



NEW YORK  
STATE OF  
OPPORTUNITY.

Regional Economic  
Development Councils

# REDC

AVAILABLE CFA RESOURCES



# 2026

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# Introduction

The Regional Economic Development Councils (REDC) and the Consolidated Funding Application (CFA) were created to advance efforts to improve New York's business climate and expand economic growth. The REDCs support the state's innovative approach to economic development, which empowers regional stakeholders to establish pathways to prosperity, mapped out in regional strategic plans.

New York State drives economic growth by making investments that enforce four interconnecting strategies:

- **Placemaking** - The notion that where investment occurs matters. In order to attract a talented workforce, our built environment must emphasize creating accessible job centers, sustainable infrastructure, and livable communities.
- **Workforce** - The belief that people drive the economy. Targeted job training and education ensures that jobs in high-paying, in-demand, tradeable sectors are filled in an equitable way.
- **Tradeable Sectors** - The industries New York State is targeting to increase export-based employment opportunities. They are the industry sectors that are part of a global market like manufacturing, agricultural products, and energy.
- **Innovation** - The strategy of investing in and creating synergies between research and commercialization to drive the economy forward.

Over the past fifteen years, the Regional Councils have revitalized the state's economy through a bottom-up, community-based, and performance-driven approach to economic development. Through the comprehensive strategic planning process, every region across the state has succeeded in creating private sector jobs, driving private investment, bolstering workforce development, and revitalizing long-neglected cities, towns, and neighborhoods. Public, private, and civic collaboration has been the cornerstone of this process since its inception and the partnerships forged through the Regional Economic Development Councils are vital to the sustainable growth of New York's economy.

In 2023, each Council developed new strategic plans for their region to outline an economic vision for the future and develop strategies to capitalize on key regional assets and priorities for the region. The new strategic plans serve as a road map for growth in each region based on economic circumstances, existing resources, and future opportunities to achieve each region's vision for success. Each Council developed their strategic plan to re-evaluate and re-affirm their goals and strategies for the region as it is through this comprehensive strategic planning process that guides every region across the state to succeed in creating private sector jobs, driving private investment, bolstering workforce development, and revitalizing long-neglected cities, towns, and neighborhoods. Each region's strategic plan and progress reports can be found online at [www.regionalcouncils.ny.gov](http://www.regionalcouncils.ny.gov)

This year Regional Councils will maintain their focus on implementing each region's strategic plan and continue to identify and invest in significant economic development projects. The 2026 REDC Initiative includes core capital and tax-credit funding that will be combined with a wide range of agency programs through the CFA process. The core funding includes \$135 million in grants and tax credits to fund high value regional priority projects, as well as additional funding from state agencies available to support community revitalization and business growth consistent with the REDC plans.

This year, there are programs available through 8 state agencies for the REDC Initiative, including Empire State Development; NYS Canal Corporation; NYS Energy Research and Development Authority; Homes and Community Renewal; New York Power Authority; Office of Parks, Recreation and Historic Preservation; Department of Environmental Conservation; and Department of State. In an effort to provide the most appropriate state resources through this process, participating agencies will be able to review and potentially provide funding to a project that did not specifically apply to that program, if the materials submitted at time of application satisfy the requirements for that program and allow for fair review under the circumstances. In addition, all programs contained in this document will use regional distribution standards to ensure projects are funded throughout the state, to the extent possible.

This document outlines information about each agency's grant programs, including eligibility, scoring criteria, applicant requirements, and agency contact information for programs that are part of the 2026 REDC Initiative.

Please be advised that all CFA grants are subject to the New York State Executive Law Articles 15-A and Article 3 of New York State Veterans' Services Law, which requires, where applicable, an obligation under the law to promote opportunities for maximum feasible participation of certified minority and women-owned business enterprises (MWBEs) and service-disabled veteran-owned businesses (SDVOBs) in the performance of ESD projects. Recipients shall be required to use Good Faith Efforts (pursuant to 5 NYCRR §142.8 and 9 NYCRR § 252.2(m) to achieve MWBE and SDVOB Participation. In addition, ESD's MWBE and SDVOB Participation/Equal Employment Opportunity Policy will apply to this project.

# 2026 REDC Available CFA Resources

## Programs Subject to the 4:00PM EST July 31 Deadline

### **New York State Empire State Development: Up to \$84.875 million**

- Up to \$60 million for Regional Council Capital Funds (*now includes Market New York capital funding*)
- Up to \$11.875 million for New York State Business Incubator and Innovation Hot Spot Support Program
- Up to \$7 million for Market New York (*working capital only*)
- Up to \$5 million for New York KICKS Program\*
- Up to \$1 million for Strategic Planning and Feasibility Studies

### **New York State Homes and Community Renewal: Up to \$29.2 million**

- Up to \$25 million for New York State Community Development Block Grant Program- Public Infrastructure \*
- Up to \$4.2 million for New York Main Street Program

### **New York State Office of Parks, Recreation and Historic Preservation: Up to \$28.75 million**

- Up to \$28.75 million for Environmental Protection Fund Grants Program for Parks, Preservation and Heritage (EPF)

### **New York State Department of State: Up to \$20.775 million**

- Up to \$13.975 million for the Local Waterfront Revitalization Program (LWRP)
- Up to \$4.8 million for the Smart Growth Community Planning Program\*
- Up to \$2 million for the Brownfield Opportunity Areas Program (BOA)

### **New York State Canal Corporation: Up to \$1 million**

- Up to \$1 million for the Canalway Grant Program

### **New York State Energy Research and Development Authority: Up to \$25 million**

- Up to \$25 million for Building Cleaner Communities Competition (BCCC)\*\*

### **New York State Department of Environmental Conservation: At least \$96 million**

- At least \$75 million for the Water Quality Improvement Project (WQIP) Program\*
- Up to \$18 million for the Climate Smart Communities Grant Program\*
- Up to \$3 million for the Non-Agricultural Nonpoint Source and Municipal Separate Storm Sewer System (MS4) Planning Grant Program\*

## Open Enrollment Programs

Programs included as Open Enrollment will continue to accept applications on an ongoing basis and are not subject to the July 31<sup>st</sup>, 2026, 4:00PM EST deadline.

### **New York State Empire State Development: Up to \$75 million**

- Up to \$75 million for Excelsior Jobs Program\*

### **Homes & Community Renewal: Up to \$20 million**

- Up to \$20 million for New York State Community Development Block Grant Program – Open Round \*

### **New York State Power Authority: Up to 22.7 Megawatts**

- Up to 22.7 Megawatts for the ReCharge NY Program

\*REDCs will be made aware of projects applying to these programs but REDCs will not score these projects.

\*\*Deadline for the NYSERDA Building Cleaner Communities Competition (BCCC) is August 14, 4pm EST.

# New York State Empire State Development

## **Regional Council Capital Funds (formerly ESD Grant Funds)**

**Funding Available: Up to \$60 million**

### **PROGRAM DESCRIPTION:**

Empire State Development (ESD) has \$60 million of capital grant funding available for the State's Regional Economic Development Council Initiative, which helps drive regional and local economic development across New York State in cooperation with ten Regional Economic Development Councils ("Regional Councils"). The \$60 million available includes \$8 million for tourism projects, formerly offered through the Market New York Capital Grant program. Grant funding is available for capital-based economic development projects intended to create or retain jobs; prevent, reduce or eliminate unemployment and underemployment; increase business or economic activity in a community or Region; and/or expand, construct, restore or renovate New York State tourism destinations and attractions.

Grant funding will be allocated among the ten regions, each represented by a Regional Council. Funding decisions will be based on each Regional Council's strategic plan and subsequent progress reports that set out a comprehensive vision for economic development and specific strategies to implement that vision, coupled with New York State's economic growth priorities. Funding will be awarded by the New York State Urban Development Corporation (d/b/a Empire State Development) at its discretion.

***Applicants are strongly encouraged to reach out to their ESD Regional Office to discuss their project prior to submitting an application.***

ESD may consider projects outside of the CFA deadline subject to the availability of funds and economic impact of a project. These considerations will be made on a case-by-case basis and are only intended to support time-sensitive business investment and/or high-impact economic development projects consistent with regional strategic goals. An application will be made available after the CFA deadline for applicants to submit requests for funding. ***Applicants are strongly encouraged to submit their projects prior to the CFA deadline as funding for projects after the July deadline will be very limited and at the sole discretion of ESD based on project merits, timing, and impact to the region and state.***

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

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

City, town, and village applicants must be certified by NYS Homes and Community Renewal (HCR) as a pro-housing community\*\* prior to receiving an award.

- City, town, and village applicants must either be certified as a pro-housing community prior to submitting an application for Regional Council Capital Funds OR
- Must apply to HCR to become a certified pro-housing community when applying for Regional Council Capital Funds and must be approved for certification prior to award announcements.

- No awards will be made to cities, towns, or villages that are not a certified pro-housing community at the time of award.

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

\*\* The [Pro-Housing Certified Communities Program](#) was created to incentivize local governments that are committed to addressing New York's housing crisis and is administered by NYS Homes and Community Renewal (HCR). HCR will review and certify communities who have taken steps and are committed to increasing their housing stock and once certified, will then be eligible for various NYS programs including the Regional Council Capital Funds program.

#### **FUNDING AVAILABLE:**

- Up to \$60,000,000 will be made available;
- The minimum request/award is \$100,000

#### **EQUITY 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 requested by ESD. Equity cannot be borrowed money secured by the assets in the project or grants from a government source.

#### **ELIGIBLE PROJECTS AND MATCH REQUIREMENTS:**

Only minimum grant requests of \$100,000 or more will be considered for funding. Awards are offered as an incentive to undertake a project. The amount of an award from ESD is based on several factors including, but not limited to, the project's alignment with the state and regional priorities, as well as the potential for direct and indirect job creation, direct and indirect fiscal benefit to the state and local governments, overall economic activity, community development, and private investment. Applicants should apply for the necessary amount of funding needed to incentivize the project to occur and request the amount of funding needed to complete their project versus the maximum amount they may be eligible for. The likelihood of receiving an award improves as the percentage of ESD assistance is reduced and private investment or other sources are better leveraged. A strong emphasis will be placed on project readiness along with the applicant having the capacity to complete the project if awarded.

Exceptions to funding limits in each of the categories listed below may be made at the sole discretion of ESD in cases where it is found that a project will have extraordinary regional or statewide impact. Applicants seeking funding for a project are strongly encouraged to reach out to the ESD Regional Office for where their project is located to discuss the project prior to applying.

#### **Assistance generally falls into four categories:**

##### **1. Business Investment**

Business investments are capital expenditures that facilitate an employer's ability to create new jobs in New York State or to retain jobs that are otherwise in jeopardy.

Applicants applying for funding under the business investment category should apply for the necessary amount of funding needed to incentivize the project to move forward. Applicants will be required to demonstrate the project budget including financing secured or in progress, equity, and the identified gap and need for ESD assistance. The likelihood of receiving an award will increase based on the need for the requested amount of funding, the strength of the project, economic benefits of the project in relation to similar projects and leveraging other sources versus ESD assistance. Projects that consist of new construction and/or renovations of space in order to expand production capacity or capabilities while creating and/or retaining jobs will be looked upon more favorably than projects that are primarily focused on upgrading or replacing older / aging machinery and equipment.

Applicants will be required to fill out a qualified investments table and should accurately input machinery and equipment costs that will be purchased outside of New York State versus machinery and equipment costs that will be purchased within New York State, as projects making purchases of machinery and equipment within New York State will be looked upon more favorably. If awarded, applicants will be required to show proof that these purchases were made from companies within New York State. Failure to meet this requirement will subject a funding recipient to potential recapture of assistance or adjustment of an award.

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.

Applicants should use their Form NYS 45 to answer the job / employment questions in the application, using the most recent quarter. If an award is offered to the applicant which includes retaining or creating jobs, the applicant will be required to submit upon award notification their Form NYS 45 for confirming and establishing the baseline employment. If it differs significantly to what was entered into the application for review, ESD reserves the right to adjust/prorate the award.

#### **Jobs/Employee Definitions**

**Full-time Permanent Employee:** A full-time, permanent, private-sector employee on the Recipient's payroll, who has worked at the Project Location for a minimum of 35 hours per week for not less than four consecutive weeks and who is entitled to receive the usual and customary fringe benefits extended by Recipient to other employees with comparable rank and duties.

**Full-time Equivalent Employee (FTEs):** Two or more part-time, permanent, private-sector employees on Recipient's payroll, who have worked at the Project Location for a combined minimum of 35 hours per week for not less than four consecutive weeks and who are entitled to receive the usual and customary fringe benefits extended by Recipient to other employees with comparable rank and duties.

**Full-time Contract Employee / Job:** A Full-time Contract Employee is a full-time private sector employee (or self-employed person) who is not on the applicant's payroll but who works for the

applicant for a minimum of 35 hours per week providing services that would otherwise be provided by a Full-time Permanent Employee. The position held by a Full-time Contract Employee is a year-round position.

**Jobs "At Risk":** The number of permanent Full-time employee positions and Full Time Equivalent positions currently existing and located in New York State that are at risk of being lost or moved out of state based on compelling information provided by the applicant.

**Net New Jobs:** The number of new full-time permanent employees and full-time equivalents (FTEs) that will be created at the project location(s) as a result of the project. Jobs transferred from employment with another business located in the State including from a related person in this State are not net new jobs for purposes of the employment commitment.

## 2. **Economic Growth Investment**

An Economic Growth Investment project fosters economic growth through cultural activity, higher education activity, agribusiness initiatives, other local or regional initiatives, improvements to facilities in distressed areas (census tracts), commercial revitalization activities in central business districts and commercial strips, strategic redevelopment projects such as shopping malls that are consistent with ESD pillars for economic development and other types of projects that may not have direct job creation goals but do foster economic development within the area the project will occur. All economic growth investment projects should be consistent with ESD pillars for fostering economic development and should align with the growth strategy of the region.

Applicants applying for funding under the economic growth program category will generally not be considered for more than twenty percent (20%) of the financing for any particular project based on the eligible total project cost. Applicants should apply for the necessary amount of funding needed to incentivize the project to occur and request the amount of funding needed to complete their project versus the maximum amount they may be eligible for as the likelihood of receiving an award improves as the percentage of ESD assistance is reduced and private investment or other sources are better leveraged. Economic Growth projects that are able to provide direct job commitments will be viewed favorably, however job commitments may not be applicable depending on the project type.

Economic Growth projects **supporting strategic community development investments within downtown areas** which foster the principals of the Downtown Revitalization Initiative will be looked upon favorably. Grant funds may be used to finance strategic community development investments within a downtown or mixed-use commercial district in order to attract new businesses and expand existing businesses, thereby fostering further investment. 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 will be looked upon favorably as a way to redevelop a specific area as opposed to standalone projects without other investments within an area.

## 3. **Tourism (formerly Market New York Capital Grant Program)**

Projects in the Tourism category will support the tourism industry with strategic investments to expand, construct, restore or renovate New York State tourism destinations and attractions. Applications to this project category, which were formerly funded under the Market New York

Grant program, must demonstrate how the capital project will help achieve the tourism goals of the corresponding REDC's strategic plan and how the project complements the state's tourism strategy as reflected through the work of I LOVE NY.

The more a project aligns with the goals and strategies of I LOVE NY, the REDC strategic plan, and its impact on tourism to the region and/or state versus smaller local community projects, the more favorably it will be viewed. Preference will be given to projects that demonstrate increases number of visitors, visitor spending, and/or the length of stay within the region. Applicants should provide clear performance measures and metrics to quantify the return on investment and demonstrate the expected economic impact as a result of the project. Successful tourism capital projects will increase the perception and consideration of New York State as a travel destination, making New York State the destination of choice for visitors.

Applicants applying for funding under the tourism economic growth program category will generally not be considered for more than twenty percent (20%) of the financing for any particular project based on the eligible total project cost. Applicants should apply for the necessary amount of funding needed to incentivize the project to occur and request the amount of funding needed to complete their project versus the maximum amount they may be eligible for as the likelihood of receiving an award improves as the percentage of ESD assistance is reduced and private investment or other sources are better leveraged.

#### **4. Strategic Focus Areas**

A strong emphasis will be placed on projects that encompass one or more of the following strategic focus areas. Applicants who apply to one or more of these focus areas below may be considered for an enhanced incentive of up to forty percent (40%), depending on the category, type of project and organization applying for funds. Applicants should apply for the necessary amount of funding needed to incentivize the project to occur and request the amount of funding needed to complete their project versus the maximum amount they may be eligible for as the likelihood of receiving an award improves as the percentage of ESD assistance is reduced and private investment or other sources are better leveraged. Strategic Focus Area projects that are able to provide direct job commitments will be viewed favorably, however job commitments may not be applicable depending on the project type.

- **Childcare Projects**

Despite record investments in childcare, many New Yorkers still struggle to access high quality childcare forcing families to choose between quality childcare and employment or placing families in the position to use unlicensed childcare providers. Expanding the capacity of childcare offerings helps strengthen the state's economy and address issues that affect the business community.

An enhanced incentive of up to forty percent (40%) of eligible total project costs may be provided to organizations whose capital project seeks to improve access to high quality childcare. Incentives are intended to support capital projects which increase the number of childcare spots by building a new facility or expanding an existing facility. Projects that attest to a willingness to accept families in receipt of childcare assistance will be looked upon more favorably. Applicants should also demonstrate the ability to obtain all necessary approvals and licenses/registrations to operate the childcare program.

Applicants should provide any information about their project that works to improve access to high quality childcare, including but not limited to the number of new child care spots that will be made available (both affordable childcare spots - for families receiving childcare assistance, and market rate spots), the need in the community for a new or expanded childcare facility, whether the project is located in a childcare desert ([Search the NYS Child Care Desserts Map here](#)), the populations that will likely utilize the services, and any additional economic benefits that will occur from the project. If awarded, grantees will be required to show proof of childcare licensing from the Office of Children and Family Services (OCFS) as a condition of reimbursement.

- **Projects located in a Distressed Area (Census Tract)**

Strong consideration will be made for applications from not-for-profit organizations for projects located within economically distressed areas (census tracts) where investments are needed to spur economic growth. Not-for-profit organizations whose project is located in a **severely distressed area (census tract)** may be eligible for an enhanced incentive of up to forty percent (40%) of eligible total project costs. The criteria below include communities defined by their stress level, however, if a not-for-profit organization believes their project is located in a severely distressed area (census tract) that is not listed as such, they may apply for an enhanced incentive but should discuss the project with their respective ESD Regional Office prior to applying and demonstrate why the area should be considered severely distressed.

Applicants should demonstrate the need for funding as the potential for an award is not an as of right solely because the project is located in a distressed area but rather will be dependent on the community benefits as a result of the project along with needing additional financing to ensure the project occurs. Enhanced incentives are intended for not-for-profit organizations whose mission is to serve a community need and benefit.

Applicants should provide any information about their project that bolsters the need for funding in addition to metrics that will result from the project, including but not limited to the anticipated community benefit as a result of the project, the populations that will benefit from the project, a demonstrated need for the services of the project, community support for the project, and any additional economic benefits that will occur from the project.

Below is the definition of communities considered to be economically distressed along with a link to a map to search for a project location to identify its distress level.

[Economically Distressed Area \(Census Tract\) Map](#)

Economically distressed areas shall mean the following based on the census tract for where the project is located.

- **Severely distressed areas** (census tracts) shall have at least 25 households receiving public assistance income in the 2026 ACS 5-year estimate and meet at least five of the criteria listed below.
- **Moderately distressed areas** (census tracts) shall have at least 25 households receiving public assistance income in the 2026 ACS 5-year estimate and meet at least three of the criteria listed below.

- ***Slightly distressed areas*** (census tracts) shall have at least 100 households receiving public assistance income in the 2026 ACS 5-year estimate and meet at least two of the criteria listed below.

**Criteria for Determining Distress Level**

- Population loss between the 2026 ACS 5-year estimate and the 2026 ACS 5-year estimate – an absolute loss in population.
- Unemployment rate (2026 ACS 5-year estimate) higher than the State’s rate.
- Private sector employment growth rate (2026 ACS 5-year estimate) over the preceding 5 years was lower than the State’s OR private sector employment (2026 ACS 5-year estimate) as a percentage of total employment was less than the State’s.
- Percentage of households receiving public assistance (2026 ACS 5-year estimate) was greater than the statewide percentage.
- Poverty rate (2026 ACS 5-year estimate) was greater than the State’s poverty rate.
- Per Capita Income change (2026 ACS 5-year estimate) over the preceding five years was less than the growth in the consumer price index (CPI) for all urban consumers nationally OR per capita income was less than the State’s per capita income.

- **Innovative Public-Private Partnerships**

Projects which leverage unique regional assets to advance the regions’ economic development strategies will be looked upon favorably. Innovative public-private partnerships are intended for higher education institutions with a focus on innovation and research partnerships. Applicants whose project aligns public and private sectors in working together on capital projects that drive economic growth, job creation, and innovation may be eligible for additional financing for their project based on eligible total project costs.

Applicants should provide any information about their project that bolsters the need for funding in addition to metrics that will result from the project, including but not limited to the number of jobs created, the increase in access to advanced/valuable equipment otherwise not available to a certain subset of businesses and organizations, anticipated growth of innovation and technology transfer, the impact on the industries or communities as a result of the project, the populations or industries that will benefit from the project, a demonstrated need and benefit from the partnership and the project, community and industry support for the project and any additional economic benefits that will occur from the project.

Applicants seeking funding for a project which fosters this innovative public-private partnership should reach out to their ESD Regional Office prior to submitting an application.

**PROJECT COSTS (for all categories listed above):**

**1. ELIGIBLE PROJECT COSTS & ACTIVITIES:**

- Acquisition of land, buildings, machinery and/or equipment;

- Demolition and environmental remediation;
- New construction, renovation or leasehold improvements;
- Acquisition of furniture and fixtures;
- Commercial portion of mixed use projects;
- Soft costs of up to twenty-five percent (25%) of total project costs; and
- Other costs / expenditures deemed eligible by ESD.

## **2. INELIGIBLE PROJECT COSTS & ACTIVITIES:**

The following types of expenses are not eligible for reimbursement by grant funds and should not be included in the project budget:

- Developer fees;
- Training;
- Residential development only projects, although program funds may be used for the non-residential components of a mixed-use project;
- Medical / hospital development projects although medical research facility projects will be considered for funding;
- Retail development projects;
- Block grant projects or revolving loan funds;
- Home based service provider projects;
- In-kind costs;
- Overhead and indirect costs associated with the day-to-day operations of the eligible entity, including but not limited to:
  - Salaries and wages;
  - Fringe benefits;
  - Rent/lease costs;
  - Website maintenance;
  - App maintenance; and
  - Communication;
- Marketing or advertising media costs;
- Events;
- Costs associated with completing an application;
- Costs incurred prior to the submission and award of a grant, actual or anticipated; and
- Other costs / expenditures deemed ineligible by ESD.

## **APPLICANT REQUIREMENTS:**

**Applicants are strongly encouraged to reach out to their ESD Regional Office to discuss their project prior to submitting an application.** Applicants must complete and submit a Consolidated Funding Application (CFA) for review by ESD and the Regional Council for the region in which the proposed project is located. The project should not begin and expenses should not be incurred before awards have been announced. Expenses incurred prior to submission of a CFA should not be included in CFA project budgets, nor should expenses that will be incurred after submission of a CFA but prior to an award announcement.

Applicants must always disclose when pursuing or intending to pursue multiple ESD funding sources including grants, loans, and tax incentives. When filling in the budget in the CFA, applicants should clearly identify the source of funding, if it is secured already, if they have applied for the funding, or if it is the

funding being requested through this grant program, and provide all relevant information about the budget for ESD to consider.

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

Applicants that have previously submitted an application for the same project are also strongly encouraged to consult with their ESD Regional Office where their project is located for feedback prior to new submission(s). Failure to do so may result in the application being deemed ineligible.

Applicants that apply more than once for the same project are required to show a substantial change in situation or scope to warrant another scoring review by ESD, the Regional Council, or both, to be determined by the Regional Office. Failure to show this improvement may result in the project being deemed ineligible.

#### **SELECTION CRITERIA:**

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

#### **Vision and Regional Economic Development Strategies:**

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

#### **Public/Stakeholders:**

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

#### **Implementation:**

- The degree of project readiness and likelihood of completion, including, where applicable for real estate development projects, if there are identified tenants for a completed project; and

- The degree of the Applicant's financial viability and strength of financials/operating history/ESD credit score.

**Leveraged Resources:**

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

**Performance Measures:**

- The estimated return on investment that the project identified in the application will provide to New York State;
- For non-job creation projects, the direct and ancillary benefits that will result from the project occurring;
- For projects applying for funding in one of the Statewide Focus Areas, applicants should provide metrics relevant to the focus area applied to as outlined in the Strategic Focus Area section in order to justify the request for funding and to indicate the economic impact that will result from the project;
- For Tourism projects, the benefits of increases in room nights, number of visitors, visitor spending and length of stay;
- For downtown areas, whether or not the project concerns the preservation of the architectural character of a building or neighborhood;
- Whether, where applicable, there are identified tenants for a completed project;
- The degree to which the project supports the principals of smart growth, energy-efficiency (including but not limited to, the reduction of greenhouse gas and emissions and the Leadership in Energy and Environmental Design [LEED] green building rating system for the project identified in its application), and sustainable development; and
- The degree to which the project identified in the application supports New York State minority- and women-owned business enterprises and service-disabled veteran-owned businesses.

**AWARD CRITERIA DETAILS:**

- Notice of a funding award will be given in the form of an incentive proposal outlining the terms of the proposed assistance. The award is subject to approval of the ESD Directors and compliance with applicable laws and regulations. Project funding may only be used for expenses incurred after the date that notice of the funding award is given. Applicants are strongly encouraged to review and countersign ESD's incentive proposal prior to starting the project.
- All Applicants will be requested to certify and agree that any decrease in the scope of work described in the Applicant's final CFA submission including, but not limited to, total project costs, jobs retained, and jobs created, may result in ESD's reduction of the award, in ESD's sole discretion, in an amount proportionate to any such decrease.
- All Applicants will be requested to certify and agree that any expansion of the scope of work described in the Applicant's final CFA submission including, but not limited to, total project costs, jobs retained, and jobs created, will not result in the increase of the award by ESD.
- The awarded grants are transferable at the sole discretion of ESD.

- The essential terms for the disbursement of assistance are included in the incentive proposal. Although funding is offered prior to project commencement as an inducement to undertake the project, funds are disbursed in arrears, as reimbursement for eligible project expenditures.
- Grant funds will be subject to pro rata recapture if property is sold within 5 years of disbursement of funds.
- It is expected the project will proceed in the time frame set forth by the Applicant. If the implementation of a project fails to proceed as planned and is delayed for a significant period of time and there is, in the exclusive judgment of ESD, doubt as to its viability, ESD reserves the right to cancel its funding commitment to such project. If awarded, the Incentive Proposal expires two years from the date of acceptance by the Recipient. ESD reserves the right to require Recipient to provide any additional information and/or documentation ESD deems necessary and terminate the project at any point if the applicant fails to provide such documentation in a timely manner.
- For Business Investment projects, partial funding is disbursed upon project completion and interim job creation/retention milestones, with additional funding disbursed upon achievement of job creation/retention milestones. For Infrastructure Investment and Economic Growth Investment projects, funding is typically disbursed upon project completion.
- Projects generally are presented to the ESD Directors once all project expenditures have been undertaken and disbursement of ESD assistance is sought.
- All required public approvals must be in place prior to the start of construction and approval by the ESD Directors, including State Environmental Quality Review (SEQR) and consultation with the State Historic Preservation Office, if applicable. Physical work on an ESD-funded project may not be started prior to the completion of any necessary environmental, historic and/or smart growth review.
- For projects with job creation and/or retention, job numbers will be verified using the employer's NY-45 and NY-45 ATT and/or payroll reports prior to disbursement of funds and annually thereafter through the required reporting period. Grant funds will be subject to recapture for failure to achieve or maintain these employment commitments.
- Pursuant to New York State Executive Law Articles 15-A and Article 3 of New York State Veterans' Services Law, ESD recognizes its obligation under the law to promote opportunities for maximum feasible participation of certified minority and women-owned business enterprises (MWBEs) and service-disabled veteran-owned businesses (SDVOBs) in the performance of ESD projects. Recipients shall be required to use Good Faith Efforts (pursuant to 5 NYCRR §142.8 and 9 NYCRR § 252.2(m) to achieve MWBE and SDVOB Participation. In addition, ESD's MWBE and SDVOB Participation/Equal Employment Opportunity Policy will apply to this project.
  - Please note that ESD's agency-wide MWBE utilization goal is 30%. Each project will be assigned an individual contract-specific goal, which may be high or lower than 30%. Should an Applicant receive a funding award, the Applicant shall be required to use good faith efforts to achieve the prescribed MWBE goals assigned to this project. Applicants must maintain such records and take such actions necessary to demonstrate such compliance. Failure to achieve the specified MWBE goal may result in award reduction.

Additional information can be found here: <https://esd.ny.gov/participation-requirements-new-york-state-certified-mwbes>.

- Please note that ESD’s agency-wide SDVOB utilization goal is 6%. Each project will be assigned an individual contract-specific goal, which may be higher or lower than 6%. Should an Applicant receive a funding award, the Applicant shall be required to use good faith efforts to achieve the prescribed SDVOB goals assigned to this project. Applicants must maintain such records and take such actions necessary to demonstrate such compliance. Failure to achieve the specified SDVOB goal may result in award reduction. Any utilization of SDVOBs would be in addition to goals established pursuant to Article 15-A of the Executive Law with respect to MWBEs. A further explanation of the SDVOB requirements is found here: <https://esd.ny.gov/participation-requirements-new-york-state-certified-sdvobs>.
- In accordance with State law, after approval by the ESD Directors, a public hearing will be required if the project involves the acquisition, construction, reconstruction, rehabilitation, alteration or improvement of any property. ESD will schedule a public hearing in accordance with the New York State Urban Development Corporation Act (“UDC Act”) and will take such further action as may be required by the UDC Act and other applicable law and regulations. The ESD Directors must reconsider the matter if any negative testimony is received at the public hearing. (Generally, this hearing occurs the month after the Directors’ initial approval). Approval by the Public Authorities Control Board (“PACB”), New York State Comptroller (“OSC”) and the New York State Attorney General (“AG”) may then be required. Following approval by the ESD Directors and PACB, OSC and AG approval, if required, the documents for processing the grant award will be prepared by ESD. Notwithstanding the process outlined above, no project shall be funded if sufficient resources are not received by ESD for such project.
- A \$250 Application Fee, payable when funding is documented in an Incentive Proposal, and a one percent (1%) non-reimbursable commitment fee based on the grant amount awarded will be assessed to all awardees. The commitment fee will be due when the Applicant executes documents required for processing the award, after approval by the ESD Directors. The Applicant will be obligated to pay for out-of-pocket expenses incurred by ESD in connection with the project, including, but not limited to, expenses related to attorney fees, appraisals, surveys, title insurance, credit searches, filing fees, public hearing expenses and other requirements deemed appropriate by ESD.
- Grant funds originally awarded to projects that have since been cancelled or terminated will be repurposed for economic development projects by ESD at its discretion in consultation with the REDCs.
- Projects having a hotel as a principal function will be required to demonstrate compliance with Section 2879-b of Public Authorities Law regarding labor peace if funding is awarded. Public Authorities Law Section 2879-b prohibits public authorities from providing financing for any project that includes, as one of the principal functions, a hotel with more than fifteen employees unless a labor peace agreement (“LPA”) is entered into with a labor organization representing hotel or convention center employees in the State, for a period of at least five years. An LPA is an agreement between the project developer (or its contractors) and a labor organization

prohibiting the labor organization and its members from engaging in labor activities that disrupt the hotel's operations.

