

Regional Economic Development Councils – Round 11 Summary of Programs

Empire State Development (ESD) – ESD Grant Funds

Funding Available: Up to \$150 million

Program Description: 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. 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.

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
- Technology parks
- Municipalities, counties
- Regional planning councils
- Tourist attractions
- Community facilities
- Incubators

Successful Applicant Requirements:

- Strong alignment with the state and regional priorities.
- Direct & indirect job creation
- Direct and indirect fiscal benefit to the state and local governments
- Overall economic activity
- Community development
- Private investment
- Award request no more than 20% of the total project cost*
 - *** Typically, awards will be less than 20% of the eligible total project cost**

Program Highlights: ESD Grant Funds generally fall into one of three categories:

1) Strategic Community Development Investment - Grant funds may be used to finance strategic community development investments within a downtown, mixed-use commercial district in order to attract new businesses and expand existing businesses, thereby fostering further investment. Strategic community development investments include but are not limited to capital expenditures for infrastructure including transportation, parking garages, water and sewer, communication, and energy generation and distribution. Applicants must demonstrate how the project will result in a benefit to the viability of the area it is located in and how it will lead to increased economic activity. Applicants that propose a project within a specific area where there are other proposed or ongoing projects may be looked upon favorably as a way to redevelop a specific area as opposed to standalone projects without other investments within an area.

2) 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.

3) Economic Growth Investment - An Economic Growth Investment initiative fosters economic growth through cultural activity, higher education activity, 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.

****Full program rules, requirements, and guidelines can be found at <http://regionalcouncils.ny.gov/> within the 2021 CFA Available Resources Guide****

Regional Economic Development Councils – Round 11 Summary of Programs

Empire State Development (ESD) – ESD Grant Funds

Success Stories

Equilibrium Brewery Capital – CFA #38762 – *Middletown, Orange County*

At the close of 2016, Equilibrium Brewery completed its \$1.14 Million project, for which they were awarded a \$204,000 grant in Round 4. The project involved the adaptive reuse of a former meat-packing facility into a brewery in downtown Middletown. The project will create 8 full-time permanent jobs. Overwhelming success at the brewery led to an exciting announcement in April 2018: Equilibrium is expanding in Middletown, and is purchasing the former TD Bank building from the city, to house brewing operations, a beer garden, and tap room.

Hepworth Farms, LLC – CFA 42279 – *Marlborough, Ulster County*

Hepworth Farms, LLC, is a seventh generation farm in the Town of Marlborough, Ulster County. In 2014, the MHREDC designated the Hepworth Farms project a Priority Project and was awarded a \$300,000 Regional Council Capital Fund Grant to leverage a \$1,782, 237 to expand its farm operations by the purchase and rehabilitation of an adjacent storage facility, creating the “Hudson Valley Grown Farm Hub” catering as a food hub for farm produce from Ulster and Orange counties. This expansion resulted in the retention of 8 Jobs and the creation of 10 net new jobs.

Hudson River Housing Capital – Queen City Lofts – CFA #51725 – *Poughkeepsie, Dutchess County*

Hudson River Housing, Inc. received a \$300,000 Regional Council Capital Grant from Round 5 of the CFA process to develop Queen City Lofts. Hudson River Housing’s, \$24.3 million Queen City Lofts project will create an innovative, mixed-use space at 178 Main Street in the City of Poughkeepsie. The development will cater to artists with a live/work environment and including 69 residential units, 50 affordable, and 19 market rate apartments representing approx. 73,000 sf. and six retail spaces measuring approximately 12,000 SF. The project is located within walking distance of the Metro North train station and encourages foot traffic and tourism due to the proximity of retail, and the visibility of the art galleries on Main Street. This project aligns with the MHREDC’s Live strategy, which focuses on downtown revitalization and adaptive reuse, as well as the MHREDC’s Play strategy as this project will contribute to and enhance tourism to Poughkeepsie, and Dutchess County.

Matrix II – CFA #19033 – *Newburgh, Orange County*

In 2012, Matrix Newburgh, LLC was awarded a \$500,000 Regional Council Capital Grant fund to leverage a \$35,250,000 capital investment to construct a 550,000 square-foot warehouse/distribution facility that will attract a Fortune 500 caliber company that will move its operation to the Matrix facility. The total build-out will create a facility that potentially can create 350 office and warehouse jobs from a future tenant. Matrix was able to attract two end users that occupy the 550,000 shovel ready pad site.

Saw Mill River Daylighting – CFA #39716 – *Yonkers, Westchester County*

The Saw Mill River Daylighting project is a multi-phase priority project, for which the City of Yonkers was awarded a \$2.5 Million grant for phase three in Round 4 of the CFA process. The \$19 Million transformational project to uncover a river that had been paved over centuries ago, has created public spaces and spurred development in downtown Yonkers.

The Center for Discovery – CFA # 19253 - *Hurleyville, Sullivan County*

In 2012, The Center was designated a Priority Project by the MHREDC and awarded a \$2.5M RCCF Grant to leverage a \$31M capital investment for the construction of 5 homes + buildings rehabilitated for supplemental services into community-based settings of a Makers Lab, and other Day/ Educational programs to expand research, intervention and residential services for children and adults with developmental disabilities and medical complexities, including autism spectrum disorders in the Hamlet of Hurleyville, Town of Thompson, Sullivan County.

In 2018, The Center for Discovery once again was designated a Priority Project by the MHREDC and was awarded a \$1M Regional Council Capital Grant fund to invest \$4,760,000 to establish The Research Institute for Brain and Body Health. The proposed Research Institute is part of a \$25M investment aimed at drastically improving outcomes for the individuals most affected by chronic, complex disorders often the most expensive utilizers of NY’s healthcare system. Through conventional financing, bonds, and private philanthropy, TCFD has access to \$20M, which will enable the build out of the new Children’s Specialty Hospital and Education Academy in the former Frontier Insurance building in the Town of Thompson. With an additional \$4,760,000 investment from ESD, TCFD can also construct a Research Institute to improve outcomes and transform the healthcare model for the target population in NY and beyond.

Regional Economic Development Councils – Round 11 Summary of Programs

Empire State Development (ESD) – Strategic Planning and Feasibility Studies

Funding Available: Up to \$2 million

Program 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 \$2 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.

Eligible Types of Applicants: Eligible Applicants include but are not limited to:

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

Successful Applicant Requirements: 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.

Program Highlights: 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.

Regional Economic Development Councils – Round 11 Summary of Programs

Empire State Development (ESD) – Strategic Planning and Feasibility Studies

Success Stories

Rockland Community College – CFA #54448 – *Regionwide*

SUNY Rockland Community College project is a strategic planning and feasibility study, for which the College was awarded a \$25,000 grant in Round 5 of the CFA process. The College conducted a regional gap analysis for the six institutions that make up the Hudson Valley Educational Consortium that will craft a plan with specific recommendations for regional workforce development. The primary purpose of the gap analysis is to allow the Hudson Valley Educational Consortium to measure how well aligned its program offerings are with the regional labor market. RCC in conjunction with the Hudson Valley Educational Consortium developed a cross-regional network of educational programs, businesses, and other invested economic development partners including NYS Department of Labor, to address the current and emerging gaps between workforce development and regional need to link students and community members with enhance career services and employment opportunities. As a result of the gap analysis report, it is expected that the degree and non-degree training programs offer by HVEC institutions will be better aligned with the workforce needs of the Mid-Hudson region

Putnam County Study – CFA #53956 – *Putnam County*

Putnam County leveraged a \$50,000 grant awarded in Round 5 to conduct a needs assessment of key commercial corridors in Putnam County, and make recommendations on needed infrastructure improvements, zoning changes along key commercial corridors in Putnam County to promote economic competitiveness and growth, and methods to encourage Transit Oriented Development where feasible. The commercial corridors to be analyzed were located in each of nine towns and villages, including U.S. Route 6 in Mahopac; Carmel; Brewster and Southeast; U.S. Route 52 in Carmel/Kent; U.S. Route 22 in Southeast/Patterson; and U.S. Route 9 in Philipstown; Main Street in Brewster/Cold Spring/ Nelsonville; Oscawana Lake Road and Peekskill Hollow Road in Putnam Valley; and U.S. Route 311 and Front Street in Patterson. The feasibility study identified commercial corridors, analyzed constraints and recommended improvements. A land use analysis of identified commercial corridors and existing restrictions and impediments was also completed.

Pattern for Progress - Urban Action Agenda – CFA #66766 – *Regionwide*

Hudson Valley Pattern for Progress, a not-for-profit policy, planning, advocacy and research organization, received an \$80,000 grant in Round 6 to conduct a strategic planning and feasibility study of communities in the Mid-Hudson to develop community profiles. These profiles will set the stage for revitalization and offer recommendations based upon local needs and the capacity for those municipalities to leverage private investment to redevelop their downtowns.

Regional Economic Development Councils – Round 11 Summary of Programs

Empire State Development (ESD) – Excelsior Jobs Program

Funding Available: Up to \$75 million

Program Description: The Excelsior Jobs Program provides job creation and investment incentives to firms in strategic industries such as software development, scientific research and development, financial services, agriculture, manufacturing, back office, distribution, life sciences, music production and entertainment companies. Firms in these industries that create new jobs or retain existing jobs and make a significant capital investment are eligible to apply.

Firms in the Excelsior Jobs Program may qualify for up to five, fully refundable tax credits, including a jobs tax credit, an investment tax credit, a research and development tax credit, a real property tax credit and a childcare services tax credit. To earn any of the credits, firms must meet and maintain the established job and investment thresholds.

Eligible Types of Applicants: For-profit business entities including corporations, limited liability companies, partnerships, and sole proprietorships.

Successful Applicant Requirements: The Excelsior Jobs Program is a discretionary tax credit incentive Program. Because awards are offered as an incentive to undertake a project, the project should not begin, and expenses should not be incurred, before funding award notification. Expenses incurred prior to submission of a CFA should not be included in CFA project budgets.

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

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

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

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

Regional Economic Development Councils – Round 11 Summary of Programs

Empire State Development (ESD) – Excelsior Jobs Program

Success Stories

Caribbean Food Delights Second Shift – CFA #69994 – *Tappan, Rockland County*

Caribbean Food Delights, a leading Caribbean frozen food manufacturer of Jamaican Style Patties, was awarded up to \$275,800 in Excelsior Tax Credits in Round 6 to complete a \$1.9 Million expansion project. The project entails the implementation of a second shift and purchase of related machinery and equipment at the Tappan, New York location. The company will hire 25 additional permanent full-time employees for the second shift which will run from 4:00pm to 1:00am five days per week beginning in Fall 2016. This project includes the purchase of equipment to increase productivity of the second shift and to allow a second production line to be used on this new shift in the near future.

Warwick Valley Wine Company Capital – CFA # 50577 – *Pine Island, Orange County*

Warwick Valley Wine Company is a craft beverage manufacturer that produces wines, ciders, and other alcoholic beverages. In 2015, Warwick Valley was awarded up to \$169,000 in Excelsior Tax Credits in Round Five to help the Company with this over \$1.6 Million project which included the purchase of new machinery and equipment for the addition of a bottling line at their Black Dirt Distillery. The project was also awarded a \$160,000 Capital Grant through Round 5.

