



2014 Available CFA Resources



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Introduction

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

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

For Round IV, Regional Councils will once again focus on the implementation of each region's strategic plan, and continue to identify and invest in significant economic development projects. The Governor has directed up to \$750 million in State resources to be made available in 2014 to support the economic development priorities of the regions and spur job creation across the state, including \$220 million in competitive funds from Empire State Development.

In 2014, REDCs will advance projects and other actions identified for implementation and identify new strategies, as appropriate, to pursue. The Regional Councils are having a positive impact on economic development, helping to bring unemployment levels down through the creation and retention of thousands of jobs.

During Round IV, in addition to the strategies established in their regional strategic economic development plans, each REDC is asked to focus on the following priorities (additional details available in 2014 REDC Guidebook):

- Develop and implement global marketing and export strategies;
- Collaborate with local governments to transform the regional business climate;
- Support NY Rising Community Reconstruction Plan projects;
- Keep the project pipeline flowing;
- Address regional workforce development needs for key sectors;
- Refine the regional Opportunity Agenda; and
- Promote Veterans' participation in the workforce.

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

This year, there are 33 programs available through 12 state agencies, including Empire State Development; NYS Canal Corporation; NYS Energy Research and Development Authority; New York Power Authority; Environmental

Facilities Corporation; Homes and Community Renewal; Department of Labor; Parks; Department of State; Department of Environmental Conservation, Office of Storm Recovery 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.

2014 Available Resources

Direct Assistance to Business and Other Organizations: Up to \$232.25 million

- **Empire State Development**
 - Up to \$150 million for ESD Grant Funds
 - Up to \$70 million for Excelsior Jobs Program
 - Up to \$1.25 million Innovation Hot Spot Program
 - Up to \$1 million for ESD Grants for Strategic Planning and Feasibility Studies
 - Up to \$10 million for Market New York

Community Development: Up to \$49.7 million

- **New York State Council on the Arts**
 - Up to \$5 million for Arts, Culture and Heritage Projects
- **Homes and Community Renewal**
 - Up to \$25 million for New York State Community Development Block Grant Program
 - Up to \$4 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 \$15.5 million for Environmental Protection Fund Municipal Grants

Waterfront Revitalization: Up to \$12.75 million

- **Department of State**
 - Up to \$11.75 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 174 MW for Recharge New York

Environmental Improvements: Up to \$14.6 million

- **Department of Environmental Conservation**
 - Up to \$2 million for New York State DEC/EFC Wastewater Infrastructure Engineering Planning Grant
- **Environmental Facilities Corporation**
 - Up to \$12.6 million for the Green Innovation Grant Program

Sustainability Planning and Implementation: Up to \$35 million

- **New York State Energy Research and Development Authority**
 - Up to \$31 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 \$6 million

- **Department of State**
 - Up to \$1 million for Workforce Development Grants
- **Department of Labor**
 - Up to \$5 million for Workforce Development

Low Cost Financing: Up to \$350 million

- **Empire State Development**
 - Up to \$350 million for Industrial Development Bond (IDB) Cap
- **Office of Storm Recovery**
 - Resilience Fund Low-cost Financing Program

Direct Assistance to Businesses and Other Organizations

Empire State Development Grant Funds

Funding Available: Up to \$150 million

DESCRIPTION:

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

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

Grant funding will be allocated among the ten regions, each represented by a Regional Council, based on each Regional Council's development and implementation of a five-year strategic plan that sets out a comprehensive vision for economic development and specific strategies to implement that vision. Funding will be allocated to projects, including priority projects identified by the Regional Councils, identified as significant, regionally supported and capable of stimulating economic investment. In addition, special consideration shall be given to projects supporting Regional Economic Development Council Opportunity Agenda priorities and projects identified in the NY Rising Community Reconstruction Program recovery plans.

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

ELIGIBLE TYPES OF APPLICANTS:

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

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

ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:

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

Assistance generally falls into three categories:

1. Business Investment:

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

2. Infrastructure Investment:

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

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

3. Economic Growth Investment:

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

FUNDS MAY BE USED FOR:

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

INELIGIBLE ACTIVITIES:

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

- Developer fees;
- Training; and
- Residential development, although program funds may be used for the commercial component of a mixed-use project.

PRE-APPLICATION REQUIREMENTS:

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

SUCCESSFUL APPLICANT REQUIREMENTS:

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

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

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

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

SELECTION CRITERIA:

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

Vision and Regional Economic Development Strategies:

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

Public/Stakeholders:

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

Implementation:

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

Leveraged Resources:

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

Performance Measures:

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

AWARD CRITERIA DETAILS:

- Notice of a funding award will be given in the form of an incentive proposal outlining the terms of the proposed assistance. The award is subject to approval of the ESD Directors and compliance with applicable laws and regulations. Project funding may only be used for expenses incurred after the date that notice of the funding award is given. Applicants are strongly encouraged to review and countersign ESD's incentive proposal prior to starting the project.
- The essential terms for the disbursement of assistance are included in the incentive proposal. Although funding is offered prior to project commencement as an inducement to undertake the project, funds are disbursed in arrears, as reimbursement for eligible project expenditures.
- For Business Investment projects, partial funding is disbursed upon project completion and interim job creation/retention milestones, with additional funding disbursed upon achievement of job creation/retention milestones. For Infrastructure Investment and Economic Growth Investment projects, funding typically is disbursed upon project completion.
- Projects generally are presented to the ESD Directors once all project expenditures have been undertaken and disbursement of ESD assistance is sought.
- All required public approvals must be in place prior to the start of construction and approval by the ESD Directors, including State Environmental Quality Review (SEQR) and consultation with the State Historic Preservation Office, if applicable.
- For projects with job creation and/or retention, job numbers will be verified using the employer's NY-45 and NY-45 ATT and/or payroll reports prior to disbursement of funds and annually thereafter through the required reporting period.
- In accordance with the requirements of Article 15-A of the New York State Executive Law: Participation By Minority Group Members and Women With Respect To State Contracts by providing opportunities for MBE/WBE participation, projects awarded funding shall be reviewed by ESD's Office of Contractor and

Supplier Diversity, which will set business and participation goals for minorities and women. Such goals shall typically be included in the incentive proposal.

Please note that ESD's agency-wide MWBE utilization goal is 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, after approval by the ESD Directors. The Applicant will be obligated to pay for out-of-pocket expenses incurred by ESD in connection with the project, including, but not limited to, expenses related to attorney fees, appraisals, surveys, title insurance, credit searches, filing fees, public hearing expenses and other requirements deemed appropriate by ESD.
- Projects having a hotel as a principal function will be required to demonstrate compliance with Section 2879-b of Public Authorities Law regarding labor peace if funding is awarded.

ADDITIONAL RESOURCES:

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

Excelsior Jobs Program

Funding Available: Up to \$70 million

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

Firms in the Excelsior Jobs Program may qualify for four, fully refundable tax credits. Businesses claim the credits over a 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 in targeted industries (except manufacturing) who have at least 25 employees, with manufacturing firms retaining at least 10 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. In addition, special consideration shall be given to projects supporting Regional Economic Development Council Opportunity Agenda priorities and projects identified in the NY Rising Community Reconstruction Program recovery plans.

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 tax credits established in the formal agreement.

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

New York State Innovation Hot Spot Support Program

Funding Available: \$1.25 million

DESCRIPTION:

The New York State Innovation Hot Spot Support Program was enacted as part of the 2014-15 State Budget to provide financial support for business incubators in the state. This Program underscores the importance of business incubation to the state's overall economic-development strategy.

Business incubation is a key component in accelerating the successful development of entrepreneurial companies, through an array of business support resources and services targeted to start-up companies. A business incubator is the entity responsible for organizing and managing these support services and resources.

Business incubation was one of the strategies laid out by Governor Cuomo in his 2014 State of the State Address to more effectively harness New York's innovation assets and better serve the state's network of inventors and entrepreneurs.

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

Designated Innovation Hot Spots will be eligible for operating grants from ESD. Designation as an Innovation Hot Spot brings a number of benefits for the start-up companies within the Hot Spot, such as state income and sales tax benefits for a period of five years. Specifically, companies located within a Hot Spot can receive the following benefits:

- Companies will be subject only to a fixed dollar minimum tax, or companies will be able to deduct income attributable to their operations;
- Companies will receive a credit or refund for sales tax on related goods and services.

Importantly, this program will also enable ESD to learn more about companies entering the state's "Innovation Pipeline", and connect these companies with other state programs, such as the NY Innovation Venture Capital Fund.

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 their start-up phase to larger scale commercialization of their products and services.

ELIGIBLE APPLICANTS:

An entity wishing to be designated as an Innovation Hot Spot must currently provide business incubation programs, and the entity must have been in existence for a minimum of three years.

- Only those entities located in the economic development regions of Long Island, New York City, Hudson Valley, Capital Region and Mohawk Valley will be eligible to compete for this solicitation.
- An entity seeking designation as a New York State Innovation Hot Spot must meet all the requirements of being a business incubator and must be affiliated with one or more colleges, universities or independent research institutions.
- An entity may act as a lead entity and seek designation as part of a partnership with other incubators in the region.

FUNDING:

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

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 2014-15, and only those entities located in the economic development regions of Long Island, New York City, Mid-Hudson Valley, Capital District and Mohawk Valley will be eligible to compete for these designations. There will only be one Innovation Hot Spot designation per region.

APPLICANT REQUIREMENTS:

Entities seeking designation as 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 nationally recognized best practices of business 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 its services in scope or to provide new services;
- Provide a two-to-one 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.

In addition, each applicant shall explain how well the scope of this project will support the Regional Economic Development Council strategic plan. Identify if the project is included in their regional NY Rising Community Reconstruction Program Plan or a NY Rising Countywide Resiliency Plan. Will the Innovation Hot Spot seek to apply CFA funds for eliminating barriers to skilled employment by economically disadvantaged people in the designated region, as identified by the Opportunity Agenda?

FUNDING PRIORITIES:

ESD will seek to fund those Innovation Hot Spots whose operations are most closely aligned with the Regional Council's Strategic Plan, have demonstrated a commitment to best practices within the incubator community, and seek to expand their programs and services so as to benefit more start-up firms. Applicants are encouraged to consider partnerships with other incubators in the region so as to leverage regional economic development assets.

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

- An integrated array of services for start-up firms;
- Opportunities for clients to network and collaborate with other businesses;
- Access to capital via referral to financial institutions, venture capitalists, angel investors and other funding sources;
- Aid in accessing markets;
- Physical, laboratory and/or manufacturing space;
- Establishment of clear 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:

Each Hot Spot 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:

- The additional resources which will be leveraged by state grant assistance;
- The number of clients served;
- Demonstrated success in graduating clients from the incubator;
- Alignment with regional strategies, priorities, assets and opportunities;
- Type and quality of services provide;
- 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 community 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?

Is the applicant included in their regional NY Rising Community Reconstruction Program Plan or a NY Rising Countywide Resiliency Plan? Will the Innovation Hot Spot host programs to help eliminate barriers to skilled employment by economically disadvantaged people in the designated region, as identified by the Opportunity Agenda?

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:

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. 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) feasibility studies for site(s) or facility(ies) assessment and planning. Projects should focus on economic development purposes, and preference shall be given to projects located in highly distressed communities. In addition, special consideration shall be given to projects supporting Regional Economic Development Council Opportunity Agenda priorities and projects identified in the NY Rising Community Reconstruction Program recovery plans. Each grant requires a minimum of 50% of total project costs in matching funds, which should include at least 10% of total project costs in the form of cash equity contributed by the Applicant organization.

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

ELIGIBLE TYPES OF APPLICANTS:

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

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

ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:

Assistance is available in the following two categories:

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

INELIGIBLE ACTIVITIES:

For Site Assessment and Site Planning grants:

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

PRE-APPLICATION REQUIREMENTS:

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

SUCCESSFUL APPLICANT REQUIREMENTS:

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

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

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

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

Priority will be given to projects located in Highly Distressed Areas

In determining whether a project is in a highly distressed area, ESD considers whether the area is characterized by pervasive poverty, high unemployment, and general economic distress based on characteristics including but not limited to:

- 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 2014-2015 Fiscal Year, up to \$10 million will be available for *Market NY*, a program that will support regionally themed New York focused projects. *Market NY* will help to bolster tourism growth by promoting tourism destinations, attractions, and special events. Additionally, Market NY will support capital grant funding for tourism facilities in New York. The Market NY program and each funded proposal will work to support the Regional Council long term strategic plans for economic growth in regions, as well as to attract visitors to New York State.

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

Funding tracks include*:

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

***applicants with Regional Tourism projects that include both marketing and capital elements can apply for both tracks.**

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

NY Rising Related Project

The NY Rising Community Reconstruction Program is a community driven initiative that will empower localities severely damaged by Superstorm Sandy, Hurricane Irene, or Tropical Storm Lee to develop comprehensive and innovative recovery plans. Over the course of eight months each community will develop a comprehensive recovery that increases resilience and economic development, and positions the community to most effectively use implementation funds.

Projects identified in the NY Rising Community Reconstruction Program recovery plans consist of innovative, transformative projects and actions enhance resilience and economic development. Projects included in a NY Rising Community Reconstruction Program Plan or a NY Rising Countywide Resiliency Plan will be looked upon favorably.

For more information, please visit: <http://stormrecovery.ny.gov/community-reconstruction-program>

Opportunity Agenda Related Project

In his 2013 State of the State address, Governor Cuomo announced the Regional Economic Development Council Opportunity Agenda. Regional Councils will use the lessons they have learned and the collaborations they have forged to help poor communities overcome the challenges that prevent them from fully participating in the state's economic revitalization.

As a result, Regional Councils have been asked to add strategies to their Strategic Economic Development Plans that will help people in distressed communities overcome barriers to entry into the workforce. Each Regional Council may develop region-wide strategies, or may focus its efforts by designating one or more chronically distressed community as an "Opportunity Area."

Projects seeking to apply CFA funds for the purpose of eliminating barriers to skilled employment by poor people in your region, as identified by the Opportunity Agenda and/or projects that build workforce development programs, improve physical infrastructure, and/or establish social services that connect people living in poverty in your region with skilled employment, in correspondence with the economic revitalization priorities, distressed community targets, and the industry growth areas identified in the Opportunity Agenda and Strategic Plan, will be looked upon favorably.

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 marketing projects should align with I LOVE NEW YORK marketing and will be required to use the I LOVE NEW YORK logo in all promotions for the overall project. Note: Any use of the I LOVE NEW YORK logo must be approved by ESD and conform to ESD I LOVE NEW YORK branding 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 print collateral and/or audio/visual;
- licensing/talent fees to ensure ownership of finished product;
- tourism center marketing costs (ex. displays, updates, etc.);
- website design/updates; and
- administrative costs are eligible for up to a maximum of 10 percent (10%) of the total project cost as approved by ESD.

Regional Tourism Marketing Competition Ineligible Expenses

Ineligible expenses 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.

ESD generally seeks to provide no more than seventy-five percent (75%) of the financing for Regional Tourism Marketing projects.

Expenses incurred prior to submission of a CFA may not be included in CFA project budgets; anticipated expenses that might be incurred after submission of a CFA but prior to an award announcement will not be reimbursed. The Regional Tourism Marketing contract and work period will run through December 2015 unless a reasonable explanation is provided to extend the Marketing project or if the project includes Tourism Facility Funding elements.

Regional Tourism Marketing Competition Payment

The grantee will be required to enter into a contract with Empire State Development (ESD). ESD will pay the grantee on a reimbursement basis, up to the total award amount.

Regional Tourism Marketing Competition Reporting

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

2.) Tourism Facility Funding

Tourism Facility Funding proposals must be in alignment 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 and use 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 may not be included in CFA project budgets nor should expenses that will be incurred after submission of a CFA but prior to an award announcement.

ESD generally seeks to provide no more than twenty percent (20%) of the financing for Tourism Facility Funding projects.

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.

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

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

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

Market NY 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. For Tourism Facility Projects- funding is offered prior to project commencement as an inducement to undertake the project, funds are disbursed in arrears, as reimbursement for eligible project expenditures. For Regional Tourism Marketing- generally funding is offered on a quarterly basis with approved quarterly spending reports. ESD can modify the terms of the assistance at its discretion.

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.

For Tourism Facility Projects ONLY-- 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 (ESD Score total of **80 points**):

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)? Is the project included in a NY Rising Community Reconstruction Program Plan or a NY Rising Countywide Resiliency Plan? Does the project seek to apply CFA funds for the purpose of eliminating barriers to skilled employment by poor people in the designated region, as identified by the Opportunity Agenda? Does your project build workforce development programs, improve physical infrastructure, and/or establish social services that connect people living in poverty in your region with skilled

employment, in correspondence with the economic revitalization priorities, distressed community targets, and the industry growth areas identified in the Opportunity Agenda and Strategic Plan? **[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 20 pts

Did the proposal include a Marketing Plan and did this plan specific detail how the requested funds will be expended? Did the proposal provide information, including target audience and geographic and demographic data? What is the likelihood the proposed project will increase tourism to New York State? **[15 pts]**

How realistic was the timeline provided and did it include individual steps of the overall project, including specific dates? **[5 pts]**

Innovation/Effectiveness 15 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)? Is there sufficient supporting evidence of how the project will effectively be executed? **[15pts]**

Leveraged Resources/Financial Viability 15 pts

For projects with Regional Tourism Marketing Elements:

Has the applicant provided information illustrating a minimum of 25% actual cash for total project cost sharing? Strong examples would include, but not limited to: letters from partners confirming financial support/sponsorship, a letter from the granting committing a specific amount of actual cash committed to the project, a letter from a bank showing a bank loan committed to the project. **[15 pts]**

OR

For projects with Tourism Facility Funding elements:

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? **[15 pts]**

More Information/Assistance

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

Community Development

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

Funding Available: Up to \$5 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 administered by New York State Council on the Arts (NYSCA) 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 and will strengthen the organization's operations. 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, Indian Tribes, 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;
- Support investments in workforce, equipment and business systems that will increase capacity, impact and efficiency of the organization(s) activities and operations.

PRIORITIES:

Priority will be given to entities that did not receive NYSCA REDC Program funding in FY12-13 or FY13-14. The priority for NYSCA's REDC Program's funding rationale will be to support grant awards being made in all ten of the state's regions and throughout New York City.

Projects that advance the NY Rising Community Reconstruction Program and Regional Economic Development Council Opportunity Agenda initiatives will also be funding priorities. See more information below.

NY Rising Community Reconstruction Program: The NY Rising Community Reconstruction Program is a community driven initiative that will empower localities severely damaged by Superstorm Sandy, Hurricane Irene, or Tropical Storm Lee to develop comprehensive and innovative recovery plans. Over the course of eight months each community will develop a comprehensive recovery that increases resilience and economic development, and positions the community to most effectively use implementation funds.

Regional Economic Development Council Opportunity Agenda: In his 2013 State of the State address, Governor Cuomo announced the Regional Economic Development Council Opportunity Agenda. Regional Councils will use the lessons they have learned and the collaborations they have forged to help poor communities overcome the challenges that prevent them from fully participating in the state's economic revitalization. This year, Regional Councils are asked to add strategies to their Strategic Economic Development Plans that will help people in distressed communities overcome barriers to entry into the workforce.

ELIGIBLE APPLICANTS and ACTIVITIES:

NYSCA awards grants to nonprofit organizations either incorporated in or registered to do business in New York State, Indian tribes in New York State, and units of government in municipalities in New York State. An organization must have its principal place of business located in New York serving the State's constituents. Organizations must be pre-qualified in Grants Gateway to apply for a grant. **Pre-qualification must be completed by the CFA application deadline.**

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

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

Please click here to register for Grants Gateway and apply for pre-qualification:

<http://www.grantsgateway.ny.gov>

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.

Applicants **cannot** request funding for the same project through the FY14-15 REDC Program and another FY14-15 NYSCA grant program.

Applicants **may submit one application** to the NYSCA REDC Program. Organizations **are not** restricted from applying to other NYS agency's REDC 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. Technology Improvement Program (technology improvement programs **may not** be primarily related to artistic program implementation and delivery)
4. Workforce Investment Program

CATEGORY DESCRIPTION and GRANT CONDITIONS & REQUIREMENTS:

1) Arts, Culture and Heritage Projects:

Grants are available for projects that directly drive public participation, tourism and regional vitality in communities, large and small. Awards will range from \$10,000 - \$100,000 and require a 50% match in cash or in-kind support. 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. Partnership applications are encouraged. Other revenue or in-kind support must be identified and available for project completion. The contract and work period is from January 2015 through December 2015. Re-grant projects are not eligible for funding.

