and Development Authority – Industrial and Process Efficiency Program**

**Funding Available: Up to \$16 million**

**DESCRIPTION:** The New York State Energy Research and Development Authority (NYSERDA) will invest over \$150 million of Energy Efficiency Portfolio Standard (EEPS) funds through its Industrial and Process Efficiency (IPE) Program to provide performance-based incentives 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 through-put, 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.

**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 through December 31, 2015, or until funds are exhausted.

<b>Industrial and Process Efficiency Incentives</b>			
<b>Incentive Type</b>	<b>Utility</b>	<b>ConEd Territory</b>	<b>All Other Utility Territories</b>
<b>Process and Energy Efficiency</b>	Electric	\$0.16/kWh	\$0.12/kWh
	Natural Gas	\$20/MMBtu	\$15/MMBtu
<b>Operations &amp; Maintenance (O&amp;M)</b>	Electric	\$0.05/kWh	\$0.05/kWh
	Natural Gas	\$6/MMBtu	\$6/MMBtu
<b>Minimum Project Size</b>	at least \$30,000 incentive		
<b>Incentive Caps</b>	50% project cost		
	\$5 million electric \$1 million natural gas		

- 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.
- Projects must pass the Total resource Cost test. All measures must achieve savings for at least 5 years.
- A facility may receive an incentive for a specific energy efficiency measure either through NYSERDA or a utility company, but not both.

**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 through December 31, 2015, or until funds are exhausted.

**SELECTION CRITERIA:**

**Applications will be accepted on a first-come, first-served basis through December 31, 2015, or until funds are exhausted.**

**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).
- **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: \$5 million electric  
  \$1 million natural gas
- **LONG RANGE GOALS:**  
IPE Program Goals:
  - Electric Savings: 1 million MWh
  - Natural Gas Savings: 3.7 million MMBtu
- **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.

- **MATCHING FUND REQUIREMENTS / DEADLINES:**

The IPE project incentive cap is 50% of project cost.

**ADDITIONAL RESOURCES:**

Website: [www.nyserda.ny.gov/ipe](http://www.nyserda.ny.gov/ipe)

Contact us: [IPEOutreach@nyserda.ny.gov](mailto:IPEOutreach@nyserda.ny.gov)

**New York Power Authority - ReCharge New York**

**Amount available: Up to 910 Megawatts**

**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 legislated 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 up to a term of up of seven years and will specify employment commitments and other terms and conditions for retaining the lower cost 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](mailto:Recharge.NewYork@nypa.gov).

# *Environmental Improvements*

## **New York State 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 \$50,000<sup>1</sup> (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 assist needy communities to initiate a planning process with a follow-up implementation plan to address local water quality problems. Successful applicants will use the engineering report when seeking financing through the CWSRF program or other financial means to further pursue the identified solution.

### **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]

Engineering reports should be prepared in accordance with requirements identified in *Recommended Standards for Wastewater Facilities* (2004 edition), commonly known as the 10-State Standards (<http://10statesstandards.com/waterstandards.html>) or TR-16 Guides for the Design of Wastewater Treatment Works prepared by New England Interstate Water Pollution Control Commission (<http://www.neiwpc.org/tr16guides.asp>). All engineering reports should include the following sections.

#### **Engineering Report Outline**

1. **Project Planning**
  - a. Location
  - b. Environmental Resources Present
  - c. Population Trends
  - d. Community Engagement
2. **Existing Facilities**
  - a. Location Map
  - b. History
  - c. Condition of Existing Facilities
  - d. Financial Status of any Existing Facilities

---

<sup>1</sup> See the "Award Criteria, Limitations" section of this document for details of funding amounts.

- e. Water/Energy/Waste Audits
- 3. **Need for Project**
  - a. Health, Sanitation and Security
  - b. Aging Infrastructure
  - c. Reasonable Growth
- 4. **Alternative Considered**
  - a. Description
  - b. Design Criteria
  - c. Map
  - d. Environmental Impacts
  - e. Land Requirements
  - f. Potential Construction Problems
  - g. Sustainability Considerations
    - i. Water and Energy Efficiency
    - ii. Green Infrastructure
    - iii. Other
  - h. Cost Estimates
- 5. **Selection of an Alternative**
  - a. Life Cycle Cost Analysis
  - b. Smart Growth Analysis
  - c. Non-Monetary Factors
- 6. **Proposed Project (Recommended Alternative)**
  - a. Preliminary Project Design
  - b. Project Schedule
  - c. Permit Requirements
  - d. Sustainability Considerations
    - i. Water and Energy Efficiency
    - ii. Green Infrastructure
    - iii. Other
  - e. Total Project Cost Estimate (Engineer's Opinion of Probable Cost)
  - f. Annual Operating Budget
    - i. Income
    - ii. Annual O&M Costs
    - iii. Debt Repayment
    - iv. Reserves
  - g. Debt Service Reserve
  - h. Short-lived Asset Reserve
- 7. **Conclusion and Recommendations**

**In-Kind Services** - means services performed by capable and qualified employees of the 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]

#### **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 <http://quickfacts.census.gov/qfd/states/36000.html>.

#### **ELIGIBLE ACTIVITIES/PROGRAM BENEFIT REQUIREMENTS**

The ultimate goal of this engineering planning grant program is to assist needy communities to initiate a planning process with a follow-up implementation plan to address local water quality problems.

Funding will be available to municipalities for the development of engineering reports<sup>2</sup> and planning efforts. In accordance with the laws, rules and regulations governing the CWSRF, projects eligible under Section 212 (Publicly Owned Treatment Works) of the federal Clean Water Act must be publicly-owned.

Priority will be given to planning projects addressing a documented water quality impairment (i.e., Priority Waterbodies List (PWL), executed Order on Consent, SPDES Permit requirement). Smart Growth alternative(s) and green infrastructure alternative(s) must be considered and documented in the engineering report.

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.

To obtain the funds for the design and construction of their project, applicants must complete reviews under both the State Environmental Quality Review (SEQR) Act and State Environmental Review Process (SERP). Applicants also must have their projects reviewed by the New York State Office of Parks and Historic Preservation's State Historic Preservation Office (SHPO).

#### **INELIGIBLE ACTIVITIES**

- Projects that do not lead to the restoration or protection of a surface waterbody.

---

<sup>2</sup> See the "Key Definitions" section of this document for specific information on the required contents of the engineering report.

- Projects listed on the 2013 CWSRF Intended Use Plan Annual Project Priority List.
- Design and construction costs for the wastewater treatment and/or collection systems.

### **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=485>)
- 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. Match can include cash and/or in-kind services. Other grants may not be used for local match. Sample resolution language: <http://www.nysefc.org/Default.aspx?tabid=485>
- Designation of an Authorized Representative for the project.
- Executed Engineering Agreement, including Minority/Women Owned Business Enterprises (M/WBE) language.
- Completion of Environmental Quality Review (SEQR) Act. Please refer to EFC’s “Environmental Review Guidance” on EFC’s website for more information on the SEQR processes.
- Acknowledgement of project review by the New York State Office of Parks and Historic Preservation’s State Historic Preservation Office (SHPO).

**Timeframe:** Grant recipients must submit a complete engineering report within 9 months of execution of grant agreement.

**Grant Payment:** The grant will be disbursed in two payments. The municipality will be eligible to receive \$15,000, 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 and planning has been completed and approved by DEC and EFC.

### **FUNDING PRIORITIES**

The Wastewater Infrastructure Engineering Planning Grant program will provide funding for the preparation of an engineering report and planning activities to determine the scope of water quality issues. Priority will be given to municipalities proposing projects:

- required by an executed Order on Consent;
- required by a SPDES permit;
- upgrade or replace an existing wastewater system;
- construct a wastewater treatment and/or collection system for an unsewered area.
- identified in a Total Maximum Daily Load (TMDL)

## SELECTION CRITERIA

Projects will be scored and selected based on the following criteria.

	Points Assigned	Criteria
<b>Regional Economic Development Priority</b>	20 points	Alignment with the goals and priorities of its Regional Economic Development Council (REDC).
<b>Performance Measures</b>	40 points	Severity of existing water quality impairments.
<b>Strategies</b>	24 points	Proposed project is required by a Consent Order, SPDES permit or TMDL.
<b>Process</b>	8 points	Local commitment.
<b>Vision</b>	4 points	Planning project is identified in a formally adopted plan.
<b>NYS DEC Regional Priority</b>	4 points	Alignment with the goals and priorities of the DEC region that the project is located.

## AWARD CRITERIA DETAILS

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

- Applicants from every region of the state are encouraged to apply.
- 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 <http://quickfacts.census.gov/qfd/states/36000.html>.

### **Limitations:**

Grant awards will be limited to:

- \$50,000 per project for municipalities with a population of 50,000 or greater according to the United States Census 2010 <http://quickfacts.census.gov/qfd/states/36000.html>.
- \$30,000 per project for municipalities with a population of less than 50,000 according to the United States Census 2010 <http://quickfacts.census.gov/qfd/states/36000.html>.
- All grants require a local match equal to 20% of the total project cost.  
Example: Grant Award: \$50,000  
Local match: \$12,500  
Total Cost: Engineering Planning Grant: \$62,500
- The Departments may be able to fund only one project per municipality in this Round. If an applicant is submitting multiple applications for their municipality, they are asked to prioritize their projects.

### **Long Range Goals:**

Successful applicants will use the engineering report completed under this grant when seeking financing through the CWSRF program or other financial means to further pursue the recommended solution.

### **Project Term Completion Dates:**

Grant recipients must submit a complete engineering report within 9 months of their grant agreement being executed.

### **Matching Fund Requirements/Deadlines:**

- The grant will provide for up to 80% of the total eligible project costs set forth in the application. The applicant is required to provide the balance of the funds needed to complete the initial planning undertaken with the grant.
- A minimum 20% local match is required. Match can include cash and/or in-kind services. 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.

### **ADDITIONAL RESOURCES**

For more information, visit <http://www.efc.ny.gov> or <http://www.dec.ny.gov/pubs/81196.html>

## **Environmental Investment Program**

**Funding Available: Up to \$1 million**

**DESCRIPTION:** The Environmental Investment Program (EIP) helps businesses capture the economic benefits associated with pollution prevention, waste reduction, re-use and recycling. The program may provide capital, technical assistance, and research and development grants to help businesses expand their ability to recycle solid and industrial waste into higher value products, or reduce pollution and waste at the point of generation. The program is funded through appropriations from the Environmental Protection Fund.

### **ELIGIBLE TYPES OF APPLICANTS:**

Capital Funding:

- Non-profit organization or municipality on behalf of NYS business

Technical Assistance Funding:

- Non-profit organization or municipality providing technical assistance to NYS businesses

Research Demonstration and Development (RD&D) Funding:

- Small and medium sized NYS business and non-profit organization employing fewer than 500 workers or earn less than \$10 million in gross revenue or annual sales

### **ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:**

Eligible Capital project costs:

- Machinery and equipment directly related to the project results, including associated engineering, shipping and installation costs. Eligible transportation equipment is limited to those items used on site and generally not able to be registered with NYSDMV.
- Improvements to real property when the costs are integral to the project results, reasonable, and increase the likelihood that the project will start and complete in a timely manner. Improvements, alterations or repairs to real property may include site preparation; demolition, installation or relocation of utilities; transportation facilities; construction materials and labor.
- Consulting costs associated with the acquisition of legal, engineering and architectural services directly related to the installation and start-up of the equipment.

Eligible RD&D project costs:

- Test, evaluate and demonstrate the technical and economic feasibility of products or process technologies that recycle, prevent pollution or achieve measurable sustainability outcomes.
- Incremental expenses associated exclusively with the conduct of the test, evaluation, or demonstration. Costs that would be incurred regardless of the project (i.e., rent, overhead and others associated with the normal cost of doing business) are not eligible.
- Rental of equipment needed to conduct project testing.

- Purchase of equipment only when such equipment is essential to the research outcomes and not available for lease.

Eligible Technical Assistance project costs:

- Technical assistance to support eligible organizations that directly assist New York State businesses to achieve recycling, reuse, pollution prevention or sustainability outcomes.
- Personnel expenses (salaries and fringe benefits) for project employees and support staff engaged in results-based technical assistance delivery.
- Non-personnel expenses in support of the personnel assigned to the project, including supplies and materials; publications; travel; communications; equipment rental or repair; facility rental; telephone and utilities.
- Equipment to implement pollution/recycling results at assisted companies may be eligible. Such equipment may not be disposed of, sold, transferred, leased, or used for any other purpose without written permission from the Department.

Economic benefits may be achieved by:

- Job creation and retention
- Cost reductions from improved productivity, reduced regulatory, operating or purchasing
- Increased sales revenues, expanded production output and new product development

Environmental improvements may be achieved through:

- Recycling (including Reuse, Remanufacturing and Composting)
- Pollution Prevention and Waste Reduction
- Sustainable Product and Technology Development/Implementation

#### **PRE-APPLICATION REQUIREMENTS:**

None

#### **SUCCESSFUL APPLICANT REQUIREMENTS:**

Successful applicants will develop a project workplan that becomes part of the ESD contract. It will include project outcomes and baselines, derivation of outcomes, milestone schedule, a detailed budget with derivations and all forms and information necessary in order to enter into contract with NYS.

#### **INELIGIBLE ACTIVITIES:**

- Projects whose primary purpose is energy conservation /efficiency
- Energy production, energy recovery, incineration , the processing of waste for use as refuse derived fuel, substituting lower cost energy sources or energy sales
- Practices and equipment to achieve compliance with NYS environmental conservation laws or regulations
- Recycling, reuse or processing of DEC regulated hazardous waste or hazardous substances that were not used in the company's own process (out of process)
- Shifting waste from one medium to another with no net environmental benefit
- End-of-pipe pollution control technologies
- Substitution of a hazardous substance or output with another with no net environmental benefit
- Projects that focus on storm water run-off
- Clean-up or remediation of contaminated sites
- Municipal waste treatment projects, such as a water or sewage treatment facilities
- Municipal waste reduction or waste recycling projects eligible for funding through NYSDEC
- Projects with recycling or pollution prevention outcomes that occur only once

- Waste collection and/or processing that will only include basic processing (aggregating, sorting, baling, etc) of non-industrial recyclables with no intermediate or advanced processing to prepare the material as a manufacturing feedstock.

#### **SELECTION CRITERIA:**

Application of selection criteria varies slightly according to funding type and may include the following:

##### Strategy

- The strength of the business issues driving the project.
- The project's responsiveness to regional environmental and economic development needs.
- How broadly the project results may apply to other NYS business enterprises.
- The degree to which the project focuses on the NYS environment and for solid waste projects, the degree to which the project diverts solid waste from New York State disposal capacity.
- The degree to which the project contributes to a strong materials processing/manufacturing capacity in NYS and adds value to the recovered material; significantly contributes to waste/emission reduction in NYS; or significantly contributes to NYS capacity to produce sustainable products.

##### Implementation

- The likelihood the project will be started and completed on time.
- The technical and economic feasibility of the project; the clarity of the application.
- The commitment, experience and ability of the key people dedicated to achieving the project results.
- The financial viability of the business.
- The immediate potential to implement or commercialize the project results in New York State without further research.
- The potential cost effectiveness of achieving environmental results as compared to already proven technologies and processes.

##### Leverage

- The degree to which the cash and in-kind matching funds exceed the minimum requirements.
- The amount of cash provided by the applicant and the assisted businesses for the services they will receive and implement.
- The demonstrated financial need of the applicant and co- implementer, where applicable, for assistance.

##### Performance Measures

- How well the environmental results and economic benefits compare to similar projects that have been competitively reviewed and funded by EIP.
- The magnitude of the environmental results and the cost-effectiveness of DED's investment in achieving those results.
- How well the number of business served compares with other, similar EIP funded projects.
- The economic benefits the project will return to NYS communities thru job creation, investment, operational efficiencies or increased revenues derived from the environmental results and the cost effectiveness of DED's investment in achieving those results.

## **AWARD CRITERIA DETAILS**

- Awarded projects are generally given two-three months to provide documents required for a contract.
- **AWARD CAPS:**
  - Capital – may be up to 50% of eligible project costs, not to exceed \$500,000 after taking into consideration all other Federal and applicable State and other sources
  - Technical Assistance – may be up to 50% of eligible project costs, not to exceed \$100,000/yr after taking into consideration all other Federal and applicable State and other sources
  - Research Development and Demonstration - may be up to 80% of eligible project costs, not to exceed \$200,000 after taking into consideration all other applicable State sources
- Contracts vary depending upon project type, generally 2-5 yrs. Upon extenuating circumstances contract extensions are considered.
- **MATCHING FUND REQUIREMENTS:**
  - Capital – EIP capital assistance must be matched with cash. Inkind, Federal, Other Assistance and NYS waste prevention sources cannot be counted.
  - Technical Assistance – Projects must incorporate cash contributions from assisted businesses. Federal, Other Assistance and NYS waste prevention sources cannot be counted.
  - Research and Development – Projects must contribute at least 20% of project costs in cash. NYS waste prevention sources cannot be counted.
- **MWBE REQUIREMENTS:**

Awards made by EIP are subject to the New York State Executive Law Article 15-A which governs equal employment opportunities for minorities and women and the participation of certified minority and women-owned business enterprises (MWBEs) on State contracts. EIP has an overall program goal of 20% for MWBE participation. Goals for each project/contract shall be established pursuant to current MWBE availability. For further information regarding ESD's MWBE requirements for EIP, please refer to "Participation Opportunities for MWBEs", in the 2013-2014 EIP Program Guide.

## **ADDITIONAL RESOURCES:**

Please contact the Department for additional details, including a Program Guide. Call 518/292-5340 or e-mail [environment@esd.ny.gov](mailto:environment@esd.ny.gov) Visit [www.esd.ny.gov/environment](http://www.esd.ny.gov/environment) .