The Bottling and Tourism Expansion Project seeks to meet the demand for Warwick Valley Winery's already established lines of hard cider, wine, and gin by adding a bottling line at its Black Dirt Distillery in Pine Island to expand production from 100,000 to 250,000 case equivalents per year. The Black Dirt Distillery will purchase a tour bus to better incorporate the distillery into the already tourist-popular Winery. The bus will shuttle visitors from the main facility to the Black Dirt Distillery, and also show tourists where and how the local ingredients are grown, as well as presenting the history of distilling in New York State. Each of these components will add to the draw of the Hudson Valley as a tourist destination, and it will support local agriculture, job creation and retention. This project creates manufacturing and agricultural jobs and also supports local farms in the area. The new bottling lines increase production and therefore increase demand on the local farms from which the Distillery sources its ingredients, but the tour bus will bring visitors to two local farms, and a like-minded Brewery, as well as possible others. The Black Dirt Distillery and Tourism Expansion Project is committed to joining with other local businesses to transform Warwick/Pine Island's draw as a tourist locale, therefore creating jobs in a variety of sectors and catalyzing community revitalization.

Regional Economic Development Councils – Round 11 Summary of Programs

Empire State Development (ESD) – Market New York Grant

Funding Available: Up to \$15 million [\$7M tourism marketing funds & \$8M tourism capital funds]

Program Description: *Market New York* is a grant program established to strengthen tourism and attract visitors to New York State by promoting destinations, attractions and special events. Funding is available for tourism marketing initiatives, capital/construction projects and the recruitment and/or execution of special events, including meetings, conferences, conventions, festivals, agritourism/craft beverage events, athletic competitions and consumer and industry trade shows.

Eligible Types of Applicants: Eligible Applicants include but are not limited to:

- for-profit businesses
- not-for-profit corporations
- tourism promotion agencies
- convention & visitor bureaus
- destination marketing organizations
- tourist attractions / destinations
- business improvement districts
- public benefit corporations (including industrial development agencies)
- local development corporations
- economic development organizations
- municipalities, counties
- community facilities

Successful Applicant Requirements:

- Strong alignment with the state and regional (REDC) priorities
- Evidence that the project is tourism related and will increase tourism to and within New York State
- Demonstration that the project is aligned with goals and strategies of I LOVE NY
- Project plans, with detailed budget, project timeline and performance measures, for both marketing and capital projects
- Grant request minimum for marketing projects must be \$50,000+
- Grant request minimum for capital projects \$150,000+
- Award request also must be no more than 75% for marketing/working capital project and/or 20% for capital project (of that total project cost)
 - Match must be actual cash (“in-kind” match is not allowable under this program)

Program Highlights: Market New York Grant Funds generally fall into one of three categories:

1) Regional Tourism Marketing – marketing/working capital investments that include tourism marketing/working capital expenditures and market New York State regional tourism destinations or attractions. Working capital costs may include purchase of recognized media, production costs, web design/updates, event fees and others as indicated in the Market New York Guidelines.

2) Tourism Capital - Infrastructure investments that assist in the attraction of new tourism businesses and expand existing tourism destinations/attractions, thereby fostering increased visitation to the tourism attractions. Capital expenditures for infrastructure may include: new construction, renovations, pre-development projects, capital expansions, improved accessibility projects and others as indicated in the Market New York Guidelines.

Single projects that include both Regional Tourism Marketing and Tourism Capital are allowed. The applicant must demonstrate the requirements, match and minimum requests for each separate funding track.

Regional Economic Development Councils – Round 11 Summary of Programs

Empire State Development (ESD) – Market New York Grant

Success Stories

Fenimore Art Museum

Fenimore Art Museum, located in Cooperstown NY, successfully executed the promotion of Herb Ritts: The Rock Portraits, a rock & roll-themed special exhibition featuring portraits of the biggest rock stars of the 20th century. This tourism marketing project was determined to be in strong alignment with both the Mohawk Valley REDC strategic plan and I LOVE NY strategies, as established in the Market New York Round 8 guidelines. The Fenimore Museum provided a matched investment of \$40,250 to meet the minimum 25% match requirement, and received an award of \$135,225 in ESD Market New York funding. As a result, the total investment enabled the Fenimore Museum increase attendance at their destination, as well as bolster tourism sales, hotel occupancy, and job growth throughout the Mohawk Valley Region.

Regional Economic Development Councils – Round 11 Summary of Programs

Empire State Development (ESD) – NYS Business Incubator and Innovation Hotspot Program

Funding Available: Up to \$12.5 million

Program Description: The New York State Business Incubator and Innovation Hot Spots Support Program is the process of accelerating the development of entrepreneurial companies through a structured array of business support resources and services targeted to the needs of start-up companies. The business incubator is the entity responsible for organizing and managing these support services.

Eligible Types of Applicants: Eligible Applicants are limited to:

- New York State based Not-for-profit Organization
- Have operated an incubator for 3 or more years
- Have demonstrated link to regional sources of innovation and expertise
- For a Hot Spot Designation, all the above apply and you must be located in one of the following NYS Economic Development Regions; Western New York, Southern Tier, Finger Lakes, Central New York and North Country

Successful Applicant Requirements:

- Commit to financially and programmatically maintain the incubator for five years from date of designation;
- Commit to best practices of incubation;
- Provide a strategic plan that describes how it intends to positively impact the regional entrepreneurial environment;
- Detail the process it uses to accelerate the development and commercialization of its clients products and services;
- Expand scope of services or 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.

Program Highlights:

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

Regional Economic Development Councils – Round 11 Summary of Programs

Empire State Development (ESD) – NYS Business Incubator and Innovation Hotspot Program

Success Stories

Rev Ithaca – a NYS certified incubator; a community business incubator created by Cornell, Ithaca College and Tomkins Cortland Community College – in partnership with [Cornell Engineering](#) helps iterate labs, a startup with Cornell beginnings that uses wearable sensors and computer vision to drive factory production and worker safety, has obtained \$1 million in seed funding to support the company's growth.

<https://www.revithaca.com/iterate-labs-secures-1-million-in-seed-funding/>

TechGarden, a NYS certified Hot Spot located within the TechGarden in Central New York, worked with Spark Charge in their early start up days. Spark Charge has developed a portable, modular charger that's designed to provide anytime/anyplace charging on demand. They also recently appeared on Shark Tank and secured \$1 Million in financing to help continue to grow their business.

<https://chargedevs.com/newswire/sparkcharge-raises-3-3-million-to-scale-production-of-its-portable-modular-charger/>

<https://insideevs.com/news/449438/sparkcharge-shark-tank-deal/>

Regional Economic Development Councils – Round 11 Summary of Programs

Homes and Community Renewal (HCR) – Community Development Block Grant (CDBG) Funds

Funding Available: Up to \$20 million

Program Description: The New York State Community Development Block Grant (CDBG) program is a federally funded program administered by New York State Homes and Community Renewal (HCR) that helps counties, cities, towns, and villages with projects that improve communities and benefit residents across New York State. Eligible applicants can apply for grants ranging from \$50,000 (Community Planning) to \$1,750,000 (Joint, Co-funded Water or Sewer). For more information and a complete list of eligible communities, visit: <https://hcr.ny.gov/community-development-block-grant>

Eligible Types of Applicants: The New York CDBG Program provides community and economic development grants to towns, villages, and cities with a population less than 50,000, and counties with an unincorporated population less than 200,000.

Successful Applicant Requirements:

- Need for funding after exhausting other options
- Provide benefit to low- and moderate-income (LMI) persons
- Aid in the prevention or elimination of slums or blight
- Meet other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community where other financial resources are not available to meet such needs
- at least 70% of CDBG funds to be expended must be for activities meeting the LMI Benefit national objective
- Community development
- Project readiness
- Ability to complete the project within the 2-year grant period

Program Highlights:

NYS CDBG is a flexible program that can help your community:

- Create or expand job opportunities
- Provide safe affordable housing
- Prevent or eliminate blight
- Provide Homeownership Assistance
- Address local public infrastructure and public facilities issues
- Address issues that threaten a community's health or welfare

Regional Economic Development Councils – Round 11 Summary of Programs

Homes and Community Renewal (HCR) – Community Development Block Grant (CDBG) Funds

Success Stories

1. Public Water and Sewer Infrastructure

The Village of Montour Falls

The Village of Montour Falls used \$1,000,000 in NYS CDBG funds to construct a new wastewater pump station and force main system in Montour Falls. The total project cost was \$2,687,000 and included \$1,687,000 in funding from the NYS EFC Clean Water State Revolving Loan Fund (CWSRF). The improvements benefitted 1631 residents, 55% of whom are low- and moderate- income.

2. Public Facilities

City of Geneva

In conjunction with local funding, the City of Geneva was awarded \$300,000 in NYS CDBG funds to remove architectural barriers at the City of Geneva's City Hall through a building addition to house a new ADA compliant elevator and a new stairwell was built at the east side of the building. Existing restrooms on the second floor were renovated to be ADA compliant as well, complimenting the continued efforts of the City to improve overall access. The total project cost was \$1,585,000 and included \$1,285,000 in local funding.

3. Community Planning

Village of Sherman

The Village of Sherman used \$50,000 in NYS CDBG funds to complete a Preliminary Engineering Report to address the Village's aged drinking water and stormwater infrastructure. The total project cost was \$52,500 and included \$2,500 from local funding. This project benefitted the Village's population of low-and-moderate income households.

Regional Economic Development Councils – Round 11 Summary of Programs

New York State Homes & Community Renewal (HCR) – New York Main Street Program (NYMS)

Funding Available: Up to \$6.2 million

Program Description: NYMS provides resources to invest in projects that provide economic development and housing opportunities in downtown, mixed-use commercial districts. Eligible applicants apply to HCR for matching, reimbursement grants ranging from \$50,000 - \$500,000 to assist downtown property owners with renovation projects or technical assistance projects to support later renovation projects. Details available online, here: <https://hcr.ny.gov/new-york-main-street>

Eligible Types of Applicants: Units of local government and not-for-profit organizations

Successful Applicant Requirements:

- Alignment with “Main Street” and downtown revitalization principles;
- Capacity of applicant organization to administer a renovation grant program;
- Clear need and support in the community – municipal resolution in support of application required;
- Ability to leverage private investment;
- Clear financing plan and funding commitments;
- Ability to complete the project within the 2-year grant period.