2) Artistic Program Capital Equipment:

Grants are available for purchases that directly drive public participation, tourism and regional vitality in communities, large and small. Awards will range from \$5,000 - \$49,500 and require a 50% match in cash or in-kind support. Equipment and project cost is restricted to capital equipment and installation that **directly supports** the implementation and presentation of artistic programs sponsored by the applicant organization(s). **Support is not available for staff training or building related capital equipment or improvements. Examples of ineligible equipment requests include:** construction and renovation, non-depreciable audiovisual, office furniture or shelving, stackable chairs, most computers and software, and telephones. 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. 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 contract and work period is from January 2015 through December 2015. Re-grant projects are not eligible for funding.

Prerequisite for Eligibility in Artistic Program Capital Equipment:

- The applicant must have received NYSCA funding in the three prior fiscal years: FY11-12, FY 12-13, and FY13-14.

3) Technology Improvement Project:

Grants are available for needs assessments and/or purchases of technologies that directly improve and expand an organization's administrative, marketing, development, or operations capacity, impact and efficiency.

Technology improvements that primarily relate to the presentation or support of artistic programs are not eligible. Grant awards will range from \$2,500 - \$49,500 and require a 25% match of cash or in-kind support.

Project support is available for **Technology Needs Assessment & Planning Projects:** an assessment of existing administrative and marketing technology resources (websites, computer hardware and software, cloud based applications, printers, etc.) and the development of a technology improvement plan to upgrade or purchase new technology components. Organizations may work with outside consultants to develop an assessment plan.

Project support is also available for **Technology Improvement Implementation & Staff Training:** the purchase and implementation of new technology resources and related staff training. Partnership applications are encouraged. The contract and work period is January 2015 through December 2015. Re-grant projects are not eligible for funding.

Prerequisite for Eligibility for Technology Improvement Program:

- The applicant's organizational budget cannot exceed \$500,000 (before depreciation). Organizational Budget size is determined by the audit used for Grants Gateway Pre-Qualification.

4) Workforce Investment Program

Grants are available for staff wages to support one expanded or new staff position. Grant awards will range from \$12,500 – \$49,500 for a two year period (\$6,250 to \$24,750 per year) to support wages paid to one individual filling a critical role as defined by the organization. The grant requires a 25% match in cash or in-kind support.

Applicants must demonstrate the need for the employee and a sustainability plan to continue employment after the grant term ends. Funds **may only** be used to support wages and **not any** other associated payroll taxes or fringe costs. Funds **may be** used to support increasing a current part time staff member's hours **or** hiring a new full or part-time staff member. Funds **may not** be used to support contracted or seasonal staff. The contract and work period is January 2015 through December 2016. Re-grant projects are not eligible for funding.

Prerequisite for Eligibility for Workforce Investment Program:

- The applicant's organizational budget cannot exceed \$500,000 (before depreciation). Organizational Budget size is determined by the audit used for Grants Gateway Pre-Qualification.

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 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 of all grant applications.

Service to the Public

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

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

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

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

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

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

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

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

Artistic/Programmatic Excellence

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

NYSCA considers four dimensions of proposals when evaluating applications:

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

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

Development: the contribution the artistic work makes to the development of the artists involved, the art form, and the arts generally, or for services, the contribution the services make to the development of a vibrant arts and cultural community in the state.

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

Managerial/Fiscal Competence

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

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

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

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

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

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

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

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

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

Educational Impact

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

Geographic Location

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

Funding Availability

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

GRANT APPLICATION REVIEW PROCESS:

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 in advance of all meetings and is available for review by the public.

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

Can an organization appeal an NYSCA funding decision?

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

Community Development Block Grant Program

Funding Available: approximately \$25 million

Description:

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

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

Eligible Activities / Program Benefit Requirements:

NYS CDBG applicants must address and resolve a specific community or economic development need within one of the following areas: (1) Economic Development, Small Business Assistance, and Microenterprise (2) Public Infrastructure (3) Public Facilities or (4) Planning.

1) Economic Development, Small Business Assistance, and Microenterprise

The NYS CDBG Economic Development program consists of three funding activities: Economic Development, Small Business Assistance, and Microenterprise. Eligible applicants must apply on behalf of the business seeking CDBG funds. Awards are made to the applicant community and not directly to businesses. Eligible uses of NYS CDBG 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 Small Business activity may be used for all of the above uses, with the exception of new construction; funds awarded under the Microenterprise activity may be used for all other uses, with the exception of construction or other improvements when Davis Bacon and Related Acts must be applied.

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 or to municipalities for the installation or extension of public infrastructure necessary to facilitate business expansion at existing facilities (non speculative). 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.
- At least 51% of all jobs created/retained must be held by or made available to low- and moderate-income persons.
- 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.
- At least 51% of all jobs created/retained must be held by or made available to low- and moderate-income persons.
- A minimum of 20% owner equity contribution (cash equity only) 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

The form is available on the HRC website
at:<http://www.nyshcr.org/AboutUs/Offices/CommunityRenewal/GreenIncentive.pdf>

Microenterprise Program

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

- A minimum of 50% of the CDBG award must be awarded to start-up businesses. A start up business is defined as an enterprise that has been in operation for fewer than six (6) months at the time for application for assistance.
- Individual grant amount to business: \$5,000 (minimum) to \$35,000 (maximum).
- Each microenterprise must either be owned by a low- to moderate-income person or the project must result in the creation of at least one full-time equivalent position to benefit a low- to moderate-income person
- At least 51% of all jobs created must be held by or made available to low- and moderate-income persons.
- NYS CDBG can fund up to 90% of a total project cost.
- Minimum of 10% owner equity contribution (cash equity only) to the project is required.
- Certified completion of a locally approved entrepreneurial assistance or small business training program is required. Cost of training may be a CDBG eligible expense; attendee may be reimbursed after completing the training.

2) Public Infrastructure

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

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

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

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

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. Removal of architectural barriers is not eligible in new construction. Under the Public Facilities category, the benefit to low- and moderate-income persons is achieved most commonly through a presumed benefit, which is applicable for seniors, the severely disabled or abused children. National Objective compliance for public facilities can also be met through the Low/Mod Area (LMA) benefit. For more information regarding National Objective Compliance, refer to the Application Guidance located on the HCR website: <http://www.nyshcr.org/AboutUs/Offices/CommunityRenewal/FundingOpportunities.htm>.

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

4) **Planning**

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

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

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

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

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

Successful applicants must propose a Community Needs Assessment or Preliminary Engineering Report activity designed to assist the municipality in seeking future funding opportunities from NYS CDBG or other State and Federal agencies that will result in a benefit to low-and moderate-income persons. Requests for assistance that are not designed to assist the municipality in implementing a specific future project may not be considered.

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

Activity Funding Limits:

<i>Town, Cities or Villages:</i>	<i>Minimum</i>	<i>Maximum</i>
Public Infrastructure		\$600,000
Public Facilities		\$400,000
<i>Counties:</i>	<i>Minimum</i>	<i>Maximum</i>
Public Infrastructure		\$750,000
Public Facilities		\$400,000
<i>Joint Applicants:</i>		
Public Infrastructure (drinking water and/or clean water only)		\$900,000
<i>Counties, Town, Cities or Villages</i>		
Economic Development	\$100,000	\$750,000
Small Business Assistance	\$ 25,000	\$100,000
Microenterprise Program		\$200,000
<i>Counties, Town, Cities or Villages</i>		
Planning		\$ 50,000

Program Delivery and Administration Costs

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

Economic Development and Small Business

Applicants may request up to a combined total of \$16,000 in program delivery and administration funds for costs related to undertaking and administering the project.

Microenterprise

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

Public Facilities and Public Infrastructure

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

Eligible Types of Applicants:

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

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

Pre-Application Requirements:

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

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

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

Successful Applicant Requirements:

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

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

For Economic Development & Small Business Applications

Business Information:

- Business plan, with resumes of principals, market analysis, marketing strategy, and impact on local competitors.
- For job creation projects, a written commitment from the business that at least 51% of the jobs on a FTE basis available to, or taken by, LMI persons as well as a commitment of the equity contribution proposed in the budget.
- For job retention projects, a written commitment from the business that at least 51% of the jobs on a FTE basis are held by 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.
- If jobs will be retained as a result of the CDBG assistance, clear and objective evidence that the jobs will be lost without the assistance (Additional guidance on "clear and objective" evidence is available at: <http://www.nyshcr.org/AboutUs/Offices/CommunityRenewal/FundingOpportunities.htm>)

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 year's personal federal tax return (complete copies) for each principal with 20 percent or more ownership.

Project Budget-Related 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.
- Engineering report (for infrastructure projects in support of Economic Development)

Documentation of State Environmental Quality Review (SEQR) Compliance:

- Exhibit 2-3A Certificate of SEQR Classification.
- Short Environmental Assessment Form if classified as an Unlisted Action or Full Environmental

Assessment Form (Long EAF) for Type I Actions.

Compliance with Citizen Participation requirements:

- Copy of public hearing notice(s).

For Microenterprise Program Applications

Program Information:

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

Project Budget-Related Documents:

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

Documentation of State Environmental Quality Review (SEQR) Compliance:

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

Compliance with Citizen Participation requirements:

- Copy of public hearing notice(s)

For Public Infrastructure and Public Facilities Applications

Survey Information:

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

Evidence of National Objective Compliance

Purchase Agreements (site control)

Maps (as required)

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

Authorization for Joint Applications:

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

Project Budget-Related Documents:

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

Documentation of State Environmental Quality Review (SEQR) Compliance:

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

Compliance with Citizen Participation requirements:

- Copy of public hearing notice(s).

For Planning Applications

(Community Needs Assessments and Drinking Water and Clean Water Preliminary Engineering)

National Objective Compliance

- Evidence of CDBG National Objective Compliance

Project Budget-Related Documents:

- Commitment letter from municipality for required 5% cash match

Compliance with Citizen Participation requirements:

- Copy of public hearing notice(s).

Authorization for Joint Applications:

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

Maps (as applicable)

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

General Requirements

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

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

actions on the part of the municipality to insure that any potential future grants will be completed within the term of the grant agreement.

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

Funding Priorities:

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

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. Construction, building or other improvements are not an eligible use of CDBG Microenterprise funds when Davis Bacon and Related Acts must be applied.

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

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.
- Local support for the project.

Implementation – 20 Points

- The degree of project readiness and ability to implement upon award.
- The degree to which the project is financially and technically feasible within the 24-month term of the grant agreement.
- The 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.

Microenterprise

Applications within the funding category of Microenterprise are rated and scored using the criteria below. Applications are evaluated and ranked against all applications within the 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 permanent, full-time equivalent jobs for persons from low- to moderate-income families and/or assist low- and moderate-income business owners.
- Local support for the project.

Implementation – 20 Points

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

Leveraged Resources – 20 Points

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

Performance Measures – 20 Points

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

Public Infrastructure and Public Facilities

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

Criteria – 100 Points

Total Vision and REDC Strategies – 20 points

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

Municipal Poverty Score – 20 Points

- Absolute number of persons in poverty (10 points)

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

- Percent of persons in poverty (10 points)

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

Project Assessment Points – 60 Points

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

Public Infrastructure:

Need - The degree to which the applicant has demonstrated:

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

Impact - The degree to which the applicant has demonstrated:

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

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

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

Public Facilities:

Need - The degree to which the applicant has demonstrated:

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

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

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

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

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

Additional Project Assessment Criteria

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

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

- a clear understanding of the program requirements and measures to ensure compliance of the program requirements, including applicable Federal and State regulations, such as environmental, lead-based paint, labor standards, historic preservation, and procurement;

- that no impediments exist, or the degree to which all potential impediments, such as regulatory compliance, community support, site control (i.e. easements, acquisition etc.), and permits and clearances, have been addressed;
- project readiness and the ability to implement the program upon award;
- the ability to complete the proposed project/program within the 24-month term of the grant agreement.

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

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

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

Planning Assistance

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

Criteria-up to 100 Points

Total Vision and REDC Strategies – 20 Points

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

Demonstrated Need – 30 Points

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

Public Benefit/Impact – 30 points

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

Implementation – 10 points

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

Leveraged Resources – 10 Points

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

Award Criteria Details:

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

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

Limitations:

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

Long Range Goals:

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

Project Term Completion Dates:

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

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

Matching Fund Requirements / Deadlines:

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

cannot be used as demonstration of match.

Additional Resources:

For more information, 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://www.nyshcr.org/AboutUs/Offices/CommunityRenewal/FundingOpportunities.htm>.

New York Main Street

Funding Available: Up to \$4 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 Housing Trust Fund Corporation (HTFC) in 2004 to provide resources to assist New York’s communities with Main Street and downtown revitalization efforts. Article XXVI was added to NYS Private Housing Finance Law in 2009 to formally establish the New York Main Street Program in statute. The NYMS Program is administered by the Office of Community Renewal (OCR) under the direction of the Housing Trust Fund Corporation.

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

2014 NYMS CFA Activities:

New York Main Street (NYMS)

\$4 million available for multi-project NYMS program building renovation grants within a proposed target area, or standalone, single project, NYMS Downtown Anchor grants.

New York Main Street Technical Assistance (NYMS-TA)

\$200,000 available for NYMS Technical Assistance project grants for feasibility studies related to future capital projects.

Eligible Types of Applicants:

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

Eligible Target Area:

All NYMS activities must be located in an eligible target area. Applicants must clearly identify how the target area meets 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.

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

Pre-Application Requirements:

Municipal Resolution

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

- The resolution must be on official stationery and should hold the official seal. Applicants within New York City must obtain the resolution from the Community Board with jurisdiction over the project target area.
- Draft or proposed resolutions are not acceptable.
- Support letters do not meet this requirement.
- The resolution must be for the current 2014 funding round and the specific NYMS project or activity.
- 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.

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

Eligible Activities:

New York Main Street (NYMS) Program Eligible Capital Activities

1. Traditional NYMS Target Area Building Renovation Projects

Applicants may request between \$50,000 and \$250,000 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 in a designated target area. 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:** Applicants may request up to \$15,000 in grant funds for streetscape enhancement activities, such as: planting trees, installing street furniture and trash cans, or other activities to enhance the NYMS target area.
 - Streetscape enhancement grant funds will only be awarded for activity ancillary to a traditional NYMS building renovation project and cannot be applied for on its own, or with a NYMS Downtown Anchor Project.
 - Streetscape enhancement activities must be reviewed for eligibility and approved by HTFC prior to commencement of construction or installation.
 - Streetscape activities must be completed within the proposed building renovation target area.
- **Administration:** Applicants may request up to 7.5% of the grant amount for salaries and other costs associated with the administration of the grant. The administrative funds must be requested at the time of application, and must be included within the maximum request amount.
- **Project Delivery:** Applicants may request funds to cover reasonable, and necessary project delivery expenses such as architectural and engineering work, or required environmental review expenses. Project Delivery expenses must be included in the per-building activity funding limits, and may not exceed 18% of the NYMS funds for a specific project. Project costs incurred for work on buildings that eventually prove infeasible and do not receive other investments will not be reimbursed with NYMS funds. Project Delivery funds must be requested at the time of application, and must be included within the maximum request amount.

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

Example NYMS Target Area Building Renovation Application Request:

\$250,000	2014 NYMS Request Amount
\$210,000	Building Renovation Funds: to renovate five buildings
\$15,000	Streetscape Enhancement Funds: install bike racks and benches
\$10,000	Project Delivery: to hire environmental firm to complete site specific reviews
\$15,000	Administration: staff time to administer grant

2. NYMS Downtown Anchor Project:

Applicants may request between \$100,000 and \$250,000 for a standalone, single site, “shovel ready” renovation project. The NYMS Downtown Anchor Project funds may not exceed 75% of the Total Project Cost.

NYMS Downtown Anchor Project funds are intended to help establish or expand cultural, residential or business anchors that are key to local revitalization efforts through substantial interior and/or exterior building renovations. NYMS Downtown Anchor Project funds are intended for standalone, single site, “shovel ready” renovation projects.

Applicants for NYMS Downtown Anchor Project funds must:

- Document project readiness, as evidenced by funding commitments, site control, pre-development planning completed, and local approvals secured;
 - Provide cost estimates to substantiate the request amount;
 - Identify source(s) of available construction financing and matching funds;
 - Demonstrate the importance of the project for the neighborhood, community and region;
 - Provide a Business Plan and Market Analysis to demonstrate project viability; and
 - Document a compelling need for substantial public investment.
- **Administration:** Applicants may request up to 5% of the grant amount for salaries and other costs associated with the administration of the Downtown Anchor Project grant. The administrative funds must be requested at the time of application, and must be included within the maximum request amount.
 - **Project Delivery:** Applicants may request funds to cover reasonable, and necessary project delivery expenses such as architectural and engineering work, or required environmental review expenses. Project Delivery expenses must be included in the per-building activity funding limits, and may not exceed 18% of the NYMS funds for a specific project. Project costs incurred for work on buildings that eventually prove infeasible and do not receive other investments will not be reimbursed with NYMS funds. Project Delivery funds must be requested at the time of application, and must be included within the maximum request amount.

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

Example NYMS Downtown Anchor Project Application Request:

\$250,000	2014 NYMS Downtown Anchor Project Request Amount
\$227,500	Building Renovation Funds: to renovate one project
\$10,000	Project Delivery: to hire firm to complete environmental review
\$12,500	Administration: staff time to administer grant

New York Main Street (NYMS) Program Ineligible Activities

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

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

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

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

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

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

1. Building Reuse or Feasibility Study

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

2. Design Guidelines

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

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

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

NYMS-TA proposals must be for future NYMS projects. OCR and HTFC will not fund a NYMS-TA proposal related to an open NYMS contract, or a project proposed in the 2014 CFA. Additionally, award of a NYMS-TA proposal does not guarantee future NYMS funding.

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

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

NYMS Selection Criteria – up to 100 Points

Total Vision and REDC Strategies –20 points

The Regional Council rates the degree with which the proposed project aligns with the Regional Council's Strategic Plan.

Need - 10 points

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

- Residential need

Evaluates the severity of need for affordable housing or rehabilitation of the existing housing stock and vacant buildings in the proposed target area. 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

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.

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 NYMS resources to stimulate private investment to revitalize the targeted commercial area and nearby residential neighborhoods.

- Residential impact - Evaluates the likelihood that investment of NYMS funds will preserve or improve housing units in the Main Street district. Projects or programs that propose meeting affordable housing needs in the target area through the creation of residential units on upper floors of mixed use buildings are strongly encouraged. Applications determined to have the greatest impact on increasing the availability of quality, affordable housing, when compared with all other applications, will receive the highest scores.
- Commercial impact - Evaluates the likelihood that investment of NYMS funds will improve the aesthetics of the Main Street commercial corridor, spur investment of private resources, and mobilize additional resources to sustain Main Street physical and commercial assets. Applications determined to have the greatest impact on business conditions, when compared with all other applications, will receive the highest scores.

- Local Initiative - 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 - 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 - 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 - 35 Points

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

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

NYMS Downtown Anchor Project 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 project, based on the analysis of existing commercial and residential conditions in the project area. The needs described must correspond to the proposed project and the extent to which the project resolves or addresses the identified needs, as this will form the basis for the impact score in the following section. Applicants that empirically demonstrate substantial need for public investment in the proposed target area will receive maximum points.

- Residential need

Evaluates the severity of need for affordable housing or rehabilitation of the existing housing stock and vacant buildings in the project neighborhood.

- Commercial need

Evaluates the extent of need for commercial investment in the project neighborhood that the private sector alone has been unable to provide.

Impact - 25 Points

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

- Residential impact - Evaluates the likelihood that investment of NYMS Downtown Anchor 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 - Evaluates the likelihood that investment of NYMS Downtown Anchor 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, will receive the highest scores.
- Program Support – Evaluates local support and linkages between the proposed project and local planning and development efforts. Rates the degree to which the proposal relies on building consensus and cooperation among groups and individuals who have a role in the revitalization process.
- Business Strategy & Tracking Economic Progress - Applications must present a viable strategy for establishing or expanding a cultural, residential or business anchor that is key to local revitalization efforts. Priority consideration will be given to applicants that demonstrate a strong understanding of current economic conditions in the district, identify opportunities for market growth, and clearly demonstrate how the proposed project contributes to improving economic conditions. Projects that demonstrate capacity to grow the district's existing economic base, while meeting the challenges of commercial sprawl, will receive the highest scores.