# **Environmental Facilities Corporation - Green Innovation Grant Program**

**Funding Available: \$10.4 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 NYS Environmental Facilities Corporation (EFC) through the Clean Water State Revolving Fund (CWSRF) and is funded through a grant from the US 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 5 of GIGP (GIGP 5) is to be decided. 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 5 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

In accordance with the laws, rules, and regulations governing the Clean Water State Revolving Fund (CWSRF), projects defined as point source projects under Section 212 of the Clean Water Act (CWA) must be publicly-owned. Green infrastructure projects which are specifically required under Long Term Control Plan, administrative / judicial order, or a draft<sup>3</sup> or final State Pollution Discharge Elimination System (SPDES) permit for a MS4, a Combined Sewer System, or for Stormwater Discharges from Construction Activity are considered point source projects for SRF funding. Therefore, they must be publicly owned. Public ownership is not a requirement for nonpoint source (CWA Section 319) and national estuary (CWA Section 320) projects.

If the applicant is a non-municipal entity the project must not be specifically required as part of a Long Term Control Plan, administrative / judicial order or a SPDES Permit for a MS4, a Combined Sewer System, or for Stormwater Discharges from Construction Activity.

Non-municipal applicants such as school districts, private or not-for-profit organizations, individuals,

---

<sup>3</sup> According to usage in 6 NYCRR Part 624.2(m), the term "Draft Permit" refers to the final proposed permit issued by NYS DEC that goes into effect, barring a request for an adjudicatory hearing.

firms, partnerships, associations, and soil and water conservation districts should contact the Green Innovation Grant Program Team at 518-402-7461 to verify project eligibility, as certain conditions may apply to non-municipal applicants.

Eligible applicants may submit more than one grant application, however, EFC reserves the right to limit GIGP 5 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 unit 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 an extremely effective for pollutant removal, and can also 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 accommodating a range of hydrologic conditions while 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 the 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, a feasibility study, site photographs, and a map of the project location with their Consolidated Funding Application (CFA). Minimum content requirements for the feasibility study, conceptual site plan, and map are included in the CFA and can also be found at:

<http://www.nysefc.org/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 5 will provide funding for green stormwater infrastructure projects with a clearly defined water quality benefit. Projects must provide metrics on benefits to water quality in New York State. All projects must meet or exceed the standards set forth in the New York State Stormwater Management Design Manual <http://www.dec.ny.gov/chemical/29072.html>.

**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, unless they support green infrastructure projects

- Water meters
- 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 (44 points)
- Alignment with the goals and priorities of its Regional Council Strategic Plan (20 points)
- The extent to which the project spurs innovation in the area of green stormwater infrastructure, through development or adoption of new technologies and/or sustainable development (7 points)
- Leveraging of additional resources through removing barriers to collaboration, developing new partnerships, utilizing staff and in-kind resources, and securing other funding and investments (5 points)
- Likelihood of project success, based on project development at time of application (4 points)
- Applicant’s plan for the long-term operation, maintenance, and monitoring of the project (8 points)
- Public stakeholder engagement in the development of the project (2 points)
- 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 (6 points)
- Development of workforce through use of new technologies and providing training for the use of new technologies (1 point)
- Revitalization of communities - building projects in municipal centers, utilizing land recycling, retrofits, and/or infill (1 point)
- Fostering safe, healthy, walkable neighborhoods through improved access to affordable multimodal transportation choices as part of green street projects (1 point)
- Reducing dependence on oil (1 point)

**AWARD CRITERIA DETAILS** *(i.e. include any factors or targets that must be met to be considered eligible)*

- ELIGIBLE AREA, CITY, 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 by June 30, 2014.

- **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**

### **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 the State's ongoing and substantial investments in infrastructure help to move communities and New York as a whole toward a more environmentally sustainable future. The primary goal of the program is to encourage communities to create public-private partnerships and develop regional sustainable growth strategies in such areas as, emission 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 New York State (NYS) for the development of Regional Sustainability Plans. Phase II of CGC offers grant funding for projects that support the goals of each region's respective sustainability planning effort. This solicitation, PON 2721 is the first in a series of funding rounds to support these projects. Subsequent rounds are expected to launch in the years 2014 and 2015. A total of \$90 million in potential funding awards will be available over the three-year life of the program.

CGC is funded with proceeds from the Regional Greenhouse Gas Initiative (RGGI), the purpose of which is to lower GHG emissions in the Northeast. Through [Phase II of CGC](#), NYSERDA is offering competitive grants for the implementation of innovative community-based projects that reduce current greenhouse gas emissions, create more resilient, sustainable communities, and position New York State to prepare for a cleaner future. Projects will stimulate environmentally sustainable economic growth consistent with the Phase I Regional Sustainability Plans and REDC Strategic Plans. By integrating smart growth principles into all aspects of project execution, these innovative and exemplary projects will be holistic in nature, exhibit positive large-scale impacts, and contribute to an improved quality of life in New York. Projects selected under Phase II of CGC will not only save energy and reduce greenhouse gas emissions; they will also make NYS a better place to live, work, and do business.

### **DESCRIPTION**

As outlined below, the majority of Phase II CGC funding is set aside for large-scale, high-impact, and exemplary capital projects (Category 3) that will have both an immediate and long-lasting influence on greenhouse gas emissions reductions and climate resiliency. However, NYSERDA recognizes the significant need for funding related to local planning and zoning (Categories 1 and 2) and has set aside a portion of Phase II CGC funding to support these efforts. NYSERDA believes that planning and zoning

efforts are critical with respect to preparing communities for long-term sustainability and ensuring permanent and continually decreasing greenhouse gas emissions in NYS. This solicitation will fund projects and activities that promote smart growth and sustainable development. Smart growth promotes land use practices such as compact growth, transit-oriented and mixed-use development, pedestrian and bicycle friendly practices, complete streets, and protection of critical land, water, and natural resources. Sustainable development strives to enhance environmental, economic, and social well-being without degrading current or future natural, economic, and social resources. Applicants that do **not** pay into the System Benefits Charge (SBC) are **eligible** to participate in this solicitation.

## **FUNDING CATEGORIES**

**Category 1 (Open-Enrollment):** Up to \$1 million 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 project. NYSERDA will begin reviewing applications for Category 1 starting July 1, 2013 and until 4:00 PM Eastern Time on September 30, **2014**, until funds are exhausted, or until the solicitation is revised by NYSERDA, whichever comes first.

**Category 2 (Competitive):** Up to \$4 million available for communities to create or revise comprehensive plans, including updating zoning ordinances and addressing sustainability and resiliency, with awards of up to \$400,000 per project. Proposals for Category 2 are due by 4:00pm Eastern Time on August 12, 2013.

**Category 3 (Competitive):** Up to \$25 million for large-scale, capital, sustainability projects contributing to community resiliency and reducing greenhouse gas emissions, with awards ranging from \$1 million to \$5 million per project. Proposals for Category 3 are due by 4:00pm Eastern Time on August 12, 2013.

### **CATEGORY 1: STREAMLINED PERMITTING**

Funding Available: Up to \$1 million

#### **Eligible Applicants**

Entities having jurisdiction for permitting, land use planning, and zoning are eligible applicants. The 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.

#### **Project Eligibility**

All Category 1 applicants must demonstrate that they have adopted a streamlined permitting process for installing PV systems and/or Electric Vehicle Supply Equipment (EVSE) stations or zoning and parking ordinances that specifically accommodate EVSE. Applicants may apply for awards for adopting one or both of the streamlined permitting processes outlined below. Total award amounts for Category 1 will be capped at \$5,000 per applicant for applicants representing a population of up to 30,000 residents and \$10,000 per applicant for applicants representing a population larger than 30,000 residents. Applications will be accepted pending NYSERDA approval of the following documentation demonstrating streamlined permitting process elements. Applications must be submitted after all work has been completed with all relevant documentation attached.

#### **Streamlined EVSE Permitting Process or Zoning/Parking Ordinances:**

Funding will be awarded in the amount of \$2,500 per project for applicants representing a population of up to 30,000 residents and \$5,000 per project for applicants representing a population larger than 30,000 residents. To be eligible for funding, applicants must demonstrate that the Program Participation Requirements outlined below have been met. For more information, please reference the "Creating EV-

Ready Towns and Cities: A Guide to Planning and Policy Tools” document, which can be found at the following location: <http://www.nyscrda.ny.gov/guidance>.

Program Participation Requirements (Must do either 1a or 1b AND either 2a or 2b):

1. For both (1a) and (1b), jurisdictions should also demonstrate that fees for EVSE installations are in line with other similar procedures in the jurisdiction and incorporate a step into the permitting process by which the building owner must notify the local electric utility of the EVSE installation.
  - a. Existing Minor Work Processes: Several jurisdictions have chosen to label residential EVSE as “minor work”, classifying it on the same level as a large electrical appliance. This implies that the EVSE installation will be straightforward, without much custom work or electrical service upgrades. Labeling it as minor work can lower the cost of the permit and the time required to execute the process. Some jurisdictions have a simplified residential EVSE permit form that can be used if specific conditions are met (e.g., installation is in a private garage, electrical service to the house is at least 200 amps, and EVSE does not exceed 200 amps). Applicants must demonstrate that they have updated their permitting process to define EVSE installations as “minor work” and that the permitting process for EVSE installations now consists of a simplified application process and permitting fees consistent with similar “minor work.”

OR

- b. Permitting Template: Where the existing permitting procedures do not properly facilitate EVSE installations, municipalities can use a separate permit specific to EVSE. Having such a permit suggests a jurisdiction has researched the EVSE installation process in general. Applicants must demonstrate that they have adopted a permitting procedure based on the model permitting template created by The Alternative Fuels Data Center at the U.S. Department of Energy, which can be found at: [http://www.afdc.energy.gov/pdfs/EV\\_charging\\_template.pdf](http://www.afdc.energy.gov/pdfs/EV_charging_template.pdf). Applicants must also require installers to complete an EVSE load calculation worksheet.

AND

2.
  - a. Zoning: Municipalities can ease the way for further installation of EVSE by clarifying zoning ordinances. Applicants must submit documentation of zoning ordinance amendments that define “electric vehicle charging station” and what type of electric vehicle charging is permissible in each zoning category or define “electric vehicle charging” as an accessory use for appropriate zoning categories.

OR

- b. Parking: Municipalities can encourage drivers to use EVs through their parking ordinances by providing discounted or free parking to EV drivers and barring cars that are not charging from parking in designated EVSE-adjacent parking spaces. Applicants must submit documentation of parking ordinance amendments that eliminate hourly parking fees at public lots for EVs (only eligible if there are hourly fees for parking in the

municipality) and bar cars that are not charging from parking in designated EVSE-adjacent parking spaces.

### **Streamlined PV Permitting Application Process:**

Funding will be awarded in the amount of \$2,500 per project for applicants representing a population of up to 30,000 residents and \$5,000 per project for applicants representing a population larger than 30,000 residents. To be eligible for funding, applicants must demonstrate that all of the Program Participation Requirements outlined below have been met. For more information, please reference NYSERDA's CFA Guidance materials, which can be found at the following location: <http://www.nyserda.ny.gov/guidance>.

#### **Program Participation Requirements:**

1. Applicants located outside of Nassau County and Suffolk County (Long Island) must demonstrate that they have adopted a permitting procedure based on the NYS Standard Solar Permitting Form, which will be available here on July 1, 2013: <http://www.nyserda.ny.gov/guidance>. A webinar will be scheduled in June 2013 to gather input on the NYS Standard Solar Permitting Form. Information on the webinar will be posted to the above website as soon as it becomes available.
2. Applicants within Nassau County and Suffolk County (Long Island) must demonstrate that they have adopted a permitting procedure based on the Long Island Power Authority's "Solar Energy System Fast Track Permit Application, which will be available here on July 1, 2013: <http://www.nyserda.ny.gov/guidance>. Applicants that already received incentives from LIPA for adopting these streamlined permitting processes are not eligible to receive more funding through NYSERDA.

### **Ineligible Projects**

Projects must meet eligibility requirements outlined in the section of this document entitled "Project Eligibility."

### **Application Process**

Applications will be accepted through the [Consolidated Funding Application \(CFA\)](#). Applicants should contact [CGC@nyserda.ny.gov](mailto:CGC@nyserda.ny.gov) for guidance.

NYSERDA will begin reviewing applications for Category 1 starting July 1, 2013 and until September 30, 2014, until funds are exhausted, or until the solicitation is revised by NYSERDA, whichever comes first. A separate CFA must be completed for each unique project. The Streamlined EVSE Permitting Process is considered a unique project as is the Streamlined PV Permitting Application Process. Applications must be submitted **after** all work has been completed with all relevant documentation attached.

### **Selection Criteria**

Projects must meet eligibility requirements and documentation submittal requirements outlined in the sections of this document entitled "Project Eligibility."

### **Examples of Eligible Projects**

There are no examples for this category.

## **CATEGORY 2: COMPREHENSIVE PLANNING**

Funding Available: Up to \$4 million

### **Eligible Applicants**

Municipal (county, city, town, village, or Indian tribe or nation residing within New York State) governments in New York State with land use planning and zoning jurisdiction are considered eligible applicants. 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. A group or consortium of municipalities may choose to designate a non-municipal entity (private, non-profit, etc) to be the lead applicant. For proposals seeking funding only for a single municipality, that municipality must be the lead applicant, but may include public, private, or non-profit contractors to support the scope of work. 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.

### **Project Eligibility**

Funding will be awarded in the amount of \$50,000 to \$400,000 per project pursuant to the scope and merit of the proposals received. NYSERDA may make award offers at amounts lower than those for which the applicant proposed. A minimum cost-share of 25% is required. Other New York State funding sources, including other NYSERDA funding, shall not count toward the proposer's cost-share.

All Category 2 applicants must propose a qualified planning effort. A qualified planning effort shall include creation or revision of a comprehensive plan, or portions thereof, including efforts focusing on updating zoning ordinances, addressing climate resiliency, and/or other sustainability or smart growth-related efforts. These efforts shall be intended to save energy, increase use of renewable energy, reduce greenhouse gas emissions, reduce particulate matter emissions, avoid future emissions, or reduce future energy use. NYSERDA strongly recommends using the [Technical Guidance Manual for Sustainable Neighborhoods](#), created by the United States Green Building Council in partnership with the Land Use Law Center at Pace Law School, to guide planning processes and proposal development. NYSERDA also strongly recommends adoption of the [LEED® for Neighborhood Development Floating Zone](#) as part of the anticipated planning and zoning efforts.

Applications will be evaluated based on the degree to which the project supports the criteria outlined in the section of this document entitled "Selection Criteria." Applications must be submitted prior to starting NYSERDA-funded work.

### **Ineligible Projects**

Projects must meet eligibility requirements outlined in the section of this document entitled "***Project Eligibility.***"

### **Application Process**

Applications will be accepted through the Consolidated Funding Application (CFA). Applications are due by 4:00PM Eastern Time on August 12, 2013. It is expected that resulting awards will be announced in December 2013. A separate CFA must be completed for each unique project.

### **Selection Criteria**

Projects will be scored and awarded on a competitive basis. No project, region, or applicant is guaranteed funding. However, no one project, region or applicant may receive more than 25% of available funding. As project proposals will be submitted through the CFA process, the REDC's will score projects based on consistency with their respective Regional Strategic Plan and the relative level of priority associated with sustainability in the region. The REDC's will assign a score of 0-20, which is 20%

of the total score. NYSERDA will convene a Technical Evaluation Panel 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's scoring will be based on the following criteria:

1. Responsiveness to the PON (5 Possible Points)
  - To what extent has the proposer demonstrated a thorough understanding of program goals?
  - To what extent does the proposer present a sound, detailed approach for accomplishing the objectives of their proposal?
  - To what extent does the proposer present a sound rationale for the proposed approach?
  - To what extent does the proposer demonstrate the ability to accomplish the tasks?
  - Is the proposal thorough, specific, and consistent with the stated objectives?
2. Cost effectiveness, Including Cost Sharing And Leveraging Of Funds (10 Possible Points)
  - To what extent has the proposer demonstrated that the project will achieve cost-effective greenhouse gas (GHG) emissions reductions, especially as compared to other project proposals submitted in response to this solicitation?
  - To what extent has the proposer provided cost-sharing or otherwise leveraged funds outside of NYSERDA? A minimum cost-share of 25% is required. The applicant cost-share and the NYSERDA share must contribute to the same project or measures 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 New York State funding sources, including other NYSERDA funding, shall not count toward the proposer's cost-share.
3. Regional Economic Development Significance (5 Possible Points)
  - To what extent has the proposer demonstrated that the project will support economic development in the region?
4. Alignment with Regional Sustainability Plan's Sustainability Indicators (15 Possible Points)
  - To what extent has the proposer demonstrated that the project will have a positive impact on one or more of the sustainability indicators outlined in their respective Regional Sustainability Plan, or all applicable REDC Strategic Plans if a project overlays more than one REDC region?? What is the number of sustainability indicators impacted as well as the degree to which any one indicator is positively impacted?
5. Energy Efficiency Savings And/Or Renewable Energy Deployment (10 Possible Points)
  - To what extent has the proposer demonstrated that the project will achieve energy savings, renewable energy deployment, or both, if applicable depending upon the nature of the project?
6. Economic Development And Resiliency Benefits (5 Possible Points)
  - To what extent has the proposer demonstrated that the project will have a positive impact on economic development and climate resiliency in New York State?
7. Adherence To Smart Growth Principles Applicable To Project Location (15 Possible Points)
  - To what extent has the proposer demonstrated that the project will produce significant Smart Growth benefits to New York State?

8. Projects Located In Climate Smart Communities, Environmental Justice Areas, Brownfield Opportunity Areas, or REDC Opportunity Agenda Communities (5 Possible Points)
  - Is the project located in a CSC, an Environmental Justice area, Brownfield Opportunity Area, REDC Opportunity Agenda Area, or all?
  