- The distribution of government funds is subject to constitutional limitations under the First Amendment's Establishment and Free Exercise Clauses. Applications that implicate these Clauses may require additional information from the applicants and will be subject to legal review and approval by the agency before award. Applicants are encouraged, but not required, to anticipate and address factual and legal issues relevant to these Clauses in their application.

**ADDITIONAL RESOURCES:**

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

To access the Consolidated Funding Application and apply to the Regional Council Capital Funds Program please visit <https://apps.cio.ny.gov/apps/cfa/> and follow the instructions to register or log in. Any questions regarding the CFA portal should be directed to [cfa-programs@ny.gov](mailto:cfa-programs@ny.gov).

## **Strategic Planning & Feasibility Studies**

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

### **PROGRAM DESCRIPTION:**

The Strategic Planning and Feasibility Studies Program was established to support planning grants for future development for communities and urban areas across New York State. Up to \$1 million is available for working capital grants of up to \$100,000 each to support 1) strategic development plans for a city, county, or municipality or a significant part thereof and 2) feasibility studies for site(s) or facility(ies) assessment and planning.

Projects should focus on the economic development benefits and impacts resulting from the project. Preference shall be given to projects supporting the Regional Economic Development Council Initiative, Downtown Revitalization Initiative, strategic community investment projects where investments are being made and projects located in highly distressed areas (census tracts). Each grant requires a minimum of 50% of total project costs in matching funds, which must include at least 10% of total project costs in the form of cash equity contributed by the Applicant organization. Funding will be awarded by the New York State Urban Development Corporation (d/b/a Empire State Development) at its discretion.

ESD may consider projects outside of the CFA deadline subject to the availability of funds and economic impact of a project. These considerations will be made on a case-by-case basis and are only intended to support time-sensitive business investment and/or high-impact economic development projects consistent with the regional strategic goals. An application will be made available after the CFA deadline for applicants to submit requests for funding. ***Applicants are strongly encouraged to submit their projects prior to the CFA deadline as funding for projects after the July deadline will be very limited and at the sole discretion of ESD based on project merits, timing, and impact to the region and state.***

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

- Cities
- Counties
- Towns
- Villages
- Business Improvement Districts
- Local Development Corporations
- Not-for-profit Economic Development Organizations\*

\* If awarded funding, prior to approval from ESD's CEO and execution of a contract with ESD, a not-for-profit corporation must be registered and up-to-date with filings with the New York State Office of the Attorney General's Charities Bureau and the New York State Office of the State Comptroller's VendRep System and must be prequalified in the New York Statewide Financial System (SFS).

### **FUNDING AVAILABLE:**

- Up to \$1,000,000 will be made available;
- The maximum award is \$100,000

### **EQUITY 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.

#### **ELIGIBLE PROJECTS AND MATCH REQUIREMENTS:**

The Program grant is a 50/50 matching grant. For example, a \$100,000 investment could receive up to a \$50,000 matching grant from ESD. Projects generally fall into two categories and should focus on economic development purposes, such as increasing viability of existing businesses, stimulating new enterprises, and analyzing potential development opportunities or obstacles to development. Municipal support facilities which are not intended for public use such as municipal buildings for employees, city hall, emergency service buildings, etc. will not be considered for funding.

- 1) **Preparation and development of strategic development plans** for a city, county or municipality or a significant part thereof. Applicants should clearly define the project scope and provide details as to the intent of the new or updated plan they are seeking to develop. Applicants should also describe how the study aligns with economic development priorities in the region.
- 2) **Feasibility studies and preliminary planning studies** to assess a particular site(s) or facility(ies) for any economic development purpose other than residential, though mixed-use facilities with a residential component are allowed. Applicants should clearly define the study scope and provide details on what the results will provide and how the study aligns with economic development priorities in the region.

#### **Priority will be given to projects located in Pro Housing Certified Communities**

The [Pro-Housing Certified Communities Program](#) was created to incentivize local governments that are committed to addressing New York's housing crisis and is administered by NYS Homes and Community Renewal (HCR). HCR will review and certify communities who have taken steps and are committed to increasing their housing stock.

#### **Priority will be given to projects located in Highly Distressed Areas (Census Tracts)**

Below is the definition of communities considered to be economically distressed along with a link to a map to search for a project location to identify its distress level.

#### [Economically Distressed Area \(Census Tract\) Map](#)

Economically distressed areas shall mean the following based on the census tract for where the project is located.

- **Severely distressed areas** (census tracts) shall have at least 25 households receiving public assistance income in the 2026 ACS 5-year estimate and meet at least five of the criteria listed below.
- **Moderately distressed areas** (census tracts) shall have at least 25 households receiving public assistance income in the 2026 ACS 5-year estimate and meet at least three of the criteria listed below.
- **Slightly distressed areas** (census tracts) shall have at least 100 households receiving public assistance income in the 2026 ACS 5-year estimate and meet at least two of the criteria listed below.

#### **Criteria for Determining Distress Level**

- Population loss between the 2026 ACS 5-year estimate and the 2026 ACS 5-year estimate – an absolute loss in population.
- Unemployment rate (2026 ACS 5-year estimate) higher than the State’s rate.
- Private sector employment growth rate (2026 ACS 5-year estimate) over the preceding 5 years was lower than the State’s OR private sector employment (2026 ACS 5-year estimate) as a percentage of total employment was less than the State’s.
- Percentage of households receiving public assistance (2026 ACS 5-year estimate) was greater than the statewide percentage.
- Poverty rate (2026 ACS 5-year estimate) was greater than the State’s poverty rate.
- Per Capita Income change (2026 ACS 5-year estimate) over the preceding five years was less than the growth in the consumer price index (CPI) for all urban consumers nationally OR per capita income was less than the State’s per capita income.

**PROJECT COSTS (for all categories listed above):**

**1. ELIGIBLE PROJECT COSTS & ACTIVITIES:**

The only types of eligible expenses are contractual costs and activities as they relate directly to the project proposed:

1. Costs associated with the research, preparation, and development of strategic development plans and reports;
2. Costs associated with the development and execution of studies, surveys, research and reports including feasibility studies and preliminary planning studies to assess a particular site(s) or facility(ies) for any economic development purpose;
3. Other costs/expenditures deemed eligible by ESD.

**2. INELIGIBLE PROJECT COSTS & ACTIVITIES:**

The following types of expenses are not eligible for reimbursement and should not be included in the project budget:

- Medical / hospital development projects;
- Retail only development projects;
- Buildings intended for municipal use only;
- Residential development, although program funds may be used for a study involving a mixed-use project;
- In-kind costs;
- Overhead and indirect costs associated with the day-to-day operations of the eligible entity, including but not limited to:
  - Salaries and wages;
  - Fringe benefits;
  - Rent/lease costs;
  - Website maintenance;
  - App maintenance;
  - Communication;
- Marketing or advertising media costs;
- Events;
- Costs associated with completing an application;
- Costs incurred prior to the submission and award of a grant, actual or anticipated; and
- Other costs / expenditures deemed ineligible by ESD.

**APPLICANT REQUIREMENTS:**

**Applicants are strongly encouraged to reach out to their ESD Regional Office to discuss their project prior to submitting an application.** Applicants must complete and submit a Consolidated Funding Application (CFA) for review by ESD and the Regional Council for the region in which the proposed project is located.

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

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

**SELECTION CRITERIA:**

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

**Vision and Regional Economic Development Strategies:**

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

**Public/Stakeholders:**

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

**Implementation:**

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

**Leveraged Resources:**

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

**PERFORMANCE MEASURES:**

- The Applicant's demonstrated organizational capacity and experience in completing strategic development plans, feasibility studies, site assessments, or similar plans or studies, or ability to

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

#### **AWARD CRITERIA DETAILS:**

- Notice of a funding award will be given in the form of an incentive proposal outlining the terms of the proposed assistance. The award is subject to approval of the ESD's CEO and compliance with applicable laws and regulations. Project funding may only be used for expenses incurred after date that notice of the funding award is given. Applicants are strongly encouraged to review and countersign ESD's incentive proposal prior to starting the project.
- All Applicants will be requested to certify and agree that any decrease in the scope of work described in the Applicant's final CFA submission including, but not limited to, total project costs, jobs retained, and jobs created, may result in ESD's reduction of the award, in ESD's sole discretion, in an amount proportionate to any such decrease.
- All Applicants will be requested to certify and agree that any expansion of the scope of work described in the Applicant's final CFA submission including, but not limited to, total project costs, jobs retained, and jobs created, will not result in the increase of the award by ESD.
- Awarded grants are **not transferable** and reimbursement payments may only be made to the awardee.
- The essential terms for the assistance are included in the incentive proposal. Although funding is offered prior to project commencement as an inducement to undertake the project, funds are disbursed in arrears, as reimbursement for eligible project expenditures.
- Projects generally are presented to the ESD's CEO once all project expenditures have been undertaken and disbursement of ESD assistance is sought.
- It is expected the project will proceed in the time frame set forth by the Applicant. If the implementation of a project fails to proceed as planned and is delayed for a significant period of time and there is, in the exclusive judgment of ESD, doubt as to its viability, ESD reserves the right to cancel its funding commitment to such project. If awarded, the Incentive Proposal expires two years from the date of acceptance by the Recipient. ESD reserves the right to require Recipient to provide any additional information and/or documentation ESD deems necessary and terminate the project at any point if the applicant fails to provide such documentation in a timely manner.

- All required public approvals must be in place prior to the start of construction (should the project result in construction) and approval by the ESD’s CEO, including State Environmental Quality Review (SEQR) and consultation with the State Historic Preservation Office, if applicable.
- Pursuant to New York State Executive Law Articles 15-A and Article 3 of New York State Veterans’ Services Law, ESD recognizes its obligation under the law to promote opportunities for maximum feasible participation of certified minority and women-owned business enterprises (MWBEs) and service-disabled veteran-owned businesses (SDVOBs) in the performance of ESD projects. Recipients shall be required to use Good Faith Efforts (pursuant to 5 NYCRR §142.8 and 9 NYCRR § 252.2(m) to achieve MWBE and SDVOB Participation. In addition, ESD’s MWBE and SDVOB Participation/Equal Employment Opportunity Policy will apply to this project.
  - Please note that ESD’s agency-wide MWBE utilization goal is 30%. Each project will be assigned an individual contract-specific goal, which may be higher or lower than 30%. Should an Applicant receive a funding award, the Applicant shall be required to use good faith efforts to achieve the prescribed MWBE goals assigned to this project. Applicants must maintain such records and take such actions necessary to demonstrate such compliance. Failure to achieve the specified MWBE goal may result in award reduction. Additional information can be found here: <https://esd.ny.gov/participation-requirements-new-york-state-certified-mwbcs>.
  - Please note that ESD’s agency-wide SDVOB utilization goal is 6%. Each project will be assigned an individual contract-specific goal, which may be higher or lower than 6%. Should an Applicant receive a funding award, the Applicant shall be required to use good faith efforts to achieve the prescribed SDVOB goals assigned to this project. Applicants must maintain such records and take such actions necessary to demonstrate such compliance. Failure to achieve the specified SDVOB goal may result in award reduction. Any utilization of SDVOBs would be in addition to goals established pursuant to Article 15-A of the Executive Law with respect to MWBEs. A further explanation of the SDVOB requirements is found here: <https://esd.ny.gov/participation-requirements-new-york-state-certified-sdvobs>.
- Following approval by the ESD’s CEO, the New York State Comptroller, and the New York State Attorney General, as required, the documents for disbursement of the grant award will be prepared by ESD. Notwithstanding the process outlined above, no project shall be funded if sufficient resources are not received by ESD for such project.
- If applicable, the Applicant will be obligated to pay for out-of-pocket expenses incurred by ESD in connection with the project, which may include, without limitation, expenses related to attorney fees, filing fees, and fees associated with other requirements deemed appropriate by ESD. There are no application fees.

**ADDITIONAL RESOURCES:**

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

To access the Consolidated Funding Application and apply to the ESD Grants Program please visit <https://apps.cio.ny.gov/apps/cfa/> and follow the instructions to register or log in. Any questions regarding the CFA portal should be directed to [cfa-programs@ny.gov](mailto:cfa-programs@ny.gov).

## **Excelsior Jobs Program**

### **Funding Available: Up to \$75 million**

**DESCRIPTION:** The Excelsior Jobs Program, established in Chapter 59 of the Laws of 2010, provides job creation and investment incentives to firms in targeted industries such as biotechnology, pharmaceutical, high-tech, clean-technology, green technology, financial services, agriculture and manufacturing, not inclusive. Firms in these industries that create and maintain net new jobs or make significant financial investment are eligible to apply for up to five tax credits. The Program encourages businesses to expand in and relocate to New York while maintaining strict accountability standards to guarantee that businesses deliver on job and investment commitments.

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

Excelsior incentivizes “green projects” operating in strategic industries inclusive of agriculture, manufacturing, software development, and scientific research and development.

A “green project” means a project that makes products or develops technologies that are primarily aimed at reducing greenhouse gas emissions or supporting the use of clean energy.

"Green project" shall include, but not be limited to, the manufacture or development of products or technologies or supply chain components primarily for renewable energy systems as defined in section sixty-six-p of the public service law, vehicles that use non-hydrocarbon fuels and produce zero or near zero emissions, heat pumps, energy efficiency, clean energy storage and other products that significantly reduce greenhouse gas emissions by minimizing the utilization of depletable resources or by improving industrial efficiency.

“Green project” shall not include a project primarily composed of (i) necessarily local activities such as retail, building construction, or the deployment or adoption of an energy product or technology at an end user’s site, or (ii) the production of products or development of technologies that would produce only marginal and incremental energy savings or environmental benefits ancillary to the core function of the product or technology.

Excelsior also incentivizes “semiconductor supply chain projects” operating in one of the eligible strategic activities listed below.

Semiconductor supply chain project means a project deemed by the commissioner to make products or develop technologies that are primarily aimed at supporting the growth of the semiconductor manufacturing and related equipment and material supplier sector.

Semiconductor supply chain project" shall include, but need not be limited to, semiconductor device manufacturing, producers of component parts, direct input materials and equipment necessary for the manufacture of semiconductor chips, machinery, equipment, and materials necessary for the operational efficiency of semiconductor manufacturing facilities, other such inputs directly supportive of the domestic production of semiconductor chips, and companies engaged in the assembly, testing, packaging and advanced packaging semiconductor value chain.

"Semiconductor supply chain project" shall not include a project primarily composed of: (i) machinery, equipment, or materials that are inputs to manufacturing generally, but are not direct inputs to

semiconductor manufacturing in specific; (ii) the production of products or development of technologies that would produce only marginal and incremental benefits to the semiconductor manufacturing sector; (iii) projects that would otherwise qualify as a Green CHIPS project.

Excelsior offers enhanced childcare investment tax credits and childcare services tax credits for childcare expenses for projects operating in a qualified strategic industry.

“Childcare services” means those services undertaken or sponsored by a participant in this program meeting the requirements of “child day care” as defined in paragraph (a) of subdivision one of section three hundred ninety of the social services law or any childcare services in the city of New York whereby a permit to operate such childcare services is required pursuant to the health code of the city of New York.

"Net new childcare services expenditures" means the calculation of new, annual participant expenditures on childcare services whether internal or provided by a third party (including coverage for full or partial discount of employee rates), minus any revenues received by the participant through a third-party operator (i.e. rent paid to the participant by the childcare provider) or employees and may be further defined by the commissioner in regulations. For the purposes of this definition, expenditures for childcare services that a participant has incurred prior to admission to this program shall not be eligible for the credit.

**The Excelsior Jobs Tax Credit:**

- A credit of up to 6.85% of wages per net new job
- For “green projects” a credit of up to 7.5% of wages per net new job
- For “semiconductor supply chain projects” a credit of up to 7% of wages per net new job

**The Excelsior Investment Tax Credit:**

- Valued at 2% of qualified investments
- For “green projects” and investments in childcare, a credit up to 5% of qualified investments
- For “semiconductor supply chain projects” a credit up to 3% of qualified investments

**The Excelsior Research and Development Tax Credit:**

- A credit of 50% of the portion of the participant's Federal research and development tax credit that relates to the participant's research and development expenditures in NYS and
  - Up to 6% of eligible research expenditures in NYS
  - For “green projects” up to 8% of eligible research expenditures in NYS
  - For “semiconductor supply chain projects” up to 7% of eligible research expenditures in NYS

**The Excelsior Real Property Tax Credit:**

- Available to firms locating in certain distressed areas and to firms in targeted industries that meet higher employment and investment thresholds (Regionally Significant Project).

**The Excelsior Childcare Services Tax Credit:**

- A credit of up to 6% of net new childcare services expenditures for the operation, sponsorship, or direct financial support of a childcare services program.

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

**ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:**

**Agriculture:** agricultural production (establishments performing the complete farm or ranch operation, such as farm owner-operators, tenant farm operators, and sharecroppers) and agricultural support

(establishments that perform one or more activities associated with farm operation, such as soil preparation, planting, harvesting, and management, on a contract or fee basis).

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

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

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

**Financial Services:** "Financial services data centers or financial services customer back office operations" means operations that manage the data or accounts of existing customers or provide product or service information and support to customers of financial services companies, including banks, other lenders, securities and commodities brokers and dealers, investment banks, portfolio managers, trust offices, and insurance companies.

**Life Sciences:** means agricultural biotechnology, biogenetics, bioinformatics, biomedical engineering, biopharmaceuticals, academic medical centers, biotechnology, chemical synthesis, image analysis, marine biology, medical devices, medical nanotechnology, natural product pharmaceuticals, proteomics, regenerative medicine, RNA interference, stem cell research, medical and neurological clinical trials, health robotics and veterinary science.

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

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

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

**Software Development:** the creation of coded computer instructions and includes new media; the application of information technology to traditional communications outlets, particularly through interactive modes such as

the Internet, including video games, web search portals, interactive web-based content, and interactive advertising.

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

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

The Job Growth Track includes projects creating net new jobs in New York.

<b>Targeted Activity</b>	<b>Minimum Net New Job Creation Threshold</b>
Agriculture	5
Back Office	25
Distribution	50
Entertainment Company	100
Financial Services	25
Life Sciences	5
Manufacturing	5
Music Production	5
Scientific R&D	5
Software Development	5

The Investment Track includes projects with targeted activities that make significant new capital investments in a New York facility but cannot project the minimum net new job creation threshold. Applicants with manufacturing activities must retain at least 5 jobs; all other eligible activities must retain at least 25 jobs. Applicants admitted to the Program under the Investment Track must meet a benefit-cost threshold of at least \$10 of investment and new wages for every \$1 of tax credit.

**INELIGIBLE ACTIVITIES:**

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

**SELECTION CRITERIA:**

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

- The overall economic impact that the project identified in the application will have on a region, including, but not limited to, the number and impact of any direct or indirect jobs that will be created;
- The number of new jobs created and/or at-risk jobs that will be retained;
- The amount of capital investment and the level of increased economic activity from the proposed capital investment;
- 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, Veterans' Related Projects and Downtown Revitalization Initiative projects.

**AWARD CRITERIA DETAILS:**

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

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

**ADDITIONAL RESOURCES:**

Program Contact: 518-292-5240

<https://esd.ny.gov/excelsior-jobs-program>

## **Market New York (tourism marketing projects only)**

**Funding Available: Up to \$7 million**

### **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, working capital/marketing initiatives, the recruitment and/or execution of special events like festivals, expos, agritourism/craft beverage events and athletic tournaments, and the recruitment of business events like meetings, conferences, conventions and trade shows.

**Fiscal Year 2026-2027 Funding:** Up to \$7 million is available for eligible projects that create an economic impact by increasing visitation and/or visitor spending.

**Regional Alignment:** Funding is allocated among the ten (10) regions based on the [Regional Economic Development Councils \(REDCs\)](#) five-year strategic plans. Each proposal must support these long-term visions for economic growth to be considered for an award.

### **ELIGIBILITY REQUIREMENTS**

**Eligible Entities & Restrictions:** Eligible applicants include Not-for-Profit Corporations, Municipalities, Tourism Promotional Agencies (TPAs), Public Benefit Corporations and For-Profit Companies certified to do business in NYS. Individuals, SUNY schools, projects funded by SUNY schools, New York State agencies and projects involving religious proselytizing are ineligible. Out-of-state businesses must provide a NYS Department of State [Certificate of Authority](#).

**CFA Submission & Project Tourism Impact:** Applicants must submit a Consolidated Funding Application (CFA) for review by Empire State Development (ESD) and the corresponding REDC. A detailed Project Plan is required and applications without one will be deemed ineligible. Proposals must clearly demonstrate a direct tourism impact to be scored. Projects spanning multiple regions will be reviewed by the REDC where the project is headquartered or by the sponsoring REDC.

**Working Capital & Funding Minimums:** This program is dedicated to working capital projects. Costs for land acquisition, construction, renovation or equipment are ineligible. Hybrid projects may only be considered for the working capital portion of the budget. Only grant requests of \$50,000 or greater (excluding the grantee match) will be considered, bringing the minimum total project cost to at least \$100,000. ESD reserves the right to grant awards lower than the \$50,000 minimum based upon the availability of funds.

**Not-for-Profit (NFP) Compliance & SFS Prequalification:** NFPs must comply with NYS Not-for-Profit Corporation Law, providing proof of incorporation, a Charities Registration number and IRS tax-exempt status. All NFPs must achieve "Prequalified" status in the [Statewide Financial System \(SFS\)](#) by the application closing date. This applies to existing, new, and lapsed ("Expired" or "Ineligible") organizations. Failure to reach "Prequalified" status by the deadline will result in disqualification from the current funding cycle.

**Requirements for Award Execution:** In addition to prequalification, successful applicants must meet specific compliance standards prior to ESD Directors' approval and contract execution. This includes

maintaining active registration with the [NYS Attorney General's Charities Bureau](#), ensuring the organization is current within the [NYS Office of the State Comptroller's VendRep System](#), and providing a valid **Supplier ID** (issued via [SFS](#)) within the CFA application.

**Contractor and Supplier Diversity Policies:** Pursuant to NYS Executive Law Article 15-A and Article 3 of the Veterans' Services Law, ESD promotes the participation of certified **Minority and Women's Business Enterprises (MWBEs) (30% goal)** and Service-Disabled Veteran-Owned Businesses (**SDVOBs) (6% goal)**. Recipients must exercise "Good Faith Efforts" to achieve assigned goals and failure to comply may result in award reduction. Detailed guidance is available on the [MWBE Participation Page](#) and the [SDVOB Participation Page](#).

**Operational Readiness:** Grantees are expected to have the necessary office technology (high-speed internet, email and digital scanning capabilities) to ensure successful project management, communication and financial reporting.

### **NEW YORK STATE SIGNIFICANT TOURISM INITIATIVES**

Market New York prioritizes projects that align with the Division of Tourism's I LOVE NY strategies to grow visitation and visitor spending. Successful proposals should demonstrate a regional or statewide impact across one or more of the following pillars:

**Inspiring Consumers to Choose New York State:** Showcasing world-class destinations, large-scale special events, arts and culture, and niche segments such as accessible travel, LGBTQ+, Black and heritage tourism.

**Travel Trade Engagement:** Pursuing MICE (Meetings, Incentives, Conferences, Exhibitions), amateur sporting events and group tours by targeting travel professionals.

**International Tourism:** Marketing to promote visitation from key feeder markets (e.g., Canada, UK, Germany, and Australia) through B2B efforts with tour operators or direct-to-consumer campaigns.

**Outdoor Recreation:** Increasing awareness of New York's natural assets, promoting lesser-known destinations to encourage sustainable visitation and enhancing the visitor experience through increased programming.

**Collaborative Projects:** Proposals developed through partnerships between businesses and Tourism Promotion Agencies (TPAs) are strongly encouraged and will be looked upon favorably.

### **FUNDING INFORMATION**

**Performance & Administration:** Success is measured by increases in room nights, visitor frequency, visitor spending and length of stay. While multi-partner collaboration is encouraged, the awarded organization is solely responsible for project administration. Department staff will only communicate with the awarded grantee, who must designate a single point of contact for the life of the project to manage all third-party vendors, partners and consultants.

**Program Definitions:**

**Tourism:** Travel resulting in an overnight stay or a trip to a destination 50 miles or more (one-way) from a visitor’s place of residence.

**Working Capital:** Direct costs for marketing (e.g., media advertising, production, website design) and the recruitment/execution of events (e.g., site services, professional fees).

**Exclusions:** Funding cannot be used for general operational overhead, staff salaries beyond the administrative cap or capital expenditures such as construction/equipment.

**Required Match & Minimum Project Cost:** Empire State Development (ESD) requires a mandatory **50% cash match** of the total project cost.

- **Ineligible Match Sources:** In-kind matches, donated services and staff time are ineligible to be counted toward the required grantee match.
- **NYS Funding Restriction:** Funds sourced from any other New York State agency (including I LOVE NY Tourism Matching Funds, EDA Subawards or other ESD funds) cannot be utilized toward the grantee’s required match.

**Minimum Project Thresholds:** To ensure significant regional impact, Market New York adheres to the following financial thresholds:

- **Minimum Total Project Cost:** \$100,000 (100%)
- **Minimum Grant Request:** \$50,000 (50%)
- **Minimum Match Request:** \$50,000 (50%)

Applications for projects with a total project cost of less than **\$100,000** will be found ineligible and will not be scored.

The following table illustrates how the **50% minimum cash match** applies to different project scales. Note that while a 50% match is the minimum requirement, exceeding this threshold is encouraged and may result in a higher score.

Example	Total Project Cost	Grant Request (MNY)	Required Cash Match	Match %
<b>#1: Minimum Threshold</b>	\$100,000	\$50,000	\$50,000	50%
<b>#2: Standard 50/50</b>	\$200,000	\$100,000	\$100,000	50%
<b>#3: Exceeding Minimum (Competitive Edge)</b>	\$250,000	\$100,000	\$150,000	60%

**Prorating & Award Adjustment:** Applicants are held to the specific match percentage committed in their application. If a grantee is unable to fulfill the full match amount demonstrated in the application, the Tourism Division will promote the award to maintain the original match-to-grant ratio.

Example: An organization commits a \$150,000 (60%) match for a \$100,000 (40%) grant. If the actual match spent drops to \$100,000, the grant award will be reduced to approximately \$66,667 to maintain the original 60/40 funding split.

**Financial Management of Match Funds:** To be eligible for reimbursement, all project expenditures—including the required match—must be paid directly from the awarded grantee’s accounts. If a project partner is providing matching funds, those funds must be transferred into the grantee’s account prior to expenditure.

## **PROJECT PLAN REQUIREMENTS**

**Project Plan Requirements:** A detailed Project Plan is required for all applications and failure to include one will result in a determination of ineligibility. The plan must be **15 pages or less** (content exceeding this limit may not be reviewed) and should specifically address the scoring criteria outlined in these guidelines.

**Budget Consistency & Detail:** The project plan must include a detailed budget explaining the specific allocation of both grant funds and grantee equity (match).

This budget must match the total project costs indicated in the CFA application. Discrepancies between the project plan and the CFA budget may negatively impact the application’s score.

**Eligible Expenses:** Eligible expenses must be direct costs incurred by the grantee for the development and delivery of a regional tourism project. These include:

- **Media & Production:** Purchase of recognized media advertising, production of print or A/V collateral, licensing/talent fees and website design/updates.
- **Contracted Services:** Fees for external professional services, including consultants, vendors, artists and performers. Contractors cannot be on the grantee's payroll or receive a W-2. Note: Only the professional service fee is grant-reimbursable. Associated travel, lodging, and hospitality for these contractors are match-only (see section **Contracting, Procurement & Insurance** for further information).
- **Event Amenities:** Rental of tents, staging, lighting and site services (e.g., security, shuttle buses, or convention center fees).
- **Limited Costs:** Social media/influencer campaigns and co-op advertising are limited to 50% of the total project award and require ESD approval.
- **Administrative Costs (10% Cap)** Staff time dedicated specifically to this project, reporting and grant documentation may be eligible up to 10% of the total project cost. Please note that general operational overhead (utilities, rent, etc.) is not eligible. To receive reimbursement, grantees must provide detailed documentation (payroll journals, hourly rates and specific task logs, and/or bank statements).

- **Recommendation:** While administrative expenses are reimbursable, they are often more effectively applied toward the grantee’s match requirement. This allows grant funds to be prioritized for direct project items, which ESD reserves the right to favor during final award determination.

**Match-Only Expenses:** The following items are ineligible for grant reimbursement but may be applied toward the grantee’s mandatory 50% match at ESD’s discretion:

- **Travel & Lodging:** All transportation, mileage and hotel costs for both grantee staff and external contractors (artists, speakers, etc.).
- **Hospitality (Food & Beverage):** Expenses for food and non-alcoholic beverages provided during the project. Note: Alcohol and tips are ineligible for both grant funds and match credit.
- **Prizes and Awards:** Any prize money, trophies or competition awards associated with your event.

**Ineligible Expenses:** Ineligible costs include but are not limited to:

- **General Operations & Administrative**

**Overhead:** Rent, utilities, office supplies, insurance (liability/general), legal fees, membership dues/fees, training or team meetings.

**Staffing:** Salaries, wages or fringe benefits outside of the 10% administrative cap of the Total Project Cost. This includes in-house creative marketing costs and honoraria ("tokens of appreciation").

**Internal Costs:** Any expenses reimbursed by another source or agency, or fees paid to New York State agencies.

- **Project & Event Specifics**

**Capital Expenditures:** Costs to acquire or upgrade physical assets (equipment, hardware, vehicles, computers) or property-related expenses (construction, renovations, long-term assets).