Leveraging - 10 Points

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

Implementation Capacity - 35 Points

Measures the extent to which the applicant has organized the proposed project and has assembled sufficient resources to complete the project, and achieve the goals and objectives of the program in a manner that is timely, effective and on-budget. Applications submitted by current awardees with open, on-going contracts may be negatively impacted if substantial expenditures or funding commitments have not been achieved. An

applicant's past and current performance in other state programs and contracts will be considered in rating and ranking its application.

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

NYMS-TA Scoring Criteria – up to 100 Points

Total Vision and REDC Strategies – 20 points

The Regional Council rates the degree with which the proposed project aligns with the Regional Council's Strategic Plan.

Need – 5 points

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

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

- Procurement

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

- Budget

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

- Deliverables

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

- Implementation Plan

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

Capacity and Readiness – 10 points

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

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

Funding Priorities:

- Ready to go or "shovel ready" projects. Project readiness is best demonstrated by clear funding commitments for permanent and construction financing, documented site control, completed pre-development planning work, and local approvals.
- A proposed NYMS service area should include a mix of uses, such as residential, commercial, and civic buildings. Individual assisted buildings are not required to include both residential and civic or commercial spaces; however, applications should propose a comprehensive approach to strengthen both the commercial

and residential sectors. Affordable housing in upper-floor spaces and on adjacent streets helps to strengthen the social and economic vitality of the business district. Incorporating residential units on the upper floors is strongly encouraged and those projects will receive priority consideration.

- For NYMS there is a preference for funding proposals where contiguous buildings will be assisted, maximizing the impact of the investment.
- Priority is given to proposals for NYMS-TA projects that have a broader application in assisting other communities, or can be readily adapted for use by other communities, e.g., template guidelines or technical primers, as such projects maximize the NYMS-TA investment.
- Applicants able to successfully demonstrate broad local support and linkages between the proposed project and local planning and development efforts, and applicants documenting high percentages of committed matching and leveraged funds will receive the highest scores.
- Projects identified in NY Rising Community Reconstruction Program recovery plans. For more information, please visit: <http://stormrecovery.ny.gov/community-reconstruction-program>
- Projects that support Regional Economic Development Council Opportunity Agenda strategies.

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 the 2014 CFA. Award of a NYMS-TA proposal does not guarantee future NYMS funding.

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

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

HTFC reserves the right to award all, a portion of, or none of a program’s funds based upon funding availability, feasibility of the applications received, the competitiveness of the applications, an applicant's ability to meet HTFC criteria for funding, and an applicant’s ability to advance the State’s housing goals. HTFC reserves the right to award less than the requested amount.

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

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

Limitations:

The list below identifies several program requirements, and limitations, but applicants are advised to review the NYMS Program Guide for additional detail related to activity eligibility and grant administration:

<http://www.nyshcr.org/Programs/NYMainStreet/NYMSProgramGuide.pdf>

Contract Term

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

Environmental Review

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

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

Funding Commitments

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

Procurement & Bidding

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

Matching Funds

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

Regulatory Term

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

Project Term Completion Dates:

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

Matching Fund Requirements:

New York Main Street Building Renovation Projects

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

New York Main Street Downtown Anchor Projects

NYMS Downtown Anchor Project funds are available to reimburse up to 75% of a total project cost not to exceed \$250,000 in NYMS Downtown Anchor Project funds. The minimum NYMS Downtown Anchor request amount is \$100,000.

New York Main Street Technical Assistance Projects

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

Additional Resources:

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

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

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

Funding Available: Up to \$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. Project planning is eligible for stand-alone funding in all three program areas. This funding is intended for project-specific planning, such as designs and specifications for rehabilitation of an historic property or structural assessment of a dock for public fishing, not for comprehensive Open Space or Management Plans. 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 June 12, 2014 or September 11, 2014, 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 tax-exempt status under the IRS code, be incorporated, 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 Form (EMB Form for NFP Grants) available at <http://www.nysparks.com/grants/consolidated-funding-app.aspx>. Municipalities must document or describe where they are in the SEQR process.
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:

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

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

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

For Heritage Area Applicants:

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

For Partner Groups of State Parks or Historic Sites:

1. **Documentation of affiliation** such as a Memorandum of Understanding (MOU) or Memorandum of Agreement (MOA).

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

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

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

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 parkland 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. Grant funds cannot be used for constructing contemporary additions on an historic property unless that work will provide universal access and/or eliminate code deficiencies for access/egress, such as an elevator or stair tower. Multi-purpose additions to historic buildings and free-standing new construction on historic properties are not eligible for this grant program. Properties not currently listed, but scheduled for nomination review at the State Board for Historic Preservation meeting of either June 12, 2014 or September 11, 2014, 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 | * Harbor Park (NYC) | * Sackets Harbor | * Seneca Falls |
| * Buffalo | * Ossining | * Saratoga Springs | * Syracuse |
| * Kingston | * Rochester – High Falls | * Schenectady | * Whitehall |
| * 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)
- * Michigan Street African-American Heritage Corridor

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 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, being current with registration and pre-qualification in the Grants Gateway, evidence of ownership interest, environmental and historic preservation reviews (including archeological review) and OPRHP acceptance/approval of plans and specifications, bidding documents, competitive bidding, and solicitation of Minority and Women-owned Business Enterprises (MWBEs), etc. Proceeding without advance OPRHP approval will jeopardize grant reimbursement.

Archeology is required in any project that will result in any ground disturbance (trenching, grading, demolition, new construction, etc.) 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.

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.

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).

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/>.

Municipal governments will be required to provide evidence that they are registered in the Grants Gateway prior to executing a contract. Information on the process and requirements can be found in the Getting Started section at <http://www.grantsreform.ny.gov/Grantees>.

Not-for-profit organizations will be required to provide documentation of coverage or exemption by Workers' Compensation and Disability Benefits, be current with pre-qualification in the Grants Gateway, have proof of tax-exempt status under the IRS Code, 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 MWBEs before commencing work and to document efforts involving MWBEs during the project term. Municipalities must comply with General Municipal Law Sections 103 (competitive bidding) and 104-b (procurement policies and procedures). Not-for-profit corporations must follow procurement policies that ensure prudent and economical use of public money. All reimbursements for historic preservation projects must be satisfactorily documented so that the State Historic Preservation Office can ensure work was done in conformance with the Secretary of the Interior Standards. Failure to comply with these requirements could jeopardize full reimbursement.

OPRHP staff will conduct periodic inspections, including a final inspection of the project and 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. For all projects, the advancement of New York Rising or the Opportunity Agendas of the Regional Economic Development Councils.
- Community support and consistency with state/region/community plans, including and especially the Statewide Comprehensive Outdoor Recreation Plan (SCORP).
- Sound administrative infrastructure/reasonableness of costs, including demonstration of project planning, administrative structures and a budget that reflects fiscal prudence and readiness to proceed.
- The Commissioner's priorities for the grant program:

- Projects that include “green” improvements that restore, improve and maintain park lands, historic properties and heritage area resources and infrastructure, and in doing so promote sustainability, increase energy conservation and/or efficiency, decrease long term maintenance and management costs, and enhance storm and flooding resiliency.
- 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. Contingencies, training, travel, OJT wages, working capital, marketing, salaries and wages, rent/lease are ineligible unless noted as otherwise above.

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

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

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

For Historic Preservation Projects:

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

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

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

For Heritage Area Projects:

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

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

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

For Acquisition Projects:

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

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

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

III. Planning Initiatives (up to 10 points)

For Parks Projects:

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

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

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

For Historic Preservation and Heritage Area Projects:

B1. 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, decrease long term maintenance and management costs, and enhance storm and flooding resiliency.

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. Documentation of affiliation such as a Memorandum of Understanding (MOU) or Memorandum of Agreement (MOA) and 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, and the application documents that the project is consistent with the Greenway criteria of natural and cultural resource protection, regional planning, economic development, heritage and environmental education, and/or public access to the Hudson River (for information, go to:

http://www.hudsongreenway.ny.gov/Planning/Greenway_Compact.aspx or the Greenway map at http://www.hudsongreenway.ny.gov/Libraries/PDF_s/Greenway_Map_01-15-2014_1.sflb.ashx).

AWARD CRITERIA DETAILS

ELIGIBLE AREA, CITY, COUNTY, POPULATION LIMITS, OR POPULATION TARGET TYPES: \$7.75 million of the \$15.5 million appropriation must be awarded to projects located in Inner City/Underserved areas. {Note: \$650,000 is directed to specific line items, leaving \$14,850,000 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 2014-2015 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, decrease long term maintenance and management costs, and enhance storm and flooding resiliency.
 - 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, being current with registration and pre-qualification in the Grants Gateway, evidence of ownership interest, environmental and historic preservation reviews (including archeological review) and OPRHP acceptance/approval 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 up to 50 percent of their eligible expenditures. For projects located in impoverished areas (as defined by 10 percent or more of the population below the poverty level according to most recent Census data), the

reimbursement can be up to 75 percent of the eligible project cost. All applicants are expected to raise their share within one year of the award, or risk cancellation of the grant.

Principal types of applicant share are:

Cash: Includes grants other than this grant request.

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

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

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

Volunteer Labor: Skilled and professional labor can be computed at the job rate. The value for labor (unskilled labor and work performed by professionals or skilled laborers in an area outside of their area of expertise) of an adult (18 and over) donating time to a project may be computed up to the amount identified as the Value of Volunteer Time for New York State at http://www.independentsector.org/volunteer_time (For example, a lawyer donating legal services may compute the value based on the standard billing rate, but the value for the same lawyer donating time painting walls will be computed up to the amount identified as the Value of Volunteer Time for New York State).

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

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

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

Long Island Region

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

Southern Tier Region

<p>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>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 125th Street, 17th 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 indicated; 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 (EMB Form for NFP Grants) available at <http://www.nysparks.com/grants/consolidated-funding-app.aspx>. Municipalities must document or describe where they are in the SEQR process.
- 2. Photos showing the project area**
- 3. Schematic Site Plan**
- 4. 1:24,000 scale topographic or planimetric map with the subject property circled**

For Municipal Applicants:

Legislative authorization of alienation, if applicable

For Not-for-Profit Applicants:

Documentation of Registration and Pre-Qualification with the Grants Gateway to include:

Document Vault Identifier (i.e., GDV-XXXXX-XXXX) and the State Pre-qualification Application Status Report. Information on this process is available at <http://www.grantsreform.ny.gov/Grantees>.

For Not-for-Profit Applicants applying for a park or trail project under the Parks program:

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

For Heritage Area Applicants:

Written approval/endorsement of the project by the local heritage area management entity, if it is not the project sponsor, is required with the application.

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

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

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

SUPPORTING DOCUMENTATION:

- Evidence of local historic preservation or landmark designation
- 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
- All official project endorsements, partnerships and letters of support
- For stand-alone planning projects, submit justification of budget estimate

State Environmental Quality Review Act Compliance (SEQR)

NOT-FOR-PROFIT CORPORATIONS: Complete the Environmental Review Form (EMB Form for NFP Grants) 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).

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.

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.

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.

Stand-Alone Planning Grants

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.

Waterfront Revitalization

New York Department of State - Local Waterfront Revitalization Program

Funding Available: Up to \$11.75 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, or cities, and counties (with the consent and on behalf of one or more towns, villages, or cities) which are located along New York's coasts or inland waterways designated pursuant to Executive Law, Article 42. A list of coastal water bodies and designated inland waterways is available at <http://www.dos.ny.gov/funding/>. Applicants may also partner with other organizations; however, only applications from eligible applicants will be evaluated for funding. If successful, all applicable procurement requirements must be met for such partnerships. Applications submitted by not-for-profit organizations (including, but not limited to, community-based organizations, neighborhood groups) and for-profit organizations are ineligible and will not be scored.

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

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

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

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

Eligible Activities / Program Benefit Requirements:

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

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

Eligible Costs:

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

- 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 consultant and contractual services, costs for printing, travel, equipment, materials, supplies, and other goods and services, essential to project completion and dedicated 100% to the project

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

Ineligible Costs:

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

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

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

Pre-Application Requirements:

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

Successful Applicant Requirements:

New York State Grants Gateway

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

Standard Cost Reimbursement Contract

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

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

Compliance with Procurement Requirements

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

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

The municipal attorney, chief legal officer or financial administrator for the municipality shall certify to the Department of State that alternative proposals and/or quotations for professional services were secured by use of written requests for proposals through a publicly advertised process. This certification will verify that the

procurement requirements were met and ensure the prudent and economical use of public funds for professional services of maximum quality at reasonable cost.

Record Retention and Audits

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

Minority or Women-Owned Business Enterprise Participation

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

Contract Period

Subject to the continued availability of funds in the budget, the contract period shall not exceed three years from the start of the project. No extensions are anticipated. The earliest start date of contracts is April 1, 2014. Special consideration for extensions due to extreme extenuating circumstances, will only be granted on a case-by-case basis. To ensure timely completion, the Department encourages submission of an application for a discrete phase of a project.

Satisfactory Progress

It is imperative that the grant recipient complete the project as set forth in the agreed upon work program and individual monitoring plan. Failure to render proof of satisfactory progress or to complete the project to the

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

Other Grant Requirements for Construction Projects

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

Projects intended to be open to the public must be open to the general public and not limited to residents of the municipality receiving a grant. Signage to this effect must be provided at these sites.

It is required that project design and construction be undertaken under the supervision of an architect and/or engineer licensed to practice in the State of New York. In addition, proper certification from a licensed architect or engineer, as appropriate to the task, will be required for the preparation of designs and specifications and for the submission of as-built plans upon completion of the project.

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

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

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

Funding Priorities:

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

Application Evaluation Criteria:

Applications will be reviewed according to the specific criteria presented below.

Minimum Criteria:

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

Program Criteria:

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

- Vision (maximum of 4 points)
- Process (maximum of 8 points)
- Strategies (maximum of 36 points)
- Implementation (maximum of 12 points)
- Leveraging (maximum of 12 points)
- Performance Measures (maximum of 8 points)
- Evaluation of Budget and Cost (maximum of 20 points)

Regional Economic Development Council Endorsement:

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

Award Method:

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

The Department of State will fund the highest scoring applications until the allocated funds are exhausted. Geographic distribution of grant proposals, information from interagency discussion, applicant's performance under previously awarded EPF LWRP grants, and consistency with the Smart Growth Public Infrastructure Policy Act will be factors used in determining successful grant proposals. Up to \$11.75 million is anticipated for awards for this procurement.

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

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

Matching Fund Requirements:

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

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

Additional Resources:

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

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

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

Canalway Grants Program

Funding Available: Up to \$1 million

DESCRIPTION:

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

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
- 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 bulkheads for the purpose of public access to and from the Canal System; and/or hazardous waste clean-up associated with a project.

PRE-APPLICATION REQUIREMENTS:

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

The applicant is responsible for obtaining all required permits and approvals from federal, state, and local agencies, such as the U.S. Army Corps of Engineers, NYS Department of Environmental Conservation and NYS State Office of Parks, Recreation and Historic Preservation, and any others that may be required by the NYS Thruway Authority/Canal Corporation.

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

SUCCESSFUL APPLICANT REQUIREMENTS:

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

Grant funds will be provided on a reimbursement basis ONLY. Receipts, invoices and other documentation must meet the requirements of the Canal Corporation and the Office of the State Comptroller. Reimbursement will only be provided for projects or portions of a project initiated **after** the date of the grant award letter from the Canal Corporation. Projects may be initiated prior to receipt of the award letter, 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 an existing harbor, service port or lock project or the Canalway Trail, or improve public access to the Canal and Canal related amenities?
- Is the project consistent with regional or intermunicipal plans, including NYS Department of State “Local Waterfront Revitalization Program” (LWRP) Plans, Erie Canalway National Heritage Corridor Management Plan, NY Rising Community Plans, or other regional and local plans?
- Does the project demonstrate sensitivity to historic, cultural, and environmental elements of the Canal System? Does it incorporate sustainable best practices for future uses and management?
- Does the project include components related to, or supportive of, efforts to celebrate the bicentennial of the Erie Canal between 2017 and 2025 or will it enhance efforts to recognize the significance and rich heritage of the Erie Canal in the years following the Bicentennial.
- Is the project budget clearly defined and reasonable
- Is widespread support from communities, residents and other canal stakeholders demonstrated in the application?
- Will the project increase canal visitation or participation in canal related activities?
- Does the proposal reflect a reasonable and achievable timeframe for completion including project milestones and identification of parties responsible for project oversight?
- Does the proposal define a reasonable and achievable strategy for the long term operation and maintenance of the project?

*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 should be valued at the prevailing hourly rate with overhead costs.

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

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

Projects on Canal Corporation real property may require the purchase, lease or permitting of the real property from the Canal Corporation, in accordance with all applicable laws and regulations and the Canal Corporation’s “Canal Real Property Management Policy” and standard operating procedures.

Project plans must be reviewed and approved by the Canal Corporation before advertisement or contract letting.

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

ADDITIONAL RESOURCES: For more information eligible applicants should contact the New York State Canal Corporation, 200 Southern Boulevard, Albany, NY, call 518-436-3055.

Energy

NYS Energy Research and Development Authority - Flexible Technical Assistance

Funding Available: Up to \$6 million

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 System Benefits Charge (SBC). The SBC may be a line item on the customer's utility bills.

Eligible applicants include but are not limited to:

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

ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:

Customers who are in need of a service provider may choose from NYSERDA's FlexTech Consultant list comprised of firms under NYSERDA contract who have been competitively selected to provide technical services across the state. The current list of FlexTech Consultants is available on NYSERDA's website at

www.nyserda.ny.gov/flextech Alternatively, customers may select their own service provider. Potential service providers include, but are not limited to: ESCOs, energy consultants, and engineering companies.

Eligible study categories include:

- Energy Feasibility Studies — Studies and customized recommendations for the energy consuming systems at your facility that align with your business goals.
- Master Planning — Ongoing identification of energy opportunities for your business. Services include energy, carbon and sustainability master planning, long-term energy management support, and RFP preparation.
- Industrial Process Efficiency — Studies focusing on increasing productivity while improving energy performance. The findings of these studies help your company define and reduce energy use per unit of production.
- Data Centers — Assess energy efficiency and reduce energy and carbon impacts in your data center support systems. Includes items such as system upgrades or replacement, server virtualization, and redundancy optimization.
- Retro-commissioning — Systematic process to determine how well building systems perform interactively to meet the operational needs of owners and occupants.
- Combined Heat and Power — Study to investigate the feasibility of installing gas-fired combined heat and power at your site.
- Peak-load Reduction & Load Management — Develop comprehensive protocols that allow customers to respond to curtailment calls from the New York Independent System Operator (NYISO) during periods of New York electrical system capacity constraints.
- Farm Energy Audits: Energy feasibility studies that provide farmers with cost effective, energy efficiency opportunities for their farm process.

PRE-APPLICATION REQUIREMENTS:

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

SUCCESSFUL APPLICANT REQUIREMENTS:

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

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

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

FUNDING PRIORITIES:

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

INELIGIBLE ACTIVITIES:

- New facilities or those that have undergone substantial renovations, which have not been occupied for more than one year are ineligible for funding.
- Whole building, new construction, or new equipment commissioning is not eligible for funding under this program.