Program Highlights: NYMS Grants are awarded to eligible applicants, statewide, in four categories:

- **Technical Assistance Project**
Applicants may request up to \$20,000 to complete a project that improves community or property owner readiness to participate in a future New York Main Street renovation activity. NYMS-TA grants can be used for activities such as building reuse or feasibility studies. The NYMS-TA funds cannot exceed 95% of the total project cost.
- **Target Area Building Renovation Program**
Applicants may request between \$50,000 and \$500,000 for a Target Area Building Renovation Program. Recipients of NYMS funds may award matching grants of up to \$50,000 per building, not to exceed 75% of the total project cost to property owners in a designated target area. Renovation projects that provide direct assistance to residential units may be awarded an additional \$25,000 per residential unit, up to a per-building maximum of \$100,000, not to exceed 75% of the total project cost.
- **Downtown Anchor Project**
Applicants may request between \$100,000 and \$500,000 for a standalone, single site, “shovel ready” renovation project. NYMS Downtown Anchor Project funds are intended to help establish or expand cultural, residential or business anchors that are key to local downtown revitalization efforts through substantial interior and/or exterior building renovations. The NYMS Downtown Anchor Project funds may not exceed 75% of the total project cost.
- **Downtown Stabilization Project**
Applicants may request \$100,000 to \$500,000 to complete a Downtown Stabilization Project. Funds are available to assist with environmental remediation and associated construction costs, as well as other innovative approaches to stabilizing and developing a downtown, mixed-use project. NYMS Downtown Stabilization Project funds may not exceed 75% of the total project cost. NYMS Downtown Stabilization Project funds are available for projects that meet the goals identified above and may include but are not limited to: asbestos management (surveys, abatement design plans, air monitoring, etc.), soil vapor intrusion testing and mitigation, building stabilization construction activities (e.g. roof stabilization in conjunction with asbestos remediation) or other projects that identify or mitigate risks associated with other hazardous materials or remove obstacles to future redevelopment. Applicants must demonstrate local support, financial commitments and a compelling need for substantial public investment.

Regional Economic Development Councils – Round 11 Summary of Programs

New York State Homes & Community Renewal (HCR) – New York Main Street Program (NYMS)

Success Stories

City of Geneva: Dove Block Redevelopment – Technical Assistance Project

The City of Geneva was awarded a \$20,000 NYMS–TA grant to use for a feasibility study for the historic Dove Block building in downtown Geneva. The study included a building conditions assessment; feasibility analysis & code review; and schematic plans & cost estimates. The City of Geneva and the Dove Block property owner successfully used this study to support requests for Downtown Revitalization Initiative (DRI) and New York Main Street (NYMS) renovation grants.

Village of Attica – Target Area Building Renovation Program

The Village of Attica completed a New York Main Street (NYMS) program grant. The \$250,000 grant leveraged more the \$827,000 in private investment and assisted six property owners to complete renovations in the Village’s downtown commercial district.

The owners of 45 Market Street, an auto parts store, used a \$50,000 NYMS grant toward a \$300,000 comprehensive renovation project. The project involved significant restoration of the building’s façade, and dramatic improvements including reopening the storefront and upper story windows.

Wallies of Greenwich – Downtown Anchor Project

The Village of Greenwich was awarded a New York Main Street (NYMS) Downtown Anchor grant for \$500,000. The award funded the renovation of Wallies of Greenwich, an iconic restaurant in the Village of Greenwich that once was the hub of the downtown. After being vacant for over twelve years, the restaurant will offer regionally sourced foods and beverages in a main dining room, a 50-seat banquet space, and in the bar area. The furnishings and décor will be influenced by the history of the Village, the Town, and of Washington County and will showcase area farms, waterways and historic buildings.

The \$1,000,000 project involved a complete removal of the interior walls and furnishings that were still there after twelve years of being vacant. From the basement to the roof, the entire structure was brought down to its core and the renovation was executed with special attention to the history while updating the building and site to accommodate the local and regional communities.

Regional Economic Development Councils – Round 11 Summary of Programs

Office of Parks, Recreation and Historic Preservation (OPRHP) – Environmental Protection Fund (EPF)

Funding Available: Up to \$19.5 million

Program Description: EPF Parks, Preservation and Heritage grant funding is available for the acquisition, planning, development, and improvement of parks, historic properties, and heritage areas located within the physical boundaries of the State of New York. Grants can fund up to 50% of the total eligible project cost; up to 75% if the project is located within a high-poverty area. Grant awards are capped at \$500,000. If the total project cost is greater than \$4,000,000, up to \$750,000 may be requested. To ensure the public benefit from the investment of State funds, properties acquired or developed with grant funds will receive long-term protections, either through parkland alienation law, conservation easements, or public access or preservation covenants recorded against the property deeds.

Eligible Types of Applicants: Eligible Applicants are listed below. Applicants must have an ownership interest in the project.

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

Program Highlights: EPF grants fall into three categories:

- **Parks Program** - for the acquisition, development or 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.
- **Historic Preservation Program** - to acquire, improve, protect, preserve, rehabilitate or restore properties listed on the State or National Register of Historic Places and for structural assessments and/or planning for such projects. All work must conform to the Secretary of the Interior's Standards for the Treatment of Historic Properties and professional qualifications as defined in "Historic Preservation Terms and Professional Qualifications" available at <https://parks.ny.gov/grants/consolidated-funding-app.aspx>.
- **Heritage Area Program** - for projects to acquire, preserve, rehabilitate or restore lands, waters or structures identified in the approved management plans for Heritage Areas designated under section 35.03 of the Parks, Recreation and Historic Preservation Law, and for structural assessments or planning for such projects where an active management entity has endorsed the project. For additional information about active Heritage Areas with approved management plans, including exact heritage areas boundaries and Heritage Area Contacts, go to <https://parks.ny.gov/grants/heritage-areas/default.aspx>.

Successful Applicant Requirements: Applications will be evaluated to assess the degree to which they meet the elements of each criterion below:

- For Parks: Community Impact and Need
- For Historic Preservation: Impact on the property and significant feature(s)
- For Heritage Areas: Support for Heritage Area goals
- For all proposals:
 - Community Support and Involvement
 - Strong alignment to federal, state, or local plans
 - Required matching funds
 - OPRHP Commissioner Priorities
 - Resources for continued operation and maintenance of the project

Regional Economic Development Councils – Round 11 Summary of Programs

Office of Parks, Recreation and Historic Preservation (OPRHP) – Environmental Protection Fund (EPF)

Success Stories

Town of Ulysses Land Conservation Project: The Town of Ulysses was able to acquire and protect 32 acres of sensitive wetlands, mature forest, a stream, and critical natural habitat using an EPF grant of \$57,205 awarded in 2016. In addition to habitat preservation and flood prevention, thus protecting the Trumansburg Creek as well as Cayuga Lake, the Town created walking trails through the preserve. These trails provide a tranquil respite and safe walking for residents of nearby low-income housing to the downtown without having to walk on roadways without sidewalks.

Challenger Miracle Field of Greater Rochester - Play with Possibilities Playground: Challenger Miracle Field of Greater Rochester created a new playground for children and adults with and without disabilities. The project, funded in part by a 2018 EPF grant of \$150,000, created an all-inclusive barrier-free “Play with Possibilities Playground”, a truly accessible play area which allows an expanded number of youth to take part in the benefits of movement and play in a sensory-rich, inclusive environment. The playground is located adjacent to the new Miracle Field athletic facility. There are no fees, and the location is reachable from Monroe, Wayne and Ontario Counties.

First Baptist Church Parsonage Acquisition Project: The Springville Center for the Arts, Inc. acquired the former Baptist Church Parsonage using a 2018 EPF grant of \$45,978 and reunited the property ownership with the former First Baptist Church which now serves the community as a multi-arts center. The Parsonage, a modest two-story vernacular Queen Anne style house built in 1887, sits directly to the south of the Center’s main theater and gallery programming space. This acquisition preserved a historic property in a registered district while strengthening the historic preservation of the former church by preserving a component of the built landscape and opening the door to future preservation efforts. In addition, the Springville Center for the Arts can now provide artist housing to support their programming, allowing the historic property to become more accessible to the community and its visitors.

Regional Economic Development Councils – Round 11 Summary of Programs

Office of Parks, Recreation and Historic Preservation (OPRHP) – Recreational Trails Program (RTP)

Funding Available: Up to \$1.9 million

Program Description: The Recreational Trails Program (RTP) provides funding to develop and maintain recreational trails and trail-related facilities for both nonmotorized and motorized recreational trail uses. RTP grants provide Federal funding of up to 80 percent of the total project cost with a minimum 20 percent matching share. The maximum RTP grant award is \$250,000. This is a reimbursement program, meaning that the applicant must finance the project while requesting periodic reimbursements. The RTP funding is authorized in phases by the Federal Highway Administration. Project budgets and schedules must account for phased authorizations to comply with Federal requirements.

Eligible Types of Applicants: Eligible Applicants are listed below.

- Municipalities
- Not-for-profit Corporations pre-qualified in the [Grants Gateway](#)

Successful Applicant Requirements:

- Trail is consistent with national, state or local trails plan
- Project complies with Federal, State and local requirements
- Trail will be accessible to the public
- Funding request for no more than 80% of the total project cost
- Matching share on-hand
- Expenses will be incurred only after Federal Authorization
- Project will be approved in phases (Preliminary Design, Final Design, Right-of-Way, Construction)

Program Highlights:

The RTP legislation requires that States use 30% of funds for non-motorized recreation, 30% for motorized recreation, and 40% for diverse recreational trail use. All applicants must link their proposed project to one, or more, of the following categories:

- **Maintenance or Restoration of Existing Trails**
- **Development or Rehabilitation of Trailside or Trailhead Facilities**
- **Purchase or Lease of Recreational Trail Construction or Maintenance Equipment**
- **Construction of New Recreational Trails**
- **Acquisition of Easements or Fee Simple Title to Real Property**
- **Assessment of Trail Conditions for Accessibility or Maintenance**

Regional Economic Development Councils – Round 11 Summary of Programs

Office of Parks, Recreation and Historic Preservation (OPRHP) – Recreational Trails Program (RTP)

Success Stories

Snowmobile Trail Groomer Purchase

The Shawnee Sno-Chiefs, Inc. purchased a 2021 Tucker Terra 2000 trail groomer with the assistance of a RTP grant from OPRHP in the amount of \$196,200. The Tucker-Terra Model 2000 was chosen as it features standard automotive axels and common hydraulic and mechanical components that require no extraordinary mechanical skills to service, with passenger capacity in case of emergency rescues. This new equipment significantly reduces the environmental impact to the trails, while enabling volunteers to groom the trails more efficiently, thus reducing volunteer hours and fatigue. With 4 rubber tracks, improved suspension, steering and visibility, the new grooming equipment will more effectively groom existing snowmobile trails, finely processing the snow to ensure a smooth, flat durable trail for the safety of all riders.

Pilot Knob Preserve Restoration

The Lake George Land Conservancy used Recreational Trail Program grant funding to reconstruct and reroute the upper section (phase II) of the current trail system at Pilot Knob Preserve. Phase II of the overall Pilot Knob Trail Reconstruction project took place from the South leg of the Summit Loop Trail to the Summit of the preserve. The goal of the improvements focused on areas where the trail was eroded and gullied, where the trail tread was widening and in disrepair due to overuse. Improvements were made by defining the trail and hardening the tread surface with stone steps in the steepest sections. The \$50,000 award supported the improvement of a popular hiking trail in the region, restoring the upper portion of the trail to protect environmental resources, decrease erosion, improve safety and walkability.