**Out-of-State/Restricted Costs:** Any costs for events held outside New York State; permanent wayfinding signage on public roads; and items with a "shelf life" exceeding 6 months (materials that do not provide immediate tourism promotion).

**Financial Restrictions:** Sponsorship fees, “mini-grants” or reallocations to other organizations, products intended for resale and contingencies.

**Strictly Ineligible for Both Grant and Match:** In-kind, donated or volunteer services; tips and gratuities; and any other expenses deemed ineligible by ESD.

## **GRANT AWARD & PAYMENT PROCESS**

**Award Timeline & Execution:** Successful applicants receive an Award Letter followed by the requirement to submit a final budget and MWBE questionnaire. ESD will then issue an Incentive Proposal outlining formal expectations. Final authorization occurs after the project is presented to the

ESD Board of Directors. Following Board approval, the grantee must execute a Grant Disbursement Agreement (GDA). Reimbursement requests can only be submitted after the GDA is fully executed.

**Reimbursement Terms & Financial Readiness:**

- **No Upfront Payments:** All funds are paid on a reimbursement basis. Grantees should be prepared to subsidize project costs for 12 months or more.
- **Prorated Payments:** Reimbursements are processed based on the specific match percentage in the application (e.g., a 60% match/40% grant split will be reimbursed at the 40% rate).
- **Documentation:** Claims must include invoices, cancelled checks (front and back), full bank statements and credit card statements. Submissions for reimbursement are limited to 500 pages per claim.
- **Spending at Risk:** Grantees may begin project spending only after receiving written approval from the Department. All expenditures made prior to ESD Board approval are at the grantee's own risk.

**Project Continuity & Compliance:**

- **Project Timeline:** To ensure momentum and timely impact, projects are expected to be completed within two years of the Award Letter date. The Department will work with grantees to monitor progress throughout this window.
- **Contract Timing:** To maintain fiscal integrity, only expenses and contracts initiated after the official award announcement are eligible for inclusion in the project budget.
- **Scope & Consistency:** Because awards are based on specific scoring and regional impacts, grants are non-transferable and the project scope must remain consistent with the original application.
- **Ongoing Readiness:** To avoid payment delays, grantees must maintain active MWBE/SDVOB compliance and SFS Prequalification throughout the life of the project.
- **Reporting:** All projects will require that a final report be completed before a final reimbursement is made.

**IMPORTANT PROGRAM NOTES**

**Ethics & Governance:**

- **Public Officers Law:** All applicants must comply with New York State Public Officers Law. No elected official or public officer may receive compensation related to grant-funded services. Public funds may not be used for advertisements featuring elected officials or candidates in a manner that violates State Finance or Public Officers Law.
- **Financial Integrity:** All project expenditures (grant and match) must be paid directly from the grantee's accounts. Awards are non-transferable. Grantees are prohibited from reallocating funds to third parties or establishing secondary 'mini-grant' programs.

- **Tax Responsibility:** Grantees are responsible for all applicable taxes; ESD does not provide tax advice. New York State tax credits are strictly ineligible for use as match.

**Project Lifecycle & Implementation:**

**Phased Implementation Schedule:** Market New York is intended for future-looking initiatives. To ensure equitable processing and mitigate financial risk, project timelines must follow this schedule:

- **Planning & Expenditure Start Date (Upon Official Award):** Earliest date for internal planning and administrative costs.
- **Public-Facing Project Elements (Three Months After Award Date):** Earliest date for launch of public elements like marketing campaigns and special event executions. This timeline ensures internal processing is complete before grantees commit to large, non-refundable expenses, protecting them from liability for ineligible costs.
- **Operational Status:** Funding is for active assets only. Organizations must be fully operational and open to the public to market the destination or event.

**Multiple Award Eligibility:**

**Eligibility for New Funding:** To ensure fiscal integrity and prevent contract overlap, organizations with an active Market New York contract are ineligible to apply for new Market New York awards. Applicants must have all final documentation for previous awards submitted and accepted by the Department prior to the new application deadline.

- **Active Market New York Contract Definition:** For eligibility purposes, an "Active Market New York Contract" is defined as any previous award for which a **Final Payment Request and all required final reporting** have not been submitted to and accepted by the Department as of the application deadline.
- **Assistance for Current Grantees:** If an organization is uncertain whether their previous contract is considered "active" or "accepted" under these guidelines, they are encouraged to contact the Tourism Grants staff at [RegionalTourism@esd.ny.gov](mailto:RegionalTourism@esd.ny.gov) for clarification before beginning a new application.
- **Review Considerations:** To encourage project diversification, the Department may take applicants' funding history into account. If an organization has received awards in multiple past cycles, the Department reserves the right to deem new applications ineligible to prioritize new tourism initiatives.

**I LOVE NY & State Rights:**

- **Logo & Branding:** Any use of the I LOVE NY logo must conform to the I LOVE NY branding guidelines and requires advanced approval from your assigned Project Manager. Non-compliance may result in a 25% penalty or award termination.

- **New York State Access & Promotion:** Grantees must provide ESD and the Division of Tourism fee-free access to record video for state promotion, maintain a promotional presence at events and/or distribute marketing materials at grantee sites.

**Contracting, Procurement & Insurance:**

- **External Professional Services:** All project-related services must be provided by external individuals or entities (such as consultants, vendors or independent contractors). For example, this includes but is not limited to artists, musicians and guest speakers. These professionals must operate independently and cannot be on the organization’s internal payroll, be considered staff members or receive a W-2 from the grantee.
- **Service Agreements and/or Contracts:** Any work performed by external individuals or entities requires a contract or written service agreement fully executed by both parties and detailing specific services performed for this specific project and dates of service.
- **Competitive Selection:** Grantees must establish a fair and competitive vendor selection process. ESD reserves the right to reject any vendor, firm or contractor for reasons of conflict of interest.
- **Insurance Requirements:** To ensure the safety of events and participants, projects must carry appropriate insurance coverage, such as General Liability and Workers’ Comp.

**Additional Insureds:** Your policy must specifically name the **State of New York, ESD,** and the **New York State Division of Tourism** as additional insureds for the duration of the project.

**Communication:**

Communication is essential for success. If an ESD project manager does not receive a response from an organization within 60 days of any outreach, the Tourism Division may consider the award abandoned and look to terminate the grant.

**SELECTION AND SCORING PROCESS**

ESD uses a multi-tiered, 100-point system to ensure a fair and strategic distribution of tourism funds. Because the CFA is final and binding once submitted, we encourage you to use the following criteria as a checklist for your proposal.

**I. ESD TECHNICAL REVIEW [50 Points Total]**

An internal committee evaluates the core components of the project plan and applicant’s organizational health based on the following weighted categories:

**Financial Viability & Project Readiness [15 Points]**

- **Organizational Stability:** Evidence of positive net assets and financial health. Persistent negative financial results may result in a low score or ineligibility.
- **Reimbursement Capacity:** Demonstrated ability to subsidize project costs for twelve months or more.

- **Funding Status:** Higher points are awarded for **Secured Funding** (cash on hand, committed loans or signed sponsorship letters). **Non-Secured Funding** (e.g., projected ticket sales or anticipated fundraising) is considered higher risk and will result in a lower score in this category.

#### **Tourism Impact & I LOVE NY Alignment [15 Points]**

- **Tourism Impact:** Successful projects prove they draw visitors from 50+ miles away or generate overnight stays.
- **I LOVE NY Alignment:** Aligning with I LOVE NY initiatives outlined in the New York State Significant Tourism Initiatives section above and regional REDC priorities is key.
- **Partnerships:** Additional consideration is given for collaboration with regional partners, particularly Tourism Promotional Agencies (TPAs).

#### **Project Plan [10 Points]**

- **Clarity of Vision:** Concise organizational history, mission and project goals.
- **Feasibility:** A realistic timeline for project execution.
- **Need:** A demonstrated need for grant support. Applicants should illustrate how Market New York funding acts as a vital catalyst for the project, specifically how the award enables the initiative to move forward, expand its impact or reach completion more effectively than would be possible through the organization's standalone resources.
- **Metrics for Success:** Specific performance measures to quantify Return on Investment (ROI) and economic impact generated through tourism.

#### **Grant Match Requirement [10 Points]**

- **Proof of Funds:** Documentation (bank statements, commitment letters) must prove the match is available and directly accessible in the grantee's account.
- **Exceeding the Minimum:** Additional consideration is given to applications committing more than the mandatory 50% cash match.

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## **II. ESD EXECUTIVE REVIEW [30 Points Total]**

An executive team evaluates other strategic factors and mitigating circumstances, including:

- **Compliance History:** Past performance and contractual history with Market New York.
- **Frequency of Funding:** Consideration of how often the applicant has received prior awards.
- **Geographic Distribution:** Ensuring a balanced distribution of funds across the state.
- **Economic Impact:** The project's overall contribution to the current round's economic goals.

**Award Proportionality:** ESD reserves the right to reduce requested amounts that are out of proportion to available funding.

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**III. REGIONAL COUNCIL SCORE [20 Points Total]**

The corresponding Regional Economic Development Council (REDC) scores the project based on its alignment with regional strategic priorities.

**TOTAL POSSIBLE SCORE: 100 POINTS**

**MORE INFORMATION/ASSISTANCE**

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

## **NY KICKS Program**

**Funding Available: Up to \$5 million**

### **Overview**

The arrival of the FIFA World Cup 2026 in New York presents an opportunity for the state to translate this historic event into enduring community value and support New Yorkers in growing a lifelong love of the sport. As part of the festivities across New York, Governor Hochul is launching NY Kicks: A World Cup Legacy Investment Fund to build soccer infrastructure in disadvantaged communities across each region of the state to strengthen neighborhoods and bring people together through a shared love of the game.

Empire State Development (ESD) will provide up to \$5 million in grant funding to support the creation, expansion, and enhancement of community soccer fields for youth and players of all ages across New York State. By investing in soccer infrastructure at this pivotal moment, NY Kicks seeks to translate global inspiration into sustained local benefit—creating spaces where players can thrive, communities can gather, and neighborhoods can grow stronger together.

The Office of Children and Family Services (OCFS) will also offer a companion grant program for operating expenses. A link to the OCFS guidelines will be provided here once the program and application details are available.

### **Eligibility**

#### **Eligible Applicants**

- Municipalities
- Public Authorities
- Nonprofits (excluding schools and/or universities applying directly. However, schools and/or universities are welcome to partner with nonprofit entities that provide programming for soccer.)

#### **Eligible Costs**

Costs must be related to the creation, expansion, or renovation of a publicly accessible soccer field intended for long-term use. Eligible costs include:

- Site Preparation, demolition, or construction costs related to the completion of a new or upgraded soccer field;
  - Note: Proposed budgets that *only* contain costs for site preparation and/or demolition will not be considered. Costs for the creation of a new, upgraded, or expanded soccer field must also be included.
- Permanent soccer field infrastructure (e.g., goal posts, bleachers, lighting, or fences);
- Utility infrastructure directly related to the operation of the soccer field (e.g., wiring for stadium lights);
- Paving or construction costs for parking lots or driveways that directly access the soccer field (may not exceed 10% of the total project budget); and,
- Other costs deemed eligible by ESD.

#### **Ineligible Costs**

- Land acquisition costs;
- Vehicles;
- Lease payments or rent;

- Playgrounds, concession stands, or recreational features unrelated to soccer;
- Costs incurred prior to grant award or contract execution;
- Operating expenses, including but not limited to:
  - Routine maintenance or ongoing repairs;
  - Staffing, coaching, referees, or administrative salaries;
  - Programmatic costs, league fees, or tournament expenses;
  - Equipment that is not permanently affixed, including portable goal posts; or
  - Uniforms, balls, training equipment, or supplies.
  - Other costs determined ineligible by ESD.

**Ineligible Projects**

Include the creation or modification of any soccer field that is:

- Primarily used for non-soccer activities (e.g., other sports); or,
- Restricted and not open to the public, or charges individual participants for use of the field. Modest fees for league use or similar costs for large groups are allowed.

**Award Range**

- \$75,000 to \$200,000
- Awards will cover a maximum of 50% of the proposed project cost. Proposals that request a lower level of ESD match will be scored more favorably.

**Selection Criteria**

In addition to the criteria noted below, ESD shall have the discretion to consider additional factors in determining the relative merits of projects. ESD will consider regional distribution to the extent possible when evaluating applications.

- Project Impact and Community Need
  - Demonstrates a strong need for the creation or enhancement of a soccer field in the community;
  - Details how the new or expanded field would increase local participation in soccer;
  - Proposed field location provides economic opportunities for the community (e.g., the field is near commercial corridors that would be patronized by players); and,
  - Priority consideration will be given to projects located in severely and moderately distressed areas. Economically distressed areas shall be based on metrics such as population loss, unemployment rate compared to the State’s rate, private sector employment rate compared to the State’s rate, percentage of households receiving public assistance, poverty rate, per capital income rate, and other factors considered by ESD. [Economically Distressed Area \(Census Tract\) Map](#)
- Project Readiness and Feasibility
  - Clear project plan with defined scope, timeline, and budget;
  - Documentation of site control;
  - Demonstrated capacity of applicant to successfully complete the project; and,
  - Established financial and operational plan for ongoing field maintenance and upkeep.
- Leverages non-ESD co-investment.

### **Applicant Requirements**

**Applicants are strongly encouraged to reach out to their local Regional Office to discuss their project prior to submitting an application.** Applicants must complete and submit a Consolidated Funding Application (CFA) for review by ESD. The project may not begin, and expenses shall not be incurred before awards have been announced. Applicants must always disclose when pursuing or intending to pursue multiple public funding sources including grants, loans, and tax incentives.

### **Award Criteria Details**

- Notice of a funding award will be given in the form of an incentive proposal outlining the terms of the proposed assistance. The award is subject to approval of the ESD Directors and compliance with applicable laws and regulations. Project funding may only be used for expenses incurred after the date that notice of the funding award is given. Applicants are strongly encouraged to review and countersign ESD's incentive proposal prior to starting the project.
- All Applicants will be requested to certify and agree that any decrease in the scope of work described in the Applicant's final CFA submission may result in ESD's reduction of the award, in ESD's sole discretion.
- All Applicants will be requested to certify and agree that any expansion of the scope of work described in the Applicant's final CFA submission will not result in the increase of the award by ESD.
- The awarded grants are transferable at the sole discretion of ESD.
- The essential terms for the disbursement of assistance are included in the incentive proposal. Although funding is offered prior to project commencement as an inducement to undertake the project, funds are disbursed in arrears, as reimbursement for eligible project expenditures.
- It is expected the project will proceed in the time frame set forth by the Applicant. If the implementation of a project fails to proceed as planned and is delayed for a significant period of time and there is, in the exclusive judgment of ESD, doubt as to its viability, ESD reserves the right to cancel its funding commitment to such project. If awarded, the Incentive Proposal expires two years from the date of acceptance by the Recipient. ESD reserves the right to require Recipient to provide any additional information and/or documentation ESD deems necessary and terminate the project at any point if the applicant fails to provide such documentation in a timely manner.
- All required public approvals must be in place prior to the start of construction and approval by the ESD Directors, including State Environmental Quality Review (SEQR) and consultation with the State Historic Preservation Office, if applicable. Physical work on an ESD-funded project may not be started prior to the completion of any necessary environmental, historic and/or smart growth review.
- Pursuant to New York State Executive Law Articles 15-A and Article 3 of New York State Veterans' Services Law, ESD recognizes its obligation under the law to promote opportunities for maximum feasible participation of certified minority and women-owned business enterprises (MWBES) and service-disabled veteran-owned businesses (SDVOBs) in the performance of ESD projects. The Recipient shall be required to use Good Faith Efforts (pursuant to 5 NYCRR §142.8 and 9 NYCRR § 252.2(n) to achieve MWBE and SDVOB Participation. In addition, ESD's MWBE and SDVOB Participation/Equal Employment Opportunity Policy will apply to this program. Specific goals related to the total value of ESD's funding will be established on a grant-by grant basis.

- ESD has an agency-wide goal of 30% for MWBE participation, 15% for New York State-certified Minority-owned Business Enterprise (“MBE”) participation and 15% for New York State-certified Women-owned Business Enterprise (“WBE”) participation (based on the current availability of MBEs and WBEs). ESD has an agency-wide goal of 6% for SDVOB participation, based on the current availability of qualified SDVOBs.
- In accordance with State law, after approval by the ESD Directors, a public hearing will be required if the project involves the acquisition, construction, reconstruction, rehabilitation, alteration or improvement of any property. ESD will schedule a public hearing in accordance with the New York State Urban Development Corporation Act (“UDC Act”) and will take such further action as may be required by the UDC Act and other applicable law and regulations. The ESD Directors must reconsider the matter if any negative testimony is received at the public hearing. (Generally, this hearing occurs the month after the Directors’ initial approval). Approval by the Public Authorities Control Board (“PACB”), New York State Comptroller (“OSC”) and the New York State Attorney General (“AG”) may then be required. Following approval by the ESD Directors and PACB, OSC and AG approval, if required, the documents for processing the grant award will be prepared by ESD. Notwithstanding the process outlined above, no project shall be funded if sufficient resources are not received by ESD for such project.
- An Application Fee, payable when funding is documented in an Incentive Proposal, and a one percent (1%) non-reimbursable commitment fee based on the grant amount awarded will be assessed to all awardees. The commitment fee will be due when the Applicant executes documents required for processing the award, after approval by the ESD Directors. The Applicant will be obligated to pay for out-of-pocket expenses incurred by ESD in connection with the project, including, but not limited to, expenses related to attorney fees, appraisals, surveys, title insurance, credit searches, filing fees, public hearing expenses and other requirements deemed appropriate by ESD.

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

**Funding Available: \$11.875 Million**

## **DESCRIPTION**

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

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

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

In this competition, ESD anticipates making up to nine NYS Business Incubator designations and five Innovation Hot Spot designations. ESD anticipates that one Innovation Hot Spot will be designated in each of the following economic development regions: Western New York, Southern Tier, Finger Lakes, Central New York, and North Country.

Awardees will receive operating funds from ESD to expand and create services. Designation as an Innovation Hot Spot brings significant state income and sales tax benefits for the start-up companies within the Hot Spot, for a period of five years. These benefits include:

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

The goal of the program is to improve the quantity and quality of incubator services provided to young companies, thereby enabling these businesses to successfully transition from start-up phase to larger scale commercialization of their products and services. This was one of the strategies laid out to 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 NYS Accelerators and competitions, NY Innovation Venture Capital Fund, and state-funded research assets, to better serve the growth needs of young companies.

## **ELIGIBILITY**

An entity wishing to be designated as a designated NYS Business Incubator must currently be providing a business incubation program which has been in existence for three or more years. Applicants must provide a strategic plan for their incubator and demonstrate that their services

align with industry best practices. Applicants must demonstrate how this funding will enable and/or expand services they provide to their tenant clients and demonstrate a 2:1 match of state funds. Applicants are strongly encouraged to demonstrate regional partnerships with incubators or organizations assisting entrepreneurs and early-stage companies. Applicants should demonstrate a track record of transitioning academic research to the marketplace.

Any entity seeking designation as a New York State Innovation Hot Spot must meet the requirements of a NYS Business Incubator and must demonstrate a strong affiliation with one or more colleges, universities or independent research institutions by providing a Memorandum of Understanding (MOU) describing such affiliation. Applicants are strongly encouraged to demonstrate regional partnerships with incubators or organizations assisting entrepreneurs and early-stage companies. Applicants should demonstrate a track record of transitioning academic research to the marketplace. Only applicants within the New York State economic development regions of Southern Tier, Central New York, Finger Lakes, Western New York, and the North Country will be eligible for a New York Innovation Hot Spot Designation in this round.

## **FUNDING**

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

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

Up to \$250,000 will be provided annually for five years to entities designated as a New York State Innovation Hot Spot. Five awards are anticipated in this category for CFA funding.

## **Successful Applicant Requirements**

Entities seeking designation as New York State Business Incubator will be required to:

- Be a not-for-profit organization located in New York State;
- Have operated an incubator for three or more years;
- Have a demonstrated link to regional sources of innovation and expertise;
- 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;
- Business incubators can choose to have a general focus or a specific tech area focus (i.e. circular economy, fashion/fabrics/textiles or digital gaming)
- Expand scope of services or provide new services;

- Provide a two-to-one match<sup>1</sup> of the grant funds it receives for the operation of the incubator;
- Submit data as required by ESD (bi-annually) on the operations and performance of the incubator including a list of business enterprises currently being served by the incubator;
- Have a clear and concise graduation plan for companies;
- Indirect costs are not allowed;
- Receive a total minimum score of 70.

## SELECTION CRITERIA

The CFA application will be scored by its respective Regional Council. In addition to review and evaluation by the Regional Councils, applications will be reviewed and scored by ESD. The programmatic goal of this solicitation is to have applicants (not-for-profits) focus on services related to one or more industry verticals instead of general business development services. This program is intended to expand, enhance, and improve existing programs and services offered by the entity.

Applications will be evaluated and judged using the following criteria:

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

## SCORING

Applications will be scored using the following methodology:

1). Alignment with Regional Strategy and Priorities scored by the Regional Economic Development Council (REDC) (20 percent)

2). Incubation Effectiveness (20 percent)

- What is the track record of the incubator in accelerating growth of start-ups?
  - Increased jobs, investment, and other metrics determining successful incubation and effectiveness.
  - Graduation rates and illustrative examples

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<sup>1</sup> At least 50% of the match must be cash

- 3). Expansion of Services (15 percent)
  - What new or expanded programs or services will be provided to start-up companies within the region as are result of the grant funding?
  - Does this application involve a partnership with other incubators, Regional Innovation Hot Spot, or other innovation resources?
- 4). Financial Soundness and Sustainability (20 percent)
  - Does the applicant’s operating budget demonstrate financial soundness and strength?
- 5). Regional Incubator Leadership Assistance (15 percent)
  - How does the applicant propose to assist in the growth of the region’s entrepreneurial and innovation network?
- 6). Alignment to one or more Significant Statewide Programs (10 percent)

## **PERFORMANCE MEASUREMENTS**

New York State Business Incubators and Innovation Hot Spots will be required to provide bi-annual performance reports documenting their success in assisting companies to transition from their start-up stage to commercialization of products and services. These reports will include a list of every business served by the Business Incubator and the progress that has been made in growing these companies. These metrics, as well as other documentation, will be required to receive funds on a reimbursement basis from the state.

## **NON-DISCRIMINATION AND CONTRACTOR & SUPPLIER DIVERSITY**

Pursuant to New York State Executive Law Article 15-A and Article 3 of the New York State Veterans’ Services Law, ESD recognizes its obligation under the law to promote opportunities for maximum feasible participation of New York State certified minority and women-owned business enterprises (MWBEs) and service-disabled veteran-owned businesses (SDVOBs) in the performance of ESD projects. Recipients shall be required to use “Good Faith Efforts” (pursuant to 5 NYCRR §142.8 and 9 NYCRR § 252.2(n)) to achieve MWBE and SDVOB Participation. In addition, ESD’s MWBE and SDVOB Participation/Equal Employment Opportunity Policy and ESD’s Contractor & Supplier Diversity Policy will apply to this project.

ESD has an agency-wide goal of 30% for MWBE participation, 15% for New York State certified Minority-owned Business Enterprise (“MBE”) participation and 15% for New York State-certified Women-owned Business Enterprise (“WBE”) participation (based on the current availability of MBEs and WBEs). Specific goals related to the total value of ESD’s funding will be established on a grant-by-grant basis. Should an Applicant receive a funding award, the Applicant shall be required to use good faith efforts to achieve the prescribed MWBE goals assigned to this project. Applicants must maintain certain records and take such actions necessary to demonstrate such compliance. Failure to achieve the specified MWBE goal may result in award reduction and further actions. Additional information can be found here: <https://esd.ny.gov/participation-requirements-new-york-state-certified-mwbes> .

ESD's agency-wide SDVOB utilization goal is 6%. Specific goals related to the total value of ESD's funding will be established on a grant-by-grant basis. Should an Applicant receive a funding award, the Applicant shall be required to use good faith efforts to achieve the prescribed SDVOB goals assigned to this project. Applicants must maintain certain records and take such actions necessary to demonstrate such compliance. Failure to achieve the specified SDVOB goal may result in award reduction and further actions. Any utilization of SDVOBs would be in addition to goals established pursuant to Article 15-A of the Executive Law with respect to MWBEs. A further explanation of the SDVOB requirements is found here: <https://esd.ny.gov/participation-requirements-new-york-state-certified-sdvobs>.

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# New York State Homes and Community Renewal

## **New York Main Street Program**

**Funding Available: Up to \$4.2 million**

### **Description:**

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

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

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

Eligible applicants for the NYMS program are:

- Counties;
- Cities, Towns, Villages that have been designated as a Pro-Housing Community; *or*
- Organizations incorporated under the NYS Not-for-Profit Corporation Law that have been providing relevant service to the community for at least one year prior to application.

### **Eligible Target Area:**

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

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

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

Applicants are required to include a Target Area Map to identify the location of the proposed target area or project site and source documentation to demonstrate how the target area meets eligibility criteria.

### **Pre-Application Requirements:**

#### **Municipal or NYC Community Board Resolution**

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

- The resolution must be on official stationery and should hold the official seal. Applicants within New York City must obtain the resolution from the Community Board with jurisdiction over the project target area.
- Draft or proposed resolutions are not acceptable.
- Support letters do not meet this requirement.
- The resolution must be for the current 2026 funding round and the specific NYMS project.
- If the municipality or Community Board provides only a summary letter without the full text of the resolution, a copy of the meeting minutes must be provided to document the vote and formal board resolution.

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

### **Eligible Activities**

Applicants may propose **one** activity for a 2026 New York Main Street (NYMS) application. Three NYMS activities are available in the 2026 CFA New York Main Street application:

#### **1. Traditional NYMS Target Area Building Renovation Program**

Applicants may request between \$50,000 and \$500,000 for Target Area Building Renovation activities. Requests must not exceed an amount that can be reasonably expended in the identified target area, within a 24-month term.

- **Building Renovation:** Matching grants available for renovation of mixed-use buildings. Recipients of NYMS funds may award matching grants of up to \$50,000 per building, not to exceed 75% of the total project cost, in a designated target area. Renovation projects that provide direct assistance to residential units may be awarded an additional \$25,000 per assisted residential unit, up to a per-building maximum of \$100,000, not to exceed 75% of the total project cost.
- **Streetscape Enhancement:** Applicants may request up to \$15,000 in grant funds for streetscape enhancement activities, such as: planting trees, installing street furniture or public art or other activities to enhance the NYMS target area.

The project and budget should be clearly defined at the time of application and include a detailed description of the proposed Streetscape project, how the proposed project enhances the planned building renovation projects and contributes to other downtown revitalization efforts underway.

- Streetscape enhancement grant funds will be awarded only for activity ancillary to a traditional NYMS building renovation program and cannot be applied for on its own. Applicants requesting funds for NYMS Downtown Anchor or Downtown Stabilization activities may not request Streetscape funds.
  - Streetscape enhancement activities must be reviewed for eligibility and approved by HTFC prior to commencement of construction or installation.
  - Streetscape activities must be completed within the proposed target area.
- **Administration:** Applicants may request up to 7.5% of the grant amount for salaries, consultant fees, and other costs associated with the administration of the grant. The administrative funds must be requested at the time of application and must be included within the maximum request amount.
  - **Soft Costs:** Applicants may request funds to cover architectural and engineering work, required environmental testing and clearances, and filing fees. These expenses must be included in the per-building activity funding limits, require matching funds and may not exceed 18% of the NYMS renovation funds for a specific project. Project costs incurred for work on buildings that eventually prove infeasible and do not receive other investments will not be reimbursed with NYMS funds. Funds for Soft Costs must be requested at the time of application and must be included within the maximum request amount.

Funds for Administration and Soft Costs are available on a reimbursement basis and will therefore be reviewed for eligibility prior to disbursement of funds. Applicants are not required to request NYMS program funds for Administration or Soft Costs but are encouraged to identify alternate sources of funds for administrative expenses and soft costs. Additional funding commitments for administrative expenses and soft costs strengthen an application.

Example NYMS Target Area Building Renovation Program Application Request:

<b>\$300,000</b>	<b>NYMS Request Amount</b>
\$250,000	Building Renovation Funds: to renovate five buildings
\$15,000	Streetscape Enhancement Funds: install bike racks, benches
\$12,500	Soft Costs: to hire firm to complete environmental compliance requirements
\$22,500	Administration: to hire consultant to administer grant

**2. NYMS Downtown Anchor Project:**

Applicants may request between \$100,000 and \$500,000 for a standalone, single site, “shovel ready” renovation project. 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.

Applicants for NYMS Downtown Anchor Project funds must:

- Document a compelling need for substantial public investment and justify how the project qualifies as a Downtown Anchor.
- Document project readiness, as evidenced by funding commitments, developer site control, pre-development planning completed, and local approvals secured;
- Provide cost estimates to substantiate the request amount;
- Identify source(s) of available construction financing and matching funds;

- Demonstrate the importance of the project for the neighborhood, community and region;
- Provide a Business Plan and Market Analysis to demonstrate project viability.
- **Administration:** Applicants may request up to 5% of the grant amount for salaries and other costs associated with the administration of the Downtown Anchor Project grant. The administrative funds must be requested at the time of application and must be included within the maximum request amount.
- **Soft Costs:** Applicants may request funds to cover architectural and engineering work, required environmental testing and clearances, and filing fees. These expenses must be included in the per-building activity funding limits, requires matching funds and may not exceed 18% of the NYMS renovation funds for the project. Funds for Soft Costs must be requested at the time of application and must be included within the maximum request amount.

Funds for Administration and Soft Costs are available on a reimbursement basis and will therefore be reviewed for eligibility prior to disbursement of funds. Applicants are not required to request NYMS program funds for Administration or Soft Costs but are encouraged to identify alternate sources of funds for administrative expenses and soft costs. Additional funding commitments for administrative expenses and soft costs strengthen an application.

Example NYMS Downtown Anchor Project Application Request:

<b>\$250,000</b>	<b>NYMS Downtown Anchor Project Request Amount</b>
\$227,000	Building Renovation Funds: to stabilize one building
\$10,500	Soft Costs: to hire firm to complete environmental compliance requirements
\$12,500	Administration: staff time to administer grant

### **3. NYMS 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, 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.

Example NYMS Downtown Stabilization Project Application Request:

<b>\$250,000</b>	<b>NYMS Downtown Stabilization Project Request Amount</b>
\$200,000	Building Renovation Funds: to renovate one building
\$37,500	Soft Costs: environmental compliance, testing, and reporting
\$12,500	Administration: staff time to administer grant

Please contact the Office of Community Renewal at [HCR\\_CFA@hcr.ny.gov](mailto:HCR_CFA@hcr.ny.gov) to discuss project eligibility prior to applying.