- Detailed engineering design is not eligible for funding under this program.
- Applications seeking funding for single, multifamily, or Publicly Assisted Housing are not eligible under this program, but may apply under NYSERDA's Residential Energy Affordability programs.
- Applications seeking funds to support the sale or distribution of energy are not eligible for funding under this program except as defined in NYSERDA's CHP requirements.
- Equipment purchases are not eligible for funding under this program, except for metering equipment, software costs, and other data collection hard costs. To be eligible for funding, the equipment must be a necessary component of the funded study. Please refer to PON 1746 for additional information.
- No service provider may apply for more than 25% of the funds available under this program.
- Power quality, power factor, and power conditioning studies are not eligible for funding under this program.
- Utility billing error analysis is not eligible for funding under this program.
- Retro-commissioning studies without the potential for significant energy savings are not eligible for funding. Study costs may be prorated at NYSERDA's discretion with NYSERDA cost-sharing only the energy efficiency components. Funds may be used for evaluation of facilities only and may not be used to correct deficiencies found. Calculations demonstrating the potential energy impacts from repairing each deficiency are required. NYSERDA reserves the right to determine which projects are classified as Retro-commissioning.
- Organizations 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 System Benefits Charge (SBC) on their electric or gas utility bill in order to be eligible. Distribution customers of the six major New York State electric utilities (Central Hudson Gas & Electric Corporation, Consolidated Edison, New York State Electric & Gas Corporation, National Grid, Orange and Rockland Utilities, Inc., and Rochester Gas and Electric Corporation) may contribute to the SBC. Gas utility customers may also be contributing to the SBC on their gas utility bill.
- **LIMITATIONS:**
 - For most applications, NYSERDA will contribute fifty percent (50%) of the eligible study costs, up to the lesser of either \$1,000,000 or ten percent (10%) of the applicant's annual energy costs, based on an approved Scope of Work.
 - Service providers and customers are limited to ten (10) open applications at any given time.
 - Unless otherwise negotiated, all work funded under this program must be completed within two (2) years of issuance of the Purchase Order.
 - Service provider travel costs are limited to 3% of the total project cost.

- An independent third-party consultant is required for all projects.
- LONG RANGE GOALS: FlexTech’s goal is to increase productivity and economic competitiveness of participating facilities by identifying and encouraging the implementation of cost-effective energy efficiency. The FlexTech EEPS resource acquisition goal for 2012-2015 is 445,000 MWh of electric savings and 400,000 MMBtus of natural gas savings.
- PROJECT TERM COMPLETION DATES: Individual study schedules vary. Unless otherwise negotiated, all work funded under this program must be completed within two (2) years of issuance of the Purchase Order.
- MATCHING FUND REQUIREMENTS / DEADLINES: If the customer chooses to work with a NYSERDA FlexTech Consultant, NYSERDA’s contribution, up to 50% of the total project cost, will be paid directly to the Consultant, provided the work is acceptable to the customer and NYSERDA. The customer will pay the remaining percentage of the total project cost of the Consultant fees directly to the Consultant under terms and conditions to be negotiated by the customer and the consultant.
 - For eligible Farm customers using a NYSERDA FlexTech Consultant, NYSERDA will contribute the first \$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.nyserdera.ny.gov/flextech

FlexTech Cost-Shared studies – outline of process: <http://www.nyserdera.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 and ten full-time equivalent employees or fewer including:

- Small Businesses
- Not-for-profit Corporations

ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:

Small Commercial Energy Assessments evaluate standard energy efficiency measures within eligible facilities. These measures include, but are not limited to: lighting, lighting controls, heating, ventilation air conditioning (HVAC), temperature controls, commercial kitchen equipment, and building envelope improvements. Small Commercial Energy Assessments will evaluate standard energy efficiency measures for all fuel types including but not limited to: electric, gas, oil, and propane. After the energy assessment is complete, the Small Commercial Energy Assessment Contractor presents an energy assessment report that outlines recommended improvements, as well as energy and cost savings, to the customer. The goal of the report is to provide the customer with unbiased information to make informed energy decisions.

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

SUCCESSFUL APPLICANT REQUIREMENTS:

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

FUNDING PRIORITIES:

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

INELIGIBLE ACTIVITIES:

Energy efficiency measures beyond the 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

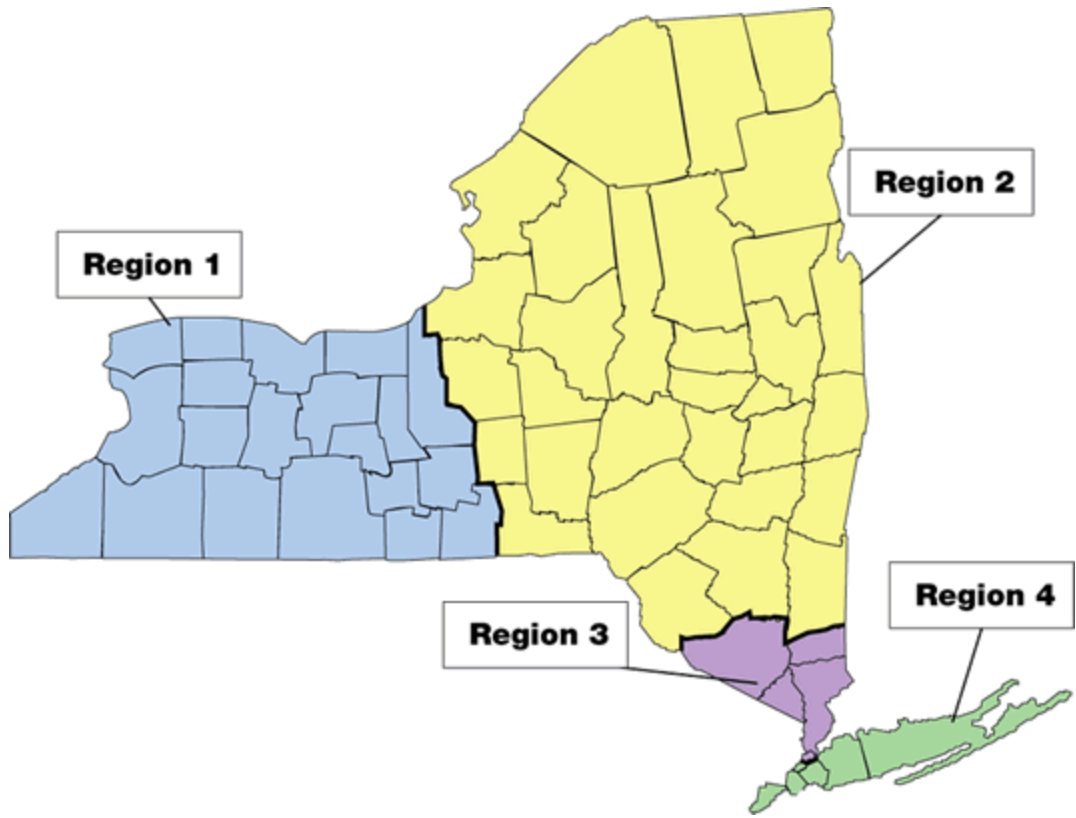
- **ELIGIBLE AREA, CITY, COUNTY POPULATION LIMITS OR POPULATION TARGET TYPES:** Free energy assessment are available to small businesses and not-for-profits statewide.
- **LIMITATIONS:**
 - Only facilities with an average electric demand of 100 kW or less that are used or operated by a small business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

ADDITIONAL RESOURCES:

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

Small Commercial Energy Assessment Contractors:

<p>Region 1 - GDS Associates Contact: Vivian Thompson Phone: 800-437-4495 FAX: 866-611-3791 Email: vivian.thompson@gdsassociates.com</p>	<p>Region 2 - L&S Energy Services Contact: Michelle Wooddell Phone: 518-383-9405 x223 FAX: 518-383-9406 Email: MWooddell@LS-Energy.com</p>
<p>Region 3 - Daylight Savings Contact: Felicia Van Doran Phone: 845-291-1275 FAX: 845-291-1276 Email: fvandoran@daylightsavings.us</p>	<p>Region 4 - TRC Contact: Laura Giannini Phone: 518-688-3136 FAX: 518-348-1194 Email: LGiannini@trcsolutions.com</p>



Region 1 Counties

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

Region 2 Counties

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

Region 3 Counties

Orange, Putnam, Rockland, Westchester, Bronx

Region 4 Counties

Kings, Queens, Richmond, New York, Nassau, Suffolk

ADDITIONAL RESOURCES:

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

Small Commercial Energy Efficiency Project Manager: Kathryn Fantauzzi
(518) 862-1090 x3456 or 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, 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;

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

Refer to current program opportunity notice for pre-qualified equipment eligibility requirements.

- **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:

Existing Facilities Program (EFP)

The Existing Facilities Program offers a broad portfolio of incentives to help offset the costs of implementing energy efficiency improvements in existing commercial facilities across New York State. Performance-Based (custom) and Pre-Qualified (prescriptive) incentives are available for electric and natural gas improvements. All commercial and institutional facilities that pay the SBC charge on their utility bills are eligible. Incentives are structured to provide payments for electric and natural gas efficiency projects that reduce energy usage. In addition to the current EFP offerings, Con Edison electric customers who pay into the Monthly Adjustment Clause (MAC) in the Downstate region are eligible for additional incentives through the Demand Management Program (DMP) for projects resulting in summer peak demand (kW) reductions.

Demand Management Program (DMP)

This program is jointly administered by the New York State Energy Research and Development Authority (NYSERDA) and Con Edison. In addition to the current EFP offerings, Con Edison electric customers who pay into the Monthly Adjustment Clause (MAC) in the Downstate region are also eligible for additional incentives through the Demand Management Program (DMP) for projects resulting in summer peak demand (kW) reductions. The peak demand period is defined as Monday through Friday from 2:00-6:00pm between the months of June and September.

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. Additional funds for DMP are available for projects completed by June 1, 2016.

ELIGIBLE TYPES OF APPLICANTS:

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

Definitions:

- *Applicant* = the entity receiving the approved incentive amount upon project completion, and who will be responsible for delivering the energy savings. Applicants can include third parties such as Energy Service Companies (ESCOs), facility owners, management companies, and/or tenants with the authority to make improvements.
- *Facility* = the building or structure where the energy-efficient measures are being implemented.
- *Customer* = the owner/operator/tenant of the facility or space where the project will be implemented.
- *Project* = the plan for the implementation of eligible measures at a specified facility. The Project may include multiple energy efficiency measures.

ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:

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

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

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

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

Overall Equipment & Project Eligibility

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

Lighting

- All four-foot T8 fixtures must be high performance, or low wattage, as defined by the Consortium for Energy Efficiency (CEE).
- Installation of T12 lighting technology is 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 of the same technology type.
- De-lamping / lamp removal may contribute to no greater than 20% of a project's total energy savings.
- Applicants implementing Solid State Lighting (SSL) projects should review the most current [EFP SSL \(LED\) policy](#) for eligibility.
- All lighting projects require the [Existing Facilities Program Lighting Form](#).

HVAC

All HVAC equipment must meet the pre-qualified program standards as listed on the EFP's [Pre-Qualified 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 chillers greater than or equal to 300 tons may be eligible for a bonus if the proposed efficiencies exceed the centrifugal standard detailed in [Addendum 'bt'] of ASHRAE 90.1 2007 by specified levels. For more information, refer to the [Technical Guidance Document for Chillers](#) and the [Super Efficient Electric Chiller Bonus Estimator](#).

Demand Management Program Incentives

Projects or project portfolios that achieve a combined demand reduction of at least 50 kW are eligible for Demand Management Program incentives. Projects that achieve a demand reduction of 500 kW or greater will be eligible for a bonus incentive.

Eligible demand management measures include:

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

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

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
 - For projects that include more than one building, please include the [Multiple Facility Template](#)
- 2) NYSERDA evaluates the project based on the submitted documentation. If deemed eligible, a Purchase Order will be issued to the Applicant. The Applicant will have two years from the issue date of the Purchase Order to complete the project.
- 3) The Applicant submits an Engineering Analysis for NYSERDA's approval. The Engineering Analysis includes, but is not limited to, project description, detailed energy savings calculations, and economic evaluation.
- 4) NYSERDA (or a NYSERDA assigned Technical Consultant) reviews the Engineering Analysis and conducts a pre-installation inspection. NYSERDA may request revisions to the Engineering Analysis as necessary. After the pre-installation site inspection and approval of the Engineering Analysis, NYSERDA will notify the Applicant and facility contact that they can implement the project. (An Applicant proceeding with demolition or installation before NYSERDA 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 (excluding NYSERDA incentives) are ineligible. NYSERDA's incentives will be adjusted to ensure these payback thresholds are adhered to.
- 2) Applicants may not obtain incentives for the same energy efficiency measures through other NYSERDA programs or from programs offered by their local utility.
- 3) Ineligible projects include power quality, power factor improvements, and most fuel switching activities. Residential projects are also ineligible for participation in the program.

SELECTION CRITERIA:

The program is an open enrollment offering that is advertised as a Program Opportunity Notice (PON), and is offered on a first come, first served basis subject to funding availability.

AWARD CRITERIA DETAILS:

- ELIGIBLE AREA, CITY, COUNTY POPULATION LIMITS OR POPULATION TARGET TYPES: Statewide – Facilities must pay into the System Benefits Charge (SBC).

LIMITATIONS:

Per Facility Incentive Caps:

- Pre-Qualified Incentives
 - \$30,000 - Electric Measures
 - \$30,000 - Natural Gas Measures
- Performance-Based Incentives
 - \$2,000,000 - Electric Efficiency, Energy Storage & Demand Response
 - \$500,000 - Monitoring-Based Commissioning
 - \$200,000 - Natural Gas (\$60,000 - National Fuel customers only)
- LONG RANGE GOALS: EFP will save 799,848 MWH and 482,556 MMBtu of gas by 2015. An additional 100 MW will be saved by June 1, 2016 through the DMP.
- PROJECT TERM COMPLETION DATES: All measures must achieve savings for at least five years. See Successful Applicant Requirements for additional information.
- MATCHING FUND REQUIREMENTS / DEADLINES: The total incentive cannot exceed 50% of the project cost for most projects. For demand response projects and projects that bundle electric and/or natural gas efficiency and demand response, the total incentive cannot exceed 75% of the project cost. Project cost may include equipment, labor, and engineering expenses.

ADDITIONAL RESOURCES:

EFP Website: www.nysERDA.ny.gov/Existing-Facilities-Program

DMP Website: www.nyserda.ny.gov/Demand-Management-Program
Buildings Outreach: Outreach@nyserda.ny.gov

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

NYS 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 \$120 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 throughput, reduce scrap, improve productivity, and prioritize and optimize server loads all have an energy component. Manufacturing, industrial, and data center facilities are eligible for participation in this program and are engaged through effective marketing, which includes key account strategies to build ongoing relationships as the primary energy efficiency resource for customers.

In addition, Con Edison electric customers who pay into the Monthly Adjustment Clause (MAC) in the Downstate region are eligible for additional incentives through the **Demand Management Program (DMP)**. DMP is jointly administered by NYSEDA and Con Edison. It offers enhanced incentives for projects resulting in summer peak demand (kW) reductions. The peak demand period is defined as Monday through Friday from 2:00-6:00pm between the months of June and September.

ELIGIBLE TYPES OF APPLICANTS:

All of New York State manufacturing, industrial and data center facilities that pay into the System Benefits Charge (SBC).

- Manufacturing facilities, or support operations such as warehousing and distribution sites.
 - Example: Plastics and Packaging, Chemicals, Petrochemicals, Metals, Paper and Pulp, Transportation, Biotechnology, Pharmaceutical, Food and Beverage, Mining and Mineral Processing, General Manufacturing and Equipment Manufacturers.
- Data Centers located in various business sectors

- Example: Manufacturing, Financial, Higher Education, Health Care, Commercial Real Estate, Service Provider, Co-location Facilities, Government, Legal, Insurance, and Telecom

ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:

Applications will be accepted on a first-come, first-served basis through December 31, 2015, or until funds are exhausted. Additional funds through the Demand Management Program are available for projects completed by June 1, 2016.

Industrial and Process Efficiency Incentives			
Incentive Type	Utility	ConEd Territory	All Other Utility Territories
Process and Energy Efficiency	Electric	\$0.16/kWh	\$0.12/kWh
	Natural Gas	\$20/MMBtu	\$15/MMBtu
Operations & Maintenance (O&M)	Electric	\$0.05/kWh	\$0.05/kWh
	Natural Gas	\$6/MMBtu	\$6/MMBtu
Minimum Project Size	at least \$30,000 incentive		
Incentive Caps	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.
 - A facility may receive an incentive for a specific energy efficiency measure either through NYSERDA or a utility company, but not both.

Additional incentives for Con Edison electric customers:

Demand Management Incentives	
Project Type	Incentives
Thermal Storage	\$2,600
Battery Storage	\$2,100
Process Efficiency/Chiller/HVAC/BMS/Controls	\$0.16/kWh + \$1,250/kW
Lighting/LED	\$0.16/kWh + \$800/kW
DR Enablement	\$800
Fuel Switching: Non-Electric A/C*	\$500 - \$1,000

*Incentives will be offered for installing steam or natural gas A/C rather than electric A/C.

- Only Con Edison customers, who pay into the Monthly Adjustment Clause (MAC), are eligible for the Demand Management Program
- Projects must be installed and operational by June 1, 2016.
- Projects or portfolios must have a combined peak demand reduction of 50kW or greater. Peak Demand Reduction (kW) is defined as the system-coincident peak demand reduction that occurs during the summer capability period, between the hours of 2pm-6pm, Monday through Friday, from June 1 through September 30, excluding legal holidays.
- Bonus incentives are available for large projects over 500 kW.
- Baseline conditions must be verified by a pre-installation inspection and technical review, prior to removal or installation of equipment involved in the project.

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. Additional funds for DMP are available for projects completed by June 1, 2016.

SELECTION CRITERIA:

Applications will be accepted on a first-come, first-served basis through December 31, 2015, or until funds are exhausted. Additional funds for DMP are available for projects completed by June 1, 2016.

AWARD CRITERIA DETAILS:

- ELIGIBLE AREA, CITY, COUNTY POPULATION LIMITS OR POPULATION TARGET TYPES:
All of New York State manufacturing, industrial and data center facilities that pay into the System Benefits Charge (SBC).
- DMP applicants are Con Edison electric customers that pay into the Monthly Adjustment Clause (MAC) in the Downstate region.
- LIMITATIONS:
Minimum project: at least \$30,000 incentive
Multiple projects can be bundled together to reach the minimum
Project Incentive Cap: 50% of project cost
Facility Incentive Cap: \$5 million electric per facility per year

\$1 million natural gas per facility per year

- DMP incentives are only available for projects completed prior to June 1, 2016. Projects or project portfolios must achieve a combined demand reduction of at least 50 kW. Projects that achieve a demand reduction of 500 kW or greater will be eligible for a bonus incentive.

- **LONG RANGE GOALS:**

IPE Program Goals:

- Electric Savings: 800,000 MWh
- Natural Gas Savings: 2.94 million MMBtu

DMP Program Goal:

- 100MW by June 1, 2016

- **PROJECT TERM COMPLETION DATES:**

Project Process/Milestones:

- Applicant submits application
- Technical Reviewer is assigned to project
- Technical Reviewer reviews energy savings of project
- NYSERDA issues purchase order for estimated incentive
- Facility installs project
- Technical Reviewer verifies the installation and energy savings
- NYSERDA awards incentive

A facility may take up to 2 years to complete a project.

DMP projects must be completed by June 1, 2016.

- **MATCHING FUND REQUIREMENTS / DEADLINES:**

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

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

ADDITIONAL RESOURCES:

Website: www.nyserda.ny.gov/ipe

Contact us: IPEOutreach@nyserda.ny.gov

New York Power Authority - ReCharge New York

Amount available: Up to 174 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 legislative criteria. Recommended allocation awards must be approved by the Economic Development Power Allocation Board and the New York Power Authority Board of Trustees. Allocations of RNY power (in kW) will be delivered after the execution of a contract. The contract could be a term of up to seven years and will specify employment commitments and other terms and conditions for retaining the RNY power allocation.

For more information, eligible applicants should call the ReCharge New York Hotline at 888-JOBSNYS (888-562-7697) or email Recharge.NewYork@nypa.gov.

Environmental Improvements

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 \$50,000¹ (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 with funding necessary to initiate a planning process and follow-up implementation plan to address local water quality problems. Successful applicants can use the engineering report funded by the grant when seeking financing through the CWSRF program or other financial means to further pursue the identified solution.

Eligible Types of Applicants

- Municipalities as defined in 21 NYCRR 2602 New York State Clean Water Revolving Fund Regulations; and
- Median household income (MHI) of the municipality is equal to or less than \$65,000 according to the United States Census 2010, American Community Survey, <http://factfinder2.census.gov/faces/nav/jsf/pages/index.xhtml>.

Eligible Activities

Funding can be used by municipalities for the preparation of an engineering report² and planning activities to determine the scope of water quality issues. Priority will be given to municipalities proposing planning projects with a documented water quality impairment:

- reporting 4 or more events in 2013 under the Sewage Pollution Right to Know Act;
- documented Sanitary Sewer Overflow (SSO)-related issue;
- 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)

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

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

Smart Growth alternative(s) and green infrastructure alternative(s) must be considered and documented in the engineering report.