Regional Economic Development Councils – Round 11 Summary of Programs

NYS Department of State– Local Waterfront Revitalization Program

Funding Available: Up to \$27.75 million

Program Description: Matching grants are available on a competitive basis to municipalities to develop and implement Local Waterfront Revitalization Programs (LWRP) and Watershed Management Plans to revitalize communities and waterfronts. The focus of the LWRP is to support community planning efforts to evaluate local resources, develop goals and strategies, and identify ways in which the community can reduce risk to community assets- all to ensure successful & sustainable revitalization.

Eligible Types of Applicants: Eligible applicants are villages, towns, or cities and counties which are located along New York's coasts or inland waterways as designated pursuant to Executive Law, Article 42.

Successful Applicant Requirements: Successful applications will exhibit quality projects that will include the development, advancement, or implementation of long-term community and waterfront revitalization goals, by:

- Demonstrating an effective approach to ongoing public participation
- Addressing critical waterfront issues and opportunities on both the regional and local level
- Advancing the completion or implementation of a plan or strategy that enhances the quality and availability of public resources within a community or region, including improving, protecting, and restoring water quality
- Improving community and waterfront resiliency to a changing climate, including both adaptation and mitigation strategies to proactively address risks and reduce vulnerabilities

Program Highlights: Local Waterfront Revitalization Program provides funding to advance the preparation or implementation of strategies for community and waterfront revitalization through the following grant categories:

- Preparing and Implementing a Local Waterfront Revitalization Program (LWRP) or LWRP Component
 - Communities are recognizing that their waterfronts can bring new life and energy to their communities. They are doing this by creating new economic activity, improving waterfront recreation, and restoring and protecting natural resources. The keys to making the most of their waterfront assets include a clear vision and plan, broad public involvement, creative partnerships, and a step-by-step strategy.
 - By preparing and implementing an LWRP, community stakeholders take the opportunity to evaluate local waterfront resources, develop goals and a comprehensive strategy for the best use of those resources, identify ways in which the community can reduce risk to community assets and make them more resilient to future threats and natural disasters, propose future land and water uses, design and construct priority projects which achieve community revitalization goals, and put in place a local program that will guide the community in attracting appropriate development to the waterfront area while planning for sustainability.
- Preparing and Implementing an LWRP Component, including a Watershed Management Plan
 - Clean water is crucial to local and regional economies. The success of many local business, recreation, tourism, agriculture, industry, and economic development is dependent on high-quality water resources to function.
 - A watershed management plan is a comprehensive plan to protect and restore specific waterbodies and their watersheds by identifying and prioritizing land uses and capital projects to reduce point and nonpoint source pollution, and protect or restore water quality, tributary corridors and aquatic habitats.
- Updating an LWRP to Mitigate Future Physical Climate Risks
 - Climate change, sea level rise, drought, increased frequency and intensity of storms, and the resultant effects from these weather-related changes challenge communities and impact services on which residents and tourists depend. The health of communities' rests on their ability to reduce or avoid harm and rebound from severe weather impacts when they occur. Communities can move forward successfully only when they are prepared to respond quickly and strategically to changing conditions. An emphasis should be placed on regional strategy development. Applicants with an adopted and approved, or partially completed, LWRP may apply for grant funding to update their LWRP, which may include updating coastal policies and projects, to mitigate physical climate risks.

Regional Economic Development Councils – Round 11 Summary of Programs

NYS Department of State – Local Waterfront Revitalization Program

Success Stories

Watkins Glen Local Waterfront Revitalization Program

The Village of Watkins Glen LWRP, approved 2017, was developed by the Schuyler County Planning Department with technical and financial assistance from DOS OPDCI. The LWRP focused on their Seneca Lake and Cayuga-Seneca Canal waterfronts and addressed key issues including redevelopment of the waterfront area adjacent to the downtown, improving linkages between the downtown and Seneca Lake shoreline, enhancing public access to accommodate tourism opportunities, and protecting the Queen Catherine wetland complex. This multi-year planning effort positioned the village to receive subsequent EPF LWRP implementation grant awards totaling just under four million dollars to design and construct improvements in the waterfront revitalization area.

Port of Rochester Marina

DOS OPDCI awarded over \$2.9 million in EPF LWRP funding for development of the Port of Rochester Marina, transforming a deteriorated parking lot into a new marina on the Genesee River. This investment advanced the City of Rochester LWRP goal of transforming the City's waterfront into a bustling destination with public spaces and amenities for residents and visitors to enjoy. This project provides an excellent example of how public investment can not only increase public access and enjoyment of the waterfront, but also spur private investment and grow the economy.

Peekskill Landing

The City of Peekskill constructed improvements at Peekskill Landing Park on the Hudson River with an \$450,000 EPF LWRP award. Formerly a vacant industrial site, this park features a waterfront boardwalk, a pedestrian footbridge, kayak and floating docks for non-motorized watercraft, a gazebo, and paved trails for jogging, biking, or walking. This project implemented the goals of the City's LWRP by enhancing public waterfront access and providing new recreational opportunities to draw visitors and residents to the waterfront.

Accabonac Harbor Storm Water Remediation

The Accabonac Harbor, located in the Peconic Estuary on the eastern end of Long Island, is a rich tidal estuary surrounded by approximately 275 acres of relatively undisturbed wetland habitat which supports a wide array of wildlife. To protect this unique natural resource, the Town of East Hampton received a \$150,000 EPF LWRP award to construct several stormwater abatement projects within the Accabonac Harbor Watershed to reduce pollutants entering the harbor. Remediation efforts to restore the ecological functions of the park and repair the shoreline of the marsh included construction of bioswales, buffer restoration, bioengineered shoreline stabilization measures, phragmites control, meadow establishment, educational signage and designated pathways.

Harlem River Park Living Shoreline & Manhattan Waterfront Greenway Extension

DOS OPDCI awarded NYC Department of Parks & Recreation over \$1.3 million in EPF LWRP funding to implement the NYC Waterfront Revitalization Plan to construct a living shoreline approach to along the Harlem River Park and improve public access for the underserved East Harlem community. The seawall was designed to reintroduce in-water habitat and enhance water quality, while absorbing wave energy and storm surge. The project included an extension of the Manhattan Waterfront Greenway, a kayak/canoe launch, a constructed tidepool, ledged seating close to the water, native plantings and stormwater infrastructure to capture and filter runoff.

Regional Economic Development Councils – Round 11 Summary of Programs

New York Department of State (DOS) – Brownfield Opportunity Areas Program Grant Funds

Funding Available: up to \$3.5 Million

Program Description: Grants are available on a competitive basis to eligible applicants for up to 90% of the total cost of the following activities:

- Development of a Brownfield Opportunity Area (BOA) Nomination that identifies strategies for revitalization of an area affected by known or suspected brownfields and that will be submitted to the Secretary of State for designation as a BOA.
- Pre-development activities to advance projects within a State-Designated BOA.
- Phase II Environmental Site Assessments within a State-Designated BOA.

Each application may include a submission for one eligible activity listed above. However, eligible applicants wishing to apply for multiple BOA projects may submit more than one application.

Eligible Types of Applicants: Eligible applicants include:

- Cities, towns and villages
- Counties
- Local public authorities
- Public benefit corporations
- School districts
- Special improvement districts
- Recognized Indian nations or tribes
- Certain 501(c)3 non-profit organizations
- New York City Community Board

Successful Applicant Requirements: Successful applicants will submit applications that focus on economically-distressed areas impacted by the presence of known or suspected brownfields. Applications for pre-development activities and Phase II environmental site assessment must be located within an area designated as a BOA by the Secretary of State and must advance the goals and priorities expressed in the BOA Nomination study. A list of State-designated BOAs is available on the Department website: <http://www.dos.ny.gov/opd/programs/brownFieldOpp/index.html> .

Program Highlights: The Brownfield Opportunity Area grants may fall into one of the following three categories:

1) Preparation of a BOA Nomination – A BOA Nomination is a study that consists of a community vision, goals and strategies for revitalization of a distressed area affected by a concentration of known or suspected brownfields. A full Nomination provides an in-depth and thorough description and analysis -- including an economic and market trends analysis -- of existing conditions, opportunities, and re-use potential for properties located in the proposed BOA with an emphasis on the identification and reuse potential of strategic brownfield sites that may be catalysts for revitalization. An integral part of a Nomination is a description of key findings and recommendations to promote area-wide revitalization and redevelopment of strategic sites, including specific projects, initiatives, regulations, and other actions.

2) Predevelopment Activities within a State-Designated BOA – Pre-development activities are expected to implement the vision, goals and objectives of a BOA that has already received designation from the Secretary of State, also called a State-Designated BOA. Eligible pre-development activities may include: Development and implementation of marketing strategies; Development of plans and specifications; Real estate services; Building conditions studies; Infrastructure analyses; Zoning and regulatory updates; Environmental, housing, and economic studies, analyses and reports; and Public outreach.

3) Phase II Environmental Site Assessment (SA) within a State-Designated BOA- Phase II Environmental Site Assessments gather reliable information about a property's environmental condition in order to guide the grantee in making an informed land use decision under the BOA Program. Additional environmental information must be necessary to determine technically and economically viable land uses for the BOA.

The completion of an environmental site assessment must advance the goals and priorities for revitalization and redevelopment of the BOA area. Phase II Environmental Site Assessments must meet the criteria established in the Phase II Application for Site Assessment Supplement and other conditions.

****Full program rules, requirements, and guidelines can be found at <http://regionalcouncils.ny.gov/> within the 2021 CFA Available Resources Guide****

Regional Economic Development Councils – Round 11 Summary of Programs

New York Department of State (DOS) – Brownfield Opportunity Areas Program Grant Funds

Success Stories

Wyandanch Rising BOA, Town of Babylon, Nassau County

Wyandanch has long been the most distressed community on Long Island by numerous measures. The community suffered from blight, degraded or non-existent infrastructure, high commercial vacancy and a lack of community amenities despite its location at a LIRR station. The Town of Babylon's progressive vision and corresponding BOA plan calls for a transformative transit-oriented mixed-use downtown with affordable housing, retail, community amenities and open space.

Through two grants totaling \$1,742,288, BOA funded the preparation of an urban renewal plan, a master plan for the downtown and a form-based code to guide development. Importantly, BOA served as the basis for substantial interagency coordination that facilitated significant public investment in infrastructure and development support. Through the BOA Program, the Town has leveraged close to \$60 million in local, State and federal resources to advance their revitalization strategy and key projects for the revitalization effort. These efforts have been supported by the LI REDC over several funding rounds. In addition, the Town has invested well over \$25 million for land acquisition, sewer installation and plaza and street improvements.

The first phase of the development is well underway with two mixed use projects, a parking garage and a public plaza completed and a new commercial building coming soon. The most recent example of public investment is the new LIRR station building. The overall value of investment in the downtown is estimated at \$500 million.

Fort Edward Northeast Industrial BOA, Town of Fort Edward, Washington County

Fort Edward has received three BOA grants totaling \$460,000 focusing on two areas in the town. Fort Edward is the location of the GE dewatering plant for PCB dredging of the Hudson River. The town lost employment and residents as GE and other employers downsized or closed, leaving behind a legacy of abandoned, obsolete properties.