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

Please note: An applicant is encouraged to focus its efforts on one project type. For this reason, applicants may propose only one NYMS activity in an application.

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

Costs that are not adequately justified or that do not directly support the project are not eligible for reimbursement with NYMS funds. Contact the Office of Community Renewal prior to submitting an application to discuss project eligibility, and review the NYMS Program Guide for more detailed guidance on NYMS program rules: <https://hcr.ny.gov/new-york-main-street>

### **NYMS Selection Criteria – up to 100 Points**

#### **Total Vision and REDC Strategies –20 points**

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

#### **Need - 10 points**

Measures the severity of need for the proposed Main Street activities, based on the analysis of existing commercial and residential conditions in the target area. The needs described must correspond to the proposed activities and the extent to which the activity resolves or addresses the identified need. Applications should include data and a relevant examination of that data to demonstrate substantial need. The application must provide a clear statement about the need for public investment in the proposed target area and specific need for the NYMS program funds to receive maximum points.

#### **Impact - 12 Points**

Measures the extent to which the project described in the application will have a positive public benefit and sustainable positive impact on the commercial and residential conditions in the target area and surrounding community and neighborhoods. Applications should provide clear explanations of the anticipated impact of the proposed program, including but not limited to enhancement of existing assets in the target area and community, expansion of economic opportunities, ability to spur investment of private resources, improvement of aesthetics, and preservation and creation of affordable housing in the upper floors of mixed-use buildings. Applications determined to have the greatest impact on increasing the availability of quality, affordable housing and the greatest impact on business conditions, when compared to other applications, will receive the highest scores. Applicants will not receive full points in this category if the community in which the project is located has not been designated as a Pro-Housing Community.

### **Leveraging & Financing Plan - 18 Points**

Measures the quality and completeness of the proposed project budget and status of funding commitments, specifically:

- Clarity of project budget including eligible use of funds and substantiated request amount;
- Status of funding commitments for required match and construction financing;
- Extent to which the NYMS resources will result in additional investments including private sources beyond the required matching funds (leveraging);
- Plan for use of funds for soft costs and administrative expenses.

### **Implementation Capacity and Readiness - 40 Points**

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

- Program Experience - Points for performance history are available to applicants that are administering an open NYMS or other Office of Community Renewal program contracts where substantial expenditure or funding commitments have been achieved and sufficient progress has been made. Points are also available to applicants that have successfully and effectively completed previous NYMS or other Office of Community Renewal program contract obligations. Applicants that have not previously participated in the NYMS program but have a successful record of achievement within the community where the proposed Main Street target area is located and have assembled a team with experience in community development, housing rehabilitation, or commercial revitalization in mixed-use districts on a scale comparable to the proposed program or projects will also be eligible for points.
- Implementation Capacity - Proposals that have identified specific projects, clearly substantiated the request amount, obtained local approvals, have demonstrated a clear understanding of NYMS administrative procedures, and have necessary organizational structures in place to implement the proposed projects, without delay, will receive the most points.
- Program Support - Evaluates local support and linkages between the proposed project and local planning and development efforts. Rates the degree to which the proposal relies on building consensus and cooperation among groups and individuals who have a role in the revitalization process.
- Design - Applicants must outline the plan for a coordinated design review process. The highest scores will be awarded to proposals in communities that have existing design standards and have identified the necessary resources to work with building owners to enhance the physical appearance of the commercial area by preserving historic buildings and implementing sensitive design plans.
- Business Strategy - Applications must demonstrate a viable strategy for retaining and assisting existing businesses, attracting new customers, potential investors and residents, and finding new commercial uses for traditional buildings in the district. Downtown Anchor applications must present a viable strategy for establishing or expanding a cultural, residential or business anchor that is key to local revitalization efforts. Priority consideration will be given to applicants that demonstrate a strong understanding of current economic conditions in the district, identify opportunities for market growth, and clearly demonstrate how the proposed project contributes to improving economic conditions. Projects that demonstrate capacity to grow the

district's existing economic base, while meeting the challenges of commercial sprawl, will receive the highest scores.

**Funding Priorities:**

- In July 2023, Governor Hochul signed Executive Order 30 creating the Pro-Housing Community Program – an innovative policy designed to reward local governments that are working hard to address New York's housing crisis. Projects in communities that have been designated as a Pro-Housing Community will receive priority consideration in their application for New York Main Street funding. Municipal applicants must be designated as a Pro-Housing Community to apply. More information found here: <https://hcr.ny.gov/phc>
- Ready to go or “shovel ready” projects. Project readiness is best demonstrated by clear funding commitments for permanent and construction financing, documented site control, completed pre-development planning work, local approvals, and administrative capacity.
- A proposed NYMS service area should include a mix of uses, such as residential, commercial, and civic buildings. Individual assisted buildings are not required to include both residential and civic or commercial spaces; however, applications should propose a comprehensive approach to strengthen both the commercial and residential sectors. Affordable housing in upper-floor spaces and on adjacent streets helps to strengthen the social and economic vitality of the business district. Incorporating residential units on the upper floors is strongly encouraged and those projects will receive priority consideration.
- For NYMS there is a preference for funding proposals where contiguous buildings will be assisted, maximizing the impact of the investment.
- Applicants able to successfully demonstrate broad local support and linkages between the proposed project and local planning and development efforts, and applicants documenting high percentages of committed matching and leveraged funds will receive the highest scores.

**Award Criteria Details:**

- HTFC reserves the right to communicate with an applicant for the purpose of addressing clerical and arithmetical errors in applications.
- HTFC reserves the right not to issue an award or contract to any applicant if it has been determined that the applicant is not in compliance with existing state contracts and has not taken satisfactory steps to remedy such non-compliance. Not-for-profit organizations applying for NYMS program funds must submit a Vendor Responsibility Questionnaire (VRQ) with the application. Projects that commence prior to contract execution and environmental review will not be eligible for reimbursement.
- HTFC reserves the right to award all, more than identified, a portion of, or none of the available funds based upon funding availability, feasibility of the applications received, the competitiveness of the applications, an applicant's ability to meet HTFC criteria for funding, the applicant's ability to advance the State's housing goals, and HTFC's assessment of cost reasonableness. HTFC reserves the right to award all, a portion of, or none of the application's requested amount, and further reserves the right to review an application requesting funds as an application for funding under other

programs for which the proposed activity is eligible, and to change or disallow aspects of the applications received.

- HTFC reserves the right to waive any requirement contained herein or revise the terms as needed.
- Award of funds does not confirm eligibility of all activities included in an application proposal, and HTFC reserves the right to change or disallow aspects of the applications received and may make such changes an expressed condition of its commitment to provide funding to a project.
- HTFC may consider regional distribution in the determination of awards, to the extent practicable.

**Limitations:**

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

<https://hcr.ny.gov/new-york-main-street#forms-and-documents>

**Environmental Review**

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

<https://hcr.ny.gov/new-york-main-street#forms-and-documents>

**Funding Commitments**

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

**Procurement & Bidding**

All NYMS activities including contracting, professional services, and administration require a minimum of two bids or proposals to be solicited and accepted by the applicant organization to establish reasonableness of cost.

**Regulatory Term**

The owner of a property improved with NYMS funds must agree for a minimum of five years to: maintain the property in good operating order and condition; to make available and maintain the affordability of residential housing units to persons of low income (90% Area Median Income) by signing and filing a Property Maintenance Declaration with the County in which the building is located.

**Project Term Completion Dates:**

Projects must not commence prior to award, and grant agreement execution. Costs incurred prior to award and grant agreement execution will not be eligible for reimbursement. NYMS Target Area Building Renovation, Downtown Anchor and Downtown Stabilization awardees enter into a two-year grant agreement.

Applicants should not submit applications if they do not expect to initiate the project within a reasonable time after receiving an executed contract or will not be able to complete the project within the term. Funds remaining at the end of the term are subject to de-obligation and reallocation.

**Matching Fund Requirements:**

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

- New York Main Street Building Renovation Project  
The NYMS Program operates as a reimbursement program and the NYMS Program Guidelines require matching funds for each participating building project. NYMS funds may reimburse up to 75% of total, eligible project costs for general building renovations up to a maximum of \$50,000 per building, or up to \$100,000 for a building renovation project involving direct assistance to a minimum of two residential units.
- New York Main Street Downtown Anchor Project  
NYMS Downtown Anchor Project funds are available to reimburse up to 75% of a total, eligible project cost not to exceed \$500,000 in NYMS Downtown Anchor Project funds. The minimum NYMS Downtown Anchor request amount is \$100,000.
- New York Main Street Downtown Stabilization Project  
NYMS Downtown Stabilization funds are available to reimburse up to 75% of a total, eligible project cost not to exceed \$500,000. The minimum NYMS Downtown Stabilization Project request is \$100,000.

**Additional Resources:**

For more information, applicants should contact the Office of Community Renewal at New York State Homes and Community Renewal at (518) 474-2057 or email [HCR\\_CFA@hcr.ny.gov](mailto:HCR_CFA@hcr.ny.gov) or visit the NYMS website: <https://hcr.ny.gov/new-york-main-street#funding-round-materials>

## **Community Development Block Grant Program – Public Infrastructure** **Funding Available: Up to \$25 million**

### **Description:**

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

The primary objective of the CDBG program is the development of viable communities by providing decent housing and a suitable living environment and expanding opportunities, principally for person of low and moderate income (LMI). A low-and moderate-income person is defined as being a member of a household whose income is less than 80% of the area median income for the household size. A principal benefit to low- and moderate-income persons requires at least 51% of the project beneficiaries to qualify as low- and moderate-income.

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

Eligible applicants are non-entitlement units of general local government (Villages, Cities, Towns or Counties), excluding metropolitan cities, urban counties and Indian Tribes that are designated entitlement communities. Non-entitlement areas are defined as cities, towns and villages with populations of less than 50,000, except those designated principal cities of Metropolitan Statistical Areas, and counties with populations of less than 200,000. The NYS CDBG program does not provide direct financial assistance to businesses. For a list of eligible communities: <https://hcr.ny.gov/community-development-block-grant>

### **Eligible Activities:**

CDBG funding may be used for public infrastructure activities as outlined below. Applicants are encouraged to contact OCR for additional guidance prior to applying at [HCR\\_CFA@hcr.ny.gov](mailto:HCR_CFA@hcr.ny.gov). Please include "CDBG 2026 Application" in the email subject line.

### **Public Infrastructure**

Funds may be requested for:

- Public or private water source development, storage, and distribution
- Sanitary sewage collection and treatment
- Flood control and storm water drainage
- Municipal utilities
- Ancillary public works components such as sidewalks, streets, parking and open space

An ancillary activity for lead-based water service lateral replacement, sanitary sewer replacement or new connection to an existing public water or sewer system may not exceed 15% of the requested grant amount.

Eligible projects for NYS CDBG Public Infrastructure may include the repair or replacement of existing systems, construction of new systems, or expansion of existing systems into areas previously unserved that are in compliance with the NYS Smart Growth Public Infrastructure Act (Chapter 433 of the Laws of 2010) and principally benefit low- and moderate-income persons. Under the Public Infrastructure category, the benefit to low- and moderate-income persons is most commonly achieved through an area

benefit. For more information regarding National Objective Compliance, refer to the Application Guidance located on the HCR website: <https://hcr.ny.gov/community-development-block-grant>.

Infrastructure projects in support of existing housing are encouraged to apply through OCR's CDBG Housing Program with applications submitted using HCR's Community Development Online (CDOL). This activity includes infrastructure improvements wholly contained within a manufactured housing park or addressing lead service line replacement in compliance with the EPA mandate. Information on the CDBG Housing Program and associated material can be found [here](#).

Projects that are intended as new/replacement sidewalks, lighting, other street improvements or parking and are not part of a larger infrastructure project are considered public facility activities and may be considered under the CDBG Open Round RFA. More information on CDBG Open Round funding can be found [here](#).

**Activity Funding Limits:**

<b><u>Public Infrastructure</u></b>	<b>Maximum</b>
Counties, Towns, Cities or Villages	\$1,500,000
*With NYS Co-Funding Initiative	\$2,000,000

\*Co-funded public infrastructure projects are those projects that include other State and/or Federal sources including, but not limited to, USDA Rural Development, NYS Department of State (DOS), NYS Department of Environmental Conservation (DEC), and the NYS Environmental Facilities Corporation (EFC). To qualify for a higher funding threshold, the applicant must clearly demonstrate that other co-funded sources are firmly committed and in place at the time of application AND at least 20% of project costs must be from committed and available co-funding sources. If a higher co-funding amount is requested, consultation with NYS Office of Community Renewal is strongly encouraged.

**Ineligible Activities:**

- Assistance to buildings, or portions thereof, used for the general conduct of government.
- Expenses for the general conduct of government. However, costs directly attributable to administration of a local CDBG program may be considered for reimbursement.
- Purchase of equipment for local government with CDBG funds.
- Operating and maintenance expenses.
- The replacement of existing debt with CDBG funds
- Political or religious activities.
- Lobbying activities.
- Advancement (or escrow) of CDBG funds prior to local approval.

**Program Delivery and Administration Costs**

In addition to activity specific costs, CDBG funds can be used toward (1) general program administrative costs, as related to overall program planning and CDBG grant administration; and (2) activity delivery costs, as related to implementing and carrying out specific CDBG- eligible activities. Generally, administrative costs are salaries, wages and related costs of the grant recipient's staff, the staff of local public agencies, or other staff including consultants and subrecipients engaged in managing the CDBG program. Program delivery costs are those that can be attributed directly to implementation of the CDBG program, such as marketing, verifying eligibility, environmental review, legal expenses, and labor standards compliance.

Applicants may request up to 20% of the CDBG award in program delivery, administration, and engineering costs combined. Of the 20%, administration must not exceed more than 5% of the total CDBG award.

**Pre-Application Requirements:**

Prior to submission of an application, applicants must comply with public participation requirements including conducting a public hearing before a quorum of the full legislative body. The public hearing is held to provide an opportunity for citizen feedback on the community and economic development needs of the applicant community and any proposed project(s). Guidance specific to 24 CFR 570.486 and NYS Citizen Participation requirements is outlined in a Public Participation toolkit online with the funding round materials: <https://hcr.ny.gov/community-development-block-grant#funding-round-materials>.

Applications are strongly encouraged to use the model hearing materials provided. Failure to meet all citizen participation requirements will negatively impact the eligibility of the application.

**CDBG Selection Criteria**

The review process for the NYS CDBG Program is designed to ensure that the limited NYS CDBG funds available are awarded to communities that meet all the federal CDBG requirements, demonstrate a significant need for the proposed activity, demonstrate that the project is financially feasible, and show a significant positive impact to the community. Applications are rated and scored against the criteria listed below.

Need

The needs described in the application must correspond to the proposed activities and the extent to which the activity resolves or addresses the identified need. The application must clearly articulate and demonstrate the need for public investment in the proposed area and specific need for CDBG funds. A strong application will include supporting data, a relevant examination of that data used to demonstrate the severity of the need for the proposed project; documentation demonstrating other funding sources were pursued and/or other efforts taken to address the problem; documentation of a threat to public health and safety such as notice of violations or consent order; and that CDBG funds are necessary to induce the project. Additionally, applications that demonstrate broad local support and linkages between the proposed project and local planning and development efforts will be positively rated.

Impact

Applications will be evaluated based on the impact the proposed project and CDBG funds will have on the community. Measures the extent to which the project described in the application will have a positive public benefit and sustainable positive impact on the community and surrounding area. A strong application will include clear evidence to support a HUD national objective; clearly defined long-term benefits, or outcomes of the project including qualitative community improvements; demonstration that the project is affordable and will reduce or eliminate cost burden to low/moderate income households; and proposed accomplishments (jobs, units, people, etc.) are reasonable, achievable and not overstated. Additionally, projects that benefit a NYS Pro Housing community, incorporate smart growth principals, and consider M/WBE participation will be positively rated.

Administrative Capacity

Applications will be evaluated based on the applicant's capacity to administer CDBG funds. This evaluation includes consideration of the number of open CDBG contracts, on-going administrative concerns, and prior CDBG funding history. Factors such as slow rate of expenditure, contract time extensions and non-compliance with program requirements may negatively affect the scoring and/or funding of the current proposal. A strong application will include a demonstration of the applicant's understanding of CDBG requirements and cross-cutting federal and state requirements, and a project team that has experience delivering similar projects. If not, Applicant provides a strategy to assist in the implementation and compliance of the project. Additionally, a clear description of the applicant's organizational ability to manage funds responsibly including effective control and accountability for all funds including how funds will be tracked and monitored, is required.

#### Commitment and Readiness

Measures to the extent to which the applicant has organized the proposed project and has assembled sufficient resources to complete the project and achieve the goals and objectives of the program in a manner that is timely, effective and on-budget. A strong application will include a reasonable schedule and timeline of milestones that includes, evidence that no impediments exist or the degree to which all impediments such as procurement, permits, site control, etc. have been addressed, demonstrated ability to complete the project within the contract term, clear understanding of key CDBG program milestones, identified risks and allowances for potential delays, and documented commitments of all non-CDBG funding sources are provided (if CDBG funds are awarded, no funding gap remains).

#### Award Criteria Details:

- HTFC reserves the right to communicate with an applicant for the purpose of addressing clerical and mathematical errors in applications.
- HTFC reserves the right not to issue an award or contract to any applicant if it has been determined that the applicant is not in compliance with existing contracts and has not taken satisfactory steps to remedy such non-compliance. Activities that commence prior to contract execution and environmental review will not be eligible for reimbursement.
- HTFC reserves the right to award all, more than identified, a portion of, or none of the available funds based upon funding availability, feasibility of the applications received, the competitiveness of the applications, an applicant's ability to meet HTFC criteria for funding, the applicant's ability to advance the State's housing goals, and HTFC's assessment of cost reasonableness.
- HTFC reserves the right to award all, a portion of, or none of the application's requested amount, and further reserves the right to review an application requesting funds as an application for funding under other programs for which the proposed activity is eligible, and to change or disallow aspects of the applications received.
- HTFC reserves the right to waive any requirement contained in this RFA or revise the terms as needed.
- Award of funds does not confirm eligibility of all activities included in an application proposal, and HTFC reserves the right to change or disallow aspects of the applications received and may make such changes an expressed condition of its commitment to provide funding for proposed activities.

#### General Requirements

Upon award, all CDBG recipients will be required to comply with all federal, state, and local regulations and statutes as outlined in the certifications required by Title I of the Housing and Community

Development Act (HCDA) of 1974, as amended, including, but not limited to compliance with Title VI of the Civil Rights Act, the Fair Housing Act, and compliance with Section 3 of the HCDA. Recipients must ensure compliance with other statutory, regulatory and program requirements including, but not limited to Labor Standards, as applicable, annual reporting, conflict of interest, procurement, A-133 Audit, Civil Rights, and other requirements as outlined in the Office of Community Renewal Grant Administration Manual: <https://hcr.ny.gov/community-development-block-grant>

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

**Contract Term and Timeliness:**

If awarded, the contract term shall be twenty-five (25) months. However, Applicants proposing public infrastructure activities may request 37 months to complete the project, provided that final design is complete and the project is ready to bid within the first 12 months after award.

Recipients are obligated to report accomplishments and beneficiary information on an annual basis. This information must demonstrate the progress of the project and compliance with the national objective proposed in the application.

**Matching Fund Requirements:**

For Public Infrastructure projects a match is not required; however, bringing leveraged funds to a project may make the application more competitive. In-kind services, force account labor, and volunteer services cannot be used as demonstration of match.

**Additional Resources:**

For more information, applicants should contact the Office of Community Renewal at New York State Homes and Community Renewal at (518) 474-2057, [HCR\\_CFA@hcr.ny.gov](mailto:HCR_CFA@hcr.ny.gov) or visit <https://hcr.ny.gov/community-development-block-grant>.

## **Community Development Block Grant Program – Open Round** **Funding Available: Up to \$20 million**

### **Description:**

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

The primary objective of the CDBG program is the development of viable communities by providing decent housing and a suitable living environment and expanding opportunities, principally for person of low and moderate income (LMI). A low-and moderate-income person is defined as being a member of a household whose income is less than 80% of the area median income for the household size. A principal benefit to low- and moderate-income persons requires at least 51% of the project beneficiaries to qualify as low- and moderate-income.

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

Eligible applicants are non-entitlement units of general local government (Villages, Cities, Towns or Counties), excluding metropolitan cities, urban counties and Indian Tribes that are designated entitlement communities. Non-entitlement areas are defined as cities, towns and villages with populations of less than 50,000, except those designated principal cities of Metropolitan Statistical Areas, and counties with populations of less than 200,000. The NYS CDBG program does not provide direct financial assistance to businesses. For a list of eligible communities: <https://hcr.ny.gov/community-development-block-grant>

### **Eligible Activities:**

CDBG funding may be used for public facilities, community planning, economic development, and imminent threat activities as outlined below. Applicants are encouraged to contact OCR for additional guidance prior to applying at [HCR\\_CFA@hcr.ny.gov](mailto:HCR_CFA@hcr.ny.gov). Please include “CDBG 2026 Application” in the email subject line.

#### **A. Public Facility**

NYS CDBG funds may be used to undertake a variety of public facility and public improvement projects. In general, public facilities and public improvements include all facilities and improvements that are publicly owned, or that are owned by a nonprofit and open to the public.

Eligible activities include the acquisition, construction, reconstruction, rehabilitation, or installation of public facilities. Eligible types of facilities and improvements include, but are not limited to:

- Senior centers
- Accessibility modifications for the removal of architectural barriers
- Neighborhood facilities, including but not limited to, libraries, childcare centers, recreational facilities, parks, playgrounds
- Facilities for persons with special needs such as facilities for the homeless or domestic violence shelters, nursing homes, or group homes for the disabled
- Infrastructure improvements including construction and installation of streets, curbs, lighting and broadband

- Fire stations and equipment

Eligible costs associated with Public Facility activities may include energy efficiency improvements, and accessibility modifications to comply with the Americans with Disability Act (including improvements to buildings used for general conduct of government). Accessibility modifications are strictly limited to the removal of architectural barriers, such as installing lifts, automatic doors, or ramps. Projects that are applying for accessibility modifications for new construction are not eligible.

## **B. Community Planning**

CDBG Community Planning grants enable communities to conduct assessments and develop clearly articulated strategies for addressing local community development issues. The study, analysis and planning of any community planning activity should serve as a foundation for identifying eligible projects for subsequent applications, including CDBG. There are two categories of planning grants:

- **Community Needs Assessments:** A community needs assessment is a crucial step for communities seeking grants, as it establishes a clear understanding of the community's needs and how to address them. Funding may be used for housing needs assessments, market analysis, or similar assessments.
- **Project Readiness Plans:** Project driven planning activities are directly tied to a potential project and are to increase a project's readiness. Funding may be used for preliminary architectural and engineering design, and cost estimates.

Community Planning funding is not intended to result in a final/complete project design or bid package, but to support submission of a future CDBG application through the identification of a CDBG-eligible activity. The final report or work product will constitute third-party evidence of need (including cost estimates, if appropriate) that could be submitted as part of a future CDBG funding application.

Plan documents must be prepared by third-party professional service provider. While planning grants allow a small set-aside for grant administration, municipal staff time associated with preparation of the plan will not be reimbursed.

## **C. Economic Development**

CDBG funds may be used to assist a specific, stand-alone business or to assist a community establish a microenterprise assistance program to support multiple businesses.

### Stand-Alone Business Assistance

Funding is provided to eligible communities to provide financial assistance to for-profit businesses for an identified CDBG eligible activity which will result in the creation or retention of permanent, private sector job opportunities, principally for persons from low-moderate income families. This category may also include the improvement of publicly owned infrastructure necessary to stimulate business expansion and job creation.

Eligible costs include:

- acquisition of real property
- financing of machinery, furniture, fixtures and equipment
- working capital, including payroll

- inventory
- employee training expenses
- building construction and renovation.

Funding Structure:

- Maximum award amount of \$750,000 (minimum \$25,000)
- Business with more than 25 employees at the time of application may be eligible for up to \$15,000 for each Full Time Equivalent (FTE) job created or retained as a result of the CDBG assisted project
- Businesses with 25 employees or less at the time of application may be eligible for up to \$25,000 for each (FTE) job created or retained, up to a maximum of \$100,000 in CDBG assistance
- NYS CDBG funds can only fund up to 40% of a total project cost, not to exceed the maximum award amount. Applicants may request up to 50% for projects where cash equity meets or exceeds 20% of the total project costs
- NYS CDBG funds must be used as gap funding to induce the project

Applicants must perform thorough underwriting of the need to assist business based on HUD's underwriting criteria. Detailed information related to methodology and submission requirements can be found in Chapter 5, Eligible Activities, of the NYS CDBG Grant Administration Manual.

Microenterprise Assistance

Funding is provided to eligible communities to provide entrepreneurial training and financial assistance to for-profit businesses with five (5) or fewer employees, including the owner(s), for an identified CDBG eligible activity which will result in the creation or retention of permanent, private sector job opportunities, principally for persons from low-moderate income families. Businesses under this category may also meet HUD requirements if owned by a documented low to moderate income person.

Eligible costs include:

- Technical assistance and the cost to attend the required entrepreneurial training
- Inventory
- Procurement of machinery, furniture, fixtures and equipment
- Working capital
- Employee training

Funding Structure:

- Microenterprise owner(s) must complete an OCR approved entrepreneurial or small business training program prior to receiving CDBG Microenterprise grant funds.
- Maximum award amount of \$300,000 (minimum \$100,000) to support several microenterprises
- NYS CDBG Microenterprise funds must be allocated as a grant to each microenterprise
- Grant assistance to an individual microenterprise must be between \$5,000 and \$35,000
- Grants may not exceed 90% of the total project cost
- A minimum amount of 10% owner equity contribution

OCR provides a toolkit and form/template index for the Microenterprise Program. This toolkit provides all the resources needed to implement a successful local program of microenterprise assistance. This toolkit and all referenced materials can be found on the CDBG Economic Development website [here](#).

**D. Imminent Threat**

Funds may be requested to provide eligible municipal applicants financial support for activities that alleviate existing conditions that have a blighting influence or pose a serious and immediate threat to the health or welfare of the community. Applicants will be required to demonstrate a compelling need for the public investment and document that no other funding sources are available.

CDBG Imminent Threat funds may be used to cover costs associated with:

- Repairs or improvements to water/sewer systems, storm sewer drainage, flood walls, roads, sidewalks and culverts
- Demolition and/or clearance of damaged structures including environmental assessments and mitigation, site work, architectural, and engineering fees
- Public services required as a result of disaster

Qualified activities must meet the following criteria:

- The existing conditions must pose a serious and immediate threat to the health or welfare of the community;
- The existing conditions are of recent origin or recently became urgent, typically within 18 months of the disaster or event that caused the need. The Applicants certifies and OCR determines that:
  - The Applicant is unable to finance the activity on its own, and no other funding is available to address the problem; and
  - The CDBG funding will be directly targeted toward alleviation of the threatening condition(s).

OR

- The project is located in an area or at a located meeting the conditions of “blighted” and formally designated as such by the municipal applicant.

CDBG assistance will generally not be made available to projects with public facility failures resulting from neglected maintenance by a locality.

**Activity Funding Limits:**

<i>Activity Type</i>	<i>Minimum</i>	<i>Maximum</i>
Public Facilities		\$1,000,000
Community Planning		\$50,000
Stand-Alone Business Assistance	\$25,000	\$750,000
Microenterprise	\$100,000	\$300,000
Imminent Threat		\$1,000,000

**Ineligible Activities:**

- Assistance to buildings, or portions thereof, used for the general conduct of government.
- Expenses for the general conduct of government. However, costs directly attributable to administration of a local CDBG program may be considered for reimbursement.
- Purchase of equipment for local government with CDBG funds.
- Operating and maintenance expenses.
- The replacement of existing debt with CDBG funds
- Political or religious activities.
- Lobbying activities.
- For Economic Development only, assistance to a nonprofit is ineligible

**Program Delivery and Administration Costs**

In addition to activity specific costs, CDBG funds can be used toward (1) general program administrative costs, as related to overall program planning and CDBG grant administration; and (2) activity delivery costs, as related to implementing and carrying out specific CDBG- eligible activities. Generally, administrative costs are salaries, wages and related costs of the grant recipient's staff, the staff of local public agencies, or other staff including consultants and subrecipients engaged in managing the CDBG program. Program delivery costs are those that can be attributed directly to implementation of the CDBG program, such as marketing, verifying eligibility, environmental review, legal expenses, and labor standards compliance.

**Pre-Application Requirements:**

Prior to submission of an application, applicants must comply with public participation requirements including conducting a public hearing before a quorum of the full legislative body. The public hearing is held to provide an opportunity for citizen feedback on the community and economic development needs of the applicant community and any proposed project(s). Guidance specific to 24 CFR 570.486 and NYS Citizen Participation requirements is outlined in a Public Participation toolkit online with the funding round materials: <https://hcr.ny.gov/community-development-block-grant#funding-round-materials>.

Applications are strongly encouraged to use the model hearing materials provided. Failure to meet all citizen participation requirements will negatively impact the eligibility of the application.

**CDBG Selection Criteria**

The review process for the NYS CDBG Program is designed to ensure that the limited NYS CDBG funds available are awarded to communities that meet all the federal CDBG requirements, demonstrate a significant need for the proposed activity, demonstrate that the project is financially feasible, and show a significant positive impact to the community. Applications are rated and scored against the criteria listed below.

**Need**

The needs described in the application must correspond to the proposed activities and the extent to which the activity resolves or addresses the identified need. The application must clearly articulate and demonstrate the need for public investment in the proposed area and specific need for CDBG funds. A strong application will include data, and a relevant examination of that data used to demonstrate the severity of the need for the proposed project and the CDBG funds and provide documentation demonstrating other funding sources were pursued and/or other efforts taken to address the problem and that CDBG funds are necessary to induce the project. Additionally, applications that demonstrates

broad local support and linkages between the proposed project and local planning and development efforts will be positively rated.

#### Impact

Applications will be evaluated based on the impact the proposed project and CDBG funds will have on the community. Measures the extent to which the project described in the application will have a positive public benefit and sustainable positive impact on the community and surrounding area. A strong application will include clear evidence to support a HUD national objective; clearly defined long-term benefits, or outcomes of the project including qualitative community improvements; and proposed accomplishments (jobs, units, people, etc.) that are reasonable, achievable and not overstated. Additionally, projects that benefit a NYS Pro Housing community, incorporate smart growth principals, and consider M/WBE participation will be positively rated.