In accordance with the laws, rules and regulations governing the CWSRF, projects eligible under Section 212 (Publically Owned Treatment Works) of the federal Clean Water Act must be publicly-owned.

The following minimum alternatives need to be considered for projects with **no existing wastewater infrastructure**:

- decentralized systems;
- new sewers and connection to regional wastewater treatment facility; and
- new sewers and a wastewater treatment facility.

The following minimum alternatives need to be considered for projects with **existing wastewater infrastructure**:

- rebuilding existing wastewater infrastructure; and
- connecting to regional wastewater treatment facility.

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.
- Projects and scope listed on the 2014 CWSRF Intended Use Plan Annual Project Priority List.
- Design and construction costs for the wastewater treatment and/or collection systems.

Selection Criteria

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

	Points Assigned	Criteria
Regional Economic Development Priority	20 points	Alignment with the goals and priorities of its Regional Economic Development Council (REDC).
Performance Measures	40 points	Severity of existing water quality impairments.
Strategies	24 points	Proposed project is required by a Consent Order, SPDES permit or TMDL.
Vision	12 points	Planning project is identified in a formally adopted plan and has both public support and a committed local leadership.
Agency Priority	4 points	Alignment with DEC and EFC priorities

Additional consideration will be given to projects supporting the NY Rising Community Reconstruction Program, NY Rising Countywide Resiliency Plan and/or advance a Regional Economic Development Council Opportunity Agenda strategy.

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, American Community Survey, <http://factfinder2.census.gov/faces/nav/jsf/pages/index.xhtml>.

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, American Community Survey, <http://factfinder2.census.gov/faces/nav/jsf/pages/index.xhtml>.
 - \$30,000 per project for municipalities with a population of less than 50,000 according to the United States Census 2010, American Community Survey, <http://factfinder2.census.gov/faces/nav/jsf/pages/index.xhtml>.
- 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.

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.

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. An MWBE Work Plan and Utilization Plan will be required if the Engineering Agreement exceeds \$25,000.
- 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).

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
 - 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]

Additional Resources

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

Environmental Facilities Corporation - Green Innovation Grant Program

Funding Available: \$12.6 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.

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 Round 6 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) and

GIGP, **projects defined as point source projects under Section 212 of the Clean Water Act (CWA) must be publicly-owned.** Projects which are explicitly required under / by one or more of the following are point source projects and must be publicly owned:

- Long Term Control Plan
- Administrative / Judicial order
- Final State Pollution Discharge Elimination System (SPDES) permit for a Municipal Separate Storm Sewer System (MS4), a Combined Sewer System
- NYS SPDES General Permit for Stormwater Discharges from Construction Activity.

Public ownership is **not** a requirement for nonpoint source (CWA Section 319) and national estuary (CWA Section 320) projects.

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

Eligible applicants may submit more than one grant application, however, EFC reserves the right to limit GIGP Round 6 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 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 of 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.efc.ny.gov/Default.aspx?tabid=124>

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 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>. Additional consideration will be given to projects identified in a NY Rising Community Reconstruction Program Plan, or a NY Rising Countywide Resiliency Plan, and / or advance a Regional Economic Council Opportunity Agenda.

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 vacuum 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)
- Addressing or demonstrating solutions to Regional water quality issues (4 points)
- Applicant's plan for the long-term operation, maintenance, and water quality / flow monitoring of the project (8 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)
- Reducing flow to a Combined Sewer System (1 point)
- Leveraging of additional resources through removing barriers to collaboration, developing new partnerships, utilizing staff and in-kind resources, securing other funding and investments, and/or provides workforce development (5 points)
- Likelihood of project success, based on project development at time of application (4 points)
- The extent to which the project spurs innovation in the area of green stormwater infrastructure, through research, development, and/or the adoption of new technologies (3 points)
- Revitalization of communities - building projects in municipal centers, utilizing land recycling, retrofits, and/or infill (1 point)
- Projects identified in a NY Rising Community Reconstruction Program Plan or a NY Rising Countywide Resiliency Plan (1 point)
- Public stakeholder engagement in the development of the project (2 points)
- Fostering safe, healthy, walkable neighborhoods through improved access to affordable multimodal transportation choices as part of green street projects (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 April 30, 2015.
- **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 \$31 million

APPLICATION DUE DATES

Category 1 – Incentive Applications (open enrollment): NYSERDA will continue to accept applications through the *existing program*, PON 2721 - Category 1, which was released in 2013, until 4:00 PM Eastern Time on September 30, 2015, until funds are exhausted, or until the solicitation is revised by NYSERDA, whichever comes first.

Category 2 – Planning Initiatives (competitive due date): Applications for Category 2 under PON2951 are due by 4:00pm Eastern Standard Time on June 16, 2014.

Category 3 – Sustainability Projects (competitive due date): Applications for Category 3 under PON2951 are due by 4:00pm Eastern Standard Time on June 16, 2014.

INTRODUCTION

The [Cleaner, Greener Communities \(CGC\) Program](#) was announced by Governor Cuomo in his 2011 State of the State address as a competitive grant program to encourage communities to develop and implement regional sustainable growth strategies. The CGC Program builds on the [Climate Smart Communities Program](#), which was established in 2009 by the New York State Department of Environmental Conservation and the New York State Energy Research and Development Authority (NYSERDA) as a network of local governments across New York that have committed, by voluntarily adopting the Climate Smart Communities Pledge, to reduce their greenhouse gas (GHG) emissions and to prepare for unavoidable changes in climate. The CGC Program provides enhanced support for development and implementation of regional sustainability plans to help ensure that New York State’s (NYS) ongoing and substantial investments in infrastructure help to shift communities and NYS as a whole toward a more environmentally and economically sustainable future. The primary goal of the CGC Program is to encourage communities to create public-private partnerships and develop regional sustainable growth strategies

in such areas as emissions control, energy efficiency, renewable energy, low-carbon transportation, and other carbon reductions. [Phase I of CGC](#) provided funding to the 10 Regional Economic Development Council (REDC) regions in NYS for the development of Regional Sustainability Plans. [Phase II of CGC](#) (CGC II) offers grant funding for projects that support the goals of each region's respective sustainability planning effort. This solicitation, PON2951, is the second in a series of funding rounds to support these types of projects. A subsequent round is expected in 2015. A total of \$90 million in potential funding awards will be available over the three-year life of the CGC Program. The CGC Program is funded with proceeds from the Regional Greenhouse Gas Initiative (RGGI), the purpose of which is to lower carbon emissions in the participating states.

PROGRAM DESCRIPTION

Through Round 2 of CGC II, NYSERDA is offering competitive grants for the implementation of market-transforming sustainability initiatives and projects that accelerate the adoption of sustainable planning and development practices, are innovative, create multiple community benefits, reduce carbon emissions, leverage public and private resources, and propel NYS toward an environmentally and economically vibrant and resilient future. Funding will support policy and plan development, technical assistance, and implementation of projects and initiatives that have the ability to be inspirational and replicated to expand market adoption and overall impact. Projects will stimulate environmentally sustainable economic growth consistent with the [CGC Phase I Regional Sustainability Plans](#) and [REDC Strategic Plans](#). These projects will be holistic in nature, exhibit positive impacts at a scale larger than typical NYSERDA-funded projects, and contribute to an improved quality of life through a systems approach of connecting the natural, built, and human environments. Projects and initiatives selected under CGC II will not only save energy and reduce carbon emissions; they will also make NYS a better place to live, work, and do business.

All projects must demonstrate a contribution to the reduction of carbon emissions either through direct outcomes or indirect influence in areas such as future growth and development patterns. Finally, CGC II is a unique program that should fill gaps and leverage other sources of funding in ways that could not otherwise be accomplished. Round 2 of CGC II is flexible in that it supports a variety of project types; however, it is focused in its priority objective of achieving significant market transformation.

FUNDING CATEGORIES - SUMMARY

Category 1 – Photovoltaic and Electric Vehicle Supply Equipment Permitting Incentive Applications (Open-Enrollment): This category is a continuation of Category 1 in NYSERDA PON 2721, which was released in 2013. Please reference the Category 1 Fact Sheet, which can be found at the CGC [Guidance Documents](#) webpage, for more detailed program requirements and application instructions. Approximately \$1 million is available for communities to adopt streamlined permitting and other ordinances for photovoltaic systems and electric vehicle charging stations, with awards of up to \$10,000 per applicant. **NYSERDA will continue to accept applications through the [Consolidated Funding Application](#) for Category 1 until 4:00 PM Eastern Time on September 30, 2015, until funds are exhausted, or until the solicitation is revised by NYSERDA, whichever comes first.**

Category 2 – Planning Initiatives (Due Date Applications - Competitive): Up to \$5 million will be available to support comprehensive planning, zoning amendments, predevelopment technical assistance for projects, or other innovative planning-related initiatives. These initiatives will prepare a community, region, or project for a more sustainable and resilient future; thereby creating indirect community benefit and carbon reductions. Initiatives must be ready to commence within 3 months of NYSERDA contract execution and should be completed within 3 years of contract execution. Applicants may not commence work on any portion of the project until there is a fully executed contract with NYSERDA. Awards will range from \$25,000 to \$250,000 per project with a 25% minimum cost share requirement. Award amounts will be primarily based on the innovative and

transformative merits of the application in its ability to advance sustainable planning practices. **Proposals for Category 2 are due by 4:00pm Eastern Standard Time on June 16, 2014.** For specific application requirements, please see the section of this document entitled “FUNDING CATEGORIES – DETAILED PROGRAM REQUIREMENTS.”

Category 3 – Community-Scale Sustainability Projects (Due Date Applications - Competitive): Up to \$25 million will be available for community-scale sustainability projects that are innovative and transformational in their contributions to advancing sustainable development; thereby creating direct community benefit and reduction of carbon emissions. Project types include showcase or anchor construction projects, as well as innovative projects or programs that stimulate market transformation. Projects must be ready to commence within 3 months of NYSERDA contract execution and should be completed within 3 years of contract execution. Applicants may not commence work on any portion of the project until there is a fully executed contract with NYSERDA. Awards will range from \$500,000 to \$5 million per project with a 25% cost share requirement. Award amounts will be primarily based on the innovative and transformative merits of the application in its ability to advance sustainable development practices. **Proposals for Category 3 are due by 4:00pm Eastern Standard Time on June 16, 2014.** For specific application requirements, please see the section of this document entitled “FUNDING CATEGORIES – DETAILED PROGRAM REQUIREMENTS.”

FUNDING CATEGORIES – DETAILED PROGRAM REQUIREMENTS

CATEGORY 1: PHOTOVOLTAIC AND ELECTRIC VEHICLE SUPPLY EQUIPMENT PERMITTING INCENTIVES

This category is a continuation of Category 1 in NYSERDA Program Opportunity Notice (PON) 2721, which was released in 2013. Please reference the Category 1 Fact Sheet, which can be found at the CGC [Guidance Documents](#) webpage, for more detailed program requirements and application instructions. Approximately \$1 million is available for communities to adopt streamlined permitting and other ordinances for photovoltaic systems and electric vehicle charging stations, with awards of up to \$10,000 per applicant. **NYSERDA will continue to accept applications through the [Consolidated Funding Application](#) for Category 1 until 4:00 PM Eastern Time on September 30, 2015, until funds are exhausted, or until the solicitation is revised by NYSERDA, whichever comes first.**

ELIGIBLE APPLICANTS – CATEGORIES 2 AND 3

Local governments (county, city, town, village, or Indian tribal government or nation located within NYS), private companies, non-governmental organizations, and other entities with projects located in New York State are eligible to apply for funds. NYS governmental or quasi-governmental agencies, authorities, or entities are NOT eligible applicants. Public-private and public-public partnerships are encouraged to maximize the opportunity for innovation, impact, and leveraging of other sources of funds. Applicants may form partnerships and submit a joint proposal, but one entity must be identified as the lead applicant on behalf of the group or consortium. NYS governmental or quasi-governmental agencies, authorities, or entities may be project partners, but cannot be the lead applicant and cannot contribute funding toward the required applicant cost share. The lead applicant, if successful, will have a contractual obligation to NYSERDA and will act as the main point of contact for all project-related matters.

CATEGORY 2: PLANNING INITIATIVES

Funding Available: Up to \$5 million.

Category 2 Project Eligibility

All Category 2 applicants must propose a *qualified planning initiative*. A *qualified planning initiative* shall be defined as: a single project consisting of creating or revising a municipal comprehensive plan, drafting and implementing zoning amendments, pre-development technical assistance for a specific capital project, or

another innovative planning-related initiative that will better prepare a community, region, or project for a more sustainable and resilient future. Eligible applicants may include only one specific project or initiative in the application. Proposals targeting multiple projects or initiatives are not eligible under this category. All proposals must demonstrate how initiatives are innovative, support local or regional sustainable economic development, and will serve to transform future market practice in a manner that will have multiple long term community benefits and reduction of carbon emissions. NYSERDA 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 community planning processes and proposal development. NYSERDA also recommends considering the [LEED® for Neighborhood Development Floating Zone](#) as part of anticipated planning and zoning efforts. A resource for form-based codes is available at <http://www.formbasedcodes.org/>. Use of other nationally recognized standards or development of new standards to meet market needs are also encouraged.

Applicants may request between \$25,000 and \$250,000 of NYSERDA funding per project. NYSERDA may make award offers at amounts lower than those for which the applicant proposed pursuant to the scope and merit of the proposal received, but will not make awards less than \$25,000. NYSERDA, in order to avoid double-funding projects or measures within projects, may also adjust awarded funding amounts at any time based on new information regarding other project funding secured. A minimum cost-share of 25% 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 NYS funding sources, including other NYSERDA funding, shall not count toward the proposer's cost-share. For example, if an applicant requests \$75,000 from NYSERDA, the applicant must also commit a minimum cost share of \$25,000, for a total minimum project cost of \$100,000. Cost share may include private equity, private or federal grants, loans, in-kind or volunteer services documented in dollar value, or other non-NYS government funding sources. For the purposes of this solicitation, "NYS government funding" is defined as a grant or an incentive that is received from a NYS governmental entity. This funding cannot be counted as any portion of the applicant cost share. For the purposes of this solicitation, annual NYS funding going toward standard operating costs for an organization is not considered "NYS government funding." A retainage equal to 10% of the NYSERDA award will be withheld throughout the project and will be payable upon project completion and acceptance of all reporting requirements. For community-level planning efforts, such as comprehensive plan or zoning ordinance updates, successful project completion and release of the retainage may be contingent upon formal approval or adoption, by the local government entity with regulatory authority, of documents developed through the planning effort.

Applications will be evaluated based on the degree to which the project supports the criteria outlined in the section of this document entitled "Category 2 Selection Criteria." Applicants may not commence work on any portion of the project until there is a fully executed contract with NYSERDA. This shall include any activity funded by NYSERDA or other activity included as part of the proposed applicant cost share. Projects must be ready to commence within three months of contract execution and should be complete within three years of contract execution. Applicants are required to append a proposed scope of work, including a budget and project timeline, with their application. Information included in this appendix will not be considered for the purpose of scoring and selecting proposals other than to clarify budget information and demonstrate that the appendix was submitted and includes all requested information. Applications that do not include the required appendix with complete information in the format requested will be deemed ineligible. Applicants must also agree, or provide written exceptions, to NYSERDA's standard contracting Terms and Conditions, which can be found on the [CGC Guidance Documents](#) webpage. NYSERDA reserves the right to condition awards pending applicant acceptance of industry-appropriate or other NYSERDA program equipment performance, measurement and verification, or commissioning requirements that are not specifically outlined in this guidance document. Applicants with

projects that contain measures that are eligible for existing or upcoming NYSERDA programs will be required to meet the performance specifications outlined in those programs. NYSERDA may reach out to applicants via email with specific follow-up questions after reviewing proposals. Should NYSERDA request additional information, applicants will have five business days to respond in order for that information to be considered in the evaluation process.

Category 2 Ineligible Initiatives

Initiatives that are not a *qualified planning initiative* as described in the section of this document entitled “Category 2 Project Eligibility” and applications that target multiple projects or initiatives will not be considered for funding.

Category 2 Application Process

Applications will be accepted through the [Consolidated Funding Application \(CFA\)](#). Applications for Category 2 are due by 4:00pm Eastern Standard Time on June 16, 2014. A separate CFA must be completed for each project.

Category 2 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 Category 2 funding. NYSERDA may condition awards upon applicant acceptance of requests for minor modifications to project scopes to ensure that CGC Program goals are met. NYSERDA’s selection criteria are based on the five program objectives outlined below, with a total number of available points allocated to each.

- Stimulate Market Transformation (15 possible points)
- Support Sustainable Planning and Design Practices (15 possible points)
- Create Regional and Community Benefit (15 possible points)
- Leverage CGC Funds (15 possible points)
- Reduce Carbon Emissions (20 possible points)

Because proposals will be submitted through the CFA process, the REDCs will score projects based on consistency with their respective Regional Strategic Plan and the relative level of priority. The REDCs will provide 20% of the total score. NYSERDA will convene a Technical Evaluation Panel (TEP) to review and rank eligible proposals for technical merit pursuant to the project selection criteria noted below and to assign the remaining 80% of the score. NYSERDA reserves the right to adjust awards based on statewide portfolio or regional distribution needs.

Under each program objective area is a set of questions to provide guidance in responding to the program objective. Applicants do not need to respond to every guiding question and are encouraged to use other descriptions to demonstrate how their project meets each objective.

1. Stimulate Market Transformation (15 possible points)

- *Does the initiative include the application of an innovative or new approach to plan or better prepare for a sustainable future?*
- *Does the initiative apply best practices from other regions or states that are not readily applied in the region or NYS? If so, give examples that are being duplicated.*
- *Does the initiative create the potential for replication and transfer to other regions or locales to create the potential for larger scale impact?*
- *Is a new planning practice, method or approach being introduced?*
- *Is the initiative inspirational in that it will engage and excite stakeholders or stimulate action by others?*
- *Is the initiative a demonstration or pilot that has not been attempted previously?*
- *Is the initiative ready to begin? Provide a status of necessary approvals and any entitlements received.*

- *How will the initiative be shared or used to promote broader transformation and adoption in other communities?*
- 2. Support Sustainable Design and Development Practices (15 possible points)**
- *Are new methods of sustainable planning practices being applied or introduced to the community? i.e., complete streets, form based codes, smart land use planning, etc.*
 - *Are sustainability and resiliency criteria included in the initiative? If so, provide references for sources or standards being utilized and why they were chosen.*
 - *If pre-development project assistance is requested, how will the future project be enhanced in the area of sustainability through this specialized technical support? i.e., design charrette, community needs or vulnerability assessment, market or technical feasibility, surveys, etc.*
 - *If subcontractors are to be used for the initiative how will they be selected to ensure they have the required expertise to address issues of sustainability? i.e., credentials, certificates or other specialized training. Please note that if the applicant intends to select a subcontractor after an award by NYSERDA, then the applicant must follow NYSERDA's subcontracting requirements as detailed in Article V of the Sample Terms and Conditions, which can be found on the [CGC Guidance Documents](#) webpage.*
- 3. Create Regional and Community Benefit (15 possible points)**
- *How will the initiative provide direct or indirect economic benefit to the region? i.e., jobs creation or retention, retention of local dollars through export substitution, increase income levels, new local dollars generated, etc.*
 - *How will the initiative provide direct or indirect social value to the region? i.e., retention of cultural or historical assets, vulnerable populations addressed, improved access to community assets, expand educational opportunities, etc.*
 - *How will the initiative provide environmental value to the region? i.e., enhance and protect natural assets, green infrastructure planning, restoration of ecological assets, etc.*
 - *How will the impacted community be engaged in the planning and communications process for the initiative?*
 - *Is there local support for the initiative? Please provide letters of support.*
 - *Does the initiative align with the applicable Regional Sustainability Plan? What goals or Sustainability Indicators* are being addressed?*
 - *Does the initiative demonstrate an integrated approach with benefits across multiple areas of the locale or region?*
 - *What efforts will be made to transfer knowledge and educate the broader community and region about the initiative?*
 - *Is the project located in a Climate Smart Community, an Environmental Justice area, a Brownfield Opportunity Area, REDC Opportunity Agenda Area, or other relevant special areas?*
 - *Is the project included in a NY Rising Community Reconstruction Program Plan or a NY Rising Countywide Resiliency Plan (For more information, please visit: <http://stormrecovery.ny.gov/community-reconstruction-program>)?*
- 4. Leverage CGC Funds (15 possible points):** a minimum 25% non-NYS funded cost share must be demonstrated. In-kind and volunteer support documented as dollar equivalent may contribute to this requirement.
- *How will CGC funds fill a unique initiative funding gap that cannot be filled elsewhere?*
 - *What is the total initiative cost and what assumptions have been applied to develop this cost? i.e., is it based on actual bids, comparable initiatives, etc?*

- *What other funds (document both NYS government and non-NYS government funds) will be applied to this initiative and for what components? A minimum of a 25% non-NYS government funding cost share must be confirmed by signed commitments from contributing parties.*
- *If this is a pre-development initiative, do you anticipate applying for future NYS project funding?*
- *How will this initiative leverage private investment dollars?*
- *What type of in-kind support will be provided and what is the estimated dollar value?*
- *What type of volunteer support will be provided and what is the estimated dollar value?*

5. Reduce Carbon Emissions (20 possible points): NYSERDA understands that many planning type initiatives may not have direct carbon emission reductions attributable to the initiative. Please respond to this objective based on either indirect or directly quantifiable carbon reductions based on the type of initiative proposed.