The Town worked with the Department of State through the BOA program to identify opportunities to reinvent its downtown, building on its strategic location in New York's Tech Valley and access to multi-modal transportation, including passenger and freight rail, a modern 700-foot wharf on the Champlain Canal, and easy access to the I-87 corridor. The BOA Nomination identified priority strategic sites that could serve as catalysts for revitalization of the area, developed conceptual plans for redevelopment of the sites, and identified critical infrastructure upgrades necessary to serve proposed uses for these sites.

A key issue identified in the planning process was the lack of availability of food. In the early 2000's, the town had been a food desert with no supermarket within easy access. Fort Edward leveraged their BOA work to obtain EPA funding for cleanup and to attract a developer for one of the strategic sites, which is now the location of a Market 32 supermarket. Further efforts identified public and private financing to redevelop the other four strategic sites and to implement some critical complementary infrastructure upgrades, including a truck access road, sewer upgrades and pedestrian connections.

North Tonawanda BOA, City of North Tonawanda, Niagara County

The North Tonawanda BOA produced redevelopment strategies to capitalize on waterfront and downtown revitalization opportunities. The BOA identified 600 River Road (the current site of River's Edge Development) as a strategic site for its location along River Road and frontage on the Niagara River. The BOA recommended multi-family residential for redevelopment due to its potential for high-value waterfront housing.

The six-acre site of the River's Edge development, in the North Tonawanda BOA, was a portion of a larger parcel utilized by Niagara Iron Works/Tonawanda Iron Works from at least 1886 through 1972. Historic usage included several railroad tracks throughout the property and a pig-iron casting operation. The site was vacant until 1988 when AJ Marine Construction, a commercial retailer, began operations and continued until 2008. Since 2008 the metal building on the site has been used as a warehouse.

The area had not seen a new development, much less one like River's Edge, in nearly 30 years. The site is located directly on the Niagara River, a major route that connects Buffalo to Niagara Falls. When complete, the phased \$20 million in private investment will provide 100 residential units (apartments and townhouses) on the parcel that overlooks the Niagara River. The project also includes a 2,000-square-foot clubhouse and two 3,000-square-foot retail-driven buildings facing River Road. This project supports an effort to bring the Niagara River waterfront back to life leading to additional development of the area.

Regional Economic Development Councils – Round 11 Summary of Programs

NYS Department of State (DOS) - Environmental Protection Fund Smart Growth Comprehensive Planning Grant

Funding Available: Up to \$1 million with a maximum award of \$100,000

Program Description: Financial assistance grants are available on a competitive basis to municipalities to develop or update Comprehensive Plans to establish land use polices which integrate Smart Growth principles and reflect the community's goals and aspirations for its own future.

Smart Growth encourages community planning and development in priority development areas where water and sewer infrastructure are available, encourages redevelopment of existing community centers, protects important historic and natural resources, including water quality, and promotes the siting and development of community clean energy sources.

Comprehensive Plans should incorporate Smart Growth principles to make the most efficient use of community resources, reduce the property tax burden and promote sustainable economic development

Eligible Types of Applicants: Eligible applicants are villages, towns, and cities; as well as counties, regional planning entities, or not-for-profits applying on behalf of a village, town, or city.

Successful Applicant Requirements: Successful applications will propose a clear and well-developed, community-based approach to developing or updating Comprehensive Plans that fully integrate Smart Growth principles.

Program Highlights:

The Smart Growth Comprehensive Planning Grant will provide funding to advance the preparation or update of Comprehensive Plans that support and integrate the Smart Growth Principles, through:

- Supporting **Mixed Land Uses** to achieve viable place to live for those who use and depend of the areas commencer
- Providing a **Range of Housing Opportunities and Choices** for people of all income levels, ages, and races
- Concentrating **Development and Redevelopment in Existing Communities**
- Fostering **Distinctive, Attractive Communities with a Strong Sense of Place**
- Recommending **Density** and directing growth in designated centers to reduce the demand for sprawling development
- Incorporating **Clean Energy** siting and development into planning, zoning, building and infrastructure
- Addressing **Climate Change** through reducing automobile dependency, vehicle miles travelled
- Promoting **Resiliency** through land use and development that is adaptive to climate change impacts and extreme storms
- Encouraging **Green Infrastructure** through green buildings, open spaces, and sustainable stormwater and urban forestry
- Supporting **Social Diversity and Integration** by encouraging walkable communities, accessible public spaces, and housing opportunities
- Encourage **Regional Planning and Coordination**
- Considering **Walkable/Bikeable Neighborhood Design** to expand transportation options and create streetscapes that better serve a range of users, including pedestrians, bicyclists, transit riders, and automobiles
- Providing a **Variety of Mobility Choices** to foster greater community opportunities for housing, shopping, and jobs
- Designing **Well-Planned and Well-Placed Public Spaces** to increase walkability, social interaction, livability, and a sense of place
- Fostering **Community and Stakeholder Collaboration in Planning**

Regional Economic Development Councils – Round 11 Summary of Programs

NYS Department of State (DOS) - Environmental Protection Fund Smart Growth Comprehensive Planning Grant

Success Stories

N/A, new program

Regional Economic Development Councils – Round 11 Summary of Programs

Department of State (DOS) – Local Government Efficiency Grant Funds

Funding Available: Up to \$4 million

Program Description: The Local Government Efficiency (LGE) Grant program provides funding assistance to local governments to develop projects that reduce the cost of municipal operations and service delivery, with the goal of limiting the growth in property taxes. Assistance is available to implement intermunicipal efforts including shared services and functional consolidations. Projects must demonstrate the potential for financial savings through new or modernized operations and service delivery.

Eligible Types of Applicants: Eligible applicants include:

- Counties;
- Cities;
- Towns;
- Villages;
- Special Improvement Districts;
- Fire Districts;
- Public Libraries, Association Libraries, Public Library Systems;
- Water Authorities and Sewer Authorities;
- Regional Planning and Development Boards;
- School Districts; and,
- Boards of Cooperative Educational Services (BOCES).

Successful Applicant Requirements: Proposals will be evaluated based upon the significance of the estimated cost savings and potential benefit to the municipal tax levy, service delivery benefits, municipal operational changes, long-term performance measurement, and local and regional support. Successful applications will also provide a detailed work plan and budget, and demonstrate a clear linkage between each.

Program Highlights: This year the LGE program will again be prioritizing projects that implement prior Local Government Efficiency planning grants and projects that are included in a County-Wide Shared Services Initiative (CWSSI) Plan. In addition, local governments that illustrate the use of long-term planning, such as comprehensive plans, operating projections and capital investment plans, will be given priority.

Regional Economic Development Councils – Round 11 Summary of Programs

Department of State (DOS) – Local Government Efficiency Grant Funds

Success Stories

Capital Region Board of Cooperative Educational Services - Municipal Prescription Drug Purchasing Coalition

In 2011, the Capital Region Board of Cooperative Educational Services (BOCES) received funding to establish the Municipal Prescription Drug Purchasing Coalition. The Capital Region BOCES provides shared educational services to 24 school districts and over 80,000 students in Albany, Schoharie, Schenectady and Southern Saratoga counties, as well as other services to more than 150 school districts outside of the Capital Region. This program supports the administration and management of the prescription drug purchasing coalition between school districts, local governments and providers, and has saved over \$50 million to date.

City of Dunkirk – Chadwick Bay Regional Water District

In 2013, the City of Dunkirk, Towns of Dunkirk, Pomfret, Portland, Sheridan and the Villages of Brocton and Fredonia, in Northern Chautauqua County received \$360,000 to establish an affordable and sustainable solution for the provision of potable water for residents and businesses in the region. In February 2016, the North Chautauqua County Water District was formed by the Chautauqua County Legislature. This regional approach to providing water infrastructure has been estimated to save the local governments over \$25 million compared to the projected cost of establishing individual water supply systems.

Town of Rosendale and Town of Marletown – Joint Town Hall Facility

In 2013, the Town of Rosendale was awarded \$258,930 to assist with the establishment of New York's first shared town hall in a facility entirely in the Town of Rosendale. This unique effort, which required state legislative approval for the Town of Marletown to effectively operate from a neighboring municipality, has enabled the re-use of the former Rosendale Elementary School. This transformative project has helped establish the joint town hall as a community center for the two adjacent Towns, while also housing three regional not-for-profit organizations. The shared facility generates recurring financial savings for taxpayers and enabled the Town of Marletown to avoid capital expense of over \$4 million to upgrade their town hall.

Southwestern Central School District Shared Fuel Station

The Southwestern Central School District and the Village of Lakewood constructed a shared fuel station including a 10,000 gallon fuel tank and protective roof canopy outfitted with lights, a fire suppression system and 4 security surveillance cameras. The shared fuel station replaced a deteriorating 1000-gallon tank owned by the Southwestern CSD and a rented 1000-gallon tank in the Village. The shared fuel station reduced expenses by eliminating the need to purchase two new fuel tanks and generators, eliminating duplication of services such as purchasing, billing and inventory control, and purchasing fuel collectively and in bulk quantities.

Regional Economic Development Councils – Round 11 Summary of Programs

NYS Canal Corporation – Canalway Grants Program

Funding Available: Up to \$1 million

Program 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 for canal related capital projects. The minimum grant request amount is \$25,000. The maximum grant request is \$150,000.

Eligible Types of Applicants:

- Municipalities along the NYS Canal System and NYS Canalway Trail
- 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.

Successful Applicant Requirements:

Projects proposed for Canal funding should demonstrate how they will achieve some or all of the following for the NYS Canal System including the Canalway Trail: expand public access, increase visitation and recreational use, stimulate private investment, improve services and amenities for Canalway land and water trail users, and enhance the connections between the canal and the corresponding region consistent with the Reimagine the Canals initiative <https://www.ny.gov/programs/reimagine-canals-initiative> as well as the Regional Economic Development Councils Strategic Plans <http://regionalcouncils.ny.gov/>

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 non-profit organizations, the Canal Corporation will determine whether it will proceed as lead agency, initiate the lead agency designation process or refer lead agency to the local municipality.

Grant funds will be provided on a reimbursement basis **ONLY**.

Program Highlights:

Priority in this round will be given to projects that encourage economic development, spur the use of the Empire State Trail and other canal tourism, stimulate private investment in tourism infrastructure, and promote resiliency against environmental challenges.

Priority will also be given to projects that enhance physical accessibility, employ principles of universal design and promote social inclusion.

Regional Economic Development Councils – Round 11 Summary of Programs

NYS Canal Corporation – Canalway Grants Program

Success Stories

Village of Newark CFA # 83461 Round 8 (\$150,000)

In September of 2020, the Village of Newark successfully completed a key local section of the Canalway/Empire State trail using a Canal Corporation FLREDC Round 8 grant of \$150,000. The project features pedestrian lighting, enhanced accessibility for all users, way finding signage to adjacent businesses and landmarks, new bike racks and benches, and installation of safety barriers.