9. Estimated Timeframe For Project (5 Possible Points)
  - To what extent will the project be completed within a timeframe that is supportive of the goals of CGC? Projects that will be completed sooner will score higher. All portions of the project being funded by CGC must be complete within 3 years.
  - To what extent will the project result in a sustained improvement in the community?
  
10. Letter of Support From The Municipality In Which The Project Is Located And That Has Planning Jurisdiction Over The Project (5 Possible Points)
  - Has the proposer provided a signed letter of support from the municipality (or municipalities) in which the project is located and that has planning jurisdiction over the project?
  -

### **Sustainability Indicators**

Anticipated benefits associated with Phase II CGC projects should be measured, to the extent feasible, with the statistics tracked by sustainability indicators outlined in every Regional Sustainability Plan. To encourage consistent quantification methodology and adherence to the goals outlined in each Regional Sustainability Plan, project proposals shall focus on sustainability indicators that were specifically targeted in the sustainability plan applicable to the region in which the project is located. Not all projects will positively influence all of the indicators outlined in their Regional Sustainability Plan, but every project application must positively influence at least one sustainability indicator in its region's sustainability plan. Project benefits should be estimated, with supporting documentation for assumptions, in the CFA application for Phase II funding. The benefits will be refined and demonstrated again in a final report prepared by each successful applicant at the conclusion of the project using the calculation methodologies outlined in the Phase I Regional Sustainability Plans.

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>

### **Examples of Eligible Projects**

There are no examples for this category.

## **CATEGORY 3: CAPITAL PROJECTS**

Funding Available: Up to \$25 million

### **Eligible Applicants**

All public, private, and non-profit entities are eligible to apply. Entities 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. 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.

### **Project Eligibility**

Funding will be awarded in the amount of \$1,000,000 to \$5,000,000 per project pursuant to the scope and merit of the proposals received. NYSERDA may make award offers at amounts lower than those for which the applicant proposed. A minimum cost-share of 25% is required. Other New York State funding sources, including other NYSERDA funding, shall not count toward the proposer's cost-share.

In order to qualify, the project, or measures within the project, for which the applicant is requesting funding must not be eligible projects or measures for other NYSERDA funding. Other NYSERDA funding is defined as funding associated with current solicitations that have been issued by NYSERDA either directly or through the Consolidated Funding Application (CFA), or those that NYSERDA lists on its website as upcoming funding opportunities within the next six months. (Go to [http://www.nyserda.ny.gov/Funding Opportunities.aspx](http://www.nyserda.ny.gov/Funding_Opportunities.aspx) for a complete listing of current and future NYSERDA funding opportunities.)

Applicants can request funds supplemental to other NYSERDA funding for measures within a project that are not otherwise eligible measures for funding. Applicants that have already received other NYSERDA funding can supplement prior funds for measures within a project that were not eligible measure types under the original solicitation. Prior to application submittal, NYSERDA may assist applicants to determine if the project, in whole or in part, is eligible for consideration through other NYSERDA programs and solicitations. Projects must be able to commence within one year of contract execution. Applicants are required to submit a proposed scope of work, budget, and project timeline with their application.

NYSERDA anticipates awarding a variety of project types including, but not limited to, land use, transportation, and buildings. Please see the section of this document entitled “**Eligible Projects**” for more specific examples. All projects must be large-scale capital projects that support energy efficiency, renewable energy, or carbon mitigation. Applications will be evaluated based on the degree to which the project supports the criteria outlined in the section of this document entitled “**Selection Criteria.**” Applications must be submitted prior to starting NYSERDA-funded work.

#### **Ineligible Projects**

Projects must meet eligibility requirements outlined in the section of this document entitled “PROJECT ELIGIBILITY.” A capital project is defined as a plan for the acquisition and/or construction of capital facilities, capital improvements and major equipment purchases.<sup>4</sup> In addition to all non-capital projects, the following project types or measures are **NOT** eligible for Category 3 funding. Please reference <http://www.nyserda.ny.gov/guidance> for more specific project guidelines.

- Projects, or measures within projects, that are required by law or regulations.
- Development, implementation, or funding of rebate or incentive programs.
- Development, implementation, or funding of outreach, education, or technical assistance programs.
- Development, implementation, or funding of financing programs.
- Projects that have an aggregate adverse effect on indoor or outdoor air quality, GHG emissions, or public health in general.
- Natural gas, electricity, or other ‘fuel distribution 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 lines.’
- Feasibility studies that examine new technologies or policies.
- Design and/or construction costs for residential buildings consisting of between one and four units.
- Research and Development (R&D) for products, processes, or other activities.
- Biomass heating or energy generation equipment that involves any fuel other than wood pellets. (Wood pellet biomass projects ARE eligible, but must comply with NYSERDA’s CGC

---

<sup>4</sup> <http://www.osc.state.ny.us/localgov/pubs/lmgm/capitalprojects.pdf>

Biomass Heating System Program Requirements, which can be accessed at <http://www.nyserda.ny.gov/guidance>.

- Costs of consumables, including fuels such as gasoline, wood pellets, fuel oil, and biodiesel.
- Costs of ongoing operation and maintenance of capital projects.

#### **Application Process**

Applications will be accepted through the Consolidated Funding Application (CFA). Applications are due by 4:00pm Eastern Time on August 12, 2013. It is expected that resulting awards will be announced in December 2013. A separate CFA must be completed for each unique project.

#### **Selection Criteria**

Projects will be scored and awarded on a competitive basis. No project, region, or applicant is guaranteed funding. However, no one project, region, or applicant may receive more than 25% of available funding. 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 REDC's will assign a score of 0-20 representing 20% of the total score. NYSERDA will convene a Technical Evaluation Panel 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's scoring will be based on the following criteria:

1. Responsiveness to the PON (5 Possible Points)
  - To what extent has the proposer demonstrated a thorough understanding of program goals?
  - To what extent does the proposer present a sound, detailed approach for accomplishing the objectives of this proposal?
  - To what extent does the proposer present a sound rationale for the proposed approach?
  - To what extent does the proposer demonstrate ability to accomplish the tasks?
  - Is the proposal thorough, specific, and consistent with the stated objectives?
2. Cost effectiveness, Including Cost Sharing And Leveraging Of Funds (10 Possible Points)
  - To what extent has the proposer demonstrated that the project will achieve cost-effective GHG emissions reductions, especially as compared to other project proposals in this solicitation?
  - To what extent has the proposer provided cost-sharing or otherwise leveraged funds outside of NYSERDA? A minimum cost-share of 25% is required. The applicant cost-share and the NYSERDA share must contribute to the same project or measures 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 New York State funding sources, including other NYSERDA funding, shall not count toward the proposer's cost-share.
11. Regional Economic Development Significance (5 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?
3. Alignment with Regional Sustainability Plan's Sustainability Indicators (15 Possible Points)
  - To what extent has the proposer demonstrated that the project will have a positive impact on one or more of the sustainability indicators outlined in their respective Regional Sustainability Plan, or all applicable REDC Strategic Plans if a project overlays

more than one REDC region? What is the number of sustainability indicators impacted as well as the degree to which any one indicator is positively impacted?

4. Energy Efficiency Savings And/Or Renewable Energy Deployment (10 Possible Points)
  - To what extent has the proposer demonstrated that the project will achieve energy savings, renewable energy deployment, or both, if applicable depending upon the nature of the project?
5. Economic Development And Resiliency Benefits (5 Possible Points)
  - To what extent has the proposer demonstrated that the project will have a positive impact on economic development and climate resiliency in New York State?
6. Adherence To Smart Growth Principles Applicable To Project Location (15 Possible Points)
  - To what extent has the proposer demonstrated that the project will produce significant Smart Growth benefits to New York State?
7. Projects Located In Climate Smart Communities, Environmental Justice Areas, Brownfield Opportunity Areas, or REDC Opportunity Agenda Communities (5 Possible Points)
  - Is the project located in a Climate Smart Community, an Environmental Justice area, a Brownfield Opportunity Area, REDC Opportunity Agenda Area, or all?
8. Estimated Timeframe For Project (5 Possible Points)
  - To what extent will the project be completed within a timeframe that is supportive of the goals of CGC? Projects that will be completed sooner will score higher. All portions of the project being funded by CGC must be complete within 3 years.
  - To what extent will the project result in a sustained improvement in the community?
9. Letter of Support From The Municipality In Which The Project Is Located And That Has Planning Jurisdiction Over The Project (5 Possible Points)
  - Has the proposer provided a signed letter of support from the municipality (or municipalities) in which the project is located and that has planning jurisdiction over the project?

### ***Sustainability Indicators***

Anticipated benefits associated with Phase II CGC projects should be measured, to the extent feasible, using statistics tracked by sustainability indicators outlined in every Regional Sustainability Plan. To encourage consistent quantification methodology and adherence to the goals outlined in each Regional Sustainability Plan, project proposals shall focus on sustainability indicators that were specifically targeted in the sustainability plan applicable to the region in which the project is located. Not all projects will positively influence all of the indicators outlined in their Regional Sustainability Plan, but every project application must positively influence at least one sustainability indicator in their region's sustainability plan. Project benefits should be estimated, with supporting documentation for assumptions, in the CFA application for Phase II funding. The benefits will be refined and demonstrated again in a final report prepared by each successful applicant at the conclusion of the project using the calculation methodologies outlined in the Phase I Regional Sustainability Plans.

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>

### Examples of Eligible Projects

The following list provides some examples of what NYSERDA considers 'eligible' project types under Category 3. This list is not exhaustive, is not a list of preferred project types, and is intended only to provide an additional level of clarity. Applications for project types included on this list are not guaranteed to receive funding and will be evaluated according to the aforementioned criteria along with every other project application. Please contact [CGC@nyserdera.ny.gov](mailto:CGC@nyserdera.ny.gov) with any questions.

#### Transportation Examples:

- Creation of a bus rapid transit corridor between one or more communities, including purchase of alternative fuel or hybrid buses, construction of updated bus stops, map and schedule development, etc.
- New sidewalks, crosswalks, and/or bicycle infrastructure to improve pedestrian and bicycle safety (e.g. pedestrian traffic signals, painted or buffered bike lanes, bike boxes, and bike-share programs).
- Projects that reduce vehicle idling and traffic congestion, including traffic signal improvements to enhance traffic flow.
- Building alternative/exclusive bike and pedestrian permeable pavement paths that connect residential areas to amenities such as houses of worship, shopping, entertainment, offices, etc.

#### Land Use Examples:

- Planning and construction costs of renovating an abandoned warehouse in an environmental justice community to create a mixed-use center with commercial spaces and a mix of market rate & low-income residential spaces.
- Implementing Stages 2 and 3 of a Stage 1 certified LEED-ND Project.
- Construction of local fresh food markets/corner stores within walking distance of residential areas that do not already have a grocery store.
- Planning and/or additional construction costs of building high-density or mixed-use development on a Brownfield site or infill site.
- Floodplain restoration.
- Converting an underutilized parking lot into a community garden, park, recreational space, pedestrian plaza, or other innovative use.

#### Buildings Examples:

- Measures that significantly improve the efficiency of water treatment or waste-water treatment facilities.
- Project design costs, and/or energy efficiency and renewable measures for zero-energy commercial buildings or zero-energy capable commercial energy buildings where the total energy consumption per square foot is expected to be reduced by 50% or more.

#### Other Examples:

- Costs of building and connecting an energy-efficient shared district energy system in part or all of a community. Large scale LED street lighting projects. Construction of innovative green roofs on buildings (i.e. public roof-top park, vegetable garden, etc).
- Large-scale urban forestry/tree planting project.
- Planning and construction of industrial ecosystem parks.
- Development of innovative industrial/commercial/incubator facilities that contribute to regional growth and reduce transportation emissions associated with importing goods.

- Implementation of large-scale composting, organic/food-waste, or other waste reduction program.
- Methane reduction measures in the waste industry and abating HFCs/PFCs in manufacturing processes (e.g. recovering methane at landfills and using it in industrial processes or electricity generation, repairing leaks, improving capture and recovery systems, eliminating thermal oxidation, etc.).

### **DISCLAIMER**

Projects identified in the appendices and the content of the Cleaner Greener Communities 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 Cleaner, Greener Communities 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 Consolidated Funding Application must be submitted in order to be considered for funding in Phase 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](http://www.nyserda.ny.gov).

### **ADDITIONAL RESOURCES**

For technical questions concerning this program, please contact [CGC@nyserda.ny.gov](mailto:CGC@nyserda.ny.gov).

All CGC program resources and guidelines can be found at the following location:  
<http://www.nyserda.ny.gov/guidance>.

## **Department of State - Local Government Efficiency Program**

**Funding Available: Up to \$4 Million**

### **DESCRIPTION:**

For the 2013-2014 program year \$4 million is available under the Local Government Efficiency (LGE) Grant program to assist local leaders reduce municipal expenditures, limit the growth in property taxes and increase efficiencies in local 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.

All 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, improving public access to services, or increasing the efficiency of delivering services that still meet the community’s needs.

### **ELIGIBLE APPLICANTS:**

Under the LGE grant program eligible “local government entities” are defined as counties, cities, towns, villages, special improvement districts, fire districts, public libraries, association libraries, water authorities, sewer authorities, regional planning and development boards, school districts, and Boards of Cooperative Educational Services (BOCES).

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, including mandatory or permissive 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 multi-year agreement and be dated April 1, 2013 – March 31, 2015. 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, 2013 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/rfa-11-creg/index.html> 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 program base score may receive a priority multiplier and additional priority points, all of which may total 128 points. The final program score will then be multiplied by a factor of .625 ( $128 \times .625 = 80$  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 Funding Priorities**

Priority multipliers will be given to the program base score of applications that will:

- result in the dissolution or consolidation of local government entities, multiplied by a factor of 1.2;
- implement the complete functional consolidation of a local government service, multiplied by a factor of 1.1; or
- provide assistance to fiscally stressed local governments, multiplied by a factor of 1.1.

After the allocation of any priority multipliers, up to 8 additional points will be given to projects that:

- implement a planning project completed with SMSI or LGE funds. (4 points)
- implement a regional governance project impacting five or more local governments. (4 points)
- received funds through other state community and infrastructure development programs. (4 points)

### **LGE Program Base Scoring Criteria**

The following numerical evaluation scale will be used to assess the degree to which the application meets the grant criteria set forth below. (Up to 100 points)

- High compatibility with criteria 5 points
- Medium compatibility with criteria 3 points
- Low compatibility with 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.

#### **Fiscal and Tax Impact (Possible 15 points)**

- Significance of reduced expenditures or increased revenues on the local government budget. (5 points, factored by 2)
- Significance of impact on the local property tax rate. (5 points)

#### **Return on Investment (Possible 15 points)**

- Establishes clear measures to continuously evaluate the effectiveness of service delivery or operational changes. (5 points)
- Potential impact on other efficiency efforts. (5 points)
- Significance of the return on investment of public funds. (5 points)

#### **Service Delivery Impacts (Possible 15 points)**

- Produces transformative changes to local government operations. (5 points)
- Significance of impacts on the delivery of services to the public. (5 points)
- Significance of operational changes and public service impacts across local governments. (5 points)

#### **Project Implementation (Possible 20 points)**

- Project Readiness
  - Clearly describes the actions that have been undertaken to commit the local governments to the project. (5 points)
- Scope of Work
  - Clearly defines the following:
    - Work plan, project schedule and completion date.
    - Location and area covered by the project.

- Specific deliverables, consistent with program objectives. (5 points)
- Project Funding
  - Defines funding sources needed to complete the project and provides for sufficient project match. (5 points)
- Sustainability
  - Describes an implementation structure and/or process that will enable the local governments to institutionalize the project outcomes. (5 points)

**Advancement of Local and Regional Plans (Possible 5 points)**

- Describes how the project is part of a regional or local planning process supported in a comprehensive plan, capital investment plan, asset management plan or other municipally recognized plan.

**Public Engagement (Possible 5 points)**

- Describes an effective approach and process to ensure the appropriate public and stakeholder participation and engagement during project development.

**Project Budget (Possible 20 Points)**

- Describes and documents how the approach used to arrive at budget estimates and identifies the person(s) responsible for compiling the budget, including relevant experience and background of all parties. (5 points)
- Costs meet eligibility requirements of the program. (5 points)
- Costs clearly relate to and support activities in the proposed work plan. (5 points)
- Description includes detail for all project components involved, is cost-effective and does not contain extraneous expenses. The budget narrative includes an explanation for the estimate of each budget line and clearly supports the applicant's need for financial resources requested to achieve project outcomes. The budget narrative also describes how the grant recipient will monitor expenditures during the life of the project to ensure that the project stays on schedule and within budget. (5 points)

# *Education/Workforce Development*

## Department of State- Workforce Development

Funding Available: Up to \$750,000

### DESCRIPTION

Provides grants on a competitive basis for the following priority areas:

1. Job training;
2. Job skills development;
3. Job placement and retention;
4. Financial and Civic Literacy
5. English for Speakers of Other Languages (ESOL)

### ELIGIBLE PROJECT TYPES:

**1) Job Training.** Expected Result: workers and potential workers will obtain employment or improve opportunities for employment.

Activities shall focus on direct training for employment opportunities in specific lines of work for which trainees have a significant chance to obtain sustainable employment, and for which a potential worker already has essential occupational skills, based on local employment openings and availability.

Such activities may include, but not be limited to:

<b>Sample training activities</b>	
Office work-management	<u>Supportive efforts:</u> Job preparation
Construction, building /housing repair / rehab	Resume-writing/preparation
Automotive repair	Family development certification
Teacher-assistant training	Child development certification
Provision of services to elderly and handicapped	on-the-job training
Daycare-childcare-eldercare	internships

Training should lead to full and unsubsidized employment.