- *Does the initiative provide a quantifiable reduction of carbon emissions? If so, provide the numbers and explain the methodology used to calculate the reduction.*
- *How does the initiative support and promote smart land use and growth principles?*
- *How does the initiative indirectly reduce energy consumption or provide strategies/policies to achieve reductions?*
- *In what ways will the initiative modify or inform current policies or programs that may create barriers to energy use reduction or renewable supply?*

Category 2 Examples of Eligible Initiatives

The following high-level hypothetical project descriptions provide some examples of what NYSERDA considers “eligible” planning initiatives under Category 2. The hypothetical planning initiative descriptions below are not exhaustive, are not a list of preferred initiatives, and are intended only to provide an additional level of clarity. Applications for planning initiative examples included are not guaranteed to receive funding and will be evaluated according to the aforementioned criteria along with every other application. Please contact CGC@nyserdera.ny.gov with any questions.

Post-Hurricane Revisions to Comprehensive Plan

Example City was severely affected by flooding in low-lying areas during Hurricane Irene. Impacted areas included a historic district, parts of downtown, the corporate campus of the City’s principal employer, and a number of areas designated for future development under the City’s 2005 Comprehensive Plan. As recovery efforts have proceeded, it has become clear that Example City needs to redraw future plans to reduce vulnerability to large storm events and diversify its jobs base. The City’s NY Rising Community Reconstruction Plan identifies a full update of the Comprehensive Plan as a top priority. As part of this effort, Example City will be seeking consulting support from Urban Planning Firm, LLC to develop alternative land-use scenarios for reconstruction and future development based on post-Irene parameters, integrating economic, social, and environmental sustainability goals. The City estimates the total budget for such support at \$150k, and is requesting \$60k from the Cleaner Greener Communities program to leverage \$50k in local funds, \$35k obtained from a federal assistance program, and \$5k obtained from another NYS grant.

Downtown Eco-District

Recent years have seen a fledgling renaissance in the older, central part of Example Town. A small but growing in-the-know artisan community has begun taking over loft spaces and storefronts left empty since the 1980s. As part of its economic development program, the Town is proposing to create a Downtown Eco-District to showcase its new, “hip” side and attract redevelopment and new jobs in creative and knowledge-based industries. The Town will carry out a 1-year study and outreach effort to identify projects advancing the Eco-District’s Framework and to forge buy-in from a wide coalition including artistic communities, residential developers, and citizen groups. The study will specifically target high-visibility projects in transportation, energy, and water that can benefit current residents, create spaces for new development, including both affordable and market-rate housing, and reduce Downtown’s overall greenhouse gas footprint. The study will also define the framework and role for a future non-profit Downtown Eco-District Association responsible for coordinating implementation of Eco-District-relevant projects. The Town seeks \$75k in support from the Cleaner Greener Communities program for the initial study and will match that with \$75k of local funds, for a total project cost of \$150k.

Citywide Pedestrian Improvements Plan

Example Village was built as a bedroom community in the 1950s and 1960s for middle-class families with children purchasing their first home, located 15 miles away from downtown. No sidewalks, apartments, or commercial uses were included in the original plans. As the surrounding urban area has expanded, Example Village has become an inner suburb adjacent to a Town Center development anchored by a regional transit station. The population profile has also shifted, including an increasing number of aging-in-place seniors and new immigrant populations moving into older houses increasingly subdivided into duplexes and 4-plexes. The increased density of population and adjacent uses has created traffic safety and congestion issues and a clear need to develop pedestrian improvements throughout Example Village. However, challenges include narrow rights-of-way, a poorly connected street grid, and scarcity of Village funds. Example Village proposes to develop a plan that will include template design solutions to the most common challenges, identify funding sources and prioritize new pedestrian improvements based on their potential for improved safety for existing pedestrians and potential for replacing automobile trips with pedestrian trips. Example Village has secured a federal grant for \$50k for this study. The grant depends on matching funds from the Village. The Village seeks to obtain the \$50k matching funds from the Cleaner Greener Communities program.

Training Elected Officials and Planning Departments in Implementing a LEED ND Floating Zone

The highly-respected Parable Land Institute has carried out studies in Example Region identifying significant unmet demand for residential and commercial space in high-performance buildings located in walkable, mixed-use neighborhoods. However, current zoning designations make it almost impossible to develop this type of space outside of existing Downtown areas. Seeking to harness untapped market opportunities, the non-profit Example Region Developers Association wishes to carry out a series of workshops and trainings in the implementation of LEED ND Floating Zones, Overlay Zones, and other land-use regulatory tools to facilitate sustainable neighborhood development. Workshops will be targeted at elected officials and planning departments in all of the Region’s Towns, Cities and Counties. The proposed 1-year program involves 12 full-day events, and has a total estimated cost of \$85k, including an estimated \$5k in materials. Members of the Developers Association have committed to contributing materials costs and raising \$30k, and are seeking a \$50k grant from the Cleaner Greener Communities program to complete funding for this training initiative. 10 communities, as evidenced in the attached letters of support, have committed to attending all training as well as following through and adopting at least one new regulatory tool developed as a result of these trainings.

University/Developer Non-Profit Partnership for Pre-Development Technical Assistance

Example Community Developer is planning to secure pre-development technical assistance from Example University’s College of Architecture and Planning for a 400,000 square foot mixed-use project being proposed in a blighted area in Example City. The goal of this project is for the development to achieve LEED for Neighborhood Development (LEED ND) certification and to demonstrate how to replicate the successful project in similar cities in New York State. The technical assistance will include analyzing land-use requirements and possible variances needed, evaluating costs and benefits, including potential funding sources, of integrating sustainable design elements identified by performing a gap analysis using the LEED ND checklist, recommending specific changes to the project in accordance with the evaluation, help preparing revised design documents, help preparing the permit application, and preparing and reviewing LEED ND credit submittals throughout the development process. A final report documenting the process from start to finish will be presented at a professional architecture conference in New York State. The project team will consist of a graduate architecture student, a graduate planning student, a supervising professor from the College, as well as a project manager and architect from the Developer. The students will obtain course credit and will be compensated as research assistants. Example Community Developer estimates the total cost of the three year effort at \$50k and is seeking \$25k in support from the Cleaner Greener Communities program to fund the balance of the cost of the research assistantships at the College. The College will provide a \$5k cost-share using internal discretionary funds and the Developer will provide \$20k in in-kind services.

CATEGORY 3: COMMUNITY-SCALE SUSTAINABILITY PROJECTS

Funding Available: Up to \$25 million

Category 3 Project Eligibility

Category 3 projects must fit into one of the two following descriptions. Research and development activities are not eligible.

1. Showcase or anchor construction projects that deliver one or more key elements of a defined sustainable neighborhood development effort. To be eligible, the effort must: (i) be either a project(s) identified as part of an approved neighborhood master plan that consists of multiple buildings OR an actual development project that consists of multiple buildings; (ii) meet prerequisites (see prerequisites below) for smart location, walkable streets, compact development, neighborhood connections, and green infrastructure and buildings; AND (iii) demonstrate that the project strategy has the potential to lead to replication or other spill-over effects.

Prerequisites for showcase or anchor construction projects:

A. SMART LOCATION

- a. Reinvests in existing neighborhoods, connects to adjacent development, is served by transit or neighborhood amenities, or cleans up a contaminated site;
- b. Avoids habitats for endangered species or creates a habitat conservation plan;
- c. Avoids wetlands and leaves a buffer of at least 50 feet;
- d. Avoids prime agricultural land; and
- e. Avoids floodplains.

B. WALKABLE STREETS

- a. Includes public-facing building entries (other than a parking lot) on 90% of building frontage;
- b. Includes a minimum of 15% of street length with building-height-to-street ratio of at least 1 to 3;
- c. Includes a minimum of 90% of street length with sidewalks; and

- d. Includes no more than 20% of street length with garage doors.
- C. COMPACT DEVELOPMENT
 - a. Provides at least 7 dwelling units per acre for residential; and
 - b. Meets a minimum 0.5 floor-area ratio for non-residential.
- D. NEIGHBORHOOD CONNECTIONS
 - a. Includes streets or pathways into the development at least every 800 feet;
 - b. Includes at least 140 intersections per square mile;
 - c. If the project has no internal streets, is surrounded within a ¼ mile by an existing street network of at least 90 intersections a square mile; and
 - d. Provides for bicycle paths and bicycle parking.
- E. GREEN INFRASTRUCTURE AND BUILDINGS
 - a. Targets making 90% of building square footage a minimum of 10% more efficient than the energy code;
 - b. Targets reducing water usage 20% over baseline requirements or use; and
 - c. Uses a green building rating system to certify at least one project building.

For more detail regarding how to meet these pre-requisites, please reference the U.S. Green Building Council's Leadership in Environmental and Energy Design (LEED) for Neighborhood Development rating system³.

2. Innovative projects or programs that either: (i) facilitate, develop, or expand a private-sector business model targeting delivery of community-wide clean energy services or sustainability projects as described in number 1 above; OR (ii) utilize innovative and well integrated community engagement or aggregation strategies to accelerate community-wide demand for clean energy projects or services. Eligible applicants must demonstrate their program's ability to affect or deliver impact at community scale, and how their program will facilitate the development of self-sustaining mechanisms for the applicable clean energy installations or services, or sustainability projects as described in number 1 above. Eligible project strategies or measures must reduce GHG emissions; and include, but are not limited to, the types described below.
 - A. Implementing an innovative financing mechanism;
 - B. Implementing an innovative outreach or aggregation strategy;
 - C. Providing *scalable* technical assistance services addressing specific market barriers; and
 - D. Other innovative projects or programs that break down market barriers.

NYSERDA anticipates awarding projects that are innovative and transformational in their contributions to advancing sustainable development; thereby creating direct community benefit and reduction of carbon emissions. All projects must also support energy efficiency, renewable energy, or carbon mitigation.

Applicants must request \$500,000 to \$5,000,000 of NYSERDA funding per project. NYSERDA may make award offers at amounts lower than those for which the applicant proposed, pursuant to the scope and merit of the proposal received, but will not make awards less than \$500,000. NYSERDA, in order to avoid double-funding projects or measures within projects, may also adjust awarded funding amounts at any time based on new information regarding other secured project funding. A minimum cost-share of 25% 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

³ <http://www.usgbc.org/resources/leed-neighborhood-development-v2009-current-version>

cost-share must be confirmed by signed commitments from contributing parties. Other NYS funding sources, including other NYSERDA funding, shall not count toward the proposer's cost-share. For example, if an applicant requests \$750,000 from NYSERDA, the applicant must commit a minimum cost share of \$250,000, for a total minimum project cost of \$1,000,000. Cost share may include private equity or grants, loans, in-kind or volunteer services documented in dollar value, or other non-NYS government funding sources. For the purposes of this solicitation, "NYS government funding" is defined as a grant or an incentive that is received from a NYS governmental entity. This funding cannot be counted as any portion of the applicant cost-share. For the purposes of this solicitation, annual NYS funding going toward standard operating costs for an organization is not considered "NYS government funding." A retainage equal to 10% of the NYSERDA award will be withheld throughout the project and will be payable upon project completion and acceptance of all reporting requirements.

Applications will be evaluated against one another based on the degree to which the project supports the criteria outlined in the section of this document entitled "Category 3 Selection Criteria." Applicants may not commence work on any portion of the project until there is a fully executed contract with NYSERDA. This shall include any activity funded by NYSERDA or other activity included as part of the proposed applicant cost share. Projects must be ready to commence within three months of contract execution and should be complete within three years of contract execution. Applicants are required to append a proposed scope of work, including a budget and project timeline, with their application. Information included in this appendix will not be considered for the purpose of scoring and selecting proposals other than to clarify budget information and demonstrate that the appendix was submitted and includes all requested information. Applications that do not include the required appendix with complete information in the format requested will be deemed ineligible. Applicants must also agree, or provide written exceptions, to NYSERDA's standard contracting Terms and Conditions, which can be found on the [CGC Guidance Documents](#) webpage. NYSERDA reserves the right to condition awards pending applicant acceptance of industry-appropriate or other NYSERDA program equipment performance, measurement and verification, or commissioning requirements that are not specifically outlined in this guidance document. Applicants with projects that contain measures that are eligible for existing or upcoming NYSERDA programs will be required to meet the performance specifications outlined in those programs. NYSERDA may reach out to applicants via email with specific follow-up questions after reviewing proposals. Should NYSERDA request additional information, applicants will have five business days to respond in order for that information to be considered in the evaluation process.

Category 3 Ineligible Projects

Projects must meet eligibility requirements outlined in the section of this document entitled "Category 3 Project Eligibility." The following project types or measures are **NOT** eligible for Category 3 funding:

- Projects or measures within projects that are required by law or regulations;
- Projects that have an aggregate adverse effect on indoor or outdoor air quality, carbon emissions, or public health in general;
- Natural gas, electricity, or other "fuel distribution or supply lines" including, but not limited to, gas pipelines and electricity lines. For the purposes of this solicitation, combined heat and power systems and district energy systems are not considered "fuel distribution or supply lines;"
- Design and construction costs for projects comprised of only residential buildings consisting of between one and four units;
- Research and development (R&D) or commercialization efforts for products, processes, or other activities;
- Biomass heating or biomass energy generation equipment that combusts or gasifies any fuel other than premium wood pellets. (Premium wood pellet biomass measures are eligible, but must comply with

NYSERDA's CGC Biomass Heating System Program Requirements, which can be accessed at the [CGC Guidance Documents](#) webpage). For the purposes of this solicitation, landfill gas energy generation equipment, bio-digesters, and the fuels produced as a result of their processes, are not considered biomass;

- Costs of consumables, including, but not limited to, fuels such as gasoline, wood pellets, fuel oil, and biodiesel;
- Projects consisting of a single building that are not part of a larger (multiple buildings) approved community or neighborhood plan;
- Projects focused on the installation of a single technology into a building or site; and
- Research studies.

Category 3 Application Process

Applications will be accepted through the [Consolidated Funding Application \(CFA\)](#). Applications for Category 3 are due by 4:00pm Eastern Standard Time on June 16, 2014. It is expected that resulting awards will be announced in Fall 2014. A separate CFA must be completed for each unique project.

Category 3 Selection Criteria

Projects will be scored and awarded on a competitive basis. No project, region, or applicant is guaranteed funding. However, no one project, region, or applicant may receive more than 25% of available Category 3 funding. NYSERDA may condition awards upon applicant acceptance of requests for minor modifications to project scopes to ensure that CGC Program goals are met. NYSERDA's selection criteria are based on the five program objectives outlined below with a total number of points allocated to each.

- Stimulate Market Transformation (15 possible points)
- Support Sustainable Design and Development Practices (15 possible points)
- Create Regional and Community Benefit (15 possible points)
- Leverage CGC Funds (15 possible points)
- Reduce Carbon Emissions (20 possible points)

Because proposals will be submitted through the CFA process, the REDCs will score projects based on consistency with their respective Regional Strategic Plan and the relative level of priority. The REDCs will provide 20% of the total score. NYSERDA will convene a Technical Evaluation Panel (TEP) to review and rank eligible proposals for technical merit pursuant to the project selection criteria noted below and to assign the remaining 80% of the score. NYSERDA reserves the right to adjust awards based on statewide portfolio or regional distribution needs. Under each program objective area is a set of questions to provide guidance in responding to the program objective. Applicants do not need to respond to every guiding question and are encouraged to use other descriptions to demonstrate how their project meets each objective.

1. Stimulate Market Transformation (15 possible points)

- *Does the project include the application of an innovative or new approach to projects in the region or state of a comparable size and type?*
- *Does the project apply best practices or technologies from other regions or states that are not readily applied in the region or NYS? If so, give examples that are being duplicated.*
- *Does the project create the potential for replication and transfer to other regions or locales to create the potential for larger scale impact? To what extent does the proposer document the potential for replication?*
- *How will the project be promoted or used as an educational opportunity to transfer knowledge and stimulate future projects of this type?*

- *Does the proposal identify the anticipated market barriers, infrastructure deficiencies, and/or regulatory issues and proposed solutions for how they will be overcome?*
 - *Is a new technology, system, practice, method or approach being introduced?*
 - *Is the project a demonstration or pilot that has not been attempted previously?*
 - *What efforts have been taken to assess and reduce risk during implementation?*
 - *Is the project inspirational in that it will engage and excite stakeholders or stimulate action by others?*
 - *Will the project be ready to begin within 3 months of contract execution? Provide a status of necessary approvals and documentation of any entitlements received.*
- 2. Support Sustainable Design and Development Practices (15 possible points)**
- *Are new methods of sustainable design and construction being applied or introduced through the project?*
 - *Are sustainability and resiliency criteria included in the project? If so, provide references for sources or standards being utilized and why they were chosen.*
 - *Does the project support and promote smart land use and growth principles?*
 - *Has the project applied LEED ND or other equivalent sustainability rating systems? Include a summary of the score sheet results with an explanation on how it was derived.*
 - *What features or strategies used in the project respond to regional Sustainability Indicators*?*
 - *If subcontractors are to be used for the project how will they be selected to ensure they have the required expertise to address issues of sustainability? i.e., credentials, certificates or other specialized training or project experience. Please note that if the applicant intends to select a subcontractor after an award by NYSERDA, then the applicant must follow NYSERDA's subcontracting requirements as detailed in Article V of the Sample Terms and Conditions, which can be found on the [CGC Guidance Documents](#) webpage.*
- 3. Create Regional and Community Benefit (15 possible points)**
- *To what extent has the proposer demonstrated that the project will support economic development in the region or all applicable regions if a project overlays more than one REDC region?*
 - *How will the project provide direct economic benefit to the region? i.e., jobs creation or retention, retention of local dollars through export substitution, increase income levels, new local dollars generated.*
 - *To what extent has the proposer discussed the current state of the supply chain as well as anticipated changes in the next 6 to 12 months?*
 - *To what extent has the proposer described targeted activities as well as anticipated changes in the next 6 to 12 months?*
 - *How will the project provide direct social value to the region? i.e., retention of cultural or historical assets, vulnerable populations addressed, improved access to community assets, expand educational opportunities, etc.*
 - *How will the project provide direct environmental value to the region? i.e., enhance and protect natural assets, green infrastructure, restoration of ecological assets, etc.*
 - *How will the impacted community be engaged in the planning and communications process for the project?*
 - *Does the project provide benefits to a culturally diverse population that is inclusive of varying income levels, vulnerable populations, and mixed age populations?*
 - *Is there local support for the project? What approvals have been secured? Please provide letters of support.*
 - *Does the project align with the applicable Regional Sustainability Plan? What goals or Sustainability Indicators* are being addressed?*
 - *Does the project demonstrate an integrated approach with benefits across multiple areas of the project?*

- *What efforts will be made to transfer knowledge and educate the broader community and region about the project?*
- *Is the project located in a Climate Smart Community, an Environmental Justice area, a Brownfield Opportunity Area, or other relevant special areas?*
- *Is the project included in a NY Rising Community Reconstruction Program Plan or a NY Rising Countywide Resiliency Plan (For more information, please visit: <http://stormrecovery.ny.gov/community-reconstruction-program>)?*

4. Leverage CGC Funds (15 possible points):

- *How will CGC funds fill a unique project funding gap that cannot be filled elsewhere?*
- *What is the total project cost and what assumptions have been applied to develop this cost? i.e., is it based on actual bids, comparable projects, etc?*
- *What other funds (document both NYS government and non-NYS government funds) will be applied to this project and for what components? A minimum of a 25% non-NYS government funding cost share funding must be documented. Please see the “Example Funding Breakout” below for one way a project may submit.*
- *What type of in-kind support will be provided and what is the estimated dollar value?*
- *What type of volunteer support will be provided and what is the estimated dollar value?*
- *How will this initiative leverage private investment dollars?*

5. Reduce Carbon Emissions (20 possible points):

- *Does the project provide direct reduction of carbon emissions? What is the amount of reduction and how was it calculated?*
- *How does the initiative directly reduce energy consumption? What is the amount of reduction and how was it calculated?*
- *How does the project provide renewable sources of energy? What is the amount of renewable energy supplied and how was it calculated?*
- *Do the project plans include methods for evaluating the anticipated reduction in energy use and carbon emissions?*

Category 3 Examples of Eligible Projects

The following high-level hypothetical project descriptions provide some examples of what NYSERDA considers “eligible” project types under Category 3. The hypothetical project descriptions below and additional list of project types that follow are not exhaustive, are not a list of preferred project types, and are intended only to provide an additional level of clarity. Applications for project examples or types included are not guaranteed to receive funding and will be evaluated according to the aforementioned criteria along with every other project application. Please contact CGC@nyserda.ny.gov with any questions.