Village of Fairport CFA #8169 Round 8 (\$150,000)

The first phase of the Village of Fairport's Bicentennial Canal Gateway Project was completed in September of 2020 using a round 8 Canal FLREDC CFA award of \$150,000. The project includes an observation deck and non-motorized boat dock, new sidewalks, road surface improvements, lighting, landscaping, and historical interpretive signage. This CFA investment in Fairport's waterfront enhances the Village's unique canalside attractions for visitors and residents alike. The Canal Gateway Project will facilitate the return of events such as Fairport Canal days, one of the largest canal festivals on the system, drawing thousands of attendees each year with corresponding economic benefits to the local businesses.

Regional Economic Development Councils – Round 11 Summary of Programs

New York State Energy Research and Development Authority (NYSERDA) – Energy Efficiency Programs

Funding Available: Up to \$3 million

Program Description: Two distinct energy programs provide technical and financial assistance to support energy efficiency decisions. The Flexible Technical Assistance Program provides objective and customized engineering analysis to help customers make informed energy decisions. The Commercial New Construction Program provides technical and financial support to evaluate energy efficiency options and to promote the installation of energy-efficient electric equipment in new and substantially renovated commercial buildings, and to support carbon neutral portfolio projects.

Eligible Types of Applicants: Eligible Applicants include but are not limited to:

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

Successful Applicant Requirements:

- Detailed and site-specific scope of work
- Identification, analysis and detailed documentation of potential energy efficiency measures and incentives
- Technical support services may require cost-sharing between NYSERDA and the applicant
- Project commitment by facility with detailed timeline
- Site visit by NYSERDA staff and/or NYSERDA technical reviewer to develop a clear understanding of project scope

Program Highlights:

1) Flexible Technical Assistance – 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. Alternatively, customers may select their own service provider.

2) Commercial New Construction – The program offers technical and financial support to effect a permanent transformation in the way buildings are designed and constructed for energy efficiency in New York State with a focus on replicable, deep energy savings, carbon neutral and zero net energy projects.

Regional Economic Development Councils – Round 11 Summary of Programs

New York State Energy Research and Development Authority (NYSERDA) – Energy Efficiency Programs

Success Stories

Columbia University

Columbia University turned to NYSERDA to tackle a big idea: reduce its energy consumption and carbon footprint while maximizing efficiency. Together, they developed innovative solutions to help the University save millions, and the partnership has become a model for how other colleges and universities can benefit from working with NYSERDA.

The University has committed to reducing greenhouse gas emissions by 30 percent. The University received support from NYSERDA to help plan, develop, and implement energy efficiency projects and buildings. NYSERDA's cost-shared evaluation of more than 30 buildings at the University identified energy efficiency improvements, defined costs, and specified payback periods. For example, an energy assessment of the Columbia University Medical Center has equipped the University with a comprehensive planning document it will use to maximize greenhouse gas reductions and optimize payback in both new and old buildings. In addition, the evaluation addressed energy-saving opportunities in heating, ventilation, and air conditioning, lighting, fume hoods and steam systems.

Regional Economic Development Councils – Round 11 Summary of Programs

New York State Energy Research and Development Authority (NYSERDA) – Carbon Neutral Economic Development

Funding Available: Up to \$15 million

Program Description: The purpose of this program is to support the planning, design and installation of economic development projects to operate at carbon neutral or net zero energy performance. The program is designed to target projects that align with the Region's or the State's Economic Development and Energy Priorities and offers the customer phased incentive payments. The Carbon Neutral Economic Development program is offered as a competitive program for exemplary, highly replicable, and resilient carbon neutral or net zero energy projects.

Eligible Types of Applicants: Commercial Facilities (not including multifamily), Food Processing Facilities, Restaurants, Wineries, Breweries, Distilleries, Public and Private K-12 schools, Colleges and Universities, Healthcare Facilities, Agricultural Facilities, Municipalities (Local Government), State Agencies & Other State Government, Not-for-profit Corporations, Private Developers, Mixed Use, Warehouse and Distribution Facilities,

Successful Applicant Requirements:

- Must be aligned with Regional & State Economic Development Strategies (i.e. regional plan, economic clusters, State Priority Issue Areas)
- Must state how applicant's project achieves Carbon Neutral or Net Zero Energy Performance
- Accurately explain Cost Effectiveness & Replicability
- Provide a Marketing Plan for promoting the project outcomes
- Must explain how submitted project provides resiliency

Program Highlights:

The program supports projects in the following two categories:

Category A: The Carbon Neutral Economic Development Program provides eligible New York State commercial, industrial, and institutional applicants with incentives on a competitive basis, for the construction of, or renovation to existing, buildings designed to achieve carbon neutral or net zero energy performance. Applicants to this Category must pay into the System Benefits Charge. Maximum incentive per project is \$2 million.

Category B: The Carbon Neutral Economic Development Program provides eligible New York State community, campus or large real estate portfolio development applicants with incentives on a competitive basis, for planning and design work to transition communities, campuses or developments to achieve carbon neutrality or net zero energy. Applicants to this Category must pay into the System Benefits Charge. Minimum incentive is \$1 million, and maximum incentive per project is \$5 million.

New York State Energy Research and Development Authority (NYSERDA) – Carbon Neutral Economic Development

Success Stories

Wood-B-Ayr Farm

A new state-of-the-art Organic Dairy Barn is being designed as a carbon neutral smart building utilizing high efficiency ventilation, lighting, and ultramodern robotic feeding, milking and cleaning systems and will include a composting bedding pack. The project includes installation of renewables, for net zero energy performance. The facility will have an educational center for meetings and seminars to train 4-H and other agricultural groups on modern organic dairy farming. The project was awarded \$1 million in the 2018 Round 8 of the CFA to assist the facility in achieving net zero energy performance.

Trilock Fusion Arts School

The TREE (Trilok: Research, Evolve, Empower) Classroom will be an expansion of the current K-8 grades, to a high school for the Trilok Fusion Arts Inc. Education Center. The carbon neutral new construction modular pod will be divided into two classrooms, and will include a rain water collection system, solar panels and plant walls, as well as Passive House design principles. The project was awarded more than \$55,000 in 2018, to achieve net zero energy performance in the new school building.

Binghamton University

Binghamton University will develop a University-wide Energy Master Plan to meet State University of New York's (SUNY) 1B-2 Program Directive for Net Zero Carbon new buildings and Deep Energy Retrofits of existing buildings, in support of SUNY's energy and carbon reduction goals. The development of the plan will include a feasibility study of Binghamton's six million square foot campus, as well as develop prototype design documents, to get to net zero energy performance. In 2019, Binghamton University was awarded \$5,000,000 as a Category B project to develop the Master Plan to achieve net zero energy performance within the project boundary.

Buffalo Harbor State Park

New York State Parks Recreation and Historic Preservation is planning the development of Buffalo Harbor State Park Gateway Center, in Buffalo. The 3,000 square foot facility will be carbon neutral new construction and certified to Passive House standards. The facility will be utilized for park offices, a police station, public bathrooms, year-round comfort stations, and rental space. In 2019, the New York State Parks Recreation and Historic Preservation was awarded \$1,000,000 as a Category A project, to achieve net zero energy performance in a new commercial building.

Basilica Hudson

Basilica Industries will renovate an existing event facility to improve the efficiency of the building, converting to an all-electric heating system, domestic hot water system and commercial kitchen, making the site carbon neutral and keeping the property in-use year-round. The project will also install two new solar arrays with storage, to offset all electric loads of the facility to achieve net zero energy performance. The project is located in Hudson, NY, a Downtown Revitalization Initiative district in the Capital Region. In 2019, Basilica Industries was awarded \$950,139 as a Category A project, to achieve net zero energy performance in an existing commercial building.

Regional Economic Development Councils – Round 11 Summary of Programs

New York State Energy Research and Development Authority (NYSERDA) – Commercial and Industrial Carbon Challenge

Funding Available: Up to \$15 million

Program Description: The Commercial and Industrial Carbon Challenge program provides grant funding between \$500k and 5 million to fund single projects or project portfolios that reduce carbon emissions for large commercial and industrial customers. Projects can include energy efficiency or process efficiency measures, on-site generation, battery storage, beneficial electrification, carbon capture, or other proven efficiency or renewable energy technologies. Applications will be evaluated in two categories: Category A will focus on beneficial electrification, carbon capture, utilization and storage, process emission reduction, and low-carbon fuel projects and Category B will focus on more traditional measures. Applicants are required to commit to a carbon savings goal and provide detail on projects that can achieve that goal.

Eligible Types of Applicants:

Any commercial or industrial entity that meets the program's size requirements:

- Average monthly peak electric demand of 3 MW or greater. This is calculated by averaging the monthly peak demand over the 12-month period preceding the submission of the application. This demand requirement can be met by a single applicant site or aggregating the demand of multiple applicant sites across New York State.
- Average monthly peak electric demand of 1.5 MW or greater that is serviced by market power providers to whom the Applicant pays the System Benefits Charge (SBC).

Commercial and Industrial entities include, but are not limited to:

- Colleges and Universities
- Food and Beverage Processing
- Health Care Facilities
- Manufacturing
- Mining and Extraction
- Municipal Facilities
- Multifamily Residential
- Not-For-Profit and Private Institutions
- Office Buildings
- Public and Private K-12 Schools
- Retail
- State and Local Governments
- Warehouse and Distribution Facilities
- Wastewater Treatment Plants

Successful Applicant Requirements: NYSERDA is seeking to work closely with large Commercial and Industrial customers to drive deep carbon emission reductions. Successful applicants will have well designed, detailed project portfolio plans that make use of market tested technologies and methods of reducing carbon. They will have a deep, demonstrated commitment to sustainability and will allocate staff and resources that will be dedicated to the success of the projects. Moreover, NYSERDA's goal is to reduce carbon in the most cost-effective ways possible. To that end, successful applicants will make significant financial contributions to fund the proposed projects.

Program Highlights: Applicants selected for a financial award will have more flexibility in the use of grant funds than traditional NYSERDA incentive programs. To help address typical project cash flow issues, NYSERDA will allow up to 70% of the total award as costs are incurred rather than post-installation. The remaining 30% of the award will be available upon completion of installation and measurement and verification (M&V).

New York State Energy Research and Development Authority (NYSERDA) – Commercial and Industrial Carbon Challenge

Success Stories

Cornell University (CFA 92752- \$1,200,000)

Cornell University is working to recover and reuse waste heat in four research/lab facilities on campus, upgrade building controls system, and continue associated recommissioning for multiple campus facilities. In addition to reducing energy consumption and carbon emissions significantly, the new systems provide additional resiliency to buildings harboring sensitive research.

Cascades Greenpac Mill (CFA 94432 - \$ 2,650,000)

As a fairly new paper mill, Greenpac Mill LLC is continually developing new paper grades and working to improve operations. Over the next three years, they are completing a series of capital projects and operations and maintenance adjustments to save energy and reduce their carbon emissions.

Regional Economic Development Councils – Round 11 Summary of Programs

New York Power Authority – ReCharge New York

Funding Available: Up to 22 MW

Program 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. There is also power available to be allocated to businesses that plan to expand operations in the state or are looking to relocate to New York State.