**2) Job Skills Development.** Expected Result: participants will be prepared to obtain employment.

Activities shall have an educational focus, particularly on direct skills development in areas where increased skills will enhance placement opportunities for those already seeking employment, and which will also include, but will not be limited to:

<b>Sample educational and training activities</b>	
Improvement in basic reading, math, communication skills	<u>Supportive education</u> , leading to permanent employment, such as: certification in educational and medical/nursing skills
Computer literacy	Driver training; driver education leading to licensure
Construction, home repair, energy auditing	ABE/GED courses leading to a certificate or diploma
Summer youth employment skills which enhance future employability and educational attainment as well as in obtaining permanent employment, which would enhance overall opportunities for future employment	Completion of post-secondary education leading to a certificate or diploma

3) **Job Placement and Retention.** Expected result: participants will be better prepared to maintain employment.

Activities shall focus on individuals who might place persons in employment as well as those who become employed, and should illustrate numbers of persons placed in any of the areas indicated in items 1 and 2, as well as employment supports for job retention, such as child care, transportation, and educational activities that relate to ‘soft skills’ in the workplace that complement occupational skills necessary to carry out job duties. *Definition: Soft skills pertains to such activities as personal work habits, work ethic, dependability and conscientiousness, (behavioral or interpersonal skills), and which support, develop, and improve communication skills, conflict resolution and negotiation, personal effectiveness, creative problem solving, strategic thinking, and team building.*

Sample placement and retention activities	
Enrollment of children in before- or after-school programs	Job shadowing programs
Obtaining reliable transportation to maintain employment	Dressing for success
Courses - training in soft skills in the workplace	On the job training
	Practice in teaching children/elders
	Mentoring

Applicant organization(s) should be prepared to describe and provide significant follow-up and support for activities to assist with job retention.

4) **Financial and Civic Literacy.** Expected Results: participants will obtain essential skills and a greater understanding of financial management, budgeting, market structures, asset-development, taxation, and U.S. banking and credit systems, as related to starting a small business or financial planning linked to employment support and economic mobility.

Activities may include classes and courses in:

Sample Financial Literacy awareness	
Budgeting related to employment supports such as transportation and childcare	Development of small business and entrepreneurial enterprises
First time homeownership / Home purchasing education	Awareness of community financial resources, public/ private institutions
Mortgage Financing	Asset development
Understanding individual development accounts	Increasing understanding of national banking, credit systems
Knowledge of consumer protections	Banking skills

5) **English for Speakers of Other Languages (ESOL).** Expected Result: to ensure that participants obtain English language skills necessary to enhance employment opportunities.

Activities may include:

Sample ESOL programs and projects	
Hiring of ESOL instructors	Obtaining GED, other certificates to further employment opportunities.
Operation of ESOL classes	Mock interviews/Résumé development
Enrollment or referral of students	

Participants shall work toward or to obtain competency in spoken and written English necessary for the workforce and targeted toward job placement.

## **ELIGIBLE APPLICANTS**

Eligible organizations are not-for-profit 501c(3) Community-Based Organizations (CBOs) and Community Action Agencies (CAAs).

*Community-based organization*, as defined in New York State Executive Law §159(4), shall mean any not-for-profit organization incorporated for the purpose of providing services or other assistance to economically or socially disadvantaged persons within its designated community. Such organization must have a board of directors of which more than half of the members reside in such designated community.

*Community Action Agency* shall mean any private not-for-profit organization currently designated as an *eligible entity* pursuant to New York State Executive Law §159-e(1). Such organization shall have a tripartite board as its governing board, selected by the entity and composed so as to assure that: (1) one-third of the members of the board are elected public officials, holding office on the date of selection, or their representatives, except that if the number of such elected officials reasonably available and willing to serve on the board is less than one-third of the membership of the board, membership on the board of appointive public officials or their representatives may be counted in meeting such one-third requirement; (2) not fewer than one-third of the members are persons chosen in accordance with democratic selection procedures adequate to assure that these members are representative of low-income individuals and families in the neighborhood served; and (3) the remainder of the members are officials or members of business, industry, labor, religious, law enforcement, education, or other major groups and interests in the community served.

All applicants are required to demonstrate that their organization:

- Currently provides federally-funded or state-funded services to low-income persons;
- Includes a board of directors that allows for maximum feasible participation of the poor: for CAAs, the requirement is tripartite board composition, per NYS Executive Law §159-e (2); for CBOs, the requirement is: more than 50% of its members shall reside in its service area; and,
- Has existed continuously as a CBO or CAA for at least 5 years.

## **AWARDS, CONDITIONS & REQUIREMENTS**

The maximum grant that an applicant may receive is \$100,000. There is a required local share match of 25%.

## **CONTACT/ADDITIONAL PROGRAM INFORMATION**

All questions on this program may be addressed to the Division's mailbox at [dos.sm.DCS@dos.ny.gov](mailto:dos.sm.DCS@dos.ny.gov).

# 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 upgrading and training of employed and long-term unemployed workers to enhance hiring and workforce skills, commensurate with regional economic development strategic plans.

### ELIGIBLE PROJECT TYPES:

Business Hiring and Training Incentives

#### Existing Employee Training

##### *Program Description:*

This program provides Workforce Investment Act funds to businesses to train their existing employees who, without the training, are at risk of being laid off.

#### New Hire (On-the-Job) Training

##### *Program Description:*

This program provides Workforce Investment Act funds to train newly hired employees who are long-term unemployed individuals to perform their job duties. These funds will reimburse the hiring business for up to 50% of the new employee's wages for a period not to exceed six (6) months. Long-term unemployed individuals are defined as those who have been unemployed for 20 weeks or more.

#### Unemployed Worker Training

##### *Program Description:*

This program provides Workforce Investment Act funds to train long-term unemployed individuals in a customized classroom setting, provided there is a commitment from business(es) to interview individuals who successfully complete the training. Long-term unemployed individuals are those who have been unemployed for 20 weeks or more.

### ELIGIBLE APPLICANTS:

- For Existing Employee Training and New Hire/On-the-Job 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:
  - 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; or
  - Training providers.

### AWARD, CONDITIONS & REQUIREMENTS:

The maximum grant that an applicant may receive if it applies for one, two or all three types of training is \$100,000. The maximum cost per trainee is \$5,000.

**Matching Fund Requirements:**

Existing Employee Training and Unemployed Worker Training programs have no match requirements. New Hire/On-the-Job Training match must be at least 50% of the trainee's wages. Contracts resulting from this RFP will be awarded for a period of up to one year and will operate on a reimbursable basis. Only not-for-profit organizations funded under the Unemployed Worker Training program 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.

**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. This RFP and any related questions and answers are available on NYSDOL's web site at <http://labor.ny.gov/cfa/index.shtm>.

## College Access Challenge Grant

**Funding Available: Up to \$200,000**

**DESCRIPTION:**

The purpose of the Federal College Access Challenge Grant Program (CACGP) is to foster partnerships among federal, state, and local governments and philanthropic organizations through matching challenge grants that are aimed at increasing the number of low-income students who are prepared to enter and succeed in postsecondary education. The overall goal of New York State's College Access Challenge Grant Program is to increase the number and percentage of New York CACG eligible individuals who are prepared to apply for, enter and succeed in college, with a priority on families living below the poverty level. To meet this goal, HESC will provide targeted support to not-for-profit organizations, such as schools, agencies, and community-based organizations through a series of sub-grants. Sub-grantees will use sub-grant funds for activities that must be targeted to students and families who are living below the poverty line applicable to the individual's family size (as determined under section 673(2) of the Community Service Block Grant Act). Additionally, if an applicant proposes to serve a specific high school or middle school, that school must have at least 50 percent of its total student population eligible to participate in the federal free and reduced-price lunch program. This will serve as an acceptable indicator that CACG – funded activities are serving the priority population. Applicant must specifically identify the population to be served by the funded activity, providing geographical reference and size. Project funding will be conditioned on the attainment of outcomes, which must be measurable and verifiable, to ensure coordination with the overall state program.

**ELIGIBLE TYPES OF APPLICANTS:**

- Not-for-profit Organizations (such as schools, agencies, and community-based organizations) in existence prior to September 1, 2007.
- Organizations that received a CACG sub-grant award as a result of the RFP that HESC issued on April 9, 2013 are not eligible to apply for this sub-grant.

**ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:**

CACGP Grants are authorized to implement an array of programs and strategies to ensure access to, and participation in, postsecondary education for underserved populations. Some of these activities include,

but are not limited to, the following:

- the dissemination of information pertaining to postsecondary education benefits and opportunities;
- career preparation;
- outreach activities;
- need-based grant aid;
- college retention visits;
- college tours;
- SAT prep classes; and/or
- professional development for middle and high school counselors as well as financial aid and admissions counselors at institutions of higher education (IHEs).

### **Types of Projects**

CACGP projects are authorized to:

- provide information to students and families regarding postsecondary education and career preparation;
- promote financial literacy and debt management;
- conduct outreach activities;
- assist students in completing the Free Application for Federal Student Financial Aid (FAFSA);
- provide need-based grant aid;
- conduct professional development for guidance counselors at middle and secondary schools, financial aid administrators, and college admissions counselors; and,
- offer counseling on student loan cancellation or repayment and interest rate reductions for borrowers who are employed in a high-need geographical area or a high need profession. (Funds cannot be used to promote any lender's loans.)

**PRE-APPLICATION REQUIREMENTS:** The applicant organization **must:**

1. be “not-for-profit”.
2. have been in existence prior to September 1, 2007.
3. have been, as of that date, providing or participating in one or more services and activities described as follows (NOTE: THIS IS ALSO THE LIST OF ELIGIBLE ACTIVITIES FOR WHICH SUB-GRANTS WILL BE AWARDED):
  - A. Providing information for students and families about postsecondary education opportunities and benefits, and how to plan for college and a career.
  - B. Providing information on financing options for college, financial literacy and debt management among students and families.
  - C. Providing outreach activities for students who may be at risk of not enrolling in or completing postsecondary education.
  - D. Providing assistance in completion of the Free Application for Federal Student Aid or other common financial reporting form under section 483(a) if the Higher Education Act of 1965.
  - E. Providing professional development for guidance counselors at middle schools and secondary schools, and financial aid administrators and college admissions counselors at institutions of higher education, to improve such individuals’ capacity to assist target population students and parents with the following:
    - Understanding and meeting entrance requirements for admission to institutions of higher education;

- State eligibility requirements for Academic Competitiveness Grants or National SMART Grants under section 401A, and other financial assistance that is dependent upon a student's coursework;
- Applying for admission to institutions of higher education;
- Applying for Federal student financial assistance and other State, local and private student financial assistance and scholarships;
- Increasing students' ability to successfully complete the coursework required for a postsecondary degree, including activities such as tutoring or mentoring;
- Improving secondary school students' preparedness for postsecondary entrance examinations.

**SUCCESSFUL APPLICANT REQUIREMENTS:**

Project Requirements:

1. Project activities are targeted to students and families who are living below the poverty line applicable to the individual's family size (as determined under section 673(2) of the Community Service Block Grant Act). Additionally, if an applicant proposes to serve a specific high school or middle school, that school must have at least 50 percent of its total student population eligible to participate in the federal free and reduced-price lunch program. This will serve as an acceptable indicator that CACG – funded activities are serving the priority population. Applicant must specifically identify the population to be served by the funded activity, providing geographical reference and size.
  
2. Project activities will conform to the federal program limits and must include one or more services and activities described as follows:
  - a. Providing information to students and families about postsecondary education opportunities and benefits, and how to plan for college and a career.
  
  - b. Providing information on financing options for college and on financial literacy and debt management among students and families.
  
  - c. Providing outreach activities for students who may be at risk of not enrolling in or completing postsecondary education. Such activities may include, but not be limited to, college retention visits, college tours, SAT preparation efforts and other outreach activities.
  
  - d. Providing assistance in completion of the Free Application for Federal Student Aid or other common financial reporting form under section 483(a) of the Higher Education Act of 1965.
  
  - e. Providing professional development for guidance counselors at middle schools and secondary schools, and financial aid administrators and college admissions counselors at institutions of higher education, to improve such individuals' capacity to assist target population students and parents with the following:

- Understanding and meeting entrance requirements for admission to institutions of higher education;
  - State eligibility requirements for Academic Competitiveness Grants or National SMART Grants under section 401A, and other financial assistance that is dependent upon a student's coursework;
  - Applying for admission to institutions of higher education;
  - Applying for Federal student financial assistance and other State, Local, and private student financial assistance and scholarships;
  - Increasing students' ability to successfully complete the coursework required for a postsecondary degree, including activities such as tutoring or mentoring; and
  - Improving secondary school students' preparedness for postsecondary entrance examinations.
3. Applicant provides a methodology for reporting project goals as measureable outcomes that can be quantified (e.g.: "...85% of target student population applied for college admission"; or: "95% of target families complete the 2014 FAFSA"; or: 95% of counselors completed NT4C curriculum").
  4. Applicant demonstrates ability to meet proposed goals and objectives based on organizational and key staff experience in the same or similar work, possibly including a listing of previous clients or program partners and the organization's annual report.
  5. Applicants agree to become participants in HESC's website and share program experiences and outcomes with other organizations statewide and nationally through HESC sponsored activities and media.
  6. Applicants agree to participate in HESC-sponsored training and professional development activities and host visits by HESC personnel in order to provide program guidance, technical assistance, evaluation as may be required for administrative purposes.
  7. Applicants agree to and host periodic site visits by HESC Audit personnel. Applicants must agree that they will submit to an audit of their books and records as related to CACG activities and will implement any recommendations made in the final audit report.

### **Suggestions for Components of the Applicant Projects**

In addition to the project requirements above, applicants are encouraged to include the following components and develop their own creative solutions to motivate and educate students, such as:

- School – college partnerships to provide student services;
- Assist a target CACG population including, but not limited to, foster students, veterans, first in family, adult students in preparing and succeeding in college, and develop support services that meet the unique needs of this population;
- Mentors who will provide active support to students and their parents/guardians in surmounting academic and financial obstacles;
- Counseling programs that get students and their parents/guardians focused on college early, to identify personal and academic problems quickly so they can be addressed/resolved before they interfere with a student’s progress towards academic success.
- Development of teams of teachers, parents/guardians, high school students, and guidance counselors to help middle-school students make the transition to high school;
- A contract signed by parents/guardians and students, and re-signed periodically (i.e., annually), committing them to a set of clearly defined steps or goals on the path to achieving academic success and preparing for postsecondary education;
- Access to curricula that expose students to information about colleges as early as seventh grade, including the invitation of role-model college students to classes, or having teachers share their college experiences with students.

**Budgetary Guidelines and Requirements**

Each sub-grant applicant must complete the budget section of the application in the Consolidated Funding Application (CFA) and include a detailed narrative.

**Allowable Expenses**

The following prioritized items may be charged to the budget of a project funded by this sub-grant.

- Program administration, planning and evaluation.
- Staff development activities including in-service training for school faculty and staff who work directly with students.
- Instructional and other academic support services for students and parents/guardians.
- Academic year, summer and weekend activities for students and parents/guardians of students.
- Activities that encourage and support active parental involvement in the educational process as well as effective parenting skills for encouraging a child’s academic achievement.
- Enrichment activities for students and parent/guardians of students.
- Advisory group activities.
- Receipted travel expenditures for students and program staff.
- Reimbursement to school districts for release time granted to employees involved in planning, developing and implementing services.
- A CACGP applicant’s administrative expenses should provide CACGP services/benefits for the greatest number of CACG students as possible.

Applicants should refer to OMB circular A-21, Cost Principles for Educations institutions or OMB circular A-122 Cost Principles for Non-Profit Organizations as applicable for guidance on what expenses are allowable. Federal OMB Circulars can be found at the following web address:

[http://www.whitehouse.gov/omb/circulars\\_index-education/](http://www.whitehouse.gov/omb/circulars_index-education/). There will be no reimbursement for those costs not allowed pursuant to the OMB Circular for example, computer equipment or laptops for staff usage.

**Project Staff**

HESC discourages the establishment of new, full-time permanent positions in order to administer activities funded by the CACG sub-grant. This is due to the limited time-frame of grant funding.

Project staff whose salaries are paid in whole or in part by this sub-grant may receive holiday benefits and vacation leave not to exceed that given staff of equal rank in each institution. The scheduling of holidays and vacations must ensure continuity of sub-grant activities.

### **Fringe Benefits**

The rate for fringe benefits charged to this sub-grant may not exceed the actual rate paid by the institution.

### **Indirect Costs**

A CACGP applicant's indirect cost rate is limited to a maximum of 8 percent of the total budget requested. The rate may not exceed the actual rate used by each institution.

### **Matching**

Organizations receiving CACGP Sub-grants pursuant to this RFP with awards of \$50,000 are not required to propose or make matching contributions.

### **Payment**

The payment schedule dates set forth are non-negotiable. Due to the terms of HESC's federal grant, in order to be paid, expenses must be incurred by August 31, 2014 at the latest.

Entities doing business with the State of New York must have a Vendor Identification Number in order to receive payment for goods and/or services. Bidders must be registered in the New York State Vendor File (Vendor File) administered by the Office of the State Comptroller (OSC). This is a central registry for all vendors who do business with New York State Agencies and the registration must be initiated by a State Agency. Following the initial registration, a unique New York State ten-digit vendor identification number will be assigned to your company for use on all future transactions with New York State. Additionally, the Vendor File enables vendors to use the Vendor Self-Service application to manage all vendor information in one central location for all transactions related to the State of New York.