#### Administrative Capacity

Applications will be evaluated based on the applicant's capacity to administer CDBG funds. This evaluation includes consideration of the number of open CDBG contracts, on-going administrative concerns, and prior CDBG funding history. Factors such as slow rate of expenditure, contract time extensions and non-compliance with program requirements may negatively affect the scoring and/or funding of the current proposal. A strong application will include a demonstration of the applicant's understanding of CDBG requirements and cross-cutting federal and state requirements, and a project team that has experience delivering similar projects. If not, Applicant provides a strategy to assist in the implementation and compliance of the project. Additionally, a clear description of the applicant's organizational ability to manage funds responsibly including effective control and accountability for all funds including how funds will be tracked and monitored, is required.

#### Commitment and Readiness

Measures to the extent to which the applicant has organized the proposed project and has assembled sufficient resources to complete the project and achieve the goals and objectives of the program in a manner that is timely, effective and on-budget. A strong application will include a reasonable schedule and timeline of milestones that includes, evidence that no impediments exist or the degree to which all impediments such as procurement, permits, site control, etc. have been addressed, demonstrated ability to complete the project within the contract term, clear understanding of key CDBG program milestones, identified risks and allowances for potential delays, and documented commitments of all non-CDBG funding sources are provided (if CDBG funds are awarded, no funding gap remains). Additionally, applications should include an Environmental Review Record (ERR) under NEPA that is as complete as possible demonstrating that there are no permitting or regulatory hurdles to overcome.

#### **Award Criteria Details:**

- HTFC reserves the right to communicate with an applicant for the purpose of addressing clerical and mathematical errors in applications.
- HTFC reserves the right not to issue an award or contract to any applicant if it has been determined that the applicant is not in compliance with existing contracts and has not taken satisfactory steps to remedy such non-compliance. Activities that commence prior to contract execution and environmental review will not be eligible for reimbursement.
- HTFC reserves the right to award all, more than identified, a portion of, or none of the available funds based upon funding availability, feasibility of the applications received, the competitiveness of the applications, an applicant's ability to meet HTFC criteria for funding, the applicant's ability to

advance the State's housing goals, and HTFC's assessment of cost reasonableness.

- HTFC reserves the right to award all, a portion of, or none of the application's requested amount, and further reserves the right to review an application requesting funds as an application for funding under other programs for which the proposed activity is eligible, and to change or disallow aspects of the applications received.
- HTFC reserves the right to waive any requirement contained in this RFA or revise the terms as needed.
- Award of funds does not confirm eligibility of all activities included in an application proposal, and HTFC reserves the right to change or disallow aspects of the applications received and may make such changes an expressed condition of its commitment to provide funding for proposed activities.

### **General Requirements**

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

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

### **Contract Term and Timeliness:**

Due to HUD CDBG Program deadlines for commitment and expenditure, if awarded, the contract term shall be twenty-five (25) months for all activities except Community Planning. Community Planning activities have thirteen (13) month contract terms. However, Applicants proposing public infrastructure activities may request 37 months to complete the project, provided that final design is complete and the project is ready to bid within the first 12 months after award.

Recipients are obligated to report accomplishments and beneficiary information on an annual basis. This information must demonstrate the progress of the project and compliance with the national objective proposed in the application.

### **Additional Resources:**

For more information, applicants should contact the Office of Community Renewal at New York State Homes and Community Renewal at (518) 474-2057, [HCR\\_CFA@hcr.ny.gov](mailto:HCR_CFA@hcr.ny.gov) or visit <https://hcr.ny.gov/community-development-block-grant>.

# New York State Office of Parks, Recreation & Historic Preservation (OPRHP)

## **Environmental Protection Fund Grants Program for Parks, Preservation and Heritage (EPF)**

**Funding Available: Up to \$28.75 Million**

### **DESCRIPTION:**

Title 9 NYCRR (sections 439.1 – 443.4) implements the Environmental Protection Fund (EPF) Act of 1993 (Title 9 of Article 54 of the Environmental Conservation Law), which created OPRHP's program for Parks, Preservation and Heritage Grants.

EPF Parks, Preservation and Heritage (PPH) 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 in a high-poverty area as defined below. Grant awards are capped at \$675,000.

### **HOW TO APPLY:**

Applications are available through the annual cycle of New York State's Consolidated Funding Application (CFA). To apply, you must Register, or, if already registered, Log In at [apps.cio.ny.gov/apps/cfa/](https://apps.cio.ny.gov/apps/cfa/). There you can find the CFA Application Manual, which provides guidance on navigating the CFA. For questions concerning the CFA application portal, applicants should email [cfa-programs@ny.gov](mailto:cfa-programs@ny.gov). For questions on the EPF PPH Grant Program, applicants should email [NYSOPRHPGrants@parks.ny.gov](mailto:NYSOPRHPGrants@parks.ny.gov) or contact the Regional Grants Administrator for their county (see the Contact list on the EPF webpage (<https://parks.ny.gov/grants/environmental-protection-fund>)).

**Please note:** Only information and documentation provided in or uploaded to the online CFA application can be reviewed and scored.

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

- Municipalities
- State Agencies
- Public Benefit Corporations
- Public Authorities
- Not-for-profit Corporations that have tax-exempt status under the IRS code, are current with pertinent federal and state filings, and are pre-qualified in the Statewide Financial System (SFS): see <https://grantsmanagement.ny.gov/resources-grant-applicants>).

### **The applicant must have and document an ownership interest in the project property:**

- Where the applicant is not the property owner:
  - If the project is for planning only, the owner must grant permission to the applicant to access the site as necessary to complete the project.
  - If the project involves acquisition of the property, the application must include documentation of the owner's intent to sell, donate or transfer the property to the applicant.
  - If the project involves improvement/development of the property, the owner must agree to sign the grant contract and any long-term protection document.

- If there are additional parties with an ownership interest in the property, including lien holders, all parties must agree to sign the grant contract, and all lien holders must subordinate their interests to those of the State.

Requirements for documentation of ownership interest are spelled out below.

Applications with insufficient documentation will be deemed ineligible.

#### **ELIGIBLE ACTIVITIES:**

NYS OPRHP reserves the right to disqualify any application **at any time** for not meeting all eligibility requirements.

**Each application must address a single project location.** Applicants proposing projects at multiple locations must submit a separate application for each location. Any application that includes more than one location will be deemed ineligible.

Funding under the EPF Parks, Preservation and Heritage Grants program is available for the activities and programs described below. An application will be evaluated in all categories that the applicant has selected and for which the application qualifies. Applicants should be alert to the requirements for each category for which they wish the application to be considered.

**Parks Program** - for the acquisition, development or planning of parks and recreational facilities open to the public 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, hiking, 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/environmental-protection-fund>.

- To apply for funding, the historic property must be either listed on the State and/or National Registers, approved for nomination at the March 12, 2026, State Board for Historic Preservation meeting, or on the agenda for nomination review at the June 4, 2026, or September 9, 2026, meeting. Properties must be listed prior to receiving a grant award. Questions about, or proposals for, listing on the State or National Register should be directed to the OPRHP National Register Unit at (518) 268-2213.
- Grant funds cannot be used for constructing contemporary additions to a historic property unless that work will provide universal access and/or eliminate code deficiencies for access/egress, such as an elevator or stair tower.
- Multi-purpose additions to historic buildings and free-standing new construction on historic properties are not eligible for this grant program.
- The expense of packing/storing of furnishings and artwork is allowed when required to complete an awarded project for grant-assisted interior work, such as installation of a fire suppression system, or plaster/decorative finishes.
- For projects on sectarian properties, grant assistance can fund only costs necessary for historically accurate restoration to restore and preserve the historic integrity of the historic property, and only to the extent that those costs exceed the cost of basic rehabilitation. Information and instructions on how to structure/present a

sectarian project can be found at <https://parks.ny.gov/grants/environmental-protection-fund>.

**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. Property included in the application must fall within the Heritage Area boundary as defined by state designation under PRHP Law 35.03 and prior to receiving a grant award must be included in the approved Heritage Area Management Plan, published in the New York State Register, and approved by the local legislative body (city, town, or village) and the Commissioner. 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/environmental-protection-fund/heritage-areas>.

#### **PROGRAM BENEFIT AND LONG-TERM PROTECTION REQUIREMENTS:**

To ensure the public benefits from the investment of State funds, all properties acquired or developed with grant funds will require long-term protections. The method and term of the protection is dependent upon the type of applicant and project undertaken. Generally, the long-term protections include:

- Public access covenants or preservation covenants, for a specific term, conveyed to the State and recorded against a property deed, run with the land and apply to the grant recipient, and all successive owners, operators and lessees.
- Perpetual preservation covenants or conservation easements conveyed to the State and recorded against a property deed, run with the land and apply to all successive owners, operators and lessees.
- Municipal parkland acquired or improved with EPF funding must remain parkland in perpetuity. Such real property shall not be sold, leased, exchanged, donated or otherwise disposed of or used for other than public park purposes without the express authority of an act of the legislature which shall provide for the substitution of other lands of equal environmental value and fair market value, reasonably equivalent usefulness and location, and such other requirements as shall be approved by the Commissioner.

Sample documents are located at <https://parks.ny.gov/grants/environmental-protection-fund> under Long Term Protections. For municipal parkland, information is available in the "Handbook on the Alienation and Conversion of Municipal Parkland," located at <https://parks.ny.gov/about/guidance-policy> under Parkland Alienation.

#### **ALLOWABLE COSTS:**

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

## Eligible budget items include:

### Pre-Development Planning and Design

- Design Fees and other Professional Fees are allowed for the preparation of construction documents and to satisfy other pre-construction requirements. Pre-development costs must be incurred during the project term or in the three years prior to the application deadline. In general, pre-development costs should not exceed fifteen percent (15%) of the construction costs.
- Archaeology includes field work, report writing, curation of artifacts and interpretation. If your project includes any ground-disturbing activity (e.g., trenching, grading, demolition, new construction, etc.), it is very likely that an archaeological survey will be required, unless you can provide adequate documentation of prior ground disturbance. Your budget should take into account the need for an archaeological survey. General information can be found at <https://parks.ny.gov/shpo/> on the Archaeology and Environmental Review tabs.
- Project planning is eligible for stand-alone funding in all three programs. This funding is intended for **project-specific planning** to develop actionable plans for a buildable project that falls within the program parameters defined above, not for broader planning processes such as comprehensive Open Space, Management or Master Plans, or speculative feasibility studies. Eligible projects include preparing site designs, schematic drawings, structural assessments, environmental reviews, and/or design or material specifications for specific park or historic property improvements.
- All grantees receiving state aid for acquisition, development, renovation or restoration projects must provide a dated and signed project boundary map of the park, recreation, heritage or historic preservation area affected by the funding, which reflects the legal description in the deed(s) to the property, including lands under water. The cost of surveying or production of a map to fulfill this requirement can be included in the project budget.

### Construction

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

## Acquisition

- The application must identify each parcel proposed for acquisition, the type of interest to be acquired (fee simple or permanent easement) and method of acquisition (purchase, donation, or transfer from another use), number of acres, and estimated fair market value of the parcel(s), documented by a written appraisal valuation (desktop appraisal or exterior only appraisal) by a qualified appraiser. Acquisition costs must be incurred during the project term or up to one year prior to the application deadline.
- Associated acquisition costs, such as the cost of appraisals (one appraisal is required for any parcel valued under \$300,000; two appraisals are required for any parcel valued at \$300,000 or more), surveys, title search, legal fees, title insurance (required for this grant) and, where a conservation easement is required, title continuation and recordation are eligible costs.
- In the case where multiple parcels owned by the same entity are to be valued, the appraiser will first determine the highest and best use of the parcels. The highest and best use analysis will determine if the parcels should be marketed as one unit or whether they would have a higher value if marketed separately. If the parcels should be marketed separately, then each one will require its own valuation. Under no circumstances should parcels owned by different entities be valued in the same appraisal.

## Administration

- **Construction Supervision** costs are those associated with the coordination, supervision, and scheduling of work to ensure projects are completed in conformance with design standards, construction contract documents, plans and specifications. They may be provided by a qualified member of the applicant's staff, the design professional who prepared the construction documents, or a clerk of the works. [See Project Management under SUCCESSFUL APPLICANT REQUIREMENTS below for additional information.]
- **Grant Administration** costs include expenses associated with administering the grant after it is awarded, such as preparing the grant contract, affirmative action, and payment request documentation. In general, these costs **should not exceed ten percent (10%) of the grant amount**. The cost of preparing this application is **NOT** eligible.
- **Procurement Costs** include costs for assuring competitive pricing, such as costs for distributing Requests for Proposals and for public advertising for bids, including the cost of advertising in specialty publications, such as minority newspapers and appropriate construction publications.
- **Audit:** An accounting of grant expenditures and revenues is required. Generally, this is accomplished by detailed auditing of every payment request. Depending upon the grant award and complexity, the State may require an Agreed Upon Procedure Review (AUPR) performed by a representative of the State or a Certified Public Accountant prior to the final reimbursement.
- **Project Sign:** All grant-funded projects, except for those funding planning only, must have a project sign noting the funding assistance. Sign specifications are available at <https://parks.ny.gov/grants/environmental-protection-fund>.

### **INELIGIBLE COSTS** (cannot be included in approved scope of work if application is successful):

- Work completed prior to award is not eligible for reimbursement or for match. There are two exceptions:
  1. Professional services and materials purchased or donated, but not installed, up to

three years prior to the application deadline may be applied toward the matching share.

2. Acquisition costs retroactive no more than one year prior to the application deadline are eligible costs.
  - Surveys and assessments to identify broad goals and needs, such as Comprehensive Open Space Plans, Area Management Plans, Park Master Plans, or System Needs Assessments that do not result in project-specific actionable designs.
  - Application preparation.
  - Contingencies, training, travel, OJT wages, working capital, marketing, taxes, interest, purchase of operational or maintenance equipment, salaries and wages, indirect costs, overhead or operating expenses, rent/lease are ineligible unless noted otherwise above.
  - Fundraising events/expenses.
  - Bond interest and associated fees. The interest associated with a Bond or Bond Anticipation Note (BAN) cannot be calculated into project cost, whether for reimbursement or local match.
  - Lobbying expenses.
  - Costs that are not adequately justified or that do not directly support the project.
  - Security cameras, solar panels, Electric Vehicle (EV) charging stations.
  - Work occurring on property without a documented ownership interest held by the sponsor (e.g., on road crossings and crosswalks within DOT Right of Way.)

#### **MATCHING SHARE (APPLICANT SHARE) REQUIREMENTS:**

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

Successful applicants are reimbursed for up to 50% of their approved eligible costs. For projects located in impoverished areas (as defined by 10% or more of the population below the poverty level according to the most recent Census data as provided in the “Percent Below Poverty Level Table by ZIP Code Tabulation Area (ZCTA)” (posted at <https://parks.ny.gov/grants/environmental-protection-fund>), the reimbursement can be up to 75% of the approved eligible project cost.

All applicants are expected to raise their share within one year of the award, or risk cancellation of the grant.

#### **Principal types of applicant share are:**

- **Cash:** Includes grants other than this grant request.
  - ◆ Other Environmental Protection Fund grants (i.e., Climate Smart Communities, Water Quality Improvement Project, Local Waterfront Revitalization Program, Greenway Conservancy Trail Grant Program, etc.) cannot be used as match.
- **Force Account:** Applicant’s payroll expenses itemized according to job title or job assignment on project. Grant recipients will be required to document time worked, tasks, pay ratio and payment (including components and percentage of fringe benefit rate).
- **Professional Services:** The value of services provided by professional and technical personnel and consultants. Three-year retroactivity applies.
- **Supplies and Materials:** The fair market value of items warehoused (not yet installed). Three- year retroactivity applies; use value current at time items were obtained.
- **Volunteer Labor:** Skilled and professional labor can be computed at the job rate. The

value for labor (unskilled labor and work performed by professionals or skilled laborers in an area outside of their area of expertise) of an adult (18 and over) donating time to a project may be computed up to the amount identified as the Value of Volunteer Time for New York State at <https://independentsector.org/>. For example, a lawyer donating legal services may compute the value based on the standard billing rate, but the value for the same lawyer donating time painting walls will be computed up to the amount identified as the Value of Volunteer Time for New York State, which is currently \$39.50.

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

**FUNDING PRIORITIES: OPRHP COMMISSIONER PRIORITIES FOR 2026:**

- A. Projects that enhance and/or create opportunities for walkable public spaces for recreation, fitness, mental health and well-being, particularly in underserved neighborhoods (i.e., build green space, revitalize existing athletic and recreational facilities, create and enhance amenities at pocket parks, historic properties and community gardens).
- B. Projects that enhance, extend, or complement multi-use pedestrian and bicycle trails, creating physical and functional connections among already-protected state and local lands, historic properties, greenways, trails and waterways. For example, projects may include landscape and trail improvements and special features or signage to improve programming and interpretation.
- C. Projects that advance and/or complement transformational projects across the State to enhance sustainability and resilience, especially in underserved communities, to address and prepare for the impacts of climate change. Priority projects would enhance recreation while: fostering stewardship, preserving open space, restoring natural communities, implementing climate resilient infrastructure, and reducing flood risk.
- D. Projects designed to enhance inclusion by removing barriers, providing accommodation, and expanding visitor access and amenities to welcome new visitors, including those previously marginalized. Examples include: enhanced gateways to parks, trails, and historic properties; signage to improve programming and interpretation with an emphasis on marginalized/underserved populations (i.e., multi-lingual and/or pictorial signage); recreational and interpretive facilities serving people of diverse abilities; accessibility compliance; unisex public restroom facilities; reopening (i.e., modernize, rehabilitate, restore) shuttered recreational or historic facilities in distressed neighborhoods, etc.
- E. Projects that are undertaken by OPRHP Friends organizations or other partner groups that occur in State Parks or State Historic Sites.

**ATTACHMENTS TO SUPPORT APPLICATION:**

Your application requires you to upload supporting documents. Before you begin to prepare the supporting documents, go to the Documents tab within the Consolidated Funding Application to review size limits and acceptable file formats, including how to combine multiple files into a single file. *It is also advisable to use short naming conventions when labeling each file; longer named attachments may*

*prevent the file from being opened.*

You may proceed with your application without uploading these documents. However, since supporting documents are required, you must return to the Documents section and upload the required documents before you can finalize and submit your online application.

For assistance scanning your documents, please contact the Regional Grants Administrator for your County at <https://parks.ny.gov/grants/environmental-protection-fund>.

#### **ATTACHMENT REQUIREMENTS:**

Attachments listed in this section of the guidance document are required of every application as indicated. All documents should be current to this grant cycle.

Applications lacking these attachments (or an acceptable explanation) are considered incomplete, and may cause the application to be deemed ineligible, or adversely affect the rating points assigned. Depending upon the particular circumstances of your project, other attachments may be required. Still other attachments, while not required, may be essential to support rating points. See the ADDITIONAL RESOURCES section at the end of this document, and the Attachment Checklist at <https://parks.ny.gov/grants/environmental-protection-fund> for additional guidance on required documents as well as supporting documentation that is requested but not required. For questions contact the Regional Grants Administrator for your county.

#### **For All Applicants: NEW in 2026: Gender-Based Violence in the Workplace Policy Certification**

- In compliance with NYS Finance Law §139-M, all applicants, including municipalities, must certify that they have a written policy addressing gender-based violence and the workplace and that such policy meets the following minimum requirements:
  - ◆ Share Information: Employers must provide information regarding gender-based violence where employees can see and access it, including displaying the NYS Domestic and Sexual Violence Hotline information and a gender-based violence and the workplace poster.
  - ◆ Refer Employee-Survivors to Services: The policy must require that the employer refer employees who disclose current or past victim status to the NYS Domestic and Sexual Violence Hotline and/or a local service provider. For bidders outside of New York State, referrals should be made to a local provider or statewide hotline. While referrals are required to be provided by the employer, it is not required for the employee to access services.
  - ◆ Prohibit Retaliation: The policy must clearly state that discrimination or retaliation against employees who identify as victims or survivors of gender-based violence is prohibited.
  - ◆ Comply with Laws: Ensure your policy follows State law. For employers based in New York State, this means that the policy must follow the SAFE Leave Act, New York State Human Rights Law, and any other relevant laws and regulations.
  - ◆ Offer Implementation Support: OPDV is able to assist employers in developing and implementing this policy. Employers must provide information to supervisors and human resources, where available, about this technical assistance from OPDV. OPDV can be contacted at [workplace@opdv.ny.gov](mailto:workplace@opdv.ny.gov).

For organizations without an existing, compliant policy, completion of the **Statement in Lieu of Gender-Based Violence and the Workplace Certification** is required, attesting to the intention to adopt a gender-based violence and the workplace policy in compliance with NYS Finance Law

§139-M prior to contracting, if awarded.

**Templates** for the Certification or Statement are online at <https://parks.ny.gov/grants/environmental-protection-fund>.

■ **Documentation of ownership interest (including lands under water):**

◆ **If the applicant owns the property, provide:**

- a clear and legible copy of the current **recorded deed(s)** to the property in the name of the applicant, showing Liber and Page number or electronic filing number of recording;

If there is no recorded deed for the property, provide written evidence establishing prior ownership and history of conveyance of ownership (e.g., a will/testament, foreclosure judgment, etc.) or other explanation and relevant legal findings.

- copies of any **documents restricting ownership**, such as liens, leases, or easements on the property; and
- a **map that reflects the property boundary as described in the deed(s)**. For parkland, the deed(s) and map should encompass the entire park, which will be dedicated as parkland in perpetuity. For historic property, the map should show as much of the property under the applicant's ownership as is designated on or nominated to the National and State Registers of Historic Preservation.

◆ **If the applicant is not the property owner:**

- Provide **documentation of the applicant's interest in the project site** such as a lease, easement, contract or memorandum of understanding. The lease or agreement must be current at the time of application and its term must be of sufficient duration and stability to assure compliance with EPF rules and regulations (typically, 10 to 25 years).
- If the project is for **planning only**, provide a letter or agreement in which the owner acknowledges awareness of the application and grants the applicant permission to access the site as necessary to complete the project.
- If the project involves **acquisition** of the property, the application must include documentation of the owner's intent to sell, donate or transfer the property to the applicant.
- If the project involves **improvement/development of the property**, provide a letter from the owner(s) agreeing to sign the grant contract and any long-term protection document (see templates at <https://parks.ny.gov/grants/environmental-protection-fund>).

- ◆ If there are additional parties with an ownership interest in the property, including lien holders, provide written agreement from all parties to sign the grant contract and written agreement from all lien holders to subordinate their interests to those of the State.

If the applicant fails to satisfy the documented proof of ownership requirements, the application will be deemed ineligible.

■ **Cost Share Summary and Budget**

Provide a budget detailing the total cost of the project, and sources of the applicant's match. See ALLOWABLE COSTS and MATCHING SHARE, and the Cost Share and Budget Help with

sample Cost Share summaries available at <https://parks.ny.gov/grants/environmental-protection-fund>. Applicants should complete the appropriate blank EPF Cost Share Summary form provided in Excel (spreadsheet) or fillable Portable Document Format (pdf) to upload to the appropriate application attachment question in the CFA.

■ **State Environmental Quality Review Act (SEQR) compliance documentation:**

- ◆ ***NOT-FOR-PROFIT CORPORATIONS:*** Complete the “Environmental Review Form” available online at <https://parks.ny.gov/grants/environmental-protection-fund>. Also include with your application clear drawings, maps, or plans of existing and proposed natural and man-made conditions on the site and the areas immediately adjacent to the site.
- ◆ ***MUNICIPALITIES:*** Municipalities must document or describe where they are in the SEQR process. The municipality will be the SEQR lead agency if OPRHP is the only other agency involved. If there are other involved agencies (e.g., the Department of Environmental Conservation (DEC) via a required permit), the municipality is responsible for initiating lead agency designation procedures. The lead agency is required to classify projects under SEQR.
  - If your project is classified Type II, it is not subject to further review under SEQR. Required documentation: a statement on municipal letterhead indicating the Type II classification and the reason for the Type II classification.
  - If the project is Unlisted, a completed Environmental Assessment Form (EAF -- Short or Full EAF, as appropriate to the project scope) (Parts I-III), Determination of Significance, and, if required by the foregoing, a Final Environmental Impact Statement (FEIS) and a SEQR Findings Statement.
  - If the project is Type I, a completed Full Environmental Assessment Form (Parts I-III), Determination of Significance, and, if required by the foregoing, a Final Environmental Impact Statement (FEIS) and a SEQR Findings Statement.
- ◆ For further SEQR Guidance, go to: <https://dec.ny.gov/regulatory/permits-licenses/seqr>.

■ **Photos** showing the project area

Provide images (scanned photographs or born-digital; photocopies are not acceptable substitutes) showing the overall project area and documenting existing conditions. Include photos of any structures more than 50 years old within, or immediately adjacent to, the project area. Provide views to these features from the project site, as well as views of the project site from them. Photographs must reflect current conditions. Images that are freely available on the internet may not show current, actual conditions. Key all images to a schematic site plan (see below). For an optimal review of the project, photography tips and guidance can be found at <https://parks.ny.gov/grants/environmental-protection-fund>.

■ **Schematic Site Plan**

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

- ◆ For parks, the site plan should identify the boundary of the park that is the subject of the application and show how it relates to the surrounding areas (properties adjoining the site, roadways, water bodies, public access), what facilities are currently existing

on the proposed site (arrows or legend to indicate type - baseball fields, playgrounds, pavilions, parking areas, public access to the site, links to surrounding areas via trails, etc. and location of those facilities within the park), and what facilities are being proposed (type and location). The plan should be linked to photos showing the subject area and surrounding areas, the narrative describing the work being contemplated, and the budget showing estimated costs.

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

- **Topographic or Planimetric map at 1:24,000 scale with the subject property circled**  
Submit a 1:24,000 scale USGS or DOT planimetric map with the subject property circled. An 8½"x 11" section, copy, or printout is acceptable, so long as it shows at least 1:24,000 scale and is clearly marked as to scale and source, including Quad Name and/or Code. We recommend using the online, layered "Grants Map for CFA," accessed via <https://parks.ny.gov/grants/environmental-protection-fund> and the instruction document, "Using the Grants Map for CFA." Another source for downloadable, printable maps is the NYS GIS Clearinghouse <http://gis.ny.gov/gisdata/quads/>. In addition, you may submit any other site map that is available which will help to locate the specific project site.

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

**Prequalification in the Statewide Financial System (SFS) is required.** Grant proposals received from nonprofit applicants that are not Prequalified in SFS at the application due date and time will not be evaluated. Such proposals will be disqualified from further consideration. Keep in mind the status may expire during the evaluation period, so it is a best practice to double check the status before the application deadline. Further information is available at <https://grantsmanagement.ny.gov/get-prequalified>.

**Disclaimer:** New York State reserves 5-10 business days from the receipt of complete Prequalification applications to conduct its review. If supplementary information or updates are required, review times will be longer. Due to the length of time this process could take to complete, it is advised that nonprofits Prequalify as soon as possible.

Failure to successfully complete the Prequalification process early enough may result in a grant application being disqualified.

#### **For Not-for-Profit Applicants applying for a project under the Parks Program:**

**Except for projects on State lands, a resolution of municipal endorsement,** passed by the governing body of the municipality in which the project is located, which stipulates the approval/endorsement of the application. For projects in New York City, approval/endorsement by the Community Board(s) in which the project is located AND a letter of support from the Borough President(s) where the project is located may be submitted as an alternative to the municipal endorsement. For projects involving multiple municipalities, the endorsement is required from the municipality with planning jurisdiction (e.g., the county) and all municipalities

encompassing affected property. See a sample of an acceptable resolution of “Municipal Endorsement” at <https://parks.ny.gov/grants/environmental-protection-fund>.

**For Historic Preservation Applicants:**

Documentation of State/National Register listing or scheduled nomination review.

**For Heritage Area Applicants:**

**Written approval/endorsement of the project by the local heritage area management entity**, if it is not the project sponsor, is required with the application. The letter should reference the appropriate Heritage Area management plan and relevant Heritage Area resources and goals. For 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/environmental-protection-fund/heritage-areas>.

**For Applicants proposing to undertake work in a State Park or Historic Site:**

- **NEW for 2026:** Documentation of an agreement/authorization currently in place, such as a Memorandum of Understanding (MOU), Memoranda of Agreement (MOA), Cooperative Agreement, Partnership Agreement, or permit for implementation of the project.
- Letter(s) of support from the Regional Director AND Capital Facilities Manager. One letter of support may be provided with both signatures.

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

- **A written appraisal valuation** (desktop appraisal or exterior only appraisal) by a qualified appraiser for all property that will be acquired or used as match as part of the proposal.

**For Applications where more than 15% of the total project cost is for planning expenses for a specific project:**

- To justify the proposed consultant costs, two estimates are required. For planning budgets involving just the preparation of plans and specifications, provide at least two professional estimates for the preparation of these documents or provide two professional estimates of the proposed construction costs or submitted construction bids and identify the percentage of the professional fee to prepare plans and specifications.
- Historic Preservation or Heritage Area planning projects (condition studies, Historic Structures Report, Cultural Landscape Report, etc.): submit two estimates and documentation of consultants’ qualifications and/or licenses (for historic preservation professionals, see “Historic Preservation Terms and Professional Qualifications” available at <https://parks.ny.gov/grants/environmental-protection-fund>).

**For Applications where Parkland is being Alienated:**

If the project is located in a public park facility, all or part of which is being sold, leased, exchanged, donated, disposed of or used for other than public park purposes, a copy of the **proposed or enacted legislation authorizing the alienation**.

**SUPPORTING DOCUMENTATION:**

Depending upon the particular circumstances of your project, other attachments may be required. Still other attachments, while not required, may be essential to support rating points. All documents should be current to this grant cycle. See below for a list of supporting documentation.

- Evidence of local historic preservation or landmark designation
- Federal, Statewide, Regional and Local Planning Documents; provide clearly marked excerpts in support of the project narrative AND documentation that the plans cited reflect current need.
- Documentation of community need and involvement may include evidence of current community involvement and support, such as news articles, press releases, agenda/minutes of public meetings, newsletters, fundraising campaign documents, community reports, etc. Provide copies of official project endorsements, partnerships, and letters of support (especially those from people directly impacted by the project).
- Documentation from State agencies regarding remediated brownfields, protected species, habitats, etc.
- Documentation of pre-construction planning, procurement of services, consultant qualifications, etc.
- Ground disturbance documentation
- All official project endorsements, partnerships, and letters of support

#### **ADDITIONAL RESOURCES:**

Visit <https://parks.ny.gov/grants/environmental-protection-fund> to view forms and resources containing additional instructions concerning attachments to the application. If you have questions about the EPF Parks, Preservation and Heritage grant program or wish to discuss your project proposal, contact the Regional Grants Administrator (RGA) for your county or [NYSOPRHPGrants@parks.ny.gov](mailto:NYSOPRHPGrants@parks.ny.gov).