Eligible Types of Applicants: 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.

Successful Applicant Requirements:

Eligible businesses and NFP corporations within the state that are looking to retain current employment, grow their business, or a business coming to NYS creating jobs. The applications are scored using twelve legislative criteria.

Program Highlights:

Economic Development – businesses and NFP corporations that benefit from low cost power allocations are able to save on their electric costs and have better electric cost stability (allocations are 7-year terms) and thus can retain jobs. The allocation benefits also enable the businesses to invest in their facilities, creating a strong foundation to remain doing business in New York State. Expansion power allocations attract new business to NYS and encourage expansion for existing businesses thus creating new jobs.

Regional Economic Development Councils – Round 11 Summary of Programs

New York Power Authority – ReCharge New York

Success Stories

ABX Innovative Packaging Solutions LLC was recommended for retention and expansion-based ReCharge New York (RNY) allocations. The company, which is a manufacturer of packaging products, is planning to expand the production capacity at its Macedon site and acquire production from an out-of-state ABX site. The project would support 38 new jobs (retaining 378) and more than \$19.2 million in capital spending which includes new machinery, equipment, and the relocation of certain production lines to the Macedon site.

Chemprene LLC was recommended for retention and expansion-based ReCharge New York (RNY) allocations. The company, which is a manufacturer of rubber coated textiles, currently operates in a 70-year old facility requiring extensive upgrades. The project would support 15 new jobs (retaining 113) and \$16.7 million in capital spending which includes facility modernization and new manufacturing machinery and equipment.

LS Promotions, Inc. was recommended for retention and expansion-based ReCharge New York (RNY) allocations. The company, which is a manufacturer of custom promotional items, is proposing a 30,000 square foot expansion of its existing Ronkonkoma facility to accommodate increased manufacturing capacity. The project would support 25 new jobs (retaining 124) and \$6 million in capital spending which includes new manufacturing machinery and equipment.

Regional Economic Development Councils – Round 11 Summary of Programs

Department of Environmental Conservation – Climate Smart Communities (CSC) Grants

Funding Available: Up to \$11 million

Program Description: The CSC grant program provides funding for municipalities to perform inventories, assessments, and planning projects that advance their ability to address climate change at the local level and become certified Climate Smart Communities. The program also supports municipal mitigation implementation projects that reduce greenhouse gas (GHG) emissions from the non-power sector and adaptation implementation projects that directly address climate change threats or alleviate hazards in the community exacerbated by climate changes.

Eligible Types of Applicants: Counties, Cities, Towns, Villages, and the boroughs of New York City.

Successful Applicant Requirements:

Implementation Category

- Discussion of anticipated climate changes in the project area.
- Analysis of how changes to the current climate conditions will affect the project location; including specific climate vulnerabilities and populations and resources at risk.
- Analysis of how the proposed project will alleviate the anticipated climate threats or reduce the risk from climate threats to the populations and resources identified.
- Results of local and/or regional GHG emissions inventories.
- Quantifiable evidence demonstrating how the proposed project will achieve a meaningful reduction in GHG emissions.

Certification Category

- How products will be used to implement GHG mitigation or climate change adaptation projects in the future
- Description of the municipality's approach to build capacity and engage the public, local businesses, and non-governmental organizations in a sustained effort to engage in an evolving process of climate action
- The requirements and deliverables for certification as listed at <https://climatemart.ny.gov>

Program Highlights:

CSC grants provide support for three project types in two categories:

1) Climate change adaptation (implementation category) including, but not limited to:

- Increasing natural resilience to future flood risks.
- Relocating or retrofitting critical infrastructure to reduce future flood risks.
- Replacing or right-sizing flow barriers.
- Addressing anticipated future extreme heat conditions, e.g., through the creation of community cooling centers.
- Improve emergency preparedness and response systems (excluding radio communication systems) for anticipated future extreme climate conditions.
- Completion of activities that are part of the Federal Emergency Management Agency (FEMA) Community Rating System (CRS) program.

2) Greenhouse gas (GHG) mitigation (implementation category) including, but not limited to:

- Reduction of vehicle miles travelled through improvements to non-recreational, non-motorized transportation and/or to mass transit, or by reducing commuting distances through densification or smart growth strategies.
- Diversion of excess food, food waste, or other organic material from landfills where it produces methane, either to feed people or animals or for recycling at municipal facilities (e.g., wastewater treatment plants, composting facilities).
- Reduction of fluorinated GHG emissions from refrigeration, chillers, and A/C equipment through replacement or retrofit, enhanced monitoring and disposal, or adoption of measures enabling alternative refrigerant use.

3) Climate Smart Communities certification actions (certification category):

- GHG mitigation actions: GHG inventories, climate action plans, construction and demolition waste policies.
- Transportation actions: municipal fleet inventories and fleet efficiency policies, planning for bicycling and walking.
- Adaptation actions: vulnerability assessments, climate adaptation strategies, heat emergency plans.
- Land use actions: comprehensive plans with sustainability elements, complete streets policies, natural resources inventories.

****Full program rules, requirements, and guidelines can be found at <http://regionalcouncils.ny.gov/> within the 2021 CFA Available Resources Guide****

Regional Economic Development Councils – Round 11 Summary of Programs

Department of Environmental Conservation – Climate Smart Communities (CSC) Grants

Success Stories

Construction of Upgrades for Organics Processing

The Oneida-Herkimer Solid Waste Authority (the Authority) partnered with the Oneida County Sewer District's (OCSD) Water Pollution Control Plant (WPCP) to build a facility that processes food waste for conversion to energy at the WPCP's anaerobic digesters. The Authority received \$1,327,500 in CSC funding toward the design and construction of the source-separated organics Processing Facility (SSOPF). The Food2Energy program diverts commercial food waste from disposal in the Authority's regional landfill to the Authority's eastern transfer station, located in the City of Utica, for processing and de-packaging prior to anaerobic digestion. After seven months of full operation, the facility has collected 1,359 tons of organics and reduced GHG emissions by approximately 635 tons of CO₂e. The project is conserving landfill airspace, reducing greenhouse gas emissions, and generating renewable energy from anaerobic digestion.

Erie County Climate Smart Communities (CSC) Certification Actions.

Erie County received \$99,771 in CSC funding toward the completion or documentation of several CSC actions on the way to certification as a bronze level Climate Smart Community. The actions were: 1) convening the Community Climate Change Task Force (C3TF) as a committee of the Erie County Environmental Management Council (EMC); 2) government operations and community greenhouse gas (GHG) inventories; 3) government operations climate action plan; 4) interior lighting upgrades; 5) green building certification; 6) implemented incentives for employee carpooling and transit use; 7) completion of renewable energy feasibility studies; 8) entered into power purchase agreement for renewable energy; 9) distributed compost bins to residents; 10) installed ZEV charging stations; 11) completed a natural resource inventory; 12) completed a watershed assessment; 13) held green vendor fairs; 14) created green economic development plans; 15) cleaned up and redeveloped a brownfield; and 16) involved, informed and inspired the public with social media updates.

Regional Economic Development Councils – Round 11 Summary of Programs

NYS Department of Environmental Conservation – Water Quality Improvement Project (WQIP) Program

Funding Available: Up to \$65 million

Program Description: WQIP is a competitive, statewide reimbursement grant program to implement projects that directly address documented water quality impairments, improve aquatic habitat, or protect a drinking water source. Project types include: Wastewater Treatment Improvement, Non-agricultural Nonpoint Source Abatement and Control, Land Acquisition for Source Water Protection, Salt Storage, Aquatic Connectivity Restoration, and Marine District Habitat Restoration.

Eligible Types of Applicants: Municipalities and Soil and Water Conservation Districts are eligible for all project types unless otherwise noted. Not-for-Profits are eligible for Aquatic Connectivity Restoration, Land Acquisition for Source Water Protection, and Marine District Habitat Restoration only.

Successful Applicant Requirements:

- Project addresses a documented water quality impairment, improves aquatic habitat, or protects a drinking water supply
- Applicant provides required match
- No ineligible costs are included in application
- Project is “shovel ready”
- Required attachments are included with application
- Project aligns with DEC priorities
- Project is for implementation, not just planning, design or studies
- Applicant has a positive past grant record or expertise to successfully implement the project

Program Highlights: WQIP funds the following types of projects:

- Wastewater Treatment Improvement – wastewater treatment improvements to municipal wastewater systems
- Non-Agricultural Nonpoint Source Abatement and Control – non-agricultural nonpoint source projects that improve a documented water quality impairment or protect a drinking water source
- Land Acquisition for Source Water Protection – land purchases for the purpose of protecting surface or groundwater drinking water supplies
- Salt Storage – construction of a permanent structure to cover a salt or salt/sand mixture storage pile.
- Aquatic Connectivity Restoration – projects that improve aquatic habitat connectivity at road/stream crossings or dams
- Marine District Habitat Restoration – projects to improve the ecological condition of waters of the state within the marine district (New York/New Jersey Harbor Estuary Comprehensive Conservation and Management Plan)

Regional Economic Development Councils – Round 11 Summary of Programs

NYS Department of Environmental Conservation – Water Quality Improvement Project (WQIP) Program

Success Stories

Success Story 1 – WQIP Non-Agricultural Nonpoint Source Abatement and Control - Monroe County Collaborative MS4 Stormwater Retrofits Using Green Infrastructure - Monroe County installed green infrastructure retrofits in eight parking lots within the county, including bioswales and biofilter islands, rain gardens, porous pavement, and streambank stabilization. The installation of these green infrastructure practices reduced stormwater pollution from reaching six waterbodies listed as impaired by urban/stormwater runoff due to nonpoint source pollution.

Success Story 2 – WQIP Non-Agricultural Nonpoint Source Abatement and Control - Putnam County Department of Highways and Facilities Maintenance Facility Stormwater Improvement – This project constructed two stormwater basins (wet ponds) at the Putnam County Highway Garage in the East Branch Reservoir of the New York City Watershed. All storm drains at the site are connected to one of the two ponds. The ponds, sized according to DEC's construction site standards, receive all runoff from the facility and will prevent nearly 12 pounds of phosphorus per year from entering the East Branch Reservoir.

Success Story 3 – WQIP Wastewater Treatment Improvement - Village of Sackets Harbor Wastewater Treatment Plant Upgrades – In 2018 Sackets Harbor installed ultraviolet disinfection at their wastewater treatment facility to reduce pathogens entering Black River Bay and to meet the seasonal disinfection requirements identified in the Village's State Pollutant Discharge Elimination System (SPDES) permit. The project consisted of a dual channel design with 2 banks and 4 modules with a total of 32 lamps. The design also includes a serpentine weir, a level sensor, a module lifting device, and an on-line monitor.