If an awarded organization is not currently registered in the Vendor File, they will be sent, and required to complete OSC Substitute W-9 Form. After the form is received, HESC will then initiate the vendor registration process for a Bidder who is recommended for a Contract Award. Once the process is initiated, registrants will receive an email notification from the OSC that includes their unique ten-digit vendor identification number assigned to the company and instructions on how to enroll in the online Vendor Self-Service application. For more information on the vendor file please visit the following website: [http://www.osc.state.ny.us/vendor\\_management/](http://www.osc.state.ny.us/vendor_management/)

### **Reporting Requirements**

Each project funded under this sub-grant is responsible for reporting to HESC in the report formats that are provided by HESC. All reports must include information with regard to the number of students served, the number of activities or events held as well as specific information as to how this information was measured.

**Event Reports**

Applicants will file event reports for each student activity proposed in their CACG project upon completion of the event.

**Progress Status Report**

The progress status report, due to HESC by March 14, 2014, will contain updates on activities and progress toward goals and objectives.

**Mid-Year Expenditure Report**

The Mid-Year Expenditure Report, due to HESC by May 16, 2014 and approval, will contain formats for reporting the expenditure of sub-grant and institutional funds, and will allow for the request of changes to program design and expenditure plans. Progress against stated project goals will be reported via updated goals and objective forms.

**Final Expenditure Report**

The Final Expenditure Report, due to HESC on September 19, 2014, will contain formats for the comprehensive reporting of expenditures of sub-grant and institutional funds throughout the contract period. Review of the project's success achieving the project goals, in the form of updated goal and objective forms will also be included. The Final Report must, at a minimum, include a complete budget statement, an assessment of outcomes, and the number of students aided by sub-grant activities, as well as a complete report of data gathered by the project.

**Form D Report**

Part 1 must be completed and submitted by May 1, 2014 for activities performed during the project. If applicable, Part 2 of Form D must be completed by August 1, 2014.

**FUNDING PRIORITIES:** This is a competitive procurement and all proposals will be evaluated individually based on the criteria listed in the evaluation section of the document.

**SELECTION CRITERIA:**Evaluation Approach

HESC will use a combination of pass/fail and scored evaluation methods to rate Bidders' proposals on a Best Value Approach. Using this approach, an award is made to the vendor submitting an acceptable proposal that receives the highest overall score for all evaluation criteria.

Evaluation Scoring

HESC will perform an Initial Screening of proposals received to determine whether or not proposals meet the requirements of the RFP. Proposal contents will be compared to RFP requirements to determine whether or not the proposal is complete and addresses RFP requirements. Proposals will receive either a passing or failing evaluation on the Initial Screening by HESC. Proposals that receive a failing evaluation on the Initial Screening will not be evaluated further.

The evaluation of all other criteria will be scored on a scale of zero (0) through and including six (6) by each evaluator. A score of three (3) is acceptable. A score higher than three indicates a rating that is greater than acceptable. Conversely, a score lower than three indicates a rating that is less

than acceptable. Any score of less than 3 by any evaluator means the proposal does not meet a requirement and will therefore result in the disqualification of that proposal. This score (0 through 6) is a Raw Score. Each evaluator's Raw Score will be added to all other evaluators' Raw Scores. The sum of evaluators' Raw Scores will be divided by the number of evaluators, resulting in an Average Raw Score. The Average Raw Score will be multiplied by the corresponding Weight for each Criterion as set by HESC. This will result in a Weighted Score for each criterion. Weighted Scores for each criterion will be added together and will result in a Total Weighted Score for each proposal. HESC's score will count for 80% of the final score with the REDC's score accounting for 20% of the final score.

Evaluation Ranking

HESC will identify the successful bidder(s) based upon the ranking of proposals in descending order per the Total Weighted Scores, (pending the conclusion of successful contract negotiations). In the event of a tie, the award will be made to the bidder that has demonstrated in its proposal, the most experience with engagements of similar nature to those being sought by HESC through this solicitation.

List of Evaluation Criteria/Weights/Description of Evaluation Criteria

List of Evaluation Criteria

- Initial Screening
- 1.0 Need for Project
- 2.0 Quality of Project Services
- 3.0 Management Structure and Plan
- 4.0 Quality of Project Evaluation
- 5.0 Quality of Project Staff

Weights for Evaluation Criteria

	Initial Screening	Not Weighted
1.0	Need for Project	15%
2.0	Quality of Project Services	20%
3.0	Quality of Management Structure and Plan	15%
4.0	Quality of Project Evaluation	15%
5.0	Quality of Project Staff	15%

Description of Evaluation Criteria

INITIAL SCREENING (Pass/Fail) (Not Weighted)

Included in this criterion is HESC's initial, sole discretionary determination as to whether the Bidder's proposal:

- Is complete (meets all RFP requirements); and
- Conforms to the format for proposals as prescribed in the RFP.

Criterion 1.0 – NEED FOR PROJECT (Scored) (Weight = 15%)

In determining the need of the proposed project, HESC considers the following factors:

- The extent to which the proposed project will provide services or otherwise address the needs of students at risk of educational failure; and
- The extent to which specific gaps or weaknesses in services, infrastructure or opportunities have been identified and will be addressed by the proposed project, including the nature and magnitude of those gaps or weaknesses.

Criterion 2.0 – QUALITY OF PROJECT SERVICES (Scored) (Weight = 20%)

In determining the quality of project services provided by the proposed project, HESC considers the quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age or disability.

HESC considers the following factors:

- The extent to which the Bidder's proposal demonstrates the experience of the Bidder to meet the RFP requirements and their ability to perform the services being proposed to HESC's satisfaction in an efficient and effective manner.
- The extent to which the services to be provided by the proposed project are appropriate to the needs of the intended recipients or beneficiaries of those services;
- The extent to which the services to be provided by the proposed project reflect awareness of and application of current research and best practices.
- The extent to which the proposed services are of sufficient quality, intensity and duration to lead to improvements in practice among the recipients of those services; The anticipated long-term and systemic effects of the services to be provided by the proposed project, on the recipients of those services; and
- The relevance and demonstrated commitment of each partner in the proposed project to the implementation and success of the project.

Criterion 3.0 – QUALITY OF MANAGEMENT STRUCTURE AND PLAN  
(Scored) (Weight = 15%)

In determining the quality of the management plan for the proposed project, HESC considers the following factors:

- The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines and milestones for accomplishing project tasks;
- The adequacy of procedures for ensuring feedback and continuous improvement in the operation of the proposed project; and
- The adequacy of support, including facilities, equipment, supplies and other resources, from the applicant organization or the lead applicant organization;
- The relevance and demonstrated commitment of each partner in the proposed project to the implementation and success of the project;
- The extent to which the costs are reasonable in relation to the number of persons to be served and the anticipated results and benefits.

- The potential for continued support of the project after Federal funding ends, including, as appropriate, the demonstrated commitment of appropriate entities to such support.

Criterion 4.0 – QUALITY OF THE PROJECT EVALUATION  
(Scored) (Weight = 15%)

In determining the quality of the project evaluation, HESC considers the following factors:

- The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible; and
- The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes.

Criterion 5.0 – QUALITY OF PROJECT STAFF (Scored) (Weight = 15%)

In determining the quality of project staff, HESC considers the quality of the staff that will carry out the proposed project as follows:

- The qualifications, including relevant training and experience of key project staff.

AWARD CRITERIA DETAILS Project activities will conform to the federal program limits and must include one or more services and activities described as follows:

- a. Providing information to students and families about postsecondary education opportunities and benefits, and how to plan for college and a career.
- b. Providing information on financing options for college and on financial literacy and debt management among students and families.
- c. Providing outreach activities for students who may be at risk of not enrolling in or completing postsecondary education. Such activities may include, but not be limited to, college retention visits, college tours, SAT preparation efforts and other outreach activities.
- d. Providing assistance in completion of the Free Application for Federal Student Aid or other common financial reporting form under section 483(a) of the Higher Education Act of 1965.

- e. Providing professional development for guidance counselors at middle schools and secondary schools, and financial aid administrators and college admissions counselors at institutions of higher education, to improve such individuals' capacity to assist target population students and parents with the following:
  - Understanding and meeting entrance requirements for admission to institutions of higher education;
  - State eligibility requirements for Academic Competitiveness Grants or National SMART Grants under section 401A, and other financial assistance that is dependent upon a student's coursework;
  - Applying for admission to institutions of higher education;
  - Applying for Federal student financial assistance and other State, Local, and private student financial assistance and scholarships;
  - Increasing students' ability to successfully complete the coursework required for a postsecondary degree, including activities such as tutoring or mentoring; and
  - Improving secondary school students' preparedness for postsecondary entrance examinations.

**ELIGIBLE AREA, CITY, COUNTY POPULATION LIMITS OR POPULATION TARGET TYPES:** Project activities are targeted to students and families who are living below the poverty line applicable to the individual's family size (as determined under section 673(2) of the Community Service Block Grant Act). Additionally, if an applicant proposes to serve a specific high school or middle school, that school must have at least 50 percent of its total student population eligible to participate in the federal free and reduced-price lunch program. This will serve as an acceptable indicator that CACG – funded activities are serving the priority population. Applicant must specifically identify the population to be served by the funded activity, providing geographical reference and size.

**LIMITATIONS:** This RFP seeks proposals for projects beginning on or after January 1, 2014 through August 31, 2014. The grant amount requested may not exceed \$50,000.

**4 awards will be made for a total of \$200,000.**

**PROJECT TERM COMPLETION DATES:** Project period will be from January 1<sup>st</sup>, 2014 and all activities must be completed by August 31, 2014.

**MATCHING FUND REQUIREMENTS:** No match is required.

**ADDITIONAL RESOURCES:** (provide websites, links to guidance documents, program contacts if available) Applicants should refer to OMB circular A-21, Cost Principles for Educational institutions or

OMB circular A-122 Cost Principles for Non-Profit Organizations as applicable for guidance on what expenses are allowable. Federal OMB Circulars can be found at the following web address: [http://www.whitehouse.gov/omb/circulars\\_index-education/](http://www.whitehouse.gov/omb/circulars_index-education/). There will be no reimbursement for those costs not allowed pursuant to the OMB Circular for example, computer equipment or laptops for staff usage.

## **New York State AmeriCorps Program**

**Funding Available: Up to \$1.5 million**

### **DESCRIPTION**

The New York State Commission on National and Community Service, in partnership with the New York Department of State, will award AmeriCorps program grants to successful applicant organizations for the purpose of recruiting individuals who will serve as AmeriCorps members to address community needs in the priority area of Economic Opportunity through a service-based program. AmeriCorps programs expand economic opportunity – helping Americans acquire the skills, education, and training they need for productive employment. By helping more Americans graduate, pursue higher education, and find work, national service provides immediate and long term benefits, by expanding individual opportunity, building family stability, and creating more sustainable, resilient communities.

In order to maximize the impact of the public investment in national service, applications will be funded which demonstrate community impact and solve community problems using an evidence-based or evidence-informed approach (e.g. performance data, research, theory of change). Progress toward proposed objectives and community impact will be measured through grantee reporting on pre-determined Performance Measures, as well as other fiscal and narrative reports.

AmeriCorps grants are awarded in New York by the State Commission on National and Community Service using federal funding appropriated by the U.S. Congress and sub-allocated by the Corporation for National and Community Service (CNCS). As a special initiative of the State Commission on National & Community Service in 2013-14, \$1.5 million in AmeriCorps funding will be awarded to successful applicants who will implement AmeriCorps programs that specifically address issue areas that align with the CNCS Economic Opportunity focus area and the Opportunity Agenda of Governor Cuomo.

AmeriCorps grants support the efforts of eligible national and community-based entities to recruit, train, and deploy AmeriCorps members and community volunteers with whom they work to tackle unmet needs. AmeriCorps grants will be awarded on a competitive basis to applicants that identify a problem(s) and persuasively demonstrate how deploying AmeriCorps members and community volunteers will produce significant impact.

AmeriCorps members will be recruited, trained, supervised, and managed by the grantee organization. Members may receive a living allowance and other benefits while serving as part of the AmeriCorps grant funding awarded. Upon successful completion of their service, AmeriCorps members are eligible to receive a Segal Education Award from the National Service Trust valued at \$5,550 for full-time members.

AmeriCorps grant awards and resources budgeted to meet the required Grantee Share (24% of total costs) must be used to support the operation of the funded application and achieve the intended objectives and performance measures. Both Federal and Grantee funds may support AmeriCorps Member Living Allowances, AmeriCorps Member Benefits, salary and/or benefits of agency staff hired to

oversee the AmeriCorps program, necessary supplies and materials, staff or AmeriCorps member training and travel as described in the approved application, or Administrative/Indirect Costs associated with operation of the grant not to exceed 5% of the total program cost. (See [CFA AmeriCorps Program - Budget Instructions](#) document for more information)

### **Standard Program Information**

1. All applications must request no fewer than 10 Member Service Years (MSY). One MSY is equivalent to 1700 service hours.
2. The maximum Federal (CNCS) funding that may be requested by one applicant in this competition is \$250,000. A Federal award at this level would require \$60,000 in Grantee Share to meet the annual minimum matching requirement of 24%. The State reserves the right to reduce the Federal Share of the applicant budget, but will work with the applicant in this situation to confirm feasibility of operation before any contract is awarded.
3. The State seeks to fund one AmeriCorps program in up to six regions of the state. (See "Selection Criteria" Section below for more detail)
4. Successful applicants that will place at least 20 MSY must budget for and place one full-time staff member to serve as AmeriCorps Program Director within their agency.
5. AmeriCorps members may: Perform direct service activities, and engage in other activities that build the organizational and financial capacity of nonprofit organizations and communities, including volunteer recruitment and certain fundraising activities. Generally, grantees must include a component of volunteer recruitment in their program design unless unfeasible. AmeriCorps members may engage in fundraising directly in support of service activities for up to 10% of their term of service.
6. AmeriCorps applicants may apply for up to \$13,300 per Member Service Year (MSY). An individual AmeriCorps Program's Cost per Member Service Year (MSY) is the budgeted grant costs for one year divided by the number of MSY awarded for one year; excluding child care costs and AmeriCorps Education Awards. (See [CFA AmeriCorps Program - Budget Instructions](#) document for more information)
7. All AmeriCorps grantees must conduct and document Criminal History Checks on all individuals who receive a living stipend, salary, Education Award, or other compensation, from either Federal Share or Grantee Share, through the AmeriCorps contract. Grantees must comply with the federal regulation and all applicable state and federal policies for implementation of the regulation. Applicants are strongly encouraged to visit the following link to view this regulation and other important information related to National Service Criminal History Checks: <http://www.nationalserviceresources.org/national-service-criminal-history-check-resources>.

### **Common Definitions**

The **Corporation for National & Community Service (Corporation, CNCS)** was established in 1993, the Corporation for National and Community Service (CNCS) is a federal agency that engages more than 5 million Americans in service through its core programs -- Senior Corps, AmeriCorps, Social Innovation Fund, and Volunteer Generation Fund -- and leads President Obama's national call to service initiative, United We Serve. As the nation's largest grant -maker for service and volunteering, CNCS plays a critical role in strengthening America's nonprofit sector and addressing our nation's challenges through service.

The **New York State Commission on National & Community Service (Commission)** is a diverse, non-partisan group comprised of representatives of business, labor, education, government and human service agencies who are appointed by the Governor. The Commission directs National Service Policy for the State and directly administers programs funded by the National Community Service Trust Act (1993) and Serve America Act (2009), including AmeriCorps State and the Regional Volunteer Program.

The **New York State Office of National and Community Service (NCS)** was established by Executive Order of the Governor in 1994 and serves as the administrative arm for the State Commission. With direction from the Office of the Governor, NCS functions to build and reinforce a culture of service, citizenship and responsibility, and to institute accountability and efficiency in the administration of AmeriCorps and Volunteer Generation programs operating in the state. The primary objectives of NCS include: (1) Connecting New Yorkers with service opportunities that positively impact their community and make New York the easiest State in the nation to volunteer; (2) Supporting a network of regional volunteer centers that connect individuals and groups with service opportunities, provide volunteer management training to non-profit organizations in New York State, and strengthen the statewide infrastructure of skill-based volunteers; and (3) Administering the State AmeriCorps program and other initiatives that leverage resources to meet pressing needs.

**AmeriCorps Member (Member)** means an individual: (1) Who is enrolled in an approved national service position; (2) Who is a U.S. citizen, U.S. national or lawful permanent resident alien of the United States; (3) Who is at least 17 years of age at the commencement of service unless the member is out of school and (a) enrolled in a full-time, year-round youth corps Program or full-time summer Program as defined in the Act (42 U.S.C. 12572 (a) (2)), in which case he or she must be between the ages of 16 and 25, inclusive, or (b) in a Program for economically disadvantaged youth as defined in the Act (42 U.S.C. 12572 (a)(9)), in which case he or she must be between the ages of 16 and 24, inclusive; and (4) Has a high school diploma or an equivalency certificate (or agrees to obtain a high school diploma or its equivalent before using an education award) and who has not dropped out of elementary or secondary school in order to enroll as an AmeriCorps member (unless enrolled in an institution of higher education on an ability to benefit basis and is considered eligible for funds under section 484 of the Higher Education Act of 1965, 20 U.S.C. 1091), or who has been determined through an independent assessment conducted by the Program to be incapable of obtaining a high school diploma or its equivalent.

**Member Service Year (MSY)** is synonymous with the term FTE, meaning “full-time equivalent.” MSY stands for “Member Service Year.” Because the terminology of an FTE is familiar to most organizations when talking about employees, the Corporation uses the MSY terminology as a reminder that AmeriCorps members are **NOT** employees. For the purposes of this grant, however, FTE and MSY are the same thing in concept. The term member service year, or MSY, more accurately describes units of AmeriCorps service than FTE, which is commonly associated with budgeting for employee payroll. One MSY is equivalent to 1700 service hours. AmeriCorps positions can be one MSY or a partial MSY. (See State AmeriCorps Program – Budget Instructions).