Applicants are encouraged to use the online layered “Grants Map for CFA” to help answer application questions in the CFA, including questions concerning how to identify the appropriate Regional Economic Development Council, ZIP Code Tabulation Area (ZCTA) and Poverty data, save and print or upload a 1:24,000 scale topographic or planimetric map, etc. for the project location. The instruction document, “Using the Grants Map for CFA,” outlines how to use the features of the layered map.

#### **GRANT SELECTION CRITERIA:**

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

#### **I. Project Impact (up to 30 points)**

##### **For Parks Projects:**

##### **A. Need, as determined by a statewide assessment (0-5):**

- For recreation projects: SCORP Relative Index of Needs
- For open space/conservation projects: NYS Open Space Conservation Plan

##### **B. Community Impact and Need (0-25).** The application should document both the extent of a need and how the project will address that need.

Population Served: The degree to which the project will primarily serve a densely populated area, an area where a substantial proportion of the population is of low income, and/or a population that is otherwise disadvantaged or underserved with respect to existing recreational opportunities. For example, will it meet the needs of an aging

population, encourage participation by youth and teens, respond to population and social changes in the community, and/or ensure open and reasonable access to persons of various abilities.

**Need for Facilities:** The degree to which local recreation, conservation or open space deficiencies will be addressed by the project. Evidence of need can include documentation of:

- For recreation projects: number of similar facilities in the service area; level of use of existing facility and anticipated level of use of proposed facility; condition of facilities, including evidence of physical deterioration, decay, neglect, or disinvestment; emergencies, mandates, or development pressure.
- For open space/conservation projects: protection of watershed, aquifer, animal or plant species, significant natural communities, or other natural, scenic or open space resources that are unique, rare, or of statewide or regional significance; wetlands, shorelines, unique areas, biodiversity areas, wildlife habitats, forested wildlife, flood plains; improved access to water or public fishing rights, trails or greenways; increased land for active recreation in existing or new parklands, buffer zone/viewshed to enhance or protect existing recreational or environmental resources; or a recognized brownfield site for park development.

#### **For Historic Preservation Projects:**

- A. Level of Significance (0-15).** Points are awarded based on the level and area(s) of significance of the property (as recorded in the State/National Register nomination or in the National Historic Landmark documentation), consideration of the significance of the specific feature(s) of the property to be addressed in the proposed project (e.g., a primary contributing resource versus a secondary contributing resource), and the extent to which the project protects, enhances or impacts that property and feature(s).
- B. Severity/Immediacy of Threat (0-15).** Points are awarded based on the type (e.g., deterioration, damage, demolition, inappropriate development), extent (e.g., isolated, widespread, accelerated), severity, immediacy, and degree (e.g., recent, on-going, imminent) of threat to the property from negligence, development pressure, inappropriate treatment, etc., and the degree to which the project addresses that need and ensures the long-term preservation of the property.

#### **For Heritage Area Projects:**

- A. Addresses significant Heritage Area resources (0-5).** Points are awarded based on how well the project contributes to the preservation, restoration, or enhancement of natural, historic, or cultural resources related to the Heritage Area's interpretive theme(s) as established in its approved management plan.
- B. Addresses Heritage Area goals (0-15).** Points are awarded based upon how the project addresses the Heritage Area goals of preservation/conservation, education/interpretation, recreation, and economic revitalization. At a minimum, a Heritage Area project will address one Heritage Area goal, but a typical Heritage Area project addresses two or more. Therefore, points should reflect both the number of goals met and how well they are met.
- C. Enhances the Heritage Area Experience (0-10).** Points are awarded based upon the

degree to which the project directly serves or benefits heritage area visitors and users, enhances the function and visual quality of the heritage area, and/or contributes to the local economy.

## **II. Community Engagement and Planning (up to 10 points):**

**A. Community Support:** Points are based on evidence of community support of and involvement in the project, including efforts to publicize and/or engage the community in project planning, such as:

- letters of support, especially those from people directly impacted by the project,
- official project endorsements/partnerships and other evidence that the project is supported by local elected officials and community groups, such as land trusts, recreation committees, environmental councils, preservation boards, friends groups, local activists
- press releases/announcements/publicity
- plans for public outreach or fundraising campaign
- news articles
- records of public meetings including project-specific meetings (such as press event), official government reviews (e.g., Community Board, Planning Board, etc.) and presentations to a group such as a neighborhood association or interest group

**B. Consistency with Plans:** The degree to which the project relates or contributes to official planning documents cited and submitted with the application. Relevant documents include, but are not limited to:

- NYS Open Space Conservation Plan as a priority project
- New York State Historic Preservation Plan
- New York Statewide Trails Plan/New York Statewide Greenway Trails Plan
- State or National Heritage Area Management Plans
- Local Waterfront Revitalization Program (LWRP)
- Recognized local Open Space Plan
- Local historic preservation ordinance/designations
- Community participation in the Certified Local Government (CLG) Program
- Other state/federal/local plans, such as Preserve America designation, Path Through History, etc.
- Community comprehensive or master plans or other local plans
- Project implements a prior Planning grant

**III. Reasonableness of Cost (0-20).** The degree to which the project budget, planning, and administrative structures demonstrate fiscal prudence and readiness to proceed.

### **A. Budget**

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

### **B. Readiness**

- Necessary project planning and document preparation has been completed.
- Qualified project professionals, properly procured/hired, are on hand.

- Proposed project/work is appropriate and conforms to accepted professional standards.
- Application evidences viable strategy and resources for implementing/operating and maintaining the project in the future.

**C. Feasibility**

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

**IV. OPRHP Commissioner Priorities for 2026 (0-10)**

- A.** Projects that enhance and/or create opportunities for walkable public spaces for recreation, fitness, mental health and well-being, particularly in underserved neighborhoods (i.e., build green space, revitalize existing athletic and recreational facilities, create and enhance amenities at pocket parks, historic properties and community gardens).
- B.** Projects that enhance, extend, or complement multi-use pedestrian and bicycle trails, creating physical and functional connections among already-protected state and local lands, historic properties, greenways, trails and waterways. For example, projects may include landscape and trail improvements and special features or signage to improve programming and interpretation.
- C.** Projects that advance and/or complement transformational projects across the State to enhance sustainability and resilience, especially in underserved communities, to address and prepare for the impacts of climate change. Priority projects would enhance recreation while: fostering stewardship, preserving open space, restoring natural communities, implementing climate resilient infrastructure, and reducing flood risk.
- D.** Projects designed to enhance inclusion by removing barriers, providing accommodation, and expanding visitor access and amenities to welcome new visitors, including those previously marginalized. Examples include: enhanced gateways to parks, trails, and historic properties; signage to improve programming and interpretation with an emphasis on marginalized/underserved populations (i.e., multi-lingual and/or pictorial signage); recreational and interpretive facilities serving people of diverse abilities; accessibility compliance; unisex public restroom facilities; reopening (i.e., modernize, rehabilitate, restore) shuttered recreational or historic facilities in distressed neighborhoods, etc.
- E.** Projects that are undertaken by OPRHP Friends organizations or other partner groups that occur in State Parks or State Historic Sites.

**V. Regional Economic Development Council Assessment (0-20).** Statewide CFA Endorsement Standards from the REDC Guidebook at <https://regionalcouncils.ny.gov/>

**VI. Statewide Assessment “Commissioner Points” (0-10)**

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

area of the developed or planned facilities.

- B. Maximize Use and Accessibility.** Consideration may be given to projects where funding will allow underutilized facilities to be accessed or to develop underutilized resources for public use. This will be based on the resources offered by the facility, the use of those resources and whether the proposed project will help the facility expand and enhance its public use.
- C. Special Engineering, Environmental, Preservation Benefits.** Consideration may be given to develop particularly significant resources and facilities or to develop innovative approaches to preserve valuable resources. This will be based on the type of resource being developed or rehabilitated; its rarity on a local, regional, statewide, and national basis; the ability of an innovative technology to address an emergency or mitigate future problems; how well a technology can be “exported” for use on other properties and resources; and how/if the project will allow public access that would not otherwise be available.
- D. Past Performance.** Consideration may be given to how timely an applicant completed previous projects, including its reporting requirements; how successful it was in outreach, especially to minority- and woman-owned businesses; the ongoing upkeep and maintenance of the property; and its cooperation in allowing OPRHP to complete inspections and other follow-up activities.

#### **TOTAL (0-100)**

**VII. Project in a Hudson River Greenway Compact Community (2 points)** Award points if the proposed project is located in a Hudson River Valley Greenway Compact Community, and the application documents that the project is consistent with the Greenway criteria of natural and cultural resource protection, regional planning, economic development, heritage and environmental education, and/or public access to the Hudson River (for information, go to: <https://hudsongreenway.ny.gov/community-planning> or the Greenway map at <https://hudsongreenway.ny.gov/greenway-area-map>).

#### **AWARD CRITERIA DETAILS**

- **ELIGIBLE AREA, CITY, COUNTY, POPULATION LIMITS OR POPULATION TARGET TYPES:**
  - ◆ The enacted budget specifies a portion of the appropriation that must be awarded to projects located in densely populated and/or underserved areas. In addition, a portion of the appropriation is directed to specific line items which impacts the funds available for the competitive program.
- **LIMITATIONS:**
  - ◆ While applicants may apply for more than one grant category funded under OPRHP’S EPF Program, no project will receive more than one grant award in any funding year. There is no statutory limit on the number of grants one property, or one applicant may receive, but in the interest of equity and fairness and in consideration of applicant capacity, applicants that have three or more open grants with OPRHP should not receive additional awards.
  - ◆ **There is an administrative cap of \$675,000.**
  - ◆ Should project costs increase post-award, the grant award **will not** be adjusted upward.

- **LONG RANGE GOALS:** Special consideration should be given to projects that are referenced in the Statewide Comprehensive Outdoor Recreation Plan (SCORP), the NYS Open Space Conservation Plan (OSP), or included in other state and local planning initiatives.
- **PROJECT TERM COMPLETION DATES:** Once all conditions of award are met (see **SUCCESSFUL APPLICANT REQUIREMENTS** below) and a grant contract is executed with the State, it is anticipated that acquisition and planning projects will be completed within one year and construction projects within two years; projects must be completed within five years from the date of the award of the grant. OPRHP will monitor the progress of project work and will recapture awarded funds if significant progress is not made.

**SUCCESSFUL APPLICANT REQUIREMENTS:**

Successful applicants will be notified of their award, including those elements of the proposed scope and budget that have been accepted for funding. Successful applicants are advised NOT to begin work until a grant contract with the State has been fully executed. Proceeding without advance OPRHP approval will jeopardize grant reimbursement.

Certain **conditions of award** must be met to the satisfaction of OPRHP before a grant contract can be executed with the applicant/grantee. Go to <https://parks.ny.gov/grants/environmental-protection-fund> to view forms and resources containing additional instructions concerning conditions of award. These will include, but are not limited to:

- Submission of a signed authorizing resolution that names the official(s) authorized to accept the grant funds and enter into and execute a grant contract (as well as long-term protection documents and other certifications, if required) with the State.
- Submission of a signed Prevention of Sexual Harassment in the Workplace Policy certification. NOTE: Additional information is available on the New York State Department of Labor’s website at: <https://www.ny.gov/combating-sexual-harassment-workplace/employers>.
- Submission of a signed Non-Discrimination certification.
- Submission of Certification under Executive Order No. 16 Prohibiting State Agencies and Authorities from Contracting with Businesses Conducting Business in Russia.
- Submission of Certification in compliance with NYS Finance Law §139-M, that the applicant/grantee has a written policy addressing gender-based violence and the workplace, if not provided at application.
- Enrollment in New York State’s electronic payment program for vendors. Information on how to enroll can be found here: <https://www.osc.state.ny.us/vendors/index.htm>
- Registration in the Statewide Financial System (SFS). Instructions can be found at <https://grantsmanagement.ny.gov/register-your-organization-sfs>; for assistance, contact the Help Desk at [grantsreform@its.ny.gov](mailto:grantsreform@its.ny.gov).
- **Documentation of ownership interest to the satisfaction of the State, including:**
  - ◆ For development projects where the grant recipient is the owner in fee simple:
    - Property deed(s) and affidavit of title or opinion of municipal counsel.
  - ◆ For development projects where the grant recipient is not the sole owner:
    - The fee owner’s deed to the property.

- Affidavit of title or opinion of municipal counsel from the fee owner of the property.
- Environmental and historic preservation reviews (including archaeological review).
- Documentation of all necessary approvals to undertake the project.
- **In addition, for not-for-profit grantees:**
  - ◆ Maintenance of prequalification status in the Statewide Financial System (SFS).
  - ◆ Documentation of current coverage or exemption for Workers' Compensation and Disability Insurance, listing NYS OPRHP as *Entity Requesting Proof of Coverage*.
  - ◆ Being current with pertinent filings under Section 501 of the United States Internal Revenue Code and the following New York State Laws, as applicable: Article 7-A of the Executive Law; Section 8-1.4 of the Estates, Powers and Trusts Law; Section 1508 of the Not-for-Profit Corporation Law; or Section 215 of the Education Law.
  - ◆ Valid New York State Vendor Responsibility Questionnaire.
- All successful applicants (grant recipients) who have successfully completed conditions of award are required to execute a grant contract with the State using the State of New York Contract for Grants (<https://grantsmanagement.ny.gov/state-agency-resources>).
- If the project involves improvement/development of the property where the grantee is not the sole owner, the owner must also sign the grant contract and any long-term protection document.
- If there are additional parties with an ownership interest in the property, including lienholders, all parties must sign the grant contract, and all lien holders must subordinate their interests to those of the State.

### **Project Management**

- The grantee must assign one person to act as a Project Manager (PM). This person will schedule the progression of activities, ensure timely completion of project tasks, and address any problems or inquiries which may develop. The Project Manager will be the primary contact person for the submission of necessary reports, requests for progress payments, and obtaining approvals and determinations, etc.
- The Project Manager must work closely with the OPRHP Regional Grants Administrator (RGA) to ensure proper interpretation of all project requirements. Proper interpretation of a project's requirements is critical to successful implementation and coordination of ongoing activities.
- The Project Manager is responsible for providing adequate supervision and inspection, including materials inspection and quality assurance to ensure projects are completed in conformance with the construction contract documents, plans and specifications. The project budget must account for any anticipated costs associated with this requirement (see Construction Supervision under Eligible Budget Items).

Grant contracts will require that prior to commencement of project work, certain procedures must be followed, and documentation provided to and approved by OPRHP including, but not limited to:

- For any project involving ground disturbance (trenching, grading, demolition, new construction, vegetation removal, etc.), prior ground disturbance documentation or an archaeological investigation will be required.
- For any not-for-profit grantee with a project involving ground disturbance (trenching, grading, demolition, new construction, vegetation removal, etc.):
  - ◆ Due to updated regulations under the State's Freshwater Wetlands Act, it is up to

the Applicant/Grantee to communicate with NYS Department of Environmental Conservation (DEC) regarding jurisdictional requirements concerning freshwater wetlands. One of the following must be submitted to OPRHP prior to start of construction:

- a DEC Parcel Jurisdictional Determination Letter indicating no jurisdictional wetlands are located on the parcel
- a DEC Project Jurisdictional Determination Letter indicating no jurisdictional wetlands are in the project area
- a DEC Letter of No Permit Necessary, OR
- a copy of a DEC permit.

Information about DEC's Freshwater Wetlands Program and the revised regulations can be found here: <https://dec.ny.gov/nature/waterbodies/wetlands/freshwater-wetlands-program>.

- ◆ Copies of any permits required from agencies such as the NYS Department of Environmental Conservation (DEC) or the US Army Corps of Engineers (COE) must be filed with the State before construction begins.
- Any Municipality with a project involving ground disturbance (trenching, grading, demolition, new construction, vegetation removal, etc.), is responsible for obtaining any permits from federal or state agencies which may be required. *Note: copies of permits do not need to be submitted to OPRHP.*
- Acquisition projects require certification of clear title by the State.
- OPRHP must accept/approve plans and specifications, bidding documents, and competitive bidding, etc.
- All EPF projects are subject to New York State Education Law (Articles 145, 147 & 148) regarding the preparation of plans and specifications. Plans which include the design of buildings and/or structures, such as bridges, tunnels, and scenic overlooks, must be stamped, signed, and dated by a Licensed Professional, as defined in New York State Education Law.

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

- Municipalities must comply with General Municipal Law Sections 103 (competitive bidding) and 104-b (procurement policies and procedures). Not-for-profit corporations must follow procurement policies that ensure prudent and economical use of public money.
- All reimbursements for projects on property eligible or listed on the National or State Registers of Historic Places must be satisfactorily documented so that the State Historic Preservation Office can ensure work was done in conformance with the Secretary of the Interior Standards.
- At the discretion of the State, an Agreed Upon Procedure Review may be required by the State, performed by a representative of the State or a Certified Public Accountant.
- If total donations exceed the required grantee matching share percentage at project close out, reimbursement will be calculated with match capped up to that percentage. In no instance will a grant recipient be reimbursed beyond the actual, documented eligible expenditures made.

**Failure to comply with these requirements could jeopardize full reimbursement.**

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

# New York State Department of State

## **Local Waterfront Revitalization Program**

**Funding Available: Approximately \$13.975M**

### **Description:**

The Department of State's Local Waterfront Revitalization Program (LWRP), funded under Title 11 of the Environmental Protection Fund (EPF), provides matching grants on a competitive basis to eligible villages, towns, cities located along New York's coasts or designated inland waterways, or counties or regional planning councils (with the written consent and acting on behalf of one or more eligible villages, towns, cities) for planning, design, and construction projects to revitalize communities and waterfronts. This program helps communities breathe new life into their waterfront and underused assets in ways that ensure successful and sustainable revitalization.

The Department encourages waterfront communities to prepare and implement Local Waterfront Revitalization Programs (LWRPs) with financial and technical assistance provided through this grant program.

### **2026 Funding Priorities:**

The Department encourages applications for design and/or construction phase projects that create safe, accessible, and inviting public waterfront destinations. Priority will be given to implementation projects which prioritize accessibility to people of all ages and physical, cognitive, and sensory abilities in their design. Project design and budget should explicitly incorporate Americans with Disabilities Act (ADA) standards and other creative solutions which go beyond ADA standards to maximize accessibility to make public spaces and facilities more inclusive. Examples include, but are not limited to, ADA accessible entryways, walkways, comfort stations, boat launches, and site furnishings such as seating and tables that accommodate wheelchair users, age-friendly features, amenities appropriate to the varied capabilities of all users including individuals with cognitive, communicative, social/emotional and sensory disabilities, and multi-lingual or pictorial wayfinding.

**The EPF LWRP Request for Applications (RFA) which details all grant program requirements and additional grant resources are available on the Department's website at: <https://dos.ny.gov/2026-2027-environmental-protection-fund-local-waterfront-revitalization-program>. All applicants are strongly encouraged to read the RFA in its entirety as grant program requirements may change from year to year.**

### **Funding Opportunity:**

Approximately \$13.975 million is anticipated for award for this procurement, with up to \$2 million dedicated for updates to existing LWRPs to mitigate future physical climate risks. Approximately \$10.5 million of the available funding will be awarded for projects which are in, or primarily serve, areas where demographic and other relevant data demonstrate that the areas are:

- densely-populated and have sustained physical deterioration, decay, neglect, or disinvestment; or
- where a substantial proportion of the residential population is of low income, or is otherwise disadvantaged and is underserved with respect to the existing recreational opportunities

The minimum State assistance request for EPF LWRP grant funding per grant application is \$75,000 and the maximum State assistance request is \$2 million. Applications requesting under \$75,000 in EPF LWRP grant funding will be disqualified and will not be scored.

### **Eligible Applicants:**

Eligible applicants are:

- A village, town, or city located along New York’s coasts or inland waterways as designated pursuant to Executive Law, Article 42.
- A county or regional planning council with the written consent and acting on behalf of one or more eligible villages, towns or cities.

The list of coastal waterbodies and designated inland waterways is defined in NYS Executive Law, Article 42, Section 911 available at <https://www.nysenate.gov/legislation/laws/EXC/911>.

Applicants may partner other organizations; however, only applications from eligible applicants will be evaluated for funding. Only the eligible applicant will be awarded a contract. **Applications submitted by not-for-profit organizations and for-profit organizations are ineligible and will not be scored.**

For applications submitted by a county or RPC with the written consent and acting on behalf of one or more eligible villages, towns, or cities, the county or RPC is required to attach a letter or resolution from each eligible village, town, and city participating in the project which demonstrates their consent and support for the county or RPC to submit an LWRP grant application on their behalf.

For applications submitted by a RPC, the RPC is required to attach the resolution, which is required under General Municipal Law, Article 12-B, Section 239-h, creating the RPC and which demonstrates membership of each eligible village, town, and city participating in the project.

If multiple applications for the same project are received by or on behalf of an eligible applicant, the applications will not be evaluated. The eligible village, town or city must decide prior to grant application whether to advance their own application or the county or RPC application. The Department shall have the sole discretion of determining if a proposed project is the same for multiple applications.

An eligible applicant may apply for general planning needed to advance eligible activities.

For project-specific planning, feasibility, design, and/or marketing needed to advance eligible activities, an eligible applicant must be currently preparing or have an approved LWRP or LWRP Component. The proposed project must be located within the LWRP waterfront revitalization area boundary or LWRP Component boundary.

For construction of projects needed to advance eligible activities, an eligible applicant must have an approved or substantially complete LWRP or relevant completed LWRP Component. The proposed project must be located within the LWRP waterfront revitalization area boundary or LWRP Component boundary.

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

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

- Preparing or Updating a Local Waterfront Revitalization Program (LWRP), including Updating an LWRP to be More Resilient to Climate Risks
- Preparing an LWRP Component, including a Watershed Management Plan
- Implementing an LWRP or a completed LWRP Component

**Eligible Costs:**

Costs must be adequately justified and directly support the scope of work outlined in the application for the proposed project. Proposed total project costs, including match components, must be essential to project completion.

Grant funds may be used for the following costs associated with the scope outlined in the application:

Personal Services – including direct salaries, wages, and fringe benefits of employees of the applicant for activities in direct relation to or in support of project work including project management, capacity building, and grant administration. **The title and salary of each individual performing work under the project should be listed separately in the budget attachment.** Fringe benefits must be outlined in the application and include the organization’s documented rate. DOS reserves the right to review, and at its sole discretion exclude, any items that are not consistent with fringe benefits which are included in the organization’s fringe rate.

Non-Personal Services – including consultant/contractual services for direct project related costs, project management, capacity building, grant administration, project-related supplies and materials, necessary travel, and other goods and services required to complete the project.

**Subcontracts for consultant/contractual services should be competitively procured based on the applicable provisions of New York State General Municipal Law or the specified provisions adopted within the bylaws or charter of the non-profit organization, and additional requirements as described in this RFA**

Equipment purchases will only be considered as an eligible cost if the equipment is essential to accomplish tasks included in project scope of work and is demonstrated to be more cost-effective than renting or leasing the equipment. The application should list each piece of equipment to be purchased with an estimated cost and how it will be used to accomplish project tasks. Equipment purchased with EPF LWRP grant funding cannot be sold without prior approval from the Department. If equipment purchased with EPF LWRP funds is sold without DOS approval, the Department may require that grant funds be returned to the Department. Costs associated with equipment usage may only be used as local match.

Project management activities may include, but are not limited to, oversight and coordination of tasks and activities needed to produce contract deliverables, coordination of Project Advisory Committee activities, consultant procurement and oversight, public outreach and technical assistance.

Capacity building may include: investment in existing staff, such as training, or automating systems that will improve a community’s ability to carry out projects and/or deliver programs funded under this RFA; or developing sustainable organizational capacity, such as through creating and recruiting new positions or enlisting external professional assistance to oversee revitalization efforts. Allowable activities under capacity building shall be within the scope of the RFA and undertaken in direct furtherance of the purpose of the grant application.

Grant administration activities may include, but are not limited to, activities undertaken to comply with grant budgeting, record keeping, and reporting requirements, such as preparation and submission of

payment vouchers and other documents required under the grant. Grant administration may not exceed 15% of the award amount or \$50,000, whichever is less.

Land acquisition – land acquired (e.g., purchase or donation): may only be used as local match for projects that include construction and where the construction occurs on the acquired property. Land must have been acquired within three years prior to the grant application due date. Land acquisition is not eligible for match for projects involving only design and engineering. A map identifying the land property, and if available, a current appraisal report documenting the property land value, a current title report, and a copy of the recorded deed conveying title and ownership must be submitted with the application.

**Ineligible Costs:**

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

- Indirect or overhead costs of the applicant or municipality such as rent, telephone service, administrative support not directly related to project work, computers, office equipment, general office supplies, general operations costs, membership fees, subscription costs.
- Salaries and other expenses of elected officials
- Other grant funding sources as noted in RFA Section VI. Funding and Budget Guidance – Local Match
- Taxes, insurance, fines, deficit funding
- Loan and bond interest and associated fees. The interest associated with a Loan, Bond, or Bond Anticipation Note (BAN) cannot be calculated into project cost, whether for reimbursement or local match.
- Expenses associated with contingency costs, fundraising and/or lobbying.
- Cost incurred outside the contract term.
- Costs that are not adequately justified or that do not directly support the scope of work for the proposed project

Failure to adequately justify direct project costs will render costs ineligible. Ineligible costs will be eliminated from the total project costs in the grant application.

**Pre-Application Requirements:**

For projects which include any design and/or construction work, the applicant must identify the current legal owner(s) for all properties where improvements will be implemented. Applicant must provide proof with the application that all final design and construction work will be performed on public property or where a permanent public interest, such as an easement (e.g., public access, conservation) has been established prior to the grant application due date.

The applicant must attach proof of site control and/or permanent public interest. If property is owned by:

- the applicant municipality, submit the property deed or current tax roll.
- a municipality or public entity that is not the applicant, submit the property deed, current tax roll or property record card and letter of support or resolution from the landowner supporting the project.
- private property owner or not-for-profit, submit the property deed, current tax roll or and executed public access easement, conservation easement, or similar legal instrument establishing permanent public interest in the property.

Applications that do not provide this documentation will be found ineligible and will not be scored.

Note: Site control does not need to be established at time of application for planning, feasibility studies, preliminary design (up to 30%) or similar projects which do not include final design and/or construction work. The Department shall have the sole discretion of determining if a proposed project includes design and/or construction work.

**Application Evaluation Criteria:**

Applications will be reviewed according to the specific criteria presented below. See [RFA](#) for more details.

**Program Criteria (maximum of 80 points)**

Local Waterfront Revitalization Program Priorities for 2026 (0 or 6 points)

Public Outreach and Engagement (maximum of 4 points)

Local Capacity and Previous Performance (maximum of 5 points)

Public Benefit (maximum of 15 points)

Resiliency & Sustainability (maximum of 6 points)

Implementation - Scope of Work, Project Readiness & Time Frame (maximum of 20 points)

Disadvantaged and Underserved Communities (0 or 4 points)

Evaluation of Budget and Cost (maximum of 20 points)

**Regional Economic Development Council Endorsement (maximum of 20 points)**

Each application will be scored by the Regional Economic Development Council in which the proposed project is located. Regional Councils will review applications to assess the degree to which the project helps implement the Regional Strategic Plan. The Regional Council will score applications based on a set of standards, referred to as “endorsement standards.” and will assign each project a single score of 20, 15, 10, 5 or 0 (no fractions) based on merit. Regional Strategic Plans and endorsement standards can be found at <https://regionalcouncils.ny.gov/>.

**Award Method:**

Each application will be reviewed for eligibility and, if determined eligible, will be scored according to the application evaluation criteria. Applications deemed ineligible will not be scored. Eligible applications will be scored and funds will be awarded until available funds are fully distributed.

A total score of 100 points is possible for any application, of which up to 80 points is derived from program criteria and 20 points from the Regional Economic Development Council (REDC) endorsement. An application must score a minimum of 50 program criteria points out of a possible 80 points from the Department of State review to receive an award. REDC points are based on regional economic priorities and are assigned by the REDCs.

**Award Method for Applications for Updating an LWRP to Mitigate Future Physical Climate Risks**

Applications received for updating existing LWRPs for the purpose of mitigating future physical climate risks will be scored within this grant category and funds will be awarded in rank order to applications which receive a minimum of 50 program criteria points from the Department of State review, until available funds are exhausted. Any remaining funds from this grant category will be utilized to fund applications received for other grant categories.

### Award Method for Applications for Other Grant Categories

Applications received under other grant categories - preparing or updating a LWRP; preparing an LWRP Component, including a Watershed Management Plan; or implementing an LWRP or completed LWRP Component – will be scored and funds will be awarded in rank order, to applications which receive a minimum of 50 program criteria points from the Department of State review, until available funds are exhausted.

### **Matching Fund Requirements:**

Applicants must identify the amount, type and source of eligible local match, and demonstrate that it has been secured; failure to do so may result in a reduced award amount for qualifying applications. State assistance awarded and paid shall not exceed 75% of the total eligible project costs set forth in the application and as approved by the Department, except where the proposed project is located in an Environmental Justice Area or Disadvantaged Community, in which case state assistance awarded and paid shall not exceed 85% of the total eligible project costs set forth in the application and as approved by the Department. For the purposes of determining if a CFA applicant is eligible to receive state assistance at a rate of 85% of the total eligible project cost under this solicitation see criteria listed in the [RFA](#) Section VI. Funding and Budget Guidance Environmental Justice.

#### Eligible Match Sources:

Local match may include any of the items listed above in Eligible Costs section as well as volunteer services, donated professional services, and land acquisition as detailed in the [RFA](#).

#### Ineligible Match Sources:

The following is a list of ineligible sources of match for EPF LWRP awards made pursuant to this procurement:

- Federal funding (including but not limited to ARPA, CDBG, FHWA, FEMA, U.S. FWS Boating Infrastructure Grant Program)
- State and Municipal Facilities Grants (SAM)
- Other Environmental Protection Fund grant awards (including but not limited to WQIP, BOA, Smart Growth, OPRHP EPF)

### **Successful Applicant Requirements:**

#### **New York Statewide Financial System**

Grant applicants are encouraged to register through the New York Statewide Financial System. To register, log on to <https://www.sfs.ny.gov/index.php/vendors>.