Neighborhood Watershed Green Streets Project

Example Neighborhood lies on a slope that backs into Example River and was built in the early 20th-century with a combined sanitary and stormwater sewer. A wastewater treatment plant abuts the river, treating sewage water before releasing it. The growing intensity of summer storms in recent years has caused an increase in both upstream sewer back-ups and direct overflow discharge into the river. This has resulted in recurring damages to public and private property, endangers human safety during and immediately after storms, and may be placing Example Water District at risk of a lawsuit for violating the Clean Water Act. As part of the recently completed Example Neighborhood Master Plan, which has achieved Stage 1 LEED ND certification, the District has put in place a plan to reduce the total load and peak loads on the sewer system and the treatment plant by installing green street features such as planted swales and connected vegetated detention basins. The plan also includes a program to assist homeowners who install green roofs and rain gardens on their property. Load reductions at the Wastewater Treatment Plant are expected to result in up to a 50% reduction in energy use for water treatment. Example Water District has partnered with Green Development, Inc. to seek assistance from the Cleaner Greener Communities program for \$1.5 million of this \$6.25 million project, part of which will be covering green street features in upstream parts of the Neighborhood. The NYSERDA funding would support the green street feature development on two residential blocks and on a group of recently approved mixed use developments spanning 40 acres. The cost of construction for the new mixed use building developments is being paid for by Green Development, Inc. NYSERDA would also support the installation of energy improvement covering the incremental cost of installing LED street, path, and area lighting in the affected areas. This NYSERDA work would include the stormwater structures and rain gardens associated with the street layout and construction. Green Development would pay for the construction of the roads, improved pedestrian amenities, renovations to the buildings, and the stormwater conveyances to connect the green infrastructure for drainage; and connections for rooftop drainage to the new stormwater infrastructure. The Green Development group has identified two other sites in nearby Example1 City, Example 2 City that have Brownfield Redevelopment Areas currently nearing completion of remediation for which the same type of development would be applicable. If successful, they intend to replicate the development described in the Example Neighborhood Master Plan at these two additional locations as well as undertake a statewide marketing campaign showcasing the benefits of the additional green project features.

Rooftop Solar Power Systems for Low-Income Housing Redevelopment Project in a High-Priority Area

Example Community Developer seeks funding to help develop an abandoned 10-acre site into a mixed-use community featuring 300 rental apartment units with commercial space on the ground floor of all buildings. 35% of the units will be affordable housing and the rest will be rented at market rate. The site is located in a U.S. Department of Housing and Urban Development designated Qualified Census Tract making the Developer eligible for the Low Income Housing Tax Credit. As part of efforts to control costs for low-income residents and to enhance the quality of life for all residents, Developer intends to integrate enhanced pedestrian and public transportation amenities, such as wide sidewalks, pedestrian signaling, covered bus shelters and additional bus stops, on site water recycling, rooftop community gardens, energy efficiency, and technologies including solar thermal systems and solar photovoltaic panels. A gap analysis completed by Green Consulting Firm using the LEED ND rating system identified these project elements as opportunities to help the project achieve certification. However, the added cost of energy efficiency and green design features is difficult to include in low income housing. Developer has applied separately for other NYSERDA and US Department of Energy funding for the extra costs of energy efficiency design features. Preliminary design studies have estimated the total incremental cost of wider sidewalks, enhanced pedestrian signaling, and increased bus stops, which will increase pedestrian activity and reduce vehicle miles traveled in the area, at \$1 million. Developer is seeking \$750k in assistance from the Cleaner Greener Communities program for these amenities and will provide the remaining \$250k in sub-contracted services paid for by Developer. The total cost of the full construction project, including all building construction and enhanced energy and sustainability features, is estimated at \$20 million. As part of the LEED ND gap analysis, Green Consulting Firm determined that the project, as designed, meets all prerequisites for the program. Developer has registered the project and, pending the results of an updated cost-benefit analysis by the same firm, plans to pursue LEED ND certification for the project.

Sustainable Community Rent-to-Own Project

Low to medium income homes are often in older buildings that are not energy efficient. New, energy efficient homes are often out of reach financially for this population. Project Developer is seeking funding to finance construction, marketing and initial operation of a new, mixed-use rent-to-own condominium project in Example City. Project design, site acquisition and zoning permits have been completed for a 2-acre infill site that would feature 60 apartment units of varying size and 5,000 square feet of retail space. The proposed design has received Stage 1 LEED ND Conditional Approval, including points for planning of infrastructure energy efficiency, water efficiency, and on-site renewable energy production and water recycling. Under the Developer's proposed business model, a specially-created housing corporation would own and manage the apartments, retail space and landscape. Residents would be selected on income-based criteria, and would "purchase" an apartment with no money down and an agreed monthly rent payment, where a portion of each month's rent goes to paying for a predetermined "sale price". The buildings have been designed at a cost that enables the monthly rent for a unit not to exceed 30% of Area Median Income for a family of four. Once total rent payments on a unit match the 'sale price', the renter becomes a full owner and shareholder in the housing corporation, with the same rights as a condominium owner.

The project includes the following features:

- *60 apartment units for Low to Middle Income households;*
- *5,000 square feet of retail space to provide walkable access to neighborhood services and jobs;*
- *Stage 1 LEED ND Conditional Approval will plan for reduced energy/emission footprints of the development*
- *Innovative financing plan to facilitate home ownership by low/medium income heads of households.*

Arrangements have been made with Example Local Bank so that renters can obtain mortgages to become full owners once their total rent payments are equal to the previously agreed upon sale price. Project Developer is seeking a \$5 million grant from the Cleaner Greener Communities program to leverage a \$100,000 from the NYS Department of State Community Development Block Grant program plus Project Developer's initial \$2 million investment and to meet Example Local Bank's requirements for an \$8 million loan that will enable construction to begin within 3 months. Project Design is built on a scalable model to enable similar projects on sites 1 to 5 acres in size, and if successful Project Developer intends to reproduce this model on up to 5 pre-identified sites in Example Region and to showcase the design at industry trade shows at the state and national level.

Local Smart Grid Improvement Service

Example Utility has expressed a desire to strengthen grid capacity while reducing fossil fuel use at power plants and enabling customers to produce small-scale renewable energy using solar panels. However, due to stagnant revenue and outstanding debt, Example Utility does not have the capital to fully finance improvements that would allow the injection of excess power produced by homes and commercial buildings into a smart grid. If improvements were implemented, customers could receive discounts on their power bills based on injected power, providing a powerful incentive to install small-scale renewable energy production solutions on buildings. Example Renewable Energy Services, LLC (ERES), an electrical equipment and construction contractor based in Example City, NY, proposes to fill the gap by implementing smart grid improvements in targeted areas and sharing a portion of the resulting electricity bill discounts with customers who install new renewable power production capacity on their property. ERES seeks a \$900,000 grant from the Cleaner Greener Communities program, matching a \$300k commitment from Example Utility, in order to launch this project in Example Pilot Area. As part of this project a formal, binding agreement on payments for renewable power production will be developed between Example Utility, ERES, and local property owners. The total project cost is \$1.2 million. If successful, ERES will scale this project to offer grid improvement services to utilities throughout New York State, without the need for any additional NYS subsidies.

Example Funding Breakout

In the first hypothetical Category 3 example above, the applicant is proposing a \$20,000,000 project that is seeking \$1,500,000 from NYSERDA to help fund \$250,000 in engineering feed and an additional \$1,150,000 for the installation of energy efficient lighting, rain gardens, rooftop gardens, drainage conveyances, and appurtenant structures to lower energy use and reduce the discharge of water to a combined sewer system. The cost breakout is provided in the budget table below. The Community Master Plan focuses on the components of a complete neighborhood plan consistent with LEED-ND goals. An engineering supplement will provide plans for the construction of the stormwater structures, and the project will conclude with the actual construction of the lighting and the infrastructure required connecting the rooftops and street drainage to rain gardens.

Example Schedule

A schedule, presented as a table or chart, should highlight the anticipated period of performance for each task, and key milestones should be displayed. A simplified example follows the funding breakout below.

Example Budget Disclosure

Project Component	Cost Share	Cost-Share Description	Other Funding	Other Funding Description	NYSERDA/Cleaner Greener Communities Share	NYSERDA-Share Description	Total
Purchase and installation of LED street, path, and area lighting (incremental cost vs. traditional lighting)	\$20,000	Direct cash contribution from Example Community	n/a	n/a	\$200,000	NYSERDA funding will pay for remaining incremental cost of lighting fixtures	\$220,000
Engineering design	\$75,000	Sub-contracted Engineering support from the Example Water District, including utilization of the District's on-call engineering firm	n/a	n/a	\$150,000	NYSERDA funding will pay for the remainder of the engineering consulting	\$225,000
Construction of rooftop and rain garden infrastructure and connections to stormwater retention devices	\$0	n/a	\$155,000	Grant from New York State Department of Environmental Conservation	\$900,000	NYSERDA to pay for green infrastructure construction	\$1,055,000
Community redevelopment aid for porous pavement, renovations of old buildings, and district co-gen system	\$4,500,000	All construction of pavement, building renovations, purchase of energy equipment, and open space improvements will be paid by the District with a grant that has been approved by HUD.	n/a	n/a	\$250,000	NYSERDA funding will pay for the design and installation of the energy system renovations in existing buildings to ensure compatibility with the new district co-gen system.	\$4,750,000
Total:	\$4,595,000		\$155,000		\$1,500,000		\$6,250,000

Simplified example schedule

Project Task	Q1/Y1	Q2/Y1	Q3/Y1	Q4/Y1	Q1/Y2	Q2/Y2	Q3/Y2	Q4/Y2	Q1/Y3	Q2/Y3	Q3/Y3	Q4/Y3
Contract Executed / Completed												
Task 1: Project Administration, reports												
Task 2: Site plans and permitting												
Task 3: Construction												

***SUSTAINABILITY INDICATORS**

Anticipated benefits associated with CGC II projects should be measured, to the extent feasible, using statistics tracked by sustainability indicators outlined in every Regional Sustainability Plan. Each successful applicant shall, throughout the course of the contract with NYSERDA, collect the required metrics described in the attached Project Benefits Reporting Template. Descriptions of these metrics are available in the Sustainability Indicator Guidance Document, which can be found on the [CGC Guidance Documents](#) webpage. To encourage consistent quantification methodology and adherence to the goals outlined in each Regional Sustainability Plan, project proposals shall also focus on sustainability indicators that were specifically targeted in the sustainability plan applicable to the region in which the project is located. Every project application must positively influence at least one sustainability indicator in its region's sustainability plan. State-wide initiatives should address at least one of the five required common indicators included in all Regional Sustainability Plans.

- Number of permanent jobs created (full-time equivalent [FTE])
- Energy cost savings/year (\$)
- Other investment (\$)
- Total energy savings by fuel type/year (million British thermal units[MMBTU]); and
- GHG savings/year (metric tons carbon dioxide equivalents [MTCDE]).

Project benefits should be estimated, with methods described in the Sustainability Indicator Guidance Document. These benefits should be reported using the Project Benefits Reporting Template and attached to the CFA. Both of these documents are available on the [CGC Guidance Documents](#) webpage. The benefits will be refined and demonstrated again in a final report prepared by each successful applicant at the conclusion of the project.

For more information on the Cleaner Greener Communities Program or to reference your region's Regional Sustainability Plan, please visit: <http://www.nyserderda.ny.gov/Statewide-Initiatives/Cleaner-Greener-Communities.aspx>

DISCLAIMER

Projects identified in the appendices and the content of the CGC Phase I Regional Sustainability Plans are meant to provide examples of potential ways to address the strategies identified in the reports and were submitted to the planning consortiums as part of the public outreach efforts by the consortium. These projects are in no way prioritized or guaranteed to receive funding through Phase II Implementation Funding of the CGC Program. Projects not listed in the appendices section or content of the plans will have equal opportunity to submit an application for funding through Phase II. Regardless of being listed in the plan, a CFA must be submitted in order to be considered for funding in CGC II. All projects must address the qualifications and eligibility requirements listed in this Guidance Document. NYSERDA reserves the right to issue revisions to this solicitation at any time. Any revisions will be announced and posted on NYSERDA's website at www.nyserderda.ny.gov.

ADDITIONAL RESOURCES

All CGC program resources and guidelines can be found on the CGC Guidance Documents webpage at the following location: <http://www.nyserderda.ny.gov/Statewide-Initiatives/Cleaner-Greener-Communities/Implementing-Smart-Development-Projects/Guidance-Documents.aspx>. NYSERDA may host an interactive online webinar-based information session to answer questions about this solicitation. Webinar information will be posted on NYSERDA's [CGC Guidance Documents](#) webpage. Within two weeks of the information session, NYSERDA will issue a "Frequently Asked Questions"

document specific to this solicitation and will post it on this website. All other questions about this solicitation should be submitted to NYSERDA, in writing, at CGC@nyserda.ny.gov. Due to the large number of inquiries expected, NYSERDA may not be able to return phone calls.

Department of State - Local Government Efficiency Program

Funding Available: Up to \$4 Million

DESCRIPTION:

For the 2014-2015 program year \$4 million is available under the Local Government Efficiency (LGE) Grant program to assist local leaders identify best practices and implement actions focused on reducing municipal expenditures, limiting the growth in property taxes and increasing efficiencies in service delivery. Projects can include local government reorganization, functional or service delivery consolidation, city or county charter revisions that include functional consolidation, cooperative service agreements, and establishment of regional service delivery mechanisms.

Local government efficiency projects must implement new opportunities for financial savings or exhibit great potential to modernize existing services. Additional benefits may include improving organization or management structures or improving public access to services.

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, 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, 2014 – March 31, 2017. 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, 2014 are eligible for reimbursement. Expenses incurred prior to the start date of the state contract cannot be reimbursed. The grant contractor will be required to submit payment requests every three (3) months.

Recipients of grants must submit project status reports along with every request for payment. Project close-out requires completion of terms and activities outlined in the state contract, including all deliverables identified in the work plan.

The New York Department of State Division of Local Government Services (DLGS) staff monitors each grant and will make site visits during the course of project completion to determine the rate and quality of progress. Notification of contract related meeting schedules and other media events must be provided to DLGS staff. In addition, some projects may be selected for more extensive review and inclusion in the Local Government Efficiency Annual Report submitted to the Governor and Legislature, and may be used as a resource for providing technical assistance.

INELIGIBLE ACTIVITIES:

For this application, projects shall not include plans for a local government re-organization eligible to receive a funding pursuant to the New York Department of State Local Government Citizens Re-Organization Empowerment Grant (CREG). CREG can assist those local governments that are developing plans for consolidation or dissolution pursuant to the terms of General Municipal Law 17-A, the “New N.Y. Government Reorganization and Citizen Empowerment Act”. CREG funding is available on a monthly basis. Please visit the LGE program website at <http://www.dos.ny.gov/funding/> for more information on submitting a CREG grant.

PROJECT SELECTION CRITERIA:

An application is eligible to receive a total final score of 100, of which 80 percent is derived from program review criteria and 20 percent is allocated to the applicable Regional Economic Development Council (REDC) endorsement.

Application of LGE program score

- Each application will be judged on an initial scale of 100 points to establish a program base score. The program base score may receive a priority multiplier which may total 120 points. The final program score will then be divided by a factor of 1.5 (120 ÷ 1.5 = 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.

LGE Program Base Scoring Criteria (Up to 100 points)

Priorities (Possible 20 points)

- The project received funds through other state community and infrastructure development programs, supports NY Rising Community Reconstruction Program Plan or a Countywide Resiliency Plan or is a project identified by the Opportunity Agenda. (5 points)
- The project implements a planning project completed with SMSI or LGE funds. (5 points)
- The project implements a regional governance project impacting five or more local governments. (5 points)
- Any of the project partners uses multi-year financial planning. (5 points)

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

- Fully meets program criteria 5 points
- Partially meets program criteria 3 points
- Marginally meets program criteria 1 point
- Does not meet criteria 0 points

Project Need (Possible 5 points)

- Significance of existing conditions that created the need for the project, including unplanned increases in local expenditures or other financial challenges, recent requirements to modify existing service delivery or changes in the municipal workforce.

Cost Savings - (Possible 5 points)

- How much savings, as percentage of budget, will be generated by the completion of the project?

Local Investment (Possible 5 points)

- How the fiscal benefits and outcomes realized by the project will stimulate investment in other relevant local government efforts.

Potential Tax Levy Impact (Possible 5 points)

- How the action may affect the property tax levy.

Performance Measurement (Possible 5 points)

- How continued performance of the project is measured to determine the future effectiveness of the project after implementation.

Operational Impacts (Possible 5 points)

- How the project will change current business practices or management operations associated with the impacted services.

Service Delivery Impact (Possible 5 points)

- How the project will make significant impacts on the delivery of services and how the public will be affected by the project.

Project Readiness (Possible 5 points)

- What actions have already been undertaken that commit the local governments to complete the project.

Sustainability (Possible 5 points)

- How the local governments will institutionalize the organizational and/or service delivery changes.

Connections (Possible 5 points)

- How the project furthers a recommendation of a long-term plan to realize cost efficiencies and savings.

Work Plan Detail (Possible 5 Points)

- Clarity and detail of the work plan, including the project timeline, specific phases and associated tasks, and deliverables.

Work Plan Feasibility (Possible 5 Points)

- Feasibility of the work plan to complete the project within the scope and timeline.

Budget and Costs Determination (Possible 5 Points)

- How the budget and costs were determined.

Budget Detail and Adequacy (Possible 5 Points)

- How the budget includes adequate detail for all project tasks and components involved, is cost-effective, presents necessary and realistic costs, and does not contain extraneous expenses.

Budget Relationship with Work Plan (Possible 5 Points)

- How costs relate to and support activities in the proposed work plan.

Expense Eligibility (Possible 5 Points)

- How expenses meet eligibility requirements of the program.

Education/Workforce Development

Department of State - Workforce Development Grants

Funding Available: Up to \$1 million

DESCRIPTION

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

- 1) Job Creation and Placement
- 2) Workforce Education and Development
- 3) Soft Skill Development
- 4) Entrepreneurial Development

ELIGIBLE PROJECT TYPES

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

- 1) **Job Creation and Placement**
Expected Result: Workers and potential workers will obtain full-time skilled employment or improve opportunities for skilled employment.
- 2) **Workforce Education and Development**
Expected Result: Participants will be prepared to obtain full-time skilled employment.
- 3) **Soft Skill Development**
Expected Result: Participants will be better prepared to enhance their “soft skills” and grow as a full-time, skilled employee.
- 4) **Entrepreneurial Development**
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.

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-e(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.

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 five years.

AWARDS, CONDITIONS & REQUIREMENTS

The maximum grant that an applicant may receive is \$200,000. There is a required local share match of 25%.

CONTACT/ADDITIONAL PROGRAM INFORMATION

All questions on this program may be addressed to the Department of State, Division of Community Services' mailbox at: dos.sm.dcs@dos.ny.gov.