A **community volunteer** is an individual who donates his or her service to organizations that utilize volunteer resources to achieve their mission, but who is not an AmeriCorps member.

## **ELIGIBLE TYPES OF APPLICANTS**

AmeriCorps State grants are awarded to public or private nonprofit organizations, including faith-based and other community organizations; institutions of higher education; government entities within states or territories (e.g., cities, counties); Indian Tribes; labor organizations; partnerships and consortia; and intermediaries that will operate solely in New York State and focus on the Economic Opportunity priority area identified by the Serve America Act. (See “Performance Measure” section for more information)

## **ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS**

This grant is authorized by and subject to the National and Community Service Act of 1990, as amended by the Serve America Act, (42 U.S.C. 12501 *et seq.*) and the implementing regulations at 45 CFR Chapter XXV. Grantees must comply with the requirements of the Act and its implementing regulations.

The following circulars and their implementing regulations apply to states, Indian tribes, U.S. territories, and local governments:

- OMB Circular A-102, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments – 45 CFR Part 2541.
- OMB Circular A-87, Cost Principles for State and Local Governments – 2 CFR Part 225.
- OMB Circular A-133, Audits of States, Local Governments and Nonprofit Organizations.

The following circulars and their implementing regulations apply to nonprofit organizations:

- OMB Circular A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations – 45 CFR Part 2543 or 2 CFR Part 215.
- OMB Circular A-122, Cost Principles for Nonprofit Organizations – 2 CFR Part 230.
- OMB Circular A-133, Audits of States, Local Governments and Non-Profit Organizations.

Prior to submitting an AmeriCorps proposal in the Consolidated Funding Application (CFA) system, applicants are strongly encouraged to review the AmeriCorps Budget Checklist found in the Uploaded Documents section of the CFA.

### **Supervision and Support**

*Planning for the Term of Service* - The grantee must develop Member Position Descriptions that provide for meaningful service activities and performance criteria that are appropriate to the skill level of members. The grantee is responsible for ensuring that the positions do not include or put the AmeriCorps member in a situation in which the member is at risk for engaging in any prohibited activity (see 45 CFR § 2520.65), activity that would violate the non-duplication and non-displacement requirements (see 45 CFR § 2540.100), or prohibited fundraising activity (see 45 CFR §§ 2520.40-45). The grantee must accurately and completely describe the activities to be performed by each member in a position description. The grantee must ensure that each member has sufficient opportunity to complete the required number of hours to qualify for an education award.

*Member Service Agreements* - The grantee must require that each AmeriCorps member sign a Member Service Agreement that, at minimum, includes the following:

1. Member Position Description;
2. The minimum number of service hours (as required by statute) and other requirements (as developed by the grantee) necessary to successfully complete the term of service and to be eligible for the education award;
3. The amount of the education award being offered for successful completion of the terms of service in which the individual is enrolling;
4. Standards of conduct, as developed by the grantee or sub-grantee;
5. List of prohibited activities, including those specified at 45 §CFR 2520.65
6. Requirements under the Drug-Free Workplace Act (41 U.S.C. § 701 *et seq.*);
7. Civil rights requirements, complaint procedures, and rights of beneficiaries;
8. Suspension and termination rules;
9. The specific circumstances under which a member may be released for cause;
10. Grievance procedures; and
11. Other requirements established by the grantee.

*Supervision* - The grantee must provide members with adequate supervision by qualified supervisors consistent with the approved application. The grantee must conduct an orientation for members and supervisors, including training on what activities are prohibited during AmeriCorps service hours. The grantee must ensure that it does not exceed the limitation on member service hours spent in education and training set forth in 45 CFR § 2520.50.

*Performance Reviews* - The grantee must conduct and keep a record of at least a midterm and end-of-term written evaluation of each member's performance for Full and Half-Time members and an end-of-term written evaluation for less than Half-time members.

*Living Allowance Distribution* - A living allowance is not a wage. Grantees must not pay a living allowance on an hourly basis. Grantees should pay the living allowance in regular increments, such as weekly or bi-weekly, paying an increased increment only on the basis of increased living expenses such as food, housing, or transportation. Payments should not fluctuate based on the number of hours served in a particular time period, and must cease when the member's service ceases.

## **SUCCESSFUL APPLICANT REQUIREMENTS**

For the purposes of this grant, an AmeriCorps Contract Term is three years, consisting of one 12-month contract period, followed by two 15-month contract periods. The initial contract period may not exceed 12 months. Successful applicants must begin implementing their program no later than January 15, 2014 and the contract period end date for the first contract period is December 31, 2014.

Successful applicants identified to receive an AmeriCorps grant through the Consolidated Funding Application will be required to work with The State to develop a fully executed New York State Contract.

### **General Schedule and Payment**

1. Payment to successful applicants will only be made on a reimbursement basis upon complete and successful execution of a New York State Contract.
2. Total payment will not exceed the level in the approved application budget and is conditional upon the continued availability of Federal funds for this purpose.
3. The State may advance successful applicants a payment in an amount up to 25% if so requested by the successful applicant and deemed appropriate by The State.
4. The advance shall be recovered by crediting 33 1/3 percent of the advance against the 2<sup>nd</sup>,

3<sup>rd</sup> and 4<sup>th</sup> quarterly vouchers.

**Budget Revisions**

Budget Revisions are allowable after the grant award is made, however the successful applicant must obtain prior written approval from The State before deviating from its approved budget.

**Programmatic and Expenditure Reporting**

The successful applicant shall submit Progress and Expenditure Reports to The State in compliance with the approved State Contract and AmeriCorps Reporting Schedule below.

<b>AMERICORPS REPORTING SCHEDULE</b>	
<b>EXPENDITURE REPORTS</b>	
<b>Reporting Period</b>	<b>Report Due Date</b>
1/1/14 - 2/28/14	3/31/14
3/1/14 - 5/31/14	6/30/14
6/1/14 - 8/31/14	9/30/14
9/1/14 - 12/31/14	1/15/15
<b>PROGRESS REPORTS</b>	
<b>Reporting Period</b>	<b>Report Due Date</b>
1/1/14 - 2/28/14	3/31/14
3/1/14 – 9/30/14	10/31/14
10/1/14 – 12/31/14	1/15/15

**FUNDING PRIORITIES**

Through the CFA, The State will give priority funding consideration to applicants that focus solely or in-part on the Economic Opportunity Focus Area as defined in the Serve America Act. Program activity in the Economic Activity Focus Area will provide support and/or facilitate access to services and resources that contribute to the improved economic well-being and security of economically disadvantaged people. Grant activities will help economically disadvantaged people to: (1) have improved access to services and benefits aimed at contributing to their enhanced financial literacy; (2) transition into or remain in safe, healthy, affordable housing; (3) have improved employability leading to increased success in becoming employed; or (4) implement other initiatives that engage and provide resources through AmeriCorps member service to individuals who struggle to find or hold a job because of child-care responsibilities, a prior criminal record, a lack of training, or an unstable housing situation.

The quality of each AmeriCorps application will be assessed using the following scoring matrix:

<b>Application Assessment Criteria</b>		
<b>Category</b>	<b>%</b>	<b>Sub-Categories</b>
<b>Rationale &amp; Approach/ Program Design</b>	50%	Need (7 points)
		Members as Highly Effective Means to Solve Community Problems (10 points)
		Evidence-Based/Evidence-Informed & Measurable Community Impact (10 points)
		Member Recruitment (5 points)

		Member Training (5 points)
		Member Supervision (5 points)
		Member Experience (3 points)
		Volunteer Generation (3 points)
		Organizational Commitment to AmeriCorps Identification (2 points)
<b>Organizational Capability</b>	25%	Organizational Background and Staffing (8 points)
		Sustainability (6 points)
		Compliance and Accountability (11 points)
<b>Cost-Effectiveness &amp; Budget Adequacy</b>	25%	Cost-Effectiveness (13 points)
		Budget Adequacy (12 points)

### **APPLICATION REVIEW & SELECTION PROCESS**

Proposals submitted through the Consolidated Funding Application (CFA) for AmeriCorps funding which meet the application deadline will be included in the State AmeriCorps Application Review Process. Following the application due date, all proposals will be reviewed to confirm the following components are included: (1) Application Narrative; (2) Budget; (3) Performance Measures; and (4) any additional forms as outlined in the CFA. Applications that do not contain the aforementioned components or fail to adhere to the application or budget guidance documents may be considered ineligible and not receive further evaluation.

The State also seeks to fund quality proposals that are geographically diverse. The following process will be implemented in an attempt to have at least one AmeriCorps program operating in up to six of ten regions of the State as defined by the Regional Economic Development Council structure.

#### *Regional Council Review*

Regional Councils will review and rank applications based on a set of standards, referred to as “endorsement standards.” An application will be scored by the Regional Council in which the proposed project will take place. Regional Councils will assign each project a single score of 20, 15, 10, 5 or 0 (no fractions) based on merit. The Regional Council endorsement will account for 20% of the total review. In cases where an applicant is proposing a project with multiple locations in multiple regions, the Councils from each region will provide scores.

#### *The State Review*

Following the Regional Council Review, each application will be reviewed by two independent reviewers. Points awarded by each reviewer will be recorded and averaged. If there is a disparity of more than 15 points between the two reviewers, one additional review will be conducted and the three total points awarded will be averaged. The average points, and any additional Performance Measure Bonus awarded during this phase will account for 80% of the total application score. The final application score will be determined by adding the points awarded during the Regional Council Review (20%) with the points awarded during The State Review (80%).

Once all proposals have been assigned a final application score, the highest scoring application in each of the ten regions, that score an 80% or higher through the Application Review Process, will be moved to the top of the scoring chart in rank order of their score from highest to lowest. The State will fund the top application on the list, and fund each application that follows in rank order until all funding has been awarded.

In the event that an application is not submitted by at least six of the ten regions, or at least one application from six different regions does not receive a score of 80% or higher through the Application Review Process, The State may award a second AmeriCorps grant to an applicant within a region that already has one proposal funded. In this scenario, the application with the highest final score above 80% in any region would be funded, followed by the next highest scoring application regardless of region until all funding has been awarded.

Applicants may be funded at an amount less than their requested amount in order to maximize funding, and meet the geographic diversity priority.

## **PROHIBITED ACTIVITIES**

While charging time to the AmeriCorps program, accumulating service or training hours, or otherwise performing activities supported by the AmeriCorps program or the Corporation, staff and members may not engage in the following activities:

- (1) Attempting to influence legislation;
- (2) Organizing or engaging in protests, petitions, boycotts, or strikes;
- (3) Assisting, promoting, or deterring union organizing;
- (4) Impairing existing contracts for services or collective bargaining agreements;
- (5) Engaging in partisan political activities, or other activities designed to influence the outcome of an election to any public office;
- (6) Participating in, or endorsing, events or activities that are likely to include advocacy for or against political parties, political platforms, political candidates, proposed legislation, or elected officials;
- (7) Engaging in religious instruction, conducting worship services, providing instruction as part of a program that includes mandatory religious instruction or worship, constructing or operating facilities devoted to religious instruction or worship, maintaining facilities primarily or inherently devoted to religious instruction or worship, or engaging in any form of religious proselytization;
- (8) Providing a direct benefit to—
  - (i) A business organized for profit;
  - (ii) A labor union;
  - (iii) A partisan political organization;
  - (iv) A nonprofit organization that fails to comply with the restrictions contained in section 501(c)(3) of the Internal Revenue Code of 1986 except that nothing in this section shall be construed to prevent participants from engaging in advocacy activities undertaken at their own initiative; and
  - (v) An organization engaged in the religious activities described in paragraph (g) of this section, unless Corporation assistance is not used to support those religious activities;
- (9) Conducting a voter registration drive or using Corporation funds to conduct a voter registration drive;
- (10) Providing abortion services or referrals for receipt of such services; and
- (11) Such other activities as the Corporation may prohibit.

Individuals may exercise their rights as private citizens and may participate in the activities listed above on their initiative, on non-AmeriCorps time, and using non-Corporation funds. Individuals should not wear the AmeriCorps logo while doing so.

## **PERFORMANCE MEASURES**

## Focus Area Overview

Grants will provide support and/or facilitate access to services and resources that contribute to the improved economic well-being and security of economically disadvantaged people. Grant activities will help economically disadvantaged people to: (1) have improved access to services and benefits aimed at contributing to their enhanced financial literacy; (2) transition into or remain in safe, healthy, affordable housing; and (3) have improved employability leading to increased success in becoming employed; or (4) implement other initiatives that engage and provide resources through AmeriCorps member service to individuals who struggle to find or hold a job because of child-care responsibilities, a prior criminal record, a lack of training, or an unstable housing situation.

All applicants for AmeriCorps funding must submit at least two Performance Measures with their proposal. The list of Standardized Economic Opportunity Performance Measures can be found below. An applicant may also submit “Applicant Determined” Performance Measures or a combination of the two types. Applicant Determined Performance Measures include member activity that address a specific community need identified in the Application Narrative section, but do not align with one of the standardized Economic Opportunity Performance Measures. Proposals that include only Applicant Determined Performance Measures are not eligible for Bonus Points. (See “Selection Criteria” for more information.)

### 1. Financial Literacy

If your program model focuses on providing financial literacy services to economically disadvantaged individuals, you **MUST** select among the following measures. If you select O1, you must also select O9 as an aligned outcome measure.

<b>Measure O1</b>	Number of economically disadvantaged individuals receiving financial literacy services.
Definition of Key Terms	<i>Economically disadvantaged:</i> Must be receiving or meet the income eligibility requirements to receive: TANF, Food Stamps (SNAP), Medicaid, SCHIP, Section 8 housing assistance OR have a poor credit score OR are at least 60 days behind on one or more personal/family accounts. Individuals: May be a single individual or may represent a family; may be of any age considered an “adult” in the state where services are provided Financial literacy services: Includes “financial literacy education with regard to credit management, financial institutions including banks and credit unions, and utilization of savings plans” (2009 Serve America Act).
How to Calculate Measure/ Collect Data	Unduplicated count of individuals to whom the “financial literacy services” are provided. Note that this is not simply a referral service. Individuals may contact the organization more than once during the year to get help but each individual should be reported here only once. Services may be provided in-person, on the phone, or by email. Tracking mechanism appropriate for type of service. May be a sign-in sheet or a tracking database.

<b>Measure O9</b>	Number of economically disadvantaged individuals with improved financial knowledge.
Definition of Key Terms	<i>Disadvantaged individuals:</i> those counted as participating in O1. <i>Improved Financial Knowledge:</i> the financial literacy program should have learning objectives. Improved financial knowledge should be based on those pre-defined learning objectives. Individuals participating in financial literacy services should know more after they participate than before.

How to Calculate Measure/ Collect Data	Count of individuals provided services in O1 whose pre- and post-test scores indicate that they know more about at least one of the financial literacy topics presented.
	Must conduct pre/post-test to determine amount of knowledge gained.

## 2. Employment

If your program model focuses on providing job training or placement services to economically disadvantaged individuals, you MUST select among the following measures. If you select O2, you must develop your own aligned outcome measure. If you select O3, you must also select O10 as an aligned outcome measure.

<b>Measure O2</b>	Number of economically disadvantaged individuals receiving job training and other skill development services.
Definition of Key Terms	<p><i>Economically disadvantaged individuals:</i> Must be receiving or meet the income eligibility requirements to receive: TANF, Food Stamps (SNAP), Medicaid, SCHIP, Section 8 housing assistance OR have a poor credit score OR are at least 60 days behind on one or more personal/family accounts.</p> <p><i>Job training:</i> occupational skill training delivered in an institutional or classroom setting or skill training provided in an experiential workplace setting (may be called on-the-job training or work experience). P. 3, Job Training Policy in the United States, The Upjohn Institute, 2004.</p> <p><i>Other skill development services:</i> these include:</p> <ul style="list-style-type: none"> <li>• Remedial Education such as Adult Basic Education, GED Education, Adult ESL Education.</li> <li>• Classroom soft skills training that provides information about appropriate workplace behavior or job search skills.</li> </ul>
How to Calculate Measure/ Collect Data	Unduplicated count of individuals completing the job training or skill development service for which they enrolled.
	Course attendance records.

<b>Measure O3</b>	Number of economically disadvantaged individuals receiving job placement services.
Definition of Key Terms	<p><i>Economically disadvantaged individuals:</i> Must be receiving or meet the income eligibility requirements to receive: TANF, Food Stamps (SNAP), Medicaid, SCHIP, Section 8 housing assistance OR have a poor credit score OR are at least 60 days behind on one or more personal/family accounts.</p> <p><i>Job placement services:</i> These services include job search and placement assistance (including career counseling); labor market information (which identifies job vacancies; skills needed for in-demand jobs; and local, regional and national employment trends); initial assessment of skills and needs; information about available services.</p>
How to Calculate Measure/ Collect Data:	Unduplicated count of individuals completing the job placement services for which they enrolled.
	Course attendance records.

<b>Measure O10</b>	Number of economically disadvantaged individuals placed in jobs.
Definition of Key Terms	<p><i>Economically disadvantaged individuals:</i> Individuals counted for O3</p> <p><i>Placed in jobs:</i> individual is hired in a new job as a result of job placement services provided; individual may have been previously working in a different job or previously unemployed.</p>

How to Calculate Measure/ Collect Data	Count of individuals receiving services in O3 who are hired into a new job. Count each individual only once even if the individual receives placement in more than one job.
	Suggested method is a copy of acceptance letter from employer or copy of first pay stub.

### 3. Finding Economic Opportunity for National Service Participants

If your program model focuses on helping economically disadvantaged participants complete their high school education, attend college, and/or obtain employment, you MUST select among the following measures. If you select O12, you must also select O15 as an aligned outcome measure; If you select O12, you must select an additional program measure that measures community impact; If you select O14, you must also select O17 as an aligned outcome measure; If you select O14, you must select an additional program measure that measures community impact; If you select O17, you must select an additional measure that measures community impact; If you select O13, you must also select O16 as an aligned outcome measure.