#### **Standard Cost Reimbursement Contract**

Each successful applicant must enter into a State of New York Contract for Grants with the Department which will include standard clauses required by the NYS Attorney General, Attachment A (including compliance with Article 15-A of the New York Executive Law), the agreed upon work plan and budget, and other applicable attachments as required. The contract will: 1) be subject to approval by the Attorney General and State Comptroller; 2) require submission of final products in both hard copy and electronic format; 3) be subject to payment only upon proper documentation and compliance with reimbursement procedures; and (4) be subject to all other contractual requirements. A copy of the State of New York Contract for Grants including the attachments outlined above is available from the Department upon request.

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

### **Compliance with Procurement Requirements**

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

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

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

### **Record Retention and Audits**

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

benefit expenses, miscellaneous reports and returns (tax and otherwise), and cost allocation plans, if applicable, (iii) non-personal services expenditures: original invoices/receipts, cancelled checks and related bank statements, consultant agreements, leases, and cost allocation plans, if applicable, (iv) receipt and deposit of advances and reimbursements: itemized bank stamped deposit slips, and a copy of the related bank statements.

### **Minority and Women-Owned Business Enterprise Utilization (MWBE)**

Applicants must submit the MWBE Compliance Form with their application confirming their understanding of the MWBE requirement and agreeing to show due-diligence and make good faith efforts to provide meaningful participation by MWBE's, whenever possible, if awarded the contract. See RFA Appendix 1 for all contractor requirements and procedures for participation by New York state-certified minority and women-owned business enterprises, equal employment opportunities for minority group members and women, and service-disabled veteran-owned businesses for more information.

### **Contract Period**

Subject to the continued availability of funds in the budget, the contract period shall not exceed five years from the start date of the contract. The earliest start date of contracts is April 1, 2026. No extensions are anticipated, however special consideration for extensions due to extreme extenuating circumstances may be granted on a case-by-case basis.

### **Amendments**

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

### **Additional Resources:**

The Request for Applications and additional resource materials are available on the Department's website at <https://dos.ny.gov/2026-2027-environmental-protection-fund-local-waterfront-revitalization-program>. Updates and/or modifications to the RFA, along with answers to written questions received, will be posted on this website.

Questions can be submitted by e-mail to [LWRP@dos.ny.gov](mailto:LWRP@dos.ny.gov) with the subject line: "26-LWRP-17 RFA Questions". Questions will be accepted until June 19, 2026. Responses will be posted on July 10, 2026. No responses will be provided to inquiries made by telephone, social media, or by contacting DOS staff directly via email or telephone.

It is recommended all applicants review the final responses. The responses to questions received during this time period will be official responses by the Department to questions and will be incorporated into this Request for Applications.

Webinars which provide an overview of the application process and program requirements are available at <http://regionalcouncils.ny.gov/>.

## **Brownfield Opportunity Areas Program**

**Funding Available: Approximately \$2.0 million**

### **Description:**

The Department of State's Brownfield Opportunity Area Program provides 90:10 matching grants on a competitive basis to eligible municipalities, community-based not-for-profit organizations, and New York City Community Boards to complete a Pre-Planning activity to identify and provide preliminary analysis of potential brownfields; the development or update of Brownfield Opportunity Area (BOA) Plan (also known as BOA Nomination), and related implementation; Phase II Environmental Site Assessments, or predevelopment activities for neighborhoods, downtowns, or other defined areas within a State-designated BOA. This is a reimbursement program.

**The BOA Request for Applications (RFA), which details all grant program requirements, is available on the Department's Funding & Bid Opportunities website at <https://dos.ny.gov/funding-bid-opportunities> . All applicants are encouraged to read the RFA in its entirety, as grant programs and requirements may change from year to year.**

### **Funding Opportunity**

The Department of State is making approximately \$2,000,000 available to fund applications for eligible activities under the BOA Program. State assistance awarded and paid to a grant recipient shall not exceed 90% of the total eligible costs set forth in the application and as approved by DOS.

The minimum State assistance request for each grant award is \$100,000. The maximum State assistance request for each BOA Predevelopment activities grant award is \$400,000. The maximum State assistance request for each BOA Pre-planning, BOA Planning, and Phase II Environmental Assessments (SA) grant award is \$300,000.

In addition, projects must document the amount and source of secured match funds in the application. Applicants who propose an ineligible match source or insufficient match will be contacted to verify if they have additional match from eligible sources. Applicants who do not have another source of eligible match equaling 10% of the project costs will have their award reduced, up to and including reduced to \$0, based on the amount of eligible match available.

### **Eligible Applicants:**

Eligible applicants are municipalities, community-based organizations, and New York City community boards, as defined below:

- **Municipality** – A municipality is defined as a city, village, town, county, regional planning council (on behalf of a city, village, town or county that is a party to a collaborative agreement in accordance with General Municipal Law, Article 12-B, Section 239-h), local public authority, public benefit corporation, school district, special improvement district, supervisory district, district corporation, or Indian nation or tribe recognized by New York State or the United States with a reservation wholly or partially within the boundaries of New York State.
- **Community Based Organization** - A community-based organization must be a not-for-profit corporation under Section 501(c)(3) of the Internal Revenue Code at the time of application. In addition, its stated mission must be to promote reuse of known or suspected brownfield sites or community revitalization within the geographic area in which the community-based organization

is located; it must have 25 percent or more of its Board of Directors residing in the community in such area; and it must represent a community with a demonstrated financial need. Community based organization shall not include any not-for-profit corporation that has caused or contributed to the release or threatened release of a contaminant from or onto the brownfield site, or any not-for-profit corporation that generated, transported, or disposed of, or that arranged for, or caused, the generation, transportation, or disposal of contamination from or onto the brownfield site. This definition shall not apply if more than twenty-five percent of the members, officers or directors of the not-for-profit corporation are or were employed or receiving compensation from any person responsible for a site under title thirteen or title fourteen of article twenty-seven of the environmental conservation law, article twelve of the navigation law or under applicable principles of statutory or common law liability.

- **Community Board** – A Community Board is unique to New York City and is defined and described in Section 2800 of the New York City Charter.

Only applications from eligible applicants will be evaluated for funding. For applications submitted by a regional planning council (RPC) with the written consent and acting on behalf of one or more eligible counties, cities, towns, or villages, the RPC is required to attach a letter or resolution from each eligible county, city, town, and village participating in the project which demonstrates their consent and support for the RPC to submit a BOA grant application on their behalf.

If multiple applications for the same project are received by and on behalf of an eligible applicant, the applications will not be evaluated. The eligible village, town, city or county must decide prior to grant application whether to advance their own application or the RPC application. The Department shall have the sole discretion to determine if a proposed project is the same for multiple applications.

Two or more eligible applicants are encouraged to work in partnership and jointly apply for funding for a project that would improve an area of mutual interest or concern. Joint applicants should identify the municipality, community-based organization, or community board that the Department should recognize as the primary applicant for all purposes, including contract award.

**Eligible Activities/Program Benefit Requirements:**

Four types of activities are eligible for BOA funding: (1) Pre-Planning: Area-wide Brownfield Identification and Preliminary Analysis; (2) Planning: Development or Update of a BOA Plan; (3) Predevelopment Activities within a State-Designated BOA; (4) Phase II Environmental Site Assessments within a State-Designated BOA.

An application for funding should only include one activity. Eligible applicants wishing to apply for more than one grant activity should submit a separate application for each.

*(1) Pre-Planning: Area-wide Brownfield Identification and Preliminary Analysis*

Pre-Planning is the identification, inventory, and preliminary analysis of known or suspected brownfields, including vacant, abandoned and underutilized property, within a county, borough, or other multi-jurisdictional area to identify concentrations of these properties for future specific localized planning efforts. The analysis shall culminate in a description and justification of an area or areas for future BOA planning, a basic description of current land use and zoning; identifying the proximity of

potential brownfield sites to infrastructure assets; an assessment of existing and ongoing planning efforts; descriptions of existing known or suspected brownfield sites and other underutilized properties, a description of the area's potential for revitalization including the potential for renewable energy siting, and, as applicable, a set of action steps that can be taken to advance future BOA planning efforts.

Outcomes of a pre-planning activity will include a multi-jurisdictional inventory, including relevant mapping and preliminary analysis of identified known or suspected brownfield and other underutilized property, and the identification of smaller areas, demonstrating a concentration of underutilization, within the study area that are recommended for future BOA planning and designation by the State. The pre-planning activity will enable a county or multi-jurisdictional area to better understand development conditions surrounding potential brownfield clusters and integrate existing and ongoing planning efforts into the BOA program.

Pre-Planning Inventory and Analysis is intended for counties or multi-jurisdictional areas that have minimal information on the number and extent of potential brownfield sites, and related site underutilization that may have a significant adverse impact on the communities within the area studied. Pre-Planning will enable counties and cooperating local municipalities or a multi-jurisdictional area to conceive a holistic approach for long-term economic development and revitalization across boundaries.

## *(2) Planning: Development or Update of a BOA Plan*

A BOA Plan is a study that consists of a community vision, goals, and strategies for revitalization of an area affected by a concentration of known or suspected brownfields. Development of a full BOA Plan 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 Brownfield Opportunity Area with an emphasis on the identification and reuse potential of strategic known or suspected brownfield sites that may be catalysts for revitalization. An integral part of a BOA Plan is a description of key findings and recommendations to promote area-wide revitalization and redevelopment of strategic sites, including specific projects, initiatives, regulations, and potential for siting of clean energy projects and other actions. BOA Plans may also include, as appropriate, detailed reviews and recommendations to advance redevelopment of strategic sites such as conceptual site design, cost estimation, artist renderings, development of pro forma, and marketing strategies.

Achieving revitalization goals requires broad community support, strong partnerships, and sufficient local and regional capacity to overcome obstacles. Therefore, the preparation of a BOA Plan is expected to include robust community and stakeholder engagement as well as specific actions to develop partnerships and build the local capacity necessary to realize implementation of the plan.

Applicants may apply for funding to prepare or complete a BOA Plan or update an existing (designated or non-designated) BOA Plan to include all elements necessary to support a request for designation of the BOA by the Secretary of State and must commit to making such a request when the BOA Plan is deemed complete by DOS.

Applicants who have completed a BOA Plan (also called a Nomination or BOA Nomination), that has or has not culminated in BOA Designation, may submit for a plan update. Justification for an update is required and may include an outdated designated BOA Plan, a need to reconsider the BOA boundary, changes in economic or market conditions, changes in status of strategic sites, or barriers to

implementation. Updates of BOA plans should revisit all areas of the plan, updating them to reflect the community's vision as well as current conditions and opportunities within the BOA area.

BOA Plan elements required for designation of a BOA can be found in the BOA Designation Guidance, which is available on DOS's website at <https://dos.ny.gov/system/files/documents/2020/09/boa-designation-guidance-fact-sheet.pdf>.

A generic BOA work plan which describes the tasks necessary to develop a BOA Plan is also available at <https://dos.ny.gov/funding-bid-opportunities>.

### *(3) Predevelopment Activities within a State-Designated BOA*

Applicants may apply for funding for predevelopment activities within a BOA that has been designated by the Secretary of State. Applicants may apply for a BOA plan update to a designated BOA in conjunction with predevelopment activities. Plan components to be updated shall be substantive, and without such update, the proposed predevelopment activities identified could not proceed, given the existing BOA content or boundaries.

Applicants with a pending application for designation submitted to DOS prior to June 1, 2026 are also eligible to apply, however funding may only be awarded if the designation is made by the Secretary of State by October 1, 2026. A list of currently State-designated BOAs is available on DOS's website: <https://dos.ny.gov/brownfield-redevelopment>.

These activities should advance the goals and priorities for revitalization and redevelopment of the area as expressed in the BOA Plan completed for the State-designated BOA.

Eligible predevelopment activities may include:

Analyses, plans, and studies that are undertaken leading to the furtherment of catalytic redevelopment or area improvement within the State-designated BOA, including:

- Development of design, engineering, and/or construction plans and specifications
- Environmental analyses and studies
  - including, but not limited to, the preparation of a NYDEC Brownfield Cleanup Program (BCP) application for publicly-owned sites not including Phase II environmental assessments (unless applied for in a separate BOA application for Phase II ESA's), or any documentation or work not *required* for the application such as Community Participation Plans, Remedial Investigation Work Plans, Remedial Investigations and Reports and Remedial Action Work Plans.
- Housing and economic studies, analyses, and reports
- Building conditions studies
- Infrastructure analyses
- Renewable and clean energy feasibility studies

Professional Services to Advance Redevelopment consistent with the BOA Plan within the State-designated BOA, including:

- Development and implementation of marketing strategies
- Zoning and regulatory updates
- Legal and financial services

- Real estate services
- Public outreach
- Design Development, plans, specs and estimates

At the Department of State's discretion, applications for predevelopment activities that include the update of a designated BOA plan, must conduct the plan update and redesignate the BOA, prior to completing predevelopment activities.

A list of sample predevelopment activity projects is available on DOS's website for reference: <https://dos.ny.gov/brownfield-redevelopment>.

Analysis of opportunities to site a clean energy facility, such as solar, wind, or energy storage on underutilized, vacant, or abandoned parcels of land is encouraged by DOS.

The Department of State also encourages analyses, plans and studies, or professional services to advance redevelopment which include design that incorporates Americans with Disabilities Act (ADA) standards and other creative solutions which go beyond minimum ADA standards to maximize accessibility, make public spaces and facilities universally designed for persons of differing abilities, and allow all visitors equal access. For example, inclusion of ADA accessible streetscapes, parks, and site furnishings such as seating and tables that accommodate wheelchair users, age-friendly features, amenities appropriate to the varied capabilities of all users including individuals with cognitive, communicative, social/emotional and sensory disabilities, and multi-lingual or pictorial wayfinding.

*(4) Phase II Environmental Site Assessments within a State-Designated BOA*

The purpose of a Phase II Environmental Site Assessment (SA) is to gather reliable information about a property's environmental condition to guide the grantee in making an informed land use decision under the BOA Program. The ASTM standard for Phase II Environmental Site Assessments does not include the level of technical specificity required to select and design a remedy for the property, but it does provide flexibility in determining the necessary level of assessment needed and is appropriate for the land use planning stage of the redevelopment process.

Applicants may apply for SA funding within a State-designated BOA. Applicants with a pending application for designation submitted to DOS prior to June 1, 2026 are also eligible to apply, however funding may only be awarded if the designation is made by the Secretary of State by October 1, 2026. A list of State-designated BOAs is available on DOS's website: <https://dos.ny.gov/brownfield-redevelopment>.

For purposes of a SA, a site is defined around one or more areas of environmental concern and may include more than one contiguous tax parcel. The site must have definitive and identifiable boundaries. Each site for which SA funding is being sought must meet the criteria and conditions set forth herein. The completion of an environmental site assessment must advance the goals and priorities for the revitalization and redevelopment of the BOA area. Phase II Environmental Site Assessments must meet all criteria contained in the *Phase II Application for Site Assessment Supplement* and meet the following conditions.

Costs associated with the assessment of asbestos or lead paint inside a structure may be eligible if this information is required to determine technically and economically viable land uses for the BOA.

However, if the scope of the site assessment is almost exclusively the assessment of indoor asbestos or lead paint, the proposed site assessment will not be eligible. In addition, no other costs associated with the assessment of indoor conditions (e.g., soil vapor) are eligible.

Department of State guidance on Phase II Environmental Site Assessments is found in the BOA *Site Assessment Supplement Package* which is available at <https://dos.ny.gov/funding-bid-opportunities>. A Site Assessment Supplement form, completed in its entirety, must be submitted for each site for which funding is being requested.

Site Assessment applications will be evaluated on a pass/fail basis for eligibility. The applications that pass for eligibility are then evaluated per the scoring criteria outlined in Application Evaluation Criteria below.

Site eligibility for a Site Assessment funded through the BOA Program does not guarantee site eligibility in the New York State Brownfield Cleanup Program administered by the Department of Environmental Conservation (DEC).

For additional requirements regarding eligibility for this activity, see Section IV of the RFA.

### **Funding and Budget Guidance**

The Brownfield Opportunity Areas program is reimbursement-based. State assistance awarded and paid through the BOA program shall not exceed 90% of the total eligible project costs set forth in the application and approved by DOS. An eligible applicant receiving a grant award must demonstrate the ability to cover the remaining 10% of the project costs, and those costs must be eligible and essential to project completion.

Applicants are required to provide a detailed budget justification for their funding request. When estimating the total eligible project cost, applicants should calculate the cost to complete each task included in the project scope of work, which may include costs associated with project management and grant administration. As a reference, DOS generic work plans describing tasks necessary to prepare a Pre-Planning analysis, a BOA Plan, BOA Predevelopment activities, or Phase II Environmental Site Assessments are available at: <https://dos.ny.gov/funding-bid-opportunities>. The budget may only include eligible costs described below, which directly support the project scope of work.

Applicants are encouraged to obtain multiple project quotes from consultants with relevant professional experience and background to inform the budget. Applicants are required to demonstrate that projects are ready to move forward. Applicants will be required to prepare and submit a project work schedule and timeline that includes major tasks and milestones with completion dates for each.

### ***Eligible Costs***

Costs must be adequately justified, directly support the scope of work of the proposed project and be essential to project completion. All costs will be paid on a reimbursement basis and must be documented. Eligible costs include the following:

**Personal Services** – Personal services include direct salaries, wages, and fringe benefits of employees of the applicant for activities related to project work, including project management and grant administration. Fringe benefits must be outlined in the application and include the organization's

documented rate. DOS reserves the right to review, and at its sole discretion exclude, any items which are not consistent with fringe benefits which are included in the organization's fringe rate.

**Non-Personal Services** – Non-personal services include consultant/contractual services for direct project related costs, project management, grant administration, project-related supplies and materials, necessary travel, and other goods and services required to complete the project.

Project management activities may include, but are not limited to, oversight and coordination of tasks needed to produce contractual deliverables, coordination of steering committee activities, consultant procurement and oversight, public outreach, technical assistance, and developing or providing local and/or regional capacity to advance revitalization goals.

Grant administration activities may include, but are not limited to, activities undertaken to comply with grant budgeting, recordkeeping and reporting requirements, such as preparation and submission of payment vouchers and other documents required under the grant.. Grant administration may not exceed 15% of the award amount or \$50,000, whichever is less.

Subcontracts for consultant/contractual services should be competitively procured based on the applicable provisions of New York State General Municipal Law or the specified provisions adopted within the bylaws or charter of the non-profit organization, and additional requirements as described in this RFA.

### **Determining Total Project Cost and State Funding Request**

When estimating the total project cost, the applicant should clearly identify the cost to complete each task included in the project scope of work. This may include costs associated with project management and grant administration. All costs documented as part of the 'total project cost' must be eligible costs. As a reference, DOS generic work plans describing tasks necessary to prepare a Pre-Planning analysis, a BOA Plan, BOA Predevelopment activities or Phase II Environmental Site Assessments are available at: <https://dos.ny.gov/funding-bid-opportunities>. The budget may only include eligible costs described below which directly support the project scope of work.

To calculate the Total Project Cost:

*Multiply the total project cost times the % State funding (0.90) = State Funds Requested*

As an example, if the total project cost is \$200,000 to complete all tasks in the project scope of work, the State Funds Requested would be \$180,000.

*Ex: \$200,000 \* 0.90 = \$180,000*

Applications requesting under \$100,000 in BOA grant funding will be disqualified and will not be scored.

### **Ineligible Costs**

Ineligible costs include the following:

- Indirect or overhead costs of the applicant or municipality, such as rent, telephone service, general administrative support not directly related to the project work, computers, office

equipment, general office supplies, general operations costs, membership fees, subscription costs.

- Salaries and other expenses of elected officials.
- Local match (10% of Total Project Costs) funded with other Environmental Protection Funding (including but not limited to WQIP, BOA, Smart Growth, LWRP, OPRHP EPF).
- Taxes, insurance, fines, deficit funding.
- Loan and bond interest and associated fees. The interest associated with a Loan, Bond, or Bond Anticipation Note (BAN) cannot be calculated into project cost, whether for reimbursement or local match.
- Expenses associated with contingencies, fundraising and/or lobbying.
- Costs incurred outside of the contract term.
- Costs that are not adequately justified or that do not directly support the scope of work for the proposed project.

Failure to adequately justify direct project costs will render costs ineligible. Ineligible costs will be eliminated from the total project costs in the grant application.

### **Pre-Submission Requirements**

All applicants must submit a resolution adopted by the applicant's governing authority that authorizes submission of the application and identifies the title of the applicant's authorized representative. A standard resolution template is available on the Department website at the following address: <https://dos.ny.gov/funding-bid-opportunities>.

For applications submitted by a regional planning council, the council is required to attach the resolution, which is required under General Municipal Law, Article 12-B, Section 239-h, creating the council and which demonstrates membership of each eligible county, city, town, and village participating in the project.

Requirements for applications by Community-based organization applicants

- Community-based organizations shall submit a resolution adopted by the board of directors.
- Applications from Community-Based Organizations requesting funding to develop or update a BOA Plan must include a resolution of support from the city, town or village with planning and land use authority over the proposed BOA. However, in New York City, the resolution of support must be from the community board or boards for the district or districts in which the proposed BOA is located.
- All community-based organizations shall submit the Brownfield Opportunity Area Program: Community Based Organization Affirmation (2024) stating that such community-based organization does not include any not-for-profit corporation that has caused or contributed to the release or threatened release of a contaminant from or onto the brownfield site, or any not-for-profit corporation that generated, transported, or disposed of, or that arranged for, or caused, the generation, transportation, or disposal of contamination from or onto the brownfield site or that no more than twenty-five percent of the members, officers or directors

of the not-for-profit corporation are or were employed or receiving compensation from any person responsible for a site under title thirteen or title fourteen of article twenty-seven of the environmental conservation law, article twelve of the navigation law or under applicable principles of statutory or common law liability. CBO affirmation available here: <https://dos.ny.gov/funding-bid-opportunities>

- Community-Based Organizations must also register and be pre-qualified through the New York Statewide Financial System (SFS) on or before the application due date. Such applicants will be required to submit documentation of registration and pre-qualification with SFS, to include: (1) SFS Vendor ID; and (2) confirmation of Pre-Qualification Application Status. Information on this process is available at: <https://www.sfs.ny.gov/index.php/vendors>.

Any applicant requesting funding for Phase II Environmental Site Assessments within a State-Designated BOA must submit a *Site Assessment Supplement form*, completed in its entirety, and related attachments for each site for which funding is being requested. Substantially incomplete Site Assessment Forms will not be accepted. Site Assessment Forms can be found here: <https://dos.ny.gov/funding-bid-opportunities>

## **Other Requirements**

### **Executive Order No. 16**

Applicants are required to complete and submit the Certification under Executive Order No. 16 Prohibiting State Agencies and Authorities from Contracting with Businesses Conducting Business in Russia. The certification may be found here: [https://ogs.ny.gov/system/files/documents/2022/04/eo16\\_certification.pdf](https://ogs.ny.gov/system/files/documents/2022/04/eo16_certification.pdf). Completed Certification forms should be submitted no later than October 1, 2026, via email to [BOA@dos.ny.gov](mailto:BOA@dos.ny.gov). The applicant's name and CFA# should be included in the subject line.

### **Gender-Based Violence and the Workplace Policy**

Applicants must certify that their organization has in place and has implemented a Gender-Based Violence and the Workplace Policy (please see the OPDV Gender-Based Violence and the Workplace website for more information regarding these policies) and has provided such policy to all of its employees, directors and board members. Such policy shall, at a minimum, meet the requirements of subdivision 11 of section five hundred seventy-five of the executive law. If the bidder cannot make this certification, they must include a signed statement setting forth in detail the reasons therefor.

### **Application Evaluation Criteria:**

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

All applications must meet the following criteria:

- a. Applicant meets the minimum State assistance request of at least \$100,000.
- b. Applicant is an eligible applicant as previously defined.

Additionally, community-based organizations must meet all of the following criteria:

- Be pre-qualified through the New York Statewide Financial System (SFS) on or before the application due date.
- Be incorporated pursuant to New York State Not-For-Profit Corporation Law.
- Submit the Brownfield Opportunity Area Program: Community Based Organization Affirmation form.

### **Mandatory Application Components:**

Applications must comply with guidelines established in Sections IV. Eligible Activities and V. Program Requirements. Failure to comply with criteria will result in disqualification:

- Proposed project is an eligible activity per RFA Section IV. Eligible Activities.
- Required resolutions(s) must be submitted per RFA Section VI. Pre-Submission Requirements.

### **Predevelopment Activities within a State-Designated BOA Applications**

- Applications must have an approved BOA designation, or have submitted an application for designation prior to June 1, 2026, provided the designation is made by the Secretary of State by October 1, 2026.

### **BOA Site Assessment Supplement (SA) Applications:**

- Applications must have an approved BOA designation, or have submitted an application for designation prior to June 1, 2026, provided the designation is made by the Secretary of State by October 1, 2026.
- Applications must include the Site Assessment Supplement for each site for which funding is being requested. The SA Supplement must be completed in its entirety and include all related attachments. Substantially incomplete Site Assessment Forms will not be accepted and the application will be found ineligible.

### Evaluation Criteria

Applications will be evaluated to assess the degree to which they meet the elements of each criterion. Applications may receive points for any or all elements of each of the evaluation criteria below.

Criterion	Description	Pre-Planning	Planning for BOA Plan	Predevelopment	Phase II Environmental Site Assessment
<b>Brownfield Opportunity (max. total 12 pts.)</b>	Application clearly demonstrates the presence of known or suspected brownfields, including vacant, underutilized, deteriorated, and abandoned properties within the proposed area.	4	4		
	Application clearly demonstrates economic distress, risk to public health, and/or other negative impacts associated with the known or suspected brownfields within the proposed area.	4	4		
	Application clearly identifies potential vacant and known or suspected brownfield sites that are strategic opportunities to stimulate economic development, community revitalization or the siting of renewable energy facilities and other public amenities within the proposed area.	4	4		
	Application clearly states how the proposed project will advance the vision and goals of the BOA program as defined by the community in the BOA Plan for the State-designated BOA area.			6	6
	Application clearly demonstrates advancement of revitalization on a strategic site (s) and will catalyze additional redevelopment activities in accordance with recommendations as documented in the State-designated BOA.			6	6
<b>Indicators of Economic</b>	Application identifies indicators of economic distress by census tract(s) with each of the following indicators worth 1 point each. A maximum of six (6) points will be awarded:				

<b>Distress (max. total 6 pts)</b>	Poverty rate over 15 percent	1	1	1	1
	Median household income within the proposed project area is less than 50 percent of the surrounding area's median income	1	1	1	1
	Unemployment rate in project area is 125 percent or greater than the statewide unemployment rate	1	1	1	1
	Twenty-five (25) percent or more of the area is vacant, abandoned, or otherwise available for industrial or commercial development.	1	1	1	1
	Located in a federally-designated Opportunity Zone or an Environmental Zone (En-Zone) as defined by the New York State Department of Environmental Conservation	1	1	1	1
	Qualitative analysis of the BOA area demonstrates a significant disparity of distress compared to the surrounding community (income, property values, vacancy rates, and tax revenue generation).	1	1	1	1
	<b>Local Capacity &amp; Partnershi ps (max. total 6 pts)</b>	An effective organizational and staffing structure exists to advance and complete the project.	2	2	2
The project is supported by multiple entities, including but not limited to municipalities, community-based organizations, and/or NYC Community Boards, and the support is demonstrated.		2	2	2	2
The project will be carried out in a joint partnership between a municipality and a community-based organization and/or NYC Community Boards, and capacity of all participating entities has been demonstrated.		2	2	2	2
<b>Public and Stakeholde r Support (max. total 6 pts)</b>	Local leadership supports and is committed to the goals of the BOA project.	2	2	2	2
	Applicant has clearly provided evidence of public support for the project.	2	2	2	2
	Applicant has clearly provided evidence of support from stakeholder(s) directly impacted by the BOA project.	2	2	2	2
<b>Economic Value (max. total 8 pts.)</b>	Application describes strategic opportunities to stimulate economic development through redevelopment of known or suspected brownfields and opportunities to leverage direct or indirect private investment is demonstrated	4	2	2	4

	Project will generate new and expanded economic activity in the proposed or State-Designated BOA and in the surrounding region.		2	2	
	Application includes a detailed description of planned or actual efficient use or protection of public investment in resources and infrastructure.	4	2	2	4
	The project has potential to increase housing choices, expand job opportunities and eliminate barriers to employment, especially in distressed and high-need areas.		2	2	
<b>Environmental Value (max total 6 pts.)</b>	Project clearly identifies the positive public health outcomes and/or how the result of such project will avoid or mitigate negative public health outcomes.	5	1	1	5
	Project demonstrates that concrete steps will be taken to address environmental conditions at known or suspected brownfield sites.	1	1	1	1
	Project is consistent with NYS <u>CLCPA</u> and will mitigate the impacts of climate change through reduction of carbon emissions and/or increase in community resiliency.		1	2	
	The project includes the potential to enhance, protect or restore natural resources and promote green infrastructure.		2	2	
	Project area offers opportunities to accommodate clean energy generation, transmission, and/or storage facilities		1		
<b>Public Value (max. total 6 pts)</b>	Project area will support a mix of land uses and concentration of new development in urban centers where infrastructure and public services are adequate.	2	2		
	Application identifies opportunities where dynamic, diverse neighborhoods may result from the development of transformative housing, transportation and community projects that meets the needs of a diverse population.	2	2	2	2
	Application identifies opportunities to expand access to public open space, historic and cultural resources, and other public amenities in underserved areas.	2	2		
	Application clearly identifies how the proposed project will further public or private development or redevelopment in a State-designated BOA			2	2
	Application clearly identifies how the proposed project will create economic development, community revitalization, and provision of public amenities that benefit the BOA and larger community.			2	2

<b>Scope of Work (max total 10 pts.)</b>	The project scope of work is clear and concise and identifies all discrete tasks necessary to complete the scope of work and deliverables associated with each task.	2	2	4	4
	A detailed list of project deliverables is included in the application, that is consistent with program objectives.	2	2	3	3
	A detailed schedule is outlined including specific task costs, milestones, and completion dates for each task and the project.	2	2	1	1
	Application includes a detailed plan of the engagement process and approach to inclusive public participation that addresses how Diversity, Equity, Inclusion, Justice, and Accessibility will be included, and encourages participation from populations who are frequently underrepresented.	2	2	1	1
	Application has identified the public and stakeholders who would be affected by, or who can advance the project, and strategies to engage these groups in project planning and implementation.	2	2	1	1
<b>Evaluation of Budget and Cost (max total 20 pts.)</b>	Application explains in detail how the budget and costs were determined and identifies the person(s) responsible for compiling the budget including the relevant experience and background of all parties and the method/approach used to arrive at estimates.	5	5	5	5
	Application budget details all project components involved and the cost of each component. The budget is cost-effective, presents necessary and realistic costs, and does not contain extraneous or ineligible expenses.	5	5	5	5
	Proposed budget includes an explanation and cost breakdown of each budget line, and the written explanation clearly support the applicants need for financial aid to achieve the desired project outcome.	5	5	5	5
	Budget narrative describes how the grant recipient will monitor expenditures throughout the contract period to ensure that the project stays on schedule and within the outlined budget.	5	5	5	5
<b>Total</b>		<b>80</b>	<b>80</b>	<b>80</b>	<b>80</b>

### **Regional Economic Development Council Support** *(maximum of 20 points)*

Each application will be scored by the Regional Economic Development Council in which the proposed project is located. Regional Councils will review applications to assess the degree to which the project helps implement the Regional Strategic Plan. The Regional Council will score applications based on a set of standards, referred to as “endorsement standards” and will assign each project a single score of 20, 15, 10, 5, or 0 (no fractions) based on merit. Regional Strategic Plans and endorsement standards can be found at <https://regionalcouncils.ny.gov/>

#### **Award Method:**

The Department of State is making approximately \$2,000,000 available for award under this procurement. Each application will be reviewed for eligibility and, if determined eligible, will be scored according to the application evaluation criteria. Applications deemed ineligible will not be scored. Eligible applications will be scored, and funds will be awarded in rank order until available funds are fully distributed.