Department of Labor - Workforce Development

Funding Available: Up to \$5 million

DESCRIPTION

The New York State Department of Labor is an Equal Opportunity Employer. Auxiliary aids and services are available upon request to individuals with disabilities.

As part of a historic initiative that has transformed New York State's model for economic development and job creation, Governor Cuomo and the New York State Department of Labor (NYSDOL) are announcing the release of the fourth round of funding under the New York State Consolidated Funding Application (CFA). NYSDOL is making approximately \$5 million in Workforce Investment Act (WIA) funding available through this Request for Proposals (RFP) to support three Workforce Development programs:

1. Existing Employee Training Program;
2. New Hire Training Program; and
3. Unemployed Worker Training Program.

The purpose of these programs is to address layoff aversion by:

1. Training existing employees who are at risk of losing their jobs unless they obtain upgraded skills;
2. Training long-term unemployed dislocated workers who require on-the-job training upon being hired; and
3. Training long-term unemployed dislocated workers who require classroom-based skills upgrading to be qualified to be hired.

These programs also support the workforce needs of strategic plans of the Governor's Regional Economic Development Councils (REDCs).

BACKGROUND

Marking a fundamental shift in how economic development resources are allocated, the CFA serves as a more efficient and effective tool to generate sustainable economic growth and employment opportunities across the state. NYSDOL and over a dozen other state agencies and authorities have pooled resources to be made available through the CFA. To support the Governor's transformative plans to improve New York's business climate and stimulate economic growth, 10 REDCs were created. The REDCs use the CFA as the primary mechanism to fund projects that demonstrate the greatest potential for job creation and economic opportunity. Each REDC's vision for their respective region is described in a five year strategic plan, which can be viewed by visiting <http://regionalcouncils.ny.gov/>, and clicking the "Regional Councils" button.

It is important for applicants to know that workforce development projects submitted for funding consideration under NYSDOL's solicitation will be scored in part (accounting for up to 20 points out of 100 points) by the respective REDC in which the training project takes place. This part of the review will be conducted to assess how proposed projects measure up and align with the REDC's strategic plan for the region. Although projects that do not align with the strategic plans will still be eligible for funding consideration, those that align more closely with the region's strategic plan will likely score higher in the

review process. Therefore applicants are encouraged to review the strategic plan to determine how practical it will be to align their projects with the REDC's vision for the region.

ELIGIBILITY

Eligible applicants are private sector for-profit businesses (including LLPs and LLCs), private sector not-for-profit businesses, and training providers which:

- Have two or more employees (principals of corporations and owners of businesses such as sole proprietors or partners are not considered to be employees for this criterion); and
- Are in good standing regarding –
 - Unemployment Insurance;
 - Worker Adjustment and Retraining Notification Act (WARN);
 - public works;
 - labor standards;
 - safety and health;
 - NYS Department of State Division of Corporations;
 - Workers Compensation Insurance; and
 - Disability Insurance.

Unincorporated Workforce Investment Boards interested in applying must designate the local area's WIA Grant Recipient as the official grantee for any award under this offering.

In keeping with the Governor's promise to reform the State's grant contracting process, New York State has established a standardized statewide grant contracting system called the Grants Gateway, which is designed to facilitate prompt contracting.

- All for-profit entities are required to register in this system in order to be able to enter into a contract with New York State. For-profit entities must log-in to the Grants Gateway website at <https://grantsgateway.ny.gov> and follow the instructions to complete the registration.
- All not-for-profit organizations must also register with the system and must take the additional step of prequalifying by completing a basic profile and storing organizational documents. **Both registration and prequalification must be completed by not-for-profit organizations no later than the application due date. Failure to do so will mean that their applications will not be reviewed.** Not-for-profit organizations will be able to submit their responses online, and, once reviewed and approved by a state agency prequalification specialist, the not-for-profit organization will be able to apply for grants, and all information will be stored in a virtual, secured vault. Not-for-profit organizations will only have to prequalify once every three years, with responsibility to keep their information current throughout the three year period.

For additional information on registration and prequalification, please log on to the Grants Gateway web site at <https://grantsgateway.ny.gov>.

FUNDING

Award amounts will not exceed \$100,000, with per trainee cost charged to the grant not to exceed \$5,000. If the applicant is applying for funding under more than one of the NYSDOL programs under the RFP, the total amount to be awarded by NYSDOL for all projects will not exceed \$100,000.

Please be advised applications that request more than the maximum allowable award amount of \$100,000 will be reviewed and scored by NYSDOL. However, if, based on the resulting score, an award is made, NYSDOL contract development staff will negotiate with the applicant to reduce the cost and scope of the project to fit within the \$100,000 award cap. Failure to design a training project that will remain viable and meaningful in the face of such reductions, may result in an inability to proceed with development of the contract. Therefore, it is highly recommended that applicants keep the cost and scope of their training projects within the \$100,000 award cap.

If at any time prior to or after an award is issued, the applicant reduces the number of trainees to be served; the funding will be proportionately reduced.

NYSDOL RESPONSIBILITIES

NYSDOL's Division of Employment and Workforce Solutions will oversee the implementation of the contract(s) resulting from this RFP. Program staff will also maintain contact with the selected business(es) and monitor progress and performance of the contract(s). Funding for activities outlined in this RFP will come from federal funds and is subject to State and federal legislative appropriation.

PROCESS FOR PROPOSAL SUBMISSION

A. QUESTIONS CONCERNING THIS RFP

Applicants may submit questions via electronic mail (labor.sm.dews.CFA@labor.ny.gov). Questions regarding this RFP will be accepted no later than June 6, 2014. No telephone inquiries will be accepted. All inquiries should include the following reference in the Subject line: "CFA Question". Answers to all questions will be posted on NYSDOL's web site (<http://labor.ny.gov/businessservices/funding.shtm>) on an ongoing basis, with the final posting taking place no later than June 9, 2014.

B. PROPOSAL DUE DATE AND FORWARDING INSTRUCTIONS

Proposals must be submitted through the CFA web site no later than 4:00 PM Eastern time on June 16, 2014. Access to proposals that are under development will be cut off at that time. Any proposals not marked as "submitted" in the CFA database will not be considered for funding. Any proposals or unsolicited amendments to proposals received after the due date and time will not be considered in the review process. No faxed or hard copy proposals will be accepted. If the applicant does not have the technological capability to access, complete and submit the CFA, they may do so at their nearest Career Center (please find the location nearest to you on NYSDOL's web site at: <http://labor.ny.gov/career-center-locator/>). The CFA is available on-line at <https://apps.cio.ny.gov/apps/cfa/>.

C. ATTACHMENTS

The CFA has documents which must be completed and uploaded as pdf attachments to the application. These uploaded documents will automatically be submitted to NYSDOL when the application itself is submitted. They are therefore due by the same day and time as the application (4:00 PM Eastern time on June 16, 2014). The attachments are:

- Applicant Questionnaire (Vendor Responsibility Questionnaire);
- [Federal and State Certifications](#);
- [Notice to Individuals Submitting Proposals](#);

- [Application for a Competitively Bid Contract](#);
- [Equal Employment Opportunity Staffing Plan](#) (EEO 100); and
- [Master List of Trainees](#) (Existing Employee Training Program only).

Please note that uploading blank, incomplete or unsigned attachments to the application may result in the rejection of the application.

D. RFP TIMETABLE

- | | |
|---|-------------------------------------|
| ▪ RFP Release Date – | May 1, 2014 |
| ▪ Deadline Date for Questions – | June 6, 2014 |
| ▪ Final Date for Responses to Questions – | June 9, 2014 |
| ▪ Proposal Due Date – | June 16, 2014, 4:00 PM Eastern time |
| ▪ Projected Notification of Awards – | Fall 2014 |

E. ADDITIONAL INFORMATION

NYSDOL reserves the right to request additional information from submitters during the scoring process if project or budget information provided is unclear. Applicants that fail to respond to these requests during the time allotted may be eliminated from funding consideration.

All applicants will receive a written decision on their proposal and successful applicants will be contacted by NYSDOL contract development staff. Applicants who receive an award must be prepared to enter into contract negotiations immediately, and begin training upon execution of the contract.

NYSDOL reserves the right to rescind the award of any grantee that is unable or unwilling to begin conducting their training activities immediately following contract execution.

Eligible applicants may speak with a Career Center Business Services Representative (BSR) for technical assistance or support during the development of the proposal. BSRs can be reached by contacting the local Career Center (please see the list of Career Centers on NYSDOL's web site: <http://labor.ny.gov/career-center-locator/>).

Please complete all of the fields in the CFA document.

All businesses, as a condition to receiving funds under this program, must list job openings (to the extent applicable) during the contract period with NYSDOL's New York State Job Bank. To post a job order, please visit: <http://www.labor.ny.gov/businessservices/services/perm.shtm>

Applicants must comply with: Combined Terms and Conditions (Attachments A-1 and A-2), which will be incorporated into the Master Contract of successful applicants.

Please note that the federal Workforce Investment Act funds supporting this initiative are subject to the following federal Executive Orders:

Executive Order 13333 : This contract may be terminated without penalty, if the contractor or any subcontractor (i) engages in severe forms of trafficking in persons or has procured a commercial sex act during the period of time that the grant, contract, or cooperative agreement is in effect, or (ii) uses forced labor in the performance of the grant, contract, or cooperative agreement." (22 U.S.C. § 7104(g))

Executive Order 13513: Sec. 4. Text Messaging While Driving by Government Contractors, Subcontractors, and Recipients and Subrecipients. Contractors, subcontractors, and recipients and subrecipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or Government-owned, Government-leased, or Government-rented vehicles, or while driving privately-owned vehicles when on official Government business or when performing any work for or on behalf of the Government, and to conduct initiatives of the type described in section 3(a) of the Executive Order.

Specific information on each of these funding options, including Program Descriptions, Descriptions of Services Sought, Proposal Requirements, Selection Process and Evaluation Criteria, is available at the following links:

1. Existing Employee Training (<http://www.labor.ny.gov/CFA/training-program-narrative4.pdf>)
2. New Hire Training (<http://www.labor.ny.gov/CFA/new-hire-training-program-narrative4.pdf>)
3. Unemployed Worker Training (<http://www.labor.ny.gov/CFA/unemployed-worker-training-program-narrative4.pdf>)

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>.

Low Cost Financing

Federal Industrial Development Bond Cap

Available Funding: Up to \$350 million

DESCRIPTION:

Up to \$350 million of the 2014 statewide private activity bond allocation (“volume cap”) authority under Federal guidelines will be dedicated to facilitate lower cost tax-exempt bond financing for qualified projects by authorized State and/or local government issuers.

ELIGIBLE APPLICANTS/PROJECT TYPES:

In order to receive the benefits of a tax-exempt interest rate, private borrowers and their projects must be eligible under one of the federally-recognized private activity bond categories described in the Internal Revenue Code (IRC) sections 142-144, and 1394.

The most common economic-development related private activity bonds include:

- Industrial Development Bonds for small (\$10 million or less) manufacturing projects; and
- Exempt Facility Bonds, which cover a wide range of facilities including:
 - Airports;
 - Mass commuting facilities;
 - Qualified residential rental projects;
 - Facilities for the furnishing of local electric energy or gas;
 - Local district heating or cooling facilities; and
 - Sewage facilities and solid waste disposal facilities.

Projects must meet the eligibility requirements of the federal IRC and any laws, rules, or regulations governing the provision of financial assistance by the authorized issuer. Preference will be given to NY Rising Community Reconstruction Program and Opportunity Agenda projects identified by the appropriate Regional Council(s).

NY Rising Summary

The NY Rising Community Reconstruction Program is a community driven initiative that will empower localities severely damaged by Superstorm Sandy, Hurricane Irene, or Tropical Storm Lee to develop comprehensive and innovative recovery plans. Over the course of eight months each community will develop a comprehensive recovery that increases resilience and economic development, and positions the community to most effectively use implementation funds.

Projects identified in the NY Rising Community Reconstruction Program recovery plans consist of innovative, transformative projects and actions enhance resilience and economic development.

For more information, please visit: <http://stormrecovery.ny.gov/community-reconstruction-program>

Opportunity Agenda Summary

In his 2013 State of the State address, Governor Cuomo announced the Regional Economic Development Council Opportunity Agenda. Regional Councils will use the lessons they have learned and the collaborations they have forged to help poor communities overcome the challenges that prevent them from fully participating in the state’s economic revitalization.

Applicants must be authorized issuers (e.g., local industrial development agency (IDA)) or agents of such authorized issuers. Where the applicant is not the authorized issuer, the authorized issuer must be included as a co-applicant.

CONTACT/ADDITIONAL PROGRAM INFORMATION:

For more information eligible applicants should visit

<http://www.empire.state.ny.us/BusinessPrograms.html>

or contact George LaPointe at Empire State Development by calling (518) 292-5307.

Office of Storm Recovery – Resilience Fund Low-Cost Financing

DESCRIPTION:

NY Rising Communities have proposed over \$2.7 billion in resilient community and municipal infrastructure projects through round one of the NY Rising Community Reconstruction program. The cost of these projects significantly exceeds the amount of Community Development Block Grant – Disaster Recovery (CDBG-DR) program funds that have been allocated to the program for project implementation. Additional capital would enable these communities to fund a broader array of projects and/or, in some cases, fund larger projects that would provide increased resiliency but are currently beyond the scale feasible through their NY Rising Community Reconstruction allocation.

The Governor’s Office of Storm Recovery is developing a Resilience Fund, a financing program to bridge this gap, and meet the needs of localities across the State. The Resilience Fund will finance projects that make municipalities more resilient to extreme weather impacts by leveraging New York State’s existing grant resources through the Consolidated Funding Application (CFA) and other funding resources, with a pool of low-cost loans for municipalities issued through the Municipal Bond Bank Agency (MBBA). Municipalities must leverage at least 30 percent of the total project cost with other funding sources to be eligible for the Resilience Fund’s low-cost financing program.

This program is designed to complement existing recovery activities by allowing NY Rising Communities to implement additional resiliency projects but will also provide municipalities across the State that are not part of the NY Rising Community Reconstruction program but are located in areas designated by the federal government on or after August 2011 as disaster areas eligible for public assistance with access to credit markets for innovative resilient community and municipal infrastructure projects.

All eligible municipalities in New York State will be eligible to apply for a financing package from the Resilience Fund through the CFA. NY Rising Communities will receive priority consideration. Projects eligible for the Resilience Fund must meet a minimum set of resilient project standards measured by a risk assessment and cost-benefit analysis.

Eligible Activities / Program Benefit Requirements:

The aim of this program is to address the unmet recovery needs of municipalities that address the effects of Tropical Storm Lee, Hurricane Irene, Superstorm Sandy, as well as other areas designated by the federal government as disaster areas eligible for public assistance. Projects must fit within one of the following program areas: (1) Economic Development, (2) Infrastructure, (3) Health and Human Services, and (4) Natural and Cultural Resources.

- (1) Economic Development: These projects should present ways the community will return economic and business activities to a state of health, and to develop new economic opportunities. Examples of projects include:
 - Adoption of storm mitigation measures to reduce the risk of doing business in a community
 - Investment in infrastructure to serve commercial and industrial areas
- (2) Infrastructure: These projects should express how a community will restore, repair, and manage critical infrastructure and facilities. Examples of projects include:
 - New investments in infrastructure that would most effectively improve services to the community, resilience, and economic growth
 - Projects that would restore and improve wastewater, storm sewer and potable water systems
 - Projects that would reduce the vulnerability of infrastructure to future storms
 - Relocation of public facilities to areas of lower risk
 - Restoration of public recreation facilities
- (3) Health and Human Services: These projects should address how the community will restore and improve essential health and social services, particularly those that serve vulnerable populations. Examples of projects include:
 - Making essential health and social services more resilient
 - Programs that promote the health and well-being of residents
 - Development and implementation of resilience measures to reduce public health impacts from contaminated sites at risk from storm damage
 - Investment in storm mitigation measures that protect critical health and social services facilities
- (4) Natural and Cultural Resources: These projects will address management of natural and cultural resources from a risk reduction and economic development perspective. Examples of projects include:
 - Restoration, conservation, or rehabilitation of natural resources
 - Resilient repair or relocation of historic structures currently in extreme high risk areas
 - Cultivation of a living shoreline or oyster reef
 - Repair, reconstruction or improvement of damaged public recreational infrastructure
 - Improved maintenance of storm-water facilities, including retention basins

Ineligible Activities:

Ineligible activities include, but are not limited to, the following:

- General government expense
- Political activities
- Operations and maintenance
- Infrastructure improvements where the damage was a result of deferred maintenance
- Income payments to individuals
- Assistance to homeowners and for second homes
- Replacement of lost business revenue as a result of the storm
- Direct financial assistance to businesses
- Assistance to private utilities
- Purchase of equipment (with several exceptions, e.g., generators for community resiliency needs, a public service activity, a solid waste disposal facility, or an integral part of a public facility project)

- Any assistance to a business or property owner who received FEMA assistance in the past where required flood insurance has not been maintained

Eligible Applicants:

Municipal applicants may apply for financing for any Resilience Fund eligible project. A municipal applicant is a county, city, town, village; school districts; fire districts; river improvement, river regulating or drainage district established by or under the supervision of the department of conservation; or any other territorial division of New York State, which as of December 31, 1938, possessed the power to:

- Contract indebtedness in its own name, and
- Levy taxes or benefit assessments upon real estate or require the levy of such taxes or assessments.

Each municipal applicant must have the authority and capacity to service additional debt.

Eligible applicants will be located in areas designated by the federal government on or after August 2011 as disaster areas eligible for public assistance.

Capacity to Implement Resilient Infrastructure Project:

Applicants must demonstrate an adequate administrative capacity to ensure timely implementation and completion of the project in compliance with applicable laws and regulations.

Relationship to Storm Event:

The project must address the effects of, or the recovery from, a storm event. This relationship will fall into one of four categories:

- Directly addresses the effects of the storm event: These projects are required to repair storm-related physical damages. An example would be repairs to a building that was damaged by the storm event.
- Indirectly addresses the effects of the storm: These projects address the effects of the storm event through actions that increase resiliency, but that are not storm damage repairs. An example would be improving drainage in a specific developed area that flooded as a result of the storm.
- Mitigates future storm impacts: These are projects that would reduce similar effects of future storm impacts. An example would be building additional flood control measures on vacant lots to provide increased stormwater retention rates to mitigate future flooding.
- Economic Revitalization: These projects address the adverse economic impacts of storm events by improving the economic health of the affected area. For example, a storm impacted community needs to upgrade their water treatment plant to be able to support new businesses and/or residential development necessary for recovery from storm.

Pre-Application Requirements:

All applications must submit a project plan, engineering report (if completed or date of anticipated completion for an engineering report), risk assessment, cost-benefit analysis, substantiation of the other funding sources, and an outstanding municipal debt statement.

Financing Priorities:

Resiliency projects that are included in NY Rising Community Reconstruction Plans or NY Rising Countywide Resiliency Plans will receive priority.

Selection Criteria:

Applicants 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:

The Governor's Office of Storm Recovery will score and select projects based upon the following criteria:

- The degree to which projects and actions will restore and increase the resilience of key assets, protect vulnerable populations, and/or provide economic co-benefits (40 points)
- Whether a project is included in a NY Rising Community Reconstruction Program community plan or NY Rising Countywide Resiliency Plan (20 points)
- The degree to which the project will benefit of low-and-moderate income individuals, aid in the prevention or elimination of slums or blight, or meets an urgent need (10 points)
- The degree to which an application advances strategies of the Regional Economic Development Council (10 points)
- The degree to which the applicant has a plan for the long-term operation, maintenance, and monitoring of the project (10 points)
- The degree of project readiness and the applicant's ability to implement the project upon receipt of award (5 points)
- The degree to which public stakeholders were engaged in the development of the project (5 points)

Financing Terms:

The length of the loan is set at the option of the local government, but cannot exceed the useful life of the project or thirty years, whichever is less. Loan financing may account for up to 70 percent of the total project cost. Interest rates will be determined at the time of financing.

Local Match:

Municipalities must provide, at minimum, 30 percent of the total project cost through funding sources other than the Resilience Fund's low-cost loan program. These funding sources may include grants through the CFA, additional State, Federal or private grants, municipal working capital, and other sources of funding not listed above.

Contact / Additional Program Information:

For more information eligible applicants should contact Michael Baer at the Governor's Office of Storm Recovery at: ResilienceFund@stormrecovery.ny.gov.