<b>Measure O12</b>	Number of economically disadvantaged National Service Participants who are unemployed prior to their term of service.
Definition of Key Terms	This measure is a <i>count of individuals</i> who are entered into CNCS' National Service Trust database, who complete their term of service, earn an education award, or leave service due to compelling circumstances (see 45 CFR §2522.200). Individuals who are not enrolled in the National Service Trust, or who are dismissed, will not be counted. <i>Economically disadvantaged National Service Participants:</i> Current National Service Participants who are receiving or meet the income eligibility requirements to receive: TANF, Food Stamps (SNAP), Medicaid, SCHIP, Section 8 housing assistance. <i>Unemployed:</i> do not have paid, regular employment or were not serving in the military/national guard within the month prior to beginning their term of service.
How to Calculate Measure/ Collect Data	Count of economically disadvantaged National Service Participants who are unemployed prior to term of service according to above definition.
	Suggested: Self-report of National Service Participant at beginning of term of service. Program will have to wait until end of term of service to determine if the member should be counted here. Would only be counted if: (1) meet the count of individuals as define above and (2) have not been admitted for another term of service.
Additional Notes	If the applicant's or grantee's goal is to help the National Service Participants obtain employment during their term of service that may result in the National Service Participants leaving service early, they should ensure that the program has approved design that includes exit for "compelling personal circumstances" as specified in 45 CFR §2522.230.  The program should collect the data at the time the National Service Participant begins service. What were you doing most of last month? <input type="checkbox"/> Working at a regular job <input type="checkbox"/> Serving in the military / reserves <input type="checkbox"/> Working sporadically <input type="checkbox"/> Looking for work <input type="checkbox"/> Other _____

<b>Measure O15</b>	Number of economically disadvantaged National Service Participants that secure employment during their term of service or within one year after finishing the program
Definition of Key Terms	<p>This measure is a <i>count of individuals</i> who are entered into CNCS' National Service Trust database, who complete their term of service, earn an education award, or leave service due to compelling circumstances (see 45 CFR §2522.200). Individuals who are not enrolled in the Education Trust, or who are dismissed, will not be counted.</p> <p><i>Economically disadvantaged National Service Participants:</i> Current National Service Participants who are receiving or meet the income eligibility requirements to receive: TANF, Food Stamps (SNAP), Medicaid, SCHIP, Section 8 housing assistance</p> <p><i>Securing employment</i> refers to paid, regular employment or serving in the military/national guard within the past week.</p> <p>The span of time for which a member will be counted under this measure includes enrollment to 12 months after a member leaves service or within the subsequent cycle for the alumni survey. This enables the measure to include members who obtain employment while enrolled in the program.</p>
How to Calculate Measure/ Collect Data	<p>If the applicant's or grantee's goal is to help the National Service Participants obtain employment during their term of service that may result in the National Service Participants leaving service early, they should ensure that the program has approved design that includes exit for "compelling personal circumstances" as specified in 45 CFR §2522.230.</p> <p>Count of individuals in O12 who are hired into a job within one year after finishing the program. Count each individual only once even if the individual receives placement in more than one job.</p> <p>What were you doing most of last week?</p> <p><input type="checkbox"/> Working at a regular job</p> <p><input type="checkbox"/> Serving in the military / reserves</p> <p><input type="checkbox"/> Working sporadically</p> <p><input type="checkbox"/> Looking for work</p> <p><input type="checkbox"/> Other _____</p> <p>Suggested: Copy of acceptance letter from employer or copy of first pay stub.</p>

<b>Measure O14</b>	Number of National Service Participants who have their high school diploma or equivalent but have not completed a college degree prior to their term of service.
Definition of Key Terms	<p>This measure is a <i>count of individuals</i> who are entered into CNCS' National Service Trust database, who complete their term of service, earn an education award, or leave service due to compelling circumstances (see 45 CFR §2522.200). Individuals who are not enrolled in the National Service Trust, or who are dismissed, will not be counted.</p> <p><i>College</i>, as defined for this performance measure, refers to any postsecondary higher education institution. Therefore, it includes colleges, universities, and technical and vocational schools (definition of college per US Census).</p>
How to Calculate Measure/ Collect Data	<p>Program will have to wait until end of term of service to determine if the member should be counted here. Would only be counted if member meets the count of individuals as defined above. The program should collect the data at the time the National Service Participant begins</p>

	<p>service.</p> <p>Have you obtained your GED/diploma?</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Not sure. Explain. _____</p> <p>Have you completed a college degree?</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Not sure. Explain. _____</p>
--	--

<b>Measure O17</b>	Number of members that complete a college course within one year after finishing a CNCS-supported program
Definition of Key Terms	<p>This measure is a <i>count of individuals</i> who are entered into CNCS' National Service Trust database, who complete their term of service, earn an education award, or leave service due to compelling circumstances (see 45 CFR §2522.200). Individuals who are not enrolled in the National Service Trust, or who are dismissed, will not be counted.</p> <p><i>College</i>, as defined for this performance measure, refers to any postsecondary higher education institution. Therefore, it includes colleges, universities, and technical and vocational schools (definition of college per US Census).</p> <p><i>Complete a college course</i>: may have enrolled in course during term of service and completed after term of service ends or may enroll and complete after term of service ends; may or may not pass course but did not drop out and did not take an "incomplete"; course schedule would indicate that course has finished by the time measure has been taken</p> <p><i>Within one year</i> refers to 12 months after a member leaves service, or within the subsequent cycle for the alumni survey.</p>
How to Calculate Measure/ Collect Data	<p>Of the members counted in O14, count of how many complete a college course as defined above within 12 months after a member leaves service.</p> <p>Have you obtained your completed a college course since leaving the program?</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> <p>If yes, does this course contribute toward a recognized college degree or educational credential?</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p>

<b>Measure O13</b>	Number of economically disadvantaged National Service Participants who have not obtained their high school diploma or equivalent prior to the start of their term of service.
Definition of Key Terms	<p>This measure is a <i>count of individuals</i> who are entered into CNCS' National Service Trust database, who complete their term of service, earn an education award, or leave service due to compelling circumstances (see 45 CFR §2522.200). Individuals who are not enrolled in the National Service Trust, or who are dismissed, will not be counted.</p> <p><i>Economically disadvantaged National Service Participants</i>: Current National Service Participants who are receiving or meet the income eligibility requirements to receive: TANF, Food Stamps (SNAP), Medicaid, SCHIP, Section 8 housing assistance.</p>
How to Calculate Measure/	Program will have to wait until end of term of service to determine if the

Collect Data	<p>member should be counted here. Would only be counted if member meets the count of individuals as defined above.</p> <p>The program should collect the data at the time the National Service Participant begins service.</p> <p>Have you obtained your GED/diploma?</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Not sure. Explain. _____</p>
--------------	---

<b>Measure O16</b>	Number of National Service Participants that obtain a GED/diploma while serving in a CNCS program or within one year after finishing the program.
Definition of Key Terms	<p>This measure is a <i>count of individuals</i> who are entered into CNCS' National Service Trust database, who complete their term of service, earn an education award, or leave service due to compelling circumstances (see 45 CFR §2522.200). Individuals who are not enrolled in the Education Trust, or who are dismissed, will not be counted.</p> <p><i>Economically disadvantaged National Service Participants:</i> Current National Service Participants who are receiving or meet the income eligibility requirements to receive: TANF, Food Stamps (SNAP), Medicaid, SCHIP, Section 8 housing assistance.</p> <p>The span of time for which a member will be counted under this measure includes enrollment to 12 months after a member leaves service or within the subsequent cycle for the alumni survey. This enables the measure to include members who obtain a GED/diploma while enrolled in program.</p>
How to Calculate Measure/ Collect Data	<p>Of the members counted in O13, count of how many obtained a GED/diploma either during their term of service or within 12 months after the term of service ends.</p> <p>Have you obtained your GED/diploma since [enter date of enrollment]?</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> <p>Have you obtained your GED/diploma since leaving the program?</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p>

#### 4. Housing

If your program model focuses on providing housing services to economically disadvantaged and homeless families and individuals, you **MUST** select among the following measures. If you select O5, you must also select O11 as an aligned outcome measure; If you select O4, you must also develop your own aligned outcome measure.

<b>Measure O5</b>	Number of economically disadvantaged individuals, including homeless individuals, receiving housing services.
Definition of Key Terms	<p><i>Economically disadvantaged:</i> Must be receiving or meet the income eligibility requirements to receive: TANF, Food Stamps (SNAP), Medicaid, SCHIP, Section 8 housing assistance OR have a poor credit score OR are at least 60 days behind on one or more personal/family accounts.</p> <p><i>Homeless:</i> Individuals who spend the night in a place not intended for human habitation, in an emergency shelter, or in a transitional housing facility. See the Dept. of Housing and Urban Development definition at <a href="http://www.hud.gov/homeless/definition.cfm">http://www.hud.gov/homeless/definition.cfm</a></p> <p><i>Individuals:</i> Each unique person who will be occupying the unit legally including adults and children but not unborn children.</p> <p><i>Housing services:</i> Helps qualifying individuals find appropriate housing,</p>

	find the resources to support use of appropriate housing, and assists individuals in accessing the appropriate housing. May or may not result in an actual placement. May also include hands-on housing development and repair activities. <i>Housing development</i> adds to the housing stock by building a new unit or substantially rehabilitating a unit that was either uninhabitable or soon would have become so. Involves replacing major systems such as the roof, the plumbing, the wiring, the foundation, or elevating the unit as required by a flood plain standard. <i>Housing repair</i> is a more modest level of physical work on the unit, such as weatherizing, painting, replacing appliances and removing safety hazards. <i>Service</i> requires an engagement with the individual in person, by phone, or through a web-interface. Pamphlets, brochures, or web-based information that does not involve a human interaction is not sufficient.
How to Calculate Measure/ Collect Data	Count of <i>Individuals</i> as defined above benefitting from the housing service. Can only count each individual once during the program year even though it may be necessary to provide services to the individual more than once. Programs that are only able to count <i>Housing Units</i> should report on Measure O4 (Tier 3).  The data should be collected using a tracking mechanism appropriate for the type of service, which may include: CNCS-supported agency's administrative or call center records, referral logs, attendance logs or sign-in sheet, client tracking database, or other information management system. The client tracking database should have unique IDs (e.g. Homeless Management Information System (HMIS)).
<b>Measure O11</b>	Number of economically disadvantaged individuals, including homeless individuals, transitioned into safe, healthy, affordable housing.
Definition of Key Terms	<i>Economically disadvantaged</i> : Must be receiving or meet the income eligibility requirements to receive: TANF, Food Stamps (SNAP), Medicaid, SCHIP, Section 8 housing assistance OR have a poor credit score OR are at least 60 days behind on one or more personal/family accounts. <i>Homeless</i> : Individuals who spend the night in a place not intended for human habitation, in an emergency shelter, or in a transitional housing facility. See the Dept. of Housing and Urban Development's definition at <a href="http://www.hud.gov/homeless/definition.cfm">http://www.hud.gov/homeless/definition.cfm</a> <i>Individuals</i> : Each unique person who will be occupying the unit legally including adults and children but not unborn children. <i>Safe, healthy, affordable housing</i> : Family or individual moves into a housing unit with secure tenure (lease or ownership document). Grantee certifies that the housing is safe and healthy, based on an inspection or other documentation. Grantee defines affordability and certifies that the housing unit is affordable to the household. See the Dept. of Housing and Urban Development's Affordable Housing page at <a href="http://www.hud.gov/offices/cpd/affordablehousing/">http://www.hud.gov/offices/cpd/affordablehousing/</a>
How to Calculate Measure/ Collect Data	Count of individuals. Can only count each person once during the program year even though it may be necessary to provide services more than once.  An inspection report and certificate of occupancy, proof of residence such as lease or mortgage, or other verification from an external agency that the work was completed and is being occupied might be used.
<b>Measure O4</b>	Number of housing units developed, repaired, or otherwise made available for low-income individuals, families or people with disabilities.
Definition of Key Terms	<i>Housing unit</i> : A single-family home (including a mobile home if

	<p>permanently placed), an apartment, or a room in a group home for people with disabilities.</p> <p><i>Develop:</i> Build new or substantially rehabilitate housing units that were uninhabitable or soon would have become so. Involves replacing major systems such as the roof, the plumbing, the wiring, the foundation, or elevating the unit as required by a flood plain standard.</p> <p><i>Repair:</i> A more modest level of physical work on the unit, such as weatherizing, painting, replacing appliances and removing safety hazards.</p> <p><i>Otherwise made available:</i> Activities that make available through improved access a housing unit that is in the housing stock and likely to remain habitable. For example, assistance in searching for the unit, a rent subsidy that makes the unit affordable to the individual or family.</p> <p><i>Low-income:</i> Must be receiving or meet the income eligibility requirements to receive: TANF, Food Stamps (SNAP), Medicaid, SCHIP, Section 8 housing assistance OR have a poor credit score OR are at least 60 days behind on one or more personal/family accounts.</p> <p><i>Individuals and families:</i> The U.S. Census definition of “household,” which includes all the persons who occupy a housing unit. The occupants may be a single family, one person living alone, two or more families living together, or any other group of related or unrelated persons who share living arrangements.</p> <p><i>People with disabilities:</i> Subset of individuals and families that meets a definition related to inability to live independently without support (could use HUD definition). Separate mention in this measure may not be needed, but could leave it in and count units for people with disabilities separately to acknowledge emphasis on this population.</p>
<p>How to Calculate Measure/ Collect Data</p>	<p>Unduplicated count of <i>Housing Units</i> developed, repaired, or otherwise made available as defined here for low income individuals, families or persons with disabilities. This count indicates that the work has been completed to make the units available but they may or may not have been occupied.</p> <p>Programs can use a dollar cut-off to distinguish “developed” from “repaired” (e.g., 30K/unit) or can distinguish by whether major systems are replaced. Dollar cut-off would require valuing volunteer labor, distinguishing between skilled trades and other workers.</p> <p>Programs that are able to count <i>Individuals</i> placed in the housing units they develop, repair or make available should report on Measure O5</p> <p>Inspection report, certificate of occupancy, or other verification from an external agency that the work was completed.</p>

**ADDITIONAL RESOURCES**

“Is an AmeriCorps Grant Right for My Organization” resource document  
<http://www.newyorkersvolunteer.ny.gov/docfiles/Is%20An%20AmeriCorps%20Grant%20Right%20For%20Your%20Organization4.pdf>

New York State Commission on National & Community Service website  
[www.NewYorkersVolunteer.ny.gov](http://www.NewYorkersVolunteer.ny.gov)

New York State AmeriCorps Program & Member Management resources  
<http://www.newyorkersvolunteer.ny.gov/NationalService/AmeriCorps.aspx#aLinks>

2012 Federal AmeriCorps Grant Provisions document

[http://www.ofm.wa.gov/servewa/grantees/AC\\_Provisions\\_2012.pdf](http://www.ofm.wa.gov/servewa/grantees/AC_Provisions_2012.pdf)

Corporation for National & Community Service website

[www.cns.gov](http://www.cns.gov)

CFA AmeriCorps Program - Budget Instructions & Checklist

[http://www.newyorkersvolunteer.ny.gov/docfiles/CFA\\_AmeriCorps\\_Program\\_-\\_Budget\\_Instructions\\_fin.pdf](http://www.newyorkersvolunteer.ny.gov/docfiles/CFA_AmeriCorps_Program_-_Budget_Instructions_fin.pdf)

## **Supplemental Nutrition Assistance Program (SNAP) Opportunities - Employment and Training Initiative**

**Funding Available: Up to \$3 million**

### **DESCRIPTION**

The Supplemental Nutrition Assistance Program (SNAP) Opportunities program will provide up to \$3 million in federal SNAP Employment & Training (SNAP E&T) reimbursement funds to selected contractors, which may include both for-profit and non-profit employers, to provide job preparation and retention services to permit recipients of SNAP benefits, particularly those residing in the Regional Economic Development Council (REDC) Opportunity Area (s), to obtain and maintain employment. Eligible expenses may include job readiness training, job skills training, education related to employment, job coaching, and other services related to successful job placement and retention. Contractors are expected to partner with employers, or are the employers themselves, to ensure program participants have employment opportunities.

Awards of up to \$300,000 per applicant will be made, and up to one project from each of the 10 regions. Funding is contingent upon approval from the United States Department of Agriculture (USDA). Awards made shall not duplicate any payment provided or funding otherwise made available by the Office of Temporary and Disability (OTDA) or any other federal, State, or local government entity. Should additional funds be made available to support this program, OTDA reserves the right to make awards in excess of the amount listed above. Conversely, if less than the expected \$3 million is available, OTDA reserves the right to decrease awards amounts.

*Catalog of Federal Domestic Assistance (CFDA) title and number for FSP: 10.561, Supplemental Nutrition Assistance Program (SNAP)*

### **NON-FEDERAL FUNDING REQUIREMENT**

Federal SNAP E&T funds are available to meet 50% of the costs of services. Each applicant must identify the source and amount of eligible non-federal funds they will use to support program services. If awarded funding under the SNAP Opportunities program through the Consolidated Funding Application (CFA), awardees will be required to complete the SNAP Opportunities budget as part of their negotiated contract with OTDA. The negotiated budget will include the SNAP E&T funds and the non-federal funds contributed by the applicant as planned to support program services.

#### ***Eligible Funding Sources***

- Non-Public Agencies (Including Employers):

Non-public agencies and employers must provide cash donations from non-federal third parties. This could include donations from a charitable foundation/organization, but cannot include private cash donations from an individual. Local tax levy dollars that are received by the agency

could be used toward the non-federal funding requirement. Employers may use their own cash as the non-federal funding requirement.