Regional Economic Development Councils – Round 11 Summary of Programs

NYS Department of Environmental Conservation – Non-Agricultural Nonpoint Source Planning and MS4 Mapping Grant

Funding Available: Up to \$3 million

Program Description: Grants of up to \$30,000 are available to produce planning reports for non-agricultural nonpoint source water quality improvement projects. Grants of up to \$75,000 are available for comprehensive stream corridor studies. Grants up to \$400,000 are available for Municipal Separate Storm Sewer System (MS4) mapping. The program aims to get nonpoint source projects ready for construction and to apply for implementation funding; and encourages and supports cooperation among regulated MS4s to complete mapping of their stormwater system.

Eligible Types of Applicants: Municipalities, Soil and Water Conservation Districts are eligible for all project types unless otherwise noted. Regulated traditional MS4s are eligible for MS4 System Mapping.

Successful Applicant Requirements:

- Project fits into an eligible grant category
- Applicant provides required match
- No ineligible costs are included in application
- Required attachments are included with application
- Project aligns with DEC priorities
- Applicant has a positive past grant record or expertise to successfully implement the project
- Applicant intends to implement the project recommended by the planning report (Nonpoint Source Planning Reports)
- Planning report will address a nonpoint source pollution impairment; MS4 maps will meet SPDES permit requirements
- Report will be completed by a qualified professional as defined in the Program Overview (Nonpoint Source Planning Reports)
- Report or map of stormwater system will be completed within two years

Program Highlights:

Funding is available for the following grant categories:

- Decentralized Wastewater Treatment Facilities for Failing On-Site Treatment Systems
- Green Infrastructure
- Stormwater Retrofits
- Streambank/Shoreline Stabilization
- In-Waterbody Controls for Nutrients
- Bathing Beach Restoration
- Stream Culvert Repair and Replacement
- Municipal Separate Storm Sewer System Mapping

Regional Economic Development Councils – Round 11 Summary of Programs

NYS Department of Environmental Conservation – Non-Agricultural Nonpoint Source Planning Grant

Success Stories

N/A –No Programs Complete Yet

Regional Economic Development Councils – Round 11 Summary of Programs

New York State Environmental Facilities Corporation (EFC) – Green Innovation Grant Program (GIGP)

Current Funding Available: Up to \$15 million

Program Description: GIGP provides grants on a competitive basis to projects that improve water quality through the implementation of green infrastructure, energy efficiency and/or water efficiency practices in New York State. Grants will be available to cover a minimum of 50% up to a maximum of 90% of the total eligible project costs for planning, design and construction based on Median Household Income. The maximum grant amount for an individual GIGP award is \$3 million. GIGP projects selected for funding go beyond offering a greener solution. They maximize opportunities to; leverage the multiple benefits of green infrastructure, energy efficiency, and water efficiency, build capacity in these environmentally innovative fields, and/or facilitate the transfer of new technologies and practices to other areas of the State.

Through 12 rounds of the GIGP over \$200 Million has been awarded to over 250 GIGP projects statewide.

Eligible Applicants:

Green Stormwater Infrastructure Projects: Municipalities, Private Entities, State Agencies, and Soil and Water Conservation Districts

Energy Efficiency: Publicly Owned Treatment Works (POTW)

Water Efficiency: Municipalities

Program Priorities:

- 1) **Climate Change Mitigation:** Projects that implement one of the three eligible green practices to reduce the effects of greenhouse gases and/or expand clean energy initiatives.
- 2) **Environmental Justice:** Projects that use green practices to advance the fair treatment and meaningful involvement of all people regardless of race, color, national origin, or income, with respect to the development, implementation, and enforcement of environmental laws, regulations, and policies.
- 3) **Integration:** Projects that demonstrate the value of integrating green stormwater infrastructure into traditional gray clean water infrastructure projects to provide water quality benefits.
- 4) **Natural Restoration:** Projects that demonstrate the effectiveness of green stormwater infrastructure in a natural environment, such as flood plains, riparian buffers, streams, and wetlands.
- 5) **Transformation:** Larger transformative projects that utilize green practices to provide multiple environmental, economic, and social benefits. These projects align with larger goals of the community or the region.

Successful Applicant Requirements:

- EFC Certificate for Procuring Architectural and Engineering (A/E) Services. All A/E services must be procured in accordance with 40 U.S.C 1101
- Single Audit compliance as defined in 2 CFR 200, subpart 7
- State environmental and historic preservation reviews, i.e., SEQRA and SHPO
- Detailed final budget and plan of finance to show that sufficient funding has been secured
- Proof of legal right to own, operate and maintain project for the duration of its useful life
- Compliance with Minority- and Women-Owned Business Enterprises (MWBE) requirements
- Compliance with Davis Bacon Wage and American Iron and Steel Requirements (Treatment Works Projects Only)

Success Stories

Town of German Flatts

After experiencing increased frequency and severity of flooding over the past several years, the Town of German Flatts (Town) project restored natural features along a segment of the Fulmer Creek to help alleviate flooding. In 2017, the Town was awarded \$2,000,000 in GIGP funds through the CFA to reconnect the natural flood plain, install flood plain benches, and repair a portion of washed out stream bank. This project improves water quality, while reducing flood damages to downtown Main Street, downstream residences, and town infrastructure.

Village of Hudson Falls

In 2018 the Village of Hudson Falls (Village) received a GIGP grant in the amount of \$725,000 to revitalize a downtown park with green infrastructure. The Village used a mix of bioretention, porous pavement, rain gardens, and stormwater street trees to improve an existing parking area at Paris Park and the neighboring streetscape. These infrastructure improvements go further than a beautification project, they also help to improve the water quality of the Hudson River by reducing stormwater runoff to the Village's combined sewer system.

City of Yonkers

The City of Yonkers (City) has leveraged multiple resources through the CFA to daylight segments of the Saw Mill River, which had been piped and covered since the 1920's to make way for development over the years. Over three rounds of the CFA, the City has been awarded nearly \$4,000,000 in GIGP funds to unearth these pipes and reestablish the natural river to improve water quality and the environment of the downtown area overall. In addition to the environmental benefits, the City has used stream daylighting as an influential revitalization tool as well. Adjacent buildings have been renovated, people are moving back into the area, and the aesthetic improvements have residents visiting the area to enjoy the new open space.

City of Albany

The City of Albany used \$1,100,000 in GIGP funds to resolve two issues at the Tivoli Park Preserve, one environmental and one social. Increased development upstream had created a problem where the existing gray piped underground section of the Patroon Creek became undersized for the flow. This resulted in regular unprotected overflows that damaged Tivoli Park and exposed a 36" water main and a 42" sanitary sewer. The City's solution to these issues was to daylight a section of the Patroon Creek. This daylighting re-established 1,700 linear feet of natural streambed and allows the stream to function naturally with the ability handle the rise and fall of waters during storm events. This project provides the additional capacity to safely convey the flow as well as providing multiple environmental benefits which include; improving water quality of the Patroon Creek and Hudson River, restoring the natural creek and aquatic habitat, protecting infrastructure, reducing erosion, preserving open-space, and decreasing flooding. The project is also the centerpiece of a comprehensive plan intended to help revitalize environmental justice areas within the City by connecting them to an important natural resource. These improvements provide a healthier environment for residents as well as increase recreational activities throughout the preserve.

Regional Economic Development Councils – Round 11 Summary of Programs

NYS Environmental Facilities Corporation (EFC) – Wastewater Infrastructure Engineering Planning Grant Program (EPG)

Funding Available: Up to \$2.5 million

Program Description: Grants are offered to municipalities to help pay for the initial planning of wastewater infrastructure projects. The goal is to advance these water quality improvement projects to construction, so successful applicants can use the engineering report funded by the grant to seek financing through the Clean Water State Revolving Fund, Water Quality Improvement Project program, or other funding entities to pursue the identified solution.

Eligible Types of Applicants: Municipalities that meet median household income thresholds:

- Equal to or less than \$70,000 according to the United States Census, 2017 American Community Survey for municipalities located in Regional Economic Development Council (REDC) regions of Capital District, Southern Tier, North Country, Mohawk Valley, Central NY, Finger Lakes, or Western NY; or
- Equal to or less than \$90,000 according to the United States Census, 2017 American Community Survey for municipalities located in REDC regions of Long Island, New York City and Mid-Hudson.

(A summary of the United States Census, 2017 American Community Survey MHI data can be found on the EPG page on the EFC website at www.efc.ny.gov/epg.)

Successful Applicant Requirements: Funding is used by municipalities for the preparation of an engineering report that will lead to the restoration or protection of a surface waterbody or groundwater. This includes planning activities to determine the scope of water quality issues, evaluation of alternatives, and the recommendation of a capital improvement project. Projects can include conducting an environmental review for the recommended alternatives, but not the design and construction costs.

Program Highlights: Priority will be given to municipalities proposing planning activities that are:

- required by an executed Order on Consent; or
- required by a draft or final State Pollutant Discharge Elimination System (SPDES) permit (e.g. nutrient removal, inflow and infiltration, disinfection); or
- upgrading or replacing an existing wastewater system; or
- constructing a wastewater treatment and/or collection system for an area with failing onsite septic systems; or
- addressing a pollutant of concern in a watershed implementation plan (i.e. Total Maximum Daily Load (TMDL), Nine Element Watershed Plan, or DEC HABS Action Plan).

Regional Economic Development Councils – Round 11 Summary of Programs

NYS Environmental Facilities Corporation (EFC) – Wastewater Infrastructure Engineering Planning Grant Program (EPG)

Success Stories

Since 2012, the Wastewater Infrastructure Engineering Planning Grant Program has provided almost \$18 million to over 460 planning projects. Municipalities have received grants to complete engineering reports for projects such as adding disinfection, improving wastewater collection systems, reducing combined sewer overflows, consolidating wastewater treatment services in a region, and other wastewater infrastructure improvements. These reports define the problem, identify alternative solutions and costs, and recommend the best alternative.

After the engineering report is accepted by the Environmental Facilities Corporation (EFC) and the Department of Environmental Conservation (DEC), the report can be used as a basis to apply for financing for the implementation of the project. Funding opportunities for implementation include: EFC's Clean Water State Revolving Fund; DEC's Water Quality Improvement Project program; USDA Rural Development's Water and Environmental Programs; NYS Homes and Community Renewal's Community Development Block Grants; and the Water Infrastructure Improvement Act grants (EFC).

Many communities have used their engineering reports funded by this grant to successfully obtain the funding needed to implement their wastewater infrastructure projects.

Regional Economic Development Councils – Round 11 Summary of Programs

Federal Industrial Development Bond Cap – Industrial Development Bond Cap Program

Funding Available: Up to \$300 million

Program Description: Up to \$300 million of the 2021 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 Types of Applicants: 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.

Successful Applicant Requirements:

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.

Program Highlights: 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.

Regional Economic Development Councils – Round 11 Summary of Programs

Federal Industrial Development Bond Cap – Industrial Development Bond Cap Program

Success Stories

Burrows Paper Corporation

To assist this specialty light weight paper and packaging company retain its vital manufacturing presence and employment in the Mohawk Valley Region, the MVREDC allocated a portion of its Round 3 CFA Regional award to facilitate the issuance of low-interest tax-exempt bonds to permit the company to invest and upgrade its manufacturing equipment and retain 48 existing jobs and create six additional jobs.