A total score of 100 points is possible for any application, of which 80 points is derived from program criteria and 20 points from the Regional Economic Development Council (REDC) endorsement. REDC points are based on regional economic priorities and are assigned by the REDCs.

DOS may make an award in whole or in part and may offer partial funding if a particular component is ineligible or not ready to move forward or the budget requested is not adequately supported and justified. DOS may offer partial funding to an applicant if its application cannot be fully funded within the funds remaining; if the applicant declines the partial funding, funding may be awarded to the next highest-scoring unfunded application. If an awardee fails to satisfactorily negotiate a proper contract within a reasonable period of time, that funding may be awarded to the next highest-scoring unfunded application.

In the event that another NYS agency fully funds a high scoring project through the CFA process, the awardee will receive funding from only one state agency. DOS will work with other NYS agencies to ensure that duplication of funding does not occur. If an applicant receives full funding from another agency, DOS reserves the right to award full or partial funding to the next highest scoring unfunded application.

The opportunity to be debriefed will be provided, upon request, to unsuccessful applicants. Requests must be made in writing within 15 calendar days of notification of status of award. Debriefings are expected to be conducted within 15 calendar days of the written request.

In the event unsuccessful applicants wish to protest the award resulting from this RFA, the applicants should follow the protest procedures established by the Office of the State Comptroller (OSC). These procedures can be found in Chapter XI Section 17 of the Guide to Financial Operations (GFO), available on-line at: <http://www.osc.state.ny.us/agencies/guide/MyWebHelp/>.

#### **Successful Applicant Requirements:**

### **New York State Smart Growth Public Infrastructure Policy Act**

Awards made through this grant program shall be consistent with the State's Smart Growth Public Infrastructure Policy Act (Environmental Conservation Law, Article 6), where applicable.

### **Statewide Financial System**

Grant applicants are encouraged to register through the New York Statewide Financial System. To register, log on to <https://www.sfs.ny.gov/index.php/vendors>.

### **Standard Cost Reimbursement Contract**

Each successful applicant must enter into a State of New York Contract for Grants. with the Department, which will include standard clauses required by the NYS Attorney General, Attachment A (including compliance with Article 15-A of the New York Executive Law), the agreed upon work plan and budget, and other applicable attachments as required. The contract will: 1) be subject to approval by the Attorney General and State Comptroller; 2) require submission of final products in both hard copy and electronic format; 3) be subject to reimbursement only upon proper documentation and compliance with reimbursement procedures and 4) be subject to all contractual requirements. A copy of the State of New York Contract for Grants. including the attachments outlined above is available from the Department upon request.

To ensure that funds are awarded for projects that are ready to move forward, the Department of State reserves the right to rescind an award if the state contract is not signed and returned within an acceptable period of time. Expenses incurred prior to the start date of the state contract cannot be reimbursed.

### **Compliance with Procurement Requirements**

#### Municipalities

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

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

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

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

#### Not-for-Profit Community-Based Organizations

The chief legal officer or financial administrator of the community-based organization, which is a grant recipient and serves as State Contractor, shall certify to the State that alternative proposals and quotations for professional services were secured by use of written requests for proposals through a publicly advertised process satisfactory to meet the MWBE requirements set forth below and to ensure the prudent and economical use of public funds for professional services of maximum quality at reasonable cost.

#### Community Boards (in New York City)

Chapter 70 of the New York City Charter provides for the creation of community boards for each community district that has been established in the City. Such community boards do not exist outside of New York City.

Each community board in New York City must comply with all laws, regulations, rules, and procedures that govern each such board's procurement of contracts, goods, and services, and shall certify compliance with such laws, regulations, rules, and procedures to the State. Community boards must also certify to the State that all applicable MWBE requirements, including those that are set forth below, have been met.

#### **Record Retention and Audits**

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

**Minority and Women-Owned Business Enterprise Participation**

Applicants must submit the MWBE Compliance Form with their application confirming their understanding of the MWBE requirement and agreeing to show due diligence and make good faith efforts to provide meaningful participation by MWBE's, whenever possible, if awarded the contract.

**Contract Period**

Subject to the continued availability of funds in the budget, the contract period shall not exceed five years from the start date of the contract. The earliest start date for contracts is April 1, 2026, no extensions are anticipated, however special consideration for extensions due to extreme extenuating circumstances may be granted on a case-by-case basis.

**Satisfactory Progress**

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

**Additional Resources:**

The Request for Applications and additional resource materials are available on the Department of States Funding & Bid Opportunities website at <https://dos.ny.gov/funding-bid-opportunities> . Updates and/or modifications to the RFA, along with answers to written questions received, will be posted on the website.

Written questions will be accepted until June 19, 2026. Questions should be submitted by e-mail to [boa@dos.ny.gov](mailto:boa@dos.ny.gov) or in writing to the address below. When corresponding by e-mail, clearly indicate the subject as: "26-BOA-19 RFA Questions". To the degree possible, each inquiry should cite the RFA section and paragraph to which it refers.

Responses to questions received by June 19, 2026, will be posted by July 10, 2026, on the Department's website at: <https://dos.ny.gov/funding-bid-opportunities>. No responses will be provided to inquiries made by telephone, social media, or by contacting DOS staff directly via email or telephone.

Applicants should review the final responses. The responses to questions received during this time period will be official responses by the Department of State (DOS) to questions and will be incorporated into the Request for Applications.

A schedule listing the regional workshops, and webinars which provide an overview of the application process and program requirements, are available at: <http://regionalcouncils.ny.gov/>

## **Smart Growth Community Planning Program** **Funding Available: Approximately \$4.8 million**

### **Description:**

The Smart Growth Community Planning Program accelerates key statewide efforts, including climate resilience, housing availability and affordability, accessible and livable communities, waterfront development and revitalization, and accessibility and availability of child care. In an effort to meet Governor Hochul's affordable child care expansion priority, the Department of State is partnering with Office of Children and Family Services to implement the Child Care Friendly Zoning Initiative.

The Department is soliciting applications through the New York State Consolidated Funding Application (CFA) under the Smart Growth Community Planning Program from eligible towns, villages, cities, counties, regional planning entities, and not-for-profit organizations to advance the preparation and adoption of one of the activities below. For the purpose of this solicitation, "planning" and "zoning" in this document are inclusive of child care friendly zoning initiatives.

- A new or updated comprehensive plan for an entire town, village, or city that integrates DOS Smart Growth Principles and Child Care Friendly Zoning Initiative as described below, pursuant to Town Law §272-a, Village Law §7-722 or General City Law §28-a
- A new or updated comprehensive plan for an entire county that integrates DOS Smart Growth Principles and Child Care Friendly Zoning Initiative as described below, pursuant to General Municipal Law §239-D
- New or updated community wide zoning regulations (i.e., local law, ordinance) for a town, village, or city that would implement an existing comprehensive plan that supports DOS Smart Growth Principles and Child Care Friendly Zoning Initiative for the community
- Amendment of existing zoning regulations for part of a town, village, or city to implement an existing comprehensive plan or previously adopted area plan that integrates DOS Smart Growth Principles and Child Care Friendly Zoning Initiative
- A new or updated area plan for part of a town, village, or city that supports DOS Smart Growth Principles and Child Care Friendly Zoning Initiative for the community, including but not limited to transit-oriented development plans and downtown/hamlet area plans
- A new or updated area plan and subsequent zoning amendment update that supports DOS Smart Growth Principles and Child Care Friendly Zoning Initiative for part of a town, village, or city

**The EPF SGCP Request for Applications, which details all grant program requirements, is available on the Department's website Funding & Bid Opportunities website at <https://dos.ny.gov/funding-bid-opportunities>. All applicants are encouraged to read the RFA in its entirety as grant program requirements may change from year to year.**

### **Funding Opportunity:**

The Department is making approximately \$4,800,000 available to fund applications for the Smart Growth Community Planning Program.

The Smart Growth Community Planning program is reimbursement-based. State assistance awarded and paid shall not exceed 75% of the total eligible project cost, except where the proposed project meets at

least one of the criteria listed below (Match Requirements), in which case the state assistance awarded and paid shall not exceed 85% of the total eligible project costs. There is a minimum State assistance request requirement of \$75,000. There is no maximum State assistance request requirement.

**Eligible Applicants:**

Eligible applicants are:

- Towns, counties, villages, and cities.
- Counties on behalf of a town, village, or city.
- Regional planning entities on behalf of a town, village, city, or county.
- Eligible not-for-profit organizations on behalf of a county, town, village, or city. To be eligible for this grant opportunity, a not-for-profit organization must be:
  - Pre-qualified through the New York Statewide Financial System (SFS) as of the application due date and
  - Incorporated pursuant to New York State Not-For-Profit Corporation Law
- Towns, villages and cities jointly with a county, not-for-profit, or regional planning board.

Local government applicants may apply jointly with a county, not-for-profit, or regional planning board where the intent is for the staff of the joint applicant to complete (in whole or in part) the eligible activities. Such applications should identify the municipality, county, not-for-profit, or regional planning board that the Department should recognize as the primary applicant for all purposes, including contract award.

For applications submitted by a county, not-for-profit, or regional planning board on behalf of a village, town, or city, the application must include a letter or resolution from each eligible municipality participating in the project which demonstrates the municipal consent and support for the application.

For applications submitted by a not-for-profit organization or regional planning entity on behalf of a county, the application must include a letter or resolution from the county participating in the project which demonstrates its consent and support for the application.

Not-for-profit applicants must register and be pre-qualified through the New York Statewide Financial System (SFS) as of the application due date. Such applicants will be required to submit documentation of registration and pre-qualification with SFS, to include: (1) SFS Vendor ID; and (2) confirmation of Pre-Qualification Application Status. Information on this process is available at: <https://www.sfs.ny.gov/index.php/vendors>.

**Eligible Costs**

Costs must be adequately justified, directly support the scope of work for the proposed project, and be essential to project completion. All costs will be paid on a reimbursement basis and must be documented to the satisfaction of DOS. Eligible costs include the following:

**Personal Services** – including direct salaries, wages, and fringe benefits of employees of the applicant for activities in direct relation to or in support of project work, including project management and grant administration. Fringe benefits must be outlined in the application and include the organization’s

documented rate. DOS reserves the right to review, and at its sole discretion exclude, any items which are not consistent with fringe benefits which are included in the organization's fringe rate.

**Non-Personal Services** –including consultant/contractual services for direct project related costs, project management, grant administration, project-related supplies and materials, necessary travel, and other goods and services required to complete the project.

Project management activities may include, but are not limited to, oversight and coordination of tasks and activities needed to produce contractual deliverables, consultant procurement and oversight, public outreach, and technical assistance.

Grant administration may include, but is not limited to, activities undertaken to comply with grant budgeting, record keeping and reporting requirements, such as preparation and submission of payment vouchers and other documents required under the grant. Grant administration may not exceed 15% of the award amount or \$50,000, whichever is less.

#### **Ineligible Costs**

Ineligible costs include the following:

- Indirect or overhead costs of the applicant or municipality such as rent, telephone service, administrative support not directly related to project work, computers, office equipment, general office supplies, general operations costs, membership fees, subscription costs
- Salaries and other expenses of elected officials
- Local match funded with other Environmental Protection Funding (including but not limited to WQIP, BOA, Smart Growth, LWRP, OPRHP EPF)
- Taxes, insurance, fines, deficit funding
- Loan and bond interest and associated fees. The interest associated with a Loan, Bond, or Bond Anticipation Note (BAN) cannot be calculated into project cost, whether for reimbursement or local match.
- Contingency costs
- Lobbying costs
- Expenses associated with fundraising
- Costs incurred outside the contract term
- Costs that are not adequately justified or that do not directly support the scope of work for the proposed project

Failure to adequately justify direct project costs will render costs ineligible. Ineligible costs will be eliminated from the total project costs in the grant application.

#### **Match Requirements**

The Smart Growth Community Planning Program is reimbursement-based. State assistance awarded shall not exceed 75% of the total eligible project cost, except where the proposed project meets at least one of the criteria listed below, in which case the state assistance awarded and paid shall not exceed 85% of the total eligible project costs. DOS analysis will confirm the determination made by the applicant during the application review. All determinations made by DOS are final.

- **Environmental Justice or Disadvantaged Community**

Projects in an Environmental Justice Area or Disadvantaged Community are eligible for increased state assistance up to 85% of total eligible project costs. To determine whether your project is in an Environmental Justice Area or Disadvantaged Community, reference Potential Environmental Justice Area mapping created by the Department of Environmental Conservation (DEC) available at: [https://www.arcgis.com/apps/mapviewer/index.html?url=https://services6.arcgis.com/DZHaqZm9cxOD4CWM/ArcGIS/rest/services/Potential\\_Environmental\\_Justice\\_Area\\_PEJA\\_Communities/FeatureServer](https://www.arcgis.com/apps/mapviewer/index.html?url=https://services6.arcgis.com/DZHaqZm9cxOD4CWM/ArcGIS/rest/services/Potential_Environmental_Justice_Area_PEJA_Communities/FeatureServer), and Disadvantaged Communities mapping created by the New York Climate Justice Working Group available at: <https://www.nyserda.ny.gov/ny/disadvantaged-communities>

- **Housing Burden**

A household that spends at least 30% of its income on housing is considered housing-cost burdened. Municipalities where more than 20% of owner and renter households are considered housing-cost burdened are eligible for increased state assistance up to 85% of total eligible project costs. To determine whether this is applicable to your project, please see the PDF resource on housing-cost burden available at <https://dos.ny.gov/funding-bid-opportunities>. Please use the RFA number listed on the cover page of the RFA to help locate a link to the specific page for this opportunity.

- **Child Care Deserts**

Projects in a municipality or area containing one or more census tracts rated as medium or high level child care deserts are eligible for increased state assistance up to 85% of total eligible project costs. To determine eligibility for this increased assistance, please utilize the map available here: [NYS Child Care Desert Census Tract Map - 2025 \(FINAL\)](#)

In addition, you may use a supplemental PDF resource available at <https://dos.ny.gov/funding-bid-opportunities>. Please use the RFA number listed on the cover page of the RFA to help locate a link to the specific page for this opportunity.

**Pre-Application Requirements:**

Applications to prepare or update a municipal comprehensive plan, county-wide comprehensive plan, or zoning regulations may only include one plan per application. Applications to establish or update zoning regulations for an entire town, village, or city should be in accordance with a comprehensive plan either 1.) currently under development through the SGCP program or 2.) duly adopted by the local government (town, village, or city) by September 4, 2026. Applicants may apply for an area plan and subsequent zoning amendment grant for part of a town, village, or city provided both are in accordance with a comprehensive plan duly adopted by the local government (town, village, or city) by September 4, 2026.

**Smart Growth Principles:**

All comprehensive plans, area plans, and zoning regulations funded under this grant program are required to be consistent with the following DOS Smart Growth Principles:

1. Allow for and encourage neighborhoods with a mix of uses, such as residential, commercial and community spaces.
2. Enable a diverse mix of housing types, providing for opportunity and choice for people of all ages, abilities and incomes.

3. Prioritize infill and redevelopment of existing buildings to revitalize neighborhoods and downtowns, including areas around public transit.
4. Provide well-planned, equitable, and accessible public spaces for people of all ages and abilities.
5. Encourage compact neighborhood design and concentrated development around existing infrastructure.
6. Preserve open space, agricultural resources and natural resources.
7. Prioritize transportation options that are safe and accessible for everyone, including pedestrians, cyclists and public transit users.
8. Promote climate resiliency and adaptation, preferably through nature-based solutions, and reduce greenhouse gas emissions.
9. Build on unique traits to create an attractive and welcoming community with a strong sense of place.
10. Engage in an inclusive, collaborative public planning process that considers the needs and character of the community.

In addition to the DOS Smart Growth Principles, communities participating in the SGCP will be required to incorporate child care friendly practices into their planning and zoning projects. Child care friendly planning and zoning projects directly consider the needs and experiences of families and children and remove barriers to the expansion and creation of child care facilities and resources in municipal planning documents and zoning regulations. These activities may include but not be limited to assessing permitted uses, parking requirements, outdoor space needs, noise, and buffers from incompatible uses.

**Application Evaluation Criteria:**

The program criteria (with 120 total available points) and elements are:

- Demonstration of Need and Indicators of Economic Distress (maximum of 20 points)
- Demonstration of Smart Growth Commitment (maximum of 12 points)
- Public Engagement and Commitment (maximum of 14 points)
- Integration of Smart Growth Principles & Child Care Friendly Zoning Initiative (maximum of 44 points)
- Local Capacity (maximum of 6 points)
- Evaluation of Budget and Cost (maximum of 24 points)

**Award Method:**

DOS is making approximately \$4,800,000 available for award under this procurement. Each application will be reviewed for eligibility and, if determined eligible, will be scored according to the application evaluation criteria. Applications deemed ineligible will not be scored. Eligible applications will be scored and funds will be awarded in rank order until available funds are fully distributed.

Approximately \$2 million of this funding is specifically available for communities within the state coastal area or with jurisdiction along a designated inland waterway pursuant to Executive Law, Article 42.

Up to \$1.9 million in funds is available to eligible not-for-profit organizations.

DOS may make an award in whole or in part and may offer partial funding if a particular component of a project is ineligible or not ready to move forward or the budget requested is not adequately supported and justified. DOS may offer partial funding to an applicant if its application cannot be fully funded within the funds remaining; if the applicant declines the partial funding, funding may be awarded to the next highest-scoring unfunded application. If an awardee fails to satisfactorily negotiate a proper contract within a reasonable amount of time, that funding may be awarded to the next highest-scoring unfunded application.

In the event that another NYS agency fully funds a high scoring project through the CFA process, the awardee will receive funding from only one state agency. DOS will work with other NYS agencies to ensure that duplication of funding does not occur. If an applicant receives full funding from another agency, DOS reserves the right to award full or partial funding to the next highest scoring unfunded application.

The opportunity to be debriefed will be provided, upon request, to unsuccessful applicants. Requests must be made in writing within 15 calendar days of notification of status of award. Debriefings are expected to be conducted within 15 calendar days of the written request.

In the event unsuccessful applicants wish to protest the award resulting from this RFA, applicants should follow the protest procedures established by the Office of the State Comptroller (OSC). These procedures can be found in Chapter XI Section 17 of the Guide to Financial Operations (GFO), available on-line at: <http://www.osc.state.ny.us/agencies/guide/MyWebHelp/>.

#### **Successful Applicant Requirements:**

##### **Statewide Financial System**

Non-municipal applicants must register and be pre-qualified through the New York Statewide Financial System (SFS) on or before the application due date. Such applicants will be required to submit documentation of registration and pre-qualification with SFS, to include: (1) SFS Vendor ID; and (2) confirmation of Pre-Qualification Application Status. Information on this process is available at: <https://www.sfs.ny.gov/index.php/vendors>.

##### **Standard Cost Reimbursement Contract**

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

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

## **Compliance with Procurement Requirements**

### **Municipalities**

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

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

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

### **Not-for-Profit Organizations and Regional Planning Entities**

The chief legal officer or financial administrator of the not-for-profit or regional planning entity which is a grant recipient and serves as State Contractor, shall certify to the State that alternative proposals and quotations for professional services were secured by use of written requests for proposals through a publicly advertised process satisfactory to meet the MWBE requirements set forth below and to ensure the prudent and economical use of public funds for professional services of maximum quality at reasonable cost.

### **Record Retention and Audits**

The successful applicant shall establish and maintain, in paper or electronic format, complete and accurate books, records, documents, receipts, accounts, and other evidence directly pertinent to its performance under the State of New York Contract for Grants with DOS. Payment requests may be subject to periodic reviews. The successful applicant will be required to agree to produce and retain for the balance of the term of the State of New York Contract for Grants, and for a period of six years from the later of the date of (i) the State of New York Contract for Grants and (ii) the most recent renewal or amendment of the State of New York Contract for Grants, any and all records necessary to substantiate upon audit, the proper deposit and expenditure of funds received under the State of New York Contract for Grants. Such records may include, but not be limited to, original books of entry (e.g., cash

disbursements and cash receipts journal), and the following specific records (as applicable) to substantiate the types of expenditures noted (i) personal service expenditures: cancelled checks and the related bank statements, time and attendance records, payroll journals, cash and check disbursement records including copies of money orders and the like, vouchers and invoices, records of contract labor, any and all records listing payroll and the money value of non-cash advantages provided to employees, time cards, work schedules and logs, employee personal history folders, detailed and general ledgers, sales records, miscellaneous reports and returns (tax and otherwise), and cost allocation plans, if applicable, (ii) payroll taxes and fringe benefits: cancelled checks, copies of related bank statements, cash and check disbursement records including copies of money orders and the like, invoices for fringe benefit expenses, miscellaneous reports and returns (tax and otherwise), and cost allocation plans, if applicable, (iii) non-personal services expenditures: original invoices/receipts, cancelled checks and related bank statements, consultant agreements, leases, and cost allocation plans, if applicable, (iv) receipt and deposit of advances and reimbursements: itemized bank stamped deposit slips, and a copy of the related bank statements.

### **Minority and Women-Owned Business Enterprise Participation**

Applicants must submit the MWBE Compliance Form with their application confirming their understanding of the MWBE requirement and agreeing to show due-diligence and make good faith efforts to provide meaningful participation by MWBE's, whenever possible, if awarded the contract.

### **Contract Period**

Subject to the continued availability of funds in the budget, the contract period shall not exceed three years from the start date of the contract. The earliest start date for contracts is April 1, 2026. No extensions are anticipated, however special consideration for extensions due to extreme extenuating circumstances may be granted on a case-by-case basis.

### **Satisfactory Progress**

It is imperative that the grant recipient complete the project as set forth in the agreed upon work plan of the contract. Failure to render proof of satisfactory progress or to complete the project to the satisfaction of the State may be deemed an abandonment of the project and may cause the suspension or termination of any obligation of the State. Satisfactory progress toward implementation includes, but is not limited to, executing contracts and submitting status reports and payment requests in a timely fashion, retaining consultants, written certification of compliance with procurement requirements, and completing tasks identified in the work plan within the time allocated for their completion. DOS may recapture awarded funds if satisfactory progress is not being made on the implementation of the awarded project. Applicants should not submit applications if they do not expect to initiate the project within a reasonable time period after receiving an executed contract and/or will not be able to complete the project within the time period cited in the application.

### **Additional Resources:**

The Request for Applications and additional resource materials are available on the Department of State's Funding & Bid Opportunities website at <https://dos.ny.gov/funding-bid-opportunities>. Updates and/or modifications to the RFA, along with answers to written questions received, will be posted on this website.

Written questions will be accepted until June 19, 2026. Questions can be submitted by e-mail to [smart.growth@dps.ny.gov](mailto:smart.growth@dps.ny.gov) with the subject line: "26-OPDSG-18 RFA Questions". To the degree possible, each inquiry should cite the RFA section and paragraph to which it refers.

Responses to questions received by June 19, 2026 will be posted by July 10, 2026 on the DOS Funding & Bid Opportunities website at: <https://dps.ny.gov/funding-bid-opportunities>. No responses will be provided to inquiries made by telephone, social media, or by contacting DOS staff directly via email or telephone.

It is recommended all applicants review the final responses. The responses to questions received during this time period will be official responses by the Department to questions and will be incorporated into this Request for Applications.

A schedule listing the regional workshops and webinars which provide an overview of the application process and program requirements are available at <http://regionalcouncils.ny.gov/>. Please refer to the [Department's Funding & Bid Opportunities](#) website for the live webinar schedule and registration as well as recorded webinars on the OPDSG grant program.

# New York State Canal Corporation

## **Canalway Grant Program**

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

### **DESCRIPTION:**

The Canalway Grant Program awards up to \$1.0 million dollars annually in competitive grants for Canal related capital projects across the NYS Canal System. Eligible applicants include counties, municipalities, units of local government, 501(c)(3) non-profit organizations, and Federally recognized Native American Nations located across the New York State Canal System. Grant awards range between \$25,000 and \$150,000. The program requires a 1:1 grant match, and grant funding is distributed via reimbursements. Grant administration and pre-development costs cannot exceed 10% of the grant award amount (although these costs may be used as part of the applicant match with no cap). Grant awardees must complete projects within two years of grant award.

The Canalway Grant Program is administered by the NYS Canal Corporation, a subsidiary of the New York Power Authority (NYPA). In addition to reviewing these resources, applicants are also encouraged to visit the Program website: <https://www.canals.ny.gov/Doing-Business/Grants/Canalway-Grant-Program>

### **FUNDING PRIORITIES AND SELECTION CRITERIA:**

Funding priority will be given to projects that address one or more of the Canalway Grant Program's priority pillars. Regional Council Endorsement should also be considered by applicants as it will carry 20% weight in the final project selection process. A final scoring and ranking of project applications will be based on a weighted score determined by the Canalway Grant Program Scoring Committee.

### **Strategic Alignment**

- The project is aligned with, or meets the criteria of the following Canal revitalization pillars:
  1. Strengthening Communities & Local Economies
  2. Enhancing Recreational Access and Canal Accessibility
  3. Preserving and Showcasing Canal History
  4. Promoting Environmental Stewardship
  5. Aligning with the Canal Recreationway Commission 2050 Plan
- The project is endorsed by, and/or addresses strategic priorities consistent with the Regional Economic Development Council's strategic planning efforts.
- The project has been identified in local or regional strategic plans that aim to guide future development and/or investments in the community and waterfront.

### **Project Support and Advocacy**

- The project has demonstrated and documented support from local/regional residents and other canal stakeholders.

- The applicant/project has or will receive written project endorsement from local, regional, and/or state leaders and other stakeholders. Examples of common letters of endorsement may include but are not limited to those from NYS local, county, or state elected officials; Native American Nation leaders; local canal advocacy groups; and other organizations/individuals who may be crucial to the project's implementation and continued success.

#### **Implementation and Project Readiness**

- The project will be completed within 2 years of award notification.
- The applicant has clearly identified ownership and current maintenance of the subject site and describes who is responsible for site control and long-term maintenance.
- Some or all pre-development work (design, permitting, etc.) has been completed by the awardee or other project stakeholders.
- The project has a schedule with detailed project phases (i.e. start/finish of any design and predevelopment work, construction work, etc.), milestones, and identifies parties responsible for project oversight and implementation.
- There are no concerns with gaining timely permits or other approvals from federal, state, and local agencies, such as the U.S. Army Corps of Engineers, NYS Department of Environmental Conservation, NYS State Office of Parks, Recreation and Historic Preservation, and/or any others that may be required by the NYS Canal Corporation.

#### **Effectiveness and Impact**

- To the greatest extent feasible, the project incorporates universal design strategies (i.e., exceeding minimum requirements for people with disabilities, and designing for improved human performance, health and wellness, and social participation of all people).
- The project will be able to be leveraged for events or other programming that incorporate elements of diversity, equity, and/or inclusion making the Canal System more accessible to those who may have not been able to access the canal or its amenities in the past.
- The project aims to promote environmental stewardship by prioritizing environmental justice, sustainability, habitat restoration, green infrastructure, and/or ecological improvements ensuring the Canal System and its tributaries remain thriving natural resources.
- The project helps enhance the experience for Canal and/or Trails users, or connectivity to the Empire State Trail , Erie Canalway Trail, and/or Champlain Canalway Trail.

#### **Financial Viability and Funding Leveraged**

- The project costs are reasonable, reflective of recent cost estimates, and include adequate project contingencies for unanticipated project costs.
- A viable 1:1 grant match has been approved via resolution, and/or is clearly demonstrated in the project grant budget.
- Project funding has been identified for long term operation and maintenance work

associated with the amenities, or other components of the project.

- The project leverages grant funding secured from New York State agencies, or other grantors in an effort to increase the return on investment and economic impact of projects funded along the Canal.

**ELIGIBLE TYPES OF APPLICANTS:**

- Counties, Towns, Villages, and Other Units of Local Government
- Federally Recognized Native American Nations
- Not-for-profit Corporations. Not-for-profit corporations are covered under 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 Internal Revenue code).

**EXAMPLES OF ELIGIBLE PROJECTS:**

Eligible canal capital project expenses include, but are not limited to the following: Constructing or rehabilitating docks or bulkheads for the purpose of public access to and from the Canal System; Constructing or rehabilitating existing playground, park, or other recreation-based infrastructure and amenities; Constructing or renovating existing buildings or restroom facilities; Accessible amenities for individuals with developmental, physical, or other disabilities including accessible kayak launches, adult changing stations, playground equipment, ramps, signage, and sensory and technological aids; Creative placemaking, wayfinding, and signage projects; Substantial renovations or preservation of existing buildings, trail segments, or other structures; Site preparation and improvements associated with a project such as excavation, demolition, roadways, sidewalks, exterior lighting, sprinkler systems, utility hook-ups); Acquisition of furnishings, fixtures, machinery and equipment with a useful life in excess of five years; Rehabilitation or construction of new parking lots and trailheads, and; Art installations and other cultural amenities that highlight historic or existing connections to the New York State Canal System.

**INELIGIBLE ACTIVITIES:**

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

**PRE-APPLICATION REQUIREMENTS:**

**Boundary Eligibility**

Projects must be located along one of the four canals of the Canal System (Erie, Champlain, Oswego and Cayuga-Seneca), trail linkages or connections to existing Canalway Trail segments, or the historic Erie Canal alignment. Projects must be located on land owned by the applicant, sub applicant, or the New York State Canal Corporation.

### **