- **Government/Public Agencies**

In addition to cash donation and tax levy dollars, government/public entities may also use eligible in-kind contributions to satisfy all or a portion of the local funding requirement. In-kind contributions are property or services which benefit the project or program and which are contributed by non-federal third parties without charge to the grantee. Examples of in-kind benefits may include:

- Use of classroom space from a school district when they do not expect payment for use of the space; and
- Teacher's time donated by a school district.

A governmental entity is defined as any organization of State or local government that is supported by funds derived from general tax revenues of a State or locality specifically allocated from appropriate budgetary authority, such as a State legislature, county or local government. Examples of governmental entities that may receive payments for in-kinds include school districts, BOCES, State universities and State community colleges.

***Ineligible Funding Sources***

- Federal funds (including, but not limited to, Title II, TANF, VESID, WIA and OASAS);
- Any local, State or private funding that is already otherwise being used as a match for federal funding purposes;
- New York City Adult Literacy Initiative (NYCALI) funded by WIA; and
- Support services such as childcare or transportation.

**ELIGIBLE TYPES OF APPLICANTS**

- Non-profit organizations such as school districts, Boards of Cooperative Educational Services (BOCES), Workforce Investment Boards (WIBs), community colleges and community-based organizations;
- For-profit businesses, including corporations, LLCs, LLPs, etc.

Social services districts (SSD) are ineligible to apply under the CFA as they already have access to 50% SNAP E&T reimbursement funding.

Applicant organizations will be asked to secure SSD support of their proposal, and if selected, be required to coordinate with the SSD to develop a mechanism to accept referrals of SNAP applicants/recipients and confirm program eligibility and coordinate employment services as needed.

**ELIGIBLE ACTIVITIES**

Applicants will be given latitude in designing their programs to best meet the needs of their REDC's Opportunity Agenda strategic plan and may include the following activities/components:

- Job search and placement – supervised contact of employers in an effort to obtain a job placement in available, appropriate positions.
- Job readiness assistance – preparation for employment through training in areas such as employer expectations, appropriate work-place conduct, personal appearance, job application and resume writing, job interviewing techniques and job seeking skills.
- Job skills training/vocational education – instruction in a specific skill or occupation with a specific vocational objective.
- Education training related to employment – may include literacy training, GED preparation or English Language Instruction.
- Work experience – activity that improves the employability of participants through actual unpaid work experience in the public or non-profit sector. Individuals may not participate in SNAP work experience for hours that exceed the household’s SNAP plus any safety net cash benefit divided by the federal or State minimum wage, whichever is higher.
- Subsidized employment – paid employment in the private or public sector and on-the-job training during a limited period of time during which the wages of the participant are subsidized. SNAP funds may not be used to pay the wages but may be used to support the administration of a subsidized employment program. Subsidized employment may not be counted toward the 90 day retention goal. Only 90 days in unsubsidized employment is considered.
- Job retention – provides support services for up to 90 days to individuals who have secured employment. Only individuals who have received other services under the SNAP program including job readiness assistance are eligible for job retention services. Note that SNAP funds cannot be used to provide retention services for those participants who were employed at the time of enrollment.
- Job skills training may be provided before and/or after job placement.

Program providers are encouraged to offer both “soft skills” training (workplace preparation training, teamwork, problem solving, time management, conflict resolution, etc.) as well as vocational/technical skills training. Individuals enrolled in any SNAP activity should also receive case management services including career planning, assistance with child care and transportation arrangements or other intervention necessary to support program completion, job placement and job retention.

Grant applicants are required to establish employer agreements with hiring commitments from partners as part of their application. In addition to providing local area employers with a trained employee, OTDA will work with the provider to identify possible tax credits area employers may be eligible for, such as the Work Opportunity Tax Credit (WOTC). OTDA Jobs staff will be available to assist contractors in pre-qualifying individual job applicants for available tax credits.

### **INELIGIBLE ACTIVITIES**

Selected SNAP Opportunity program contractors may not expend any SNAP E&T funds or the non-federal funding on the following:

- Wage subsidies;

- Supervision of, or materials and equipment necessary to support, individuals participating in unpaid work experience;
- Medical services of any kind;
- Substance abuse services;
- Computers for participants or internet connections for participants;
- Activities that exceed 120 hours per month (unless the individual volunteers to participate for the additional hours);
- To supplant non-federal funds for basic educational programs normally available to citizens of a State, county or local jurisdiction and are supported by funds from those entities;
- Automobile purchase, insurance, and ownership and operator taxes (tag, title, license).

Additionally, the following are an illustrative, but not an exhaustive listing, of the types of items that are not allowable direct or indirect costs:

- Advertising costs, except for recruitment of personnel or procurement of scarce items, or those specifically required by the CFA;
- Capital expenditures for improvement or acquisition of facilities;
- Interest costs incurred by provider agencies;
- Costs of organized fundraising;
- Medical costs;
- Costs for attendance at conferences or meetings of professional organizations, unless attendance is necessary in connection with the project.
- Costs for preparation of continuation agreements and other proposal development costs; and
- Monetary incentives for participants.

### **RECRUITMENT/REFERRAL OF SNAP OPPORTUNITY PROGRAM RECIPIENTS**

The initiative will serve low-income adult applicants for, or recipients of, SNAP benefits who are at least 18 years of age, or 16-17 and not in school, with a priority to serve unemployed and underemployed individuals. Priority should be given to individuals residing in the REDC Opportunity Area(s), including individuals in receipt of both SNAP and Safety Net Assistance. Individuals in receipt of Temporary Assistance for Needy Families (TANF) funded public assistance are **not** eligible for services under this program, according to SNAP program rules. Participation in a SNAP program may not exceed the allowable 120 hours monthly unless the additional hours are voluntary on behalf of the participant. It is the expectation that SNAP Opportunities contractors will have a marketing plan in place to recruit eligible participants for the program, which may include working directly with the SSD for appropriate referrals.

All SNAP program participants will be required to sign the SNAP Opportunities Enrollment and Consent Form. This form will be provided by OTDA after applications are awarded and serves two purposes. The first is to advise applicants that they are enrolled in the SNAP Opportunities Program that is intended to improve their ability to secure and/or maintain employment. Its second purpose is to advise them that information regarding their participation may be shared with the local department of social services, and that income received as a result of their participation may result in changes to their current SNAP or Temporary Assistance benefits.

Additionally, federal rules require that those who fail to comply with program requirements without good cause (with the exception of volunteers) will have their SNAP benefit reduced or discontinued. Providers will be responsible for reporting noncompliance to the SSD along with available information regarding the circumstances of noncompliance, as required by federal regulations.

Coordination with the SSD - Respondents to the CFA are required to include a Letter of Support from their local SSD acknowledging their support of the SNAP Opportunities Program, and serving as the basis for ongoing coordination and exchange of information. Providers selected through the CFA will be required to report program noncompliance that is without good cause to the SSD, as required by federal regulations. Further, once a SNAP recipient becomes employed, awardees must submit proof of employment to the SSD for purposes of required SNAP budgeting and to OTDA to verify employment. It is important that each selected organization work with their SSD in helping eligible SNAP recipients gain access child care and child care subsidies.

It is recommended that selected contractors have a plan in place with the SSD for purposes of:

- Receiving referrals of individuals appropriate for the program and job openings;
- Determining participant eligibility; and
- Coordinating support services.

Additionally, applicant organizations need to be aware of and comply with the district's process for obtaining a letter of support and include sufficient time to obtain the document by the CFA close out period. For example, the NYC Human Resources Administration (HRA) requires that these requests be submitted to the Commissioner/Administrator and the Grants Officer in the Finance Office three weeks prior to the date the letter is required. At the time of the request, HRA also requires the submission of a complete or substantially complete proposal and a one-page summary of the proposal. A listing of Employment Coordinators by county is included on OTDA's website.

#### **MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISES (MWBE) CONTRACT GOAL**

For purposes of this procurement, OTDA will establish an overall goal of 20% for MWBE participation, 10% for Minority-Owned Business Enterprises (MBE) participation and 10% for Women-Owned Business Enterprises (WBE) participation (based on the current availability of qualified MBEs and WBEs). Additionally, an overall 10-20% goal for Equal Employment Opportunity Participation will be established.

#### **REIMBURSEMENT**

The initial contract period will run for a one-year period beginning January 1, 2014, with the option to extend for an additional two years. Depending on the outcome of this initial effort, OTDA may, at its discretion, determine that a new solicitation is necessary to most effectively meet the needs of the REDC Opportunity Agenda. OTDA may also decide to discontinue any funding it makes available through the REDC. Additionally, any further contract award may be limited based on program performance.

Contracts with providers will be 100% cost based with 20% of total reimbursement contingent on program outcomes. Selected contractors will earn 50% federal reimbursement through line item voucher submissions. All individual voucher claims must fit the classification of allowable costs that are reasonable and necessary as determined by OTDA.

OTDA will retain 20% of all voucher submissions. Upon successful completion of the 90 day job retention goals established through contract negotiations, OTDA will remit payment in full, or a proportionate percentage of, the retained award. Employment must be unsubsidized and, at a minimum, pay the equivalent of 30 hours per week at minimum wage to be considered toward contract goals. The New York State minimum wage will increase to \$8.00/hr. on December 31, 2013. Because

this program is scheduled to begin January 1, 2014, the \$8.00/hr. will be used to calculate the total wages. Further increase of the minimum wage will change the equivalent wage total. The minimum wage that is in effect during the 90 day period will be used to determine if the job meets contract standards.

**OTHER PROCUREMENT CONDITIONS**

Costs for SNAP Opportunities must be directly related to the delivery of the program, services and activities that will take place. Selected applicants will establish program budgets as part of contract negotiation. Only eligible expenditures that are defined by OTDA as reasonable and necessary to support the program will be allowed. The budget which will reflect the SNAP Opportunities funds requested and the required non-federal funding.

OTDA is requiring that no more than 15% of the total line-item budget be expended on non-program related expenses. The following table may be used as a tool to assist in distinguishing program from administrative costs, and is intended to provide guidance in the preparation of the SNAP Opportunities line-item budget:

Administrative Costs	Program Costs
<p>Costs for the general administration and coordination of this program, including contract costs for administrative functions. Examples of administrative costs include:</p> <ul style="list-style-type: none"> <li>• The salaries and benefits of staff performing administrative and coordination functions;</li> <li>• Costs associated with the preparation of program plans, budgets, and schedules;</li> <li>• Costs involved in the monitoring or tracking of programs and projects;</li> <li>• Procurement activities;</li> <li>• Services related to accounting, audits, management of property, payroll and personnel; Costs for the goods or services required for the delivery of the administrative functions listed above, such as the costs for supplies, equipment, travel, postage, utilities, rental and maintenance of office space.</li> </ul>	<p>Examples of program costs include:</p> <ul style="list-style-type: none"> <li>• Salary and benefit costs for staff providing program services and direct costs associated with providing direct services, such as costs for supplies, equipment, travel, postage, utilities, rental and maintenance of office space;</li> <li>• Work supports and case management, including the costs of contracts devoted entirely (including incidental administrative costs) to these activities.</li> </ul>

**SELECTION CRITERIA (OTDA will not fund any project that scores less than 60 total points.)**

***Project Summary (15 points)***

The application identifies the roles and responsibilities of the partner agencies involved in the project, and includes a letter of commitment from at least one employer to hire participants either during or at completion of the program. The specific instructional programs, job readiness assistance, or job skills training that will be provided to help participants make educational advances and obtain job related skills are described. The job placement, retention and improvement strategies that will be used to enable participants to enter and retain employment are outlined. The application explains how each participant will be connected with the case management and support services needed to participate and retain employment.

***Recruitment, Referral and Outreach (5 points)***

The application describes how the program will be outreached and how potential participants will be identified and recruited. The proposal includes an outline of the process that has been developed with the SSD for the identification and referral of SNAP work registrants who would benefit from the program services.

***Employment Opportunities (20 points)***

The goal of SNAP Opportunities is to provide direct job opportunities to eligible SNAP applicants and recipients so they are better able to meet the financial needs of their household/families. The applicant must quantify the number of 90 day unsubsidized employment retentions they expect to achieve as part of this initiative. The applicant demonstrates a clear relationship with area employers who plan to hire program participants referred for interviews by the applicant. A description of the targeted job (job duties, wages) is provided with a description of job advancement opportunities, if any. Jobs with higher wages and/or advancement opportunities are preferred.

***Case Management (10 points)***

The application describes a case management approach to service delivery which strives to ensure that clients with complex needs receive timely and coordinated services to support program completion, educational advancement and/or job retention. Barriers and limitations of the participant are discussed, along with a strategy to address these issues. A detailed description of the case management portion of the program is presented. The description includes intake and assessment procedures, service plan development, and on-going monitoring of the participants' progress and needs. The key functions of the case manager are defined and include coordinating necessary services as defined by both the program participant and the case manager.

***Organizational Experience and Past Performance (10 points)***

The applicant provides evidence to demonstrate their capability and relevant experience in developing and operating employment and training programs and providing job placement/retention services for low-income individuals.

***Program Cost (20 points)***

The program cost will be weighted based on the award amount requested (including the non-federal funding) divided by the number of 90 day job retention outcomes to derive a "unit cost". Unit costs that fall within the following ranges will be awarded the associated points:

\$6,500 and under	-	20 points
\$6,501 to \$8,000	-	15 points
\$8,001 to \$10,000	-	10 points
\$10,001 to \$12,000	-	5 points
Over \$12,000	-	0 Points

Employment must be unsubsidized and, at a minimum, pay the equivalent of 30 hours per week at minimum wage.

***Regional Economic Development Council Endorsement (20 points)***

The REDC will review each application to determine if it aligns with priorities set for the region's Opportunity Area.

In addition to completion of questions in the Consolidated Funding Application, applicants must include the following items (as requested in the CFA question set):

- SNAP E&T Non-Federal Funding Agreement

- Letter(s) from employers with hiring commitments
- SSD Support Letter
- SNAP Opportunities M/WBE Forms

**Additional Resources**

<http://otda.ny.gov/contracts/2013/SNAPOPS>

## *Low Cost Financing*

### **Federal Industrial Development Bond Cap**

**Available Funding: Up to \$350 million**

#### **DESCRIPTION:**

Up to \$350 million of the 2013 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 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.

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 contact George LaPointe at the Empire State Development, call 518 292-5307 or visit <http://www.empire.state.ny.us/BusinessPrograms.html>

The following chart indicates which categories different funding programs can be found under in the CFA. For more information on how the CFA works, please view the CFA Manual ([www.regionalcouncils.com](http://www.regionalcouncils.com)) or create a test login on the CFA (<https://apps.cio.ny.gov/apps/cfa>).

		CFA CATEGORIES							
Funding Programs		Community Development	Waterfront Revitalization	Direct Assistance to Business and Other Organizations	Energy	Environmental Improvements	Low Cost Financing	Sustainability Planning and Implementation	Education / Workforce Development
Canal Corporation (Canals) Canalway Matching Grant Program		X	X			X			
Council on the Arts (NYSCA) Arts, Culture and Heritage Projects		X	X	X		X			X
Department of Environmental Conservation (DEC) Clean Water State Revolving Fund (CWSRF)		X	X			X			
Department of Labor (DOL) Workforce Development		X		X					X
Environmental Facilities Corporation (EFC) Green Innovation Grant Program (GIGP)		X		X		X			
Higher Education Services Corporation (HESC) College Access Challenge Grant									X
New York State Power Authority (NYPA) ReCharge New York				X	X				
Office of National and Community Service New York State AmeriCorps Program		X		X		X			X
Office of Temporary and Disability Assistance (OTDA) SNAP Opportunities				X					X
Agencies with Multiple Funding Programs									
New York State Energy Research and Development Authority (NYSERDA) Programs	Energy Efficiency Programs			X	X				
	Cleaner Greener Communities Phase II Implementation Grants, Category 1: PV and EVSE Streamlined Permitting	X			X	X		X	
	Cleaner Greener Communities (CGC), Phase II Implementation Grants, Category 2: Comprehensive Planning	X	X		X	X		X	
	Cleaner Greener Communities (CGC), Phase II Implementation Grants, Category 3: Capital Projects	X	X		X	X		X	

Funding Programs		CFA CATEGORIES							
		Community Development	Waterfront Revitalization	Direct Assistance to Business and Other Organizations	Energy	Environmental Improvements	Low Cost Financing	Sustainability Planning and Implementation	Education / Workforce Development
Office of Parks, Recreation and Historic Preservation (Parks) Programs	Environmental Protective Fund Municipal Grants (EPF)	X	X	X		X			
	Recreational Trails Federal Grants (RTF)	X	X	X		X			
Department of State (DOS) Programs	Local Waterfront Program	X	X			X			
	Local Government Efficiency	X	X			X		X	
	Community Services Block Grant (CSBG)			X			X		X
Empire State Development (ESD) Programs	ESD Grants for Strategic Planning and Feasibility Studies	X	X	X		X			X
	Excelsior Jobs Program (EJP)			X					X
	ESD Grant Funds	X		X		X			X
	Business Incubator and Innovation Hot Spot Program			X					X
	Market New York	X		X					X
	Economic Development Purposes Money (EDP)		X	X					X
	Environmental Investment Program (EIP)			X		X			X
	Industrial Development Bond (IDB) Cap	X		X			X		X
Homes and Community Renewal, Office of Community Renewal (OCR) Programs	Urban Initiatives Program (UI)	X	X	X					
	Rural Area Revitalization Projects (RARP)	X	X	X					
	New York State Community Development Block Grant Program (CDBG)	X	X	X	X	X			X
	New York Main Street Program (NYMS)	X		X					
	New York Main Street-Technical Assistance (NYMS-TA)	X		X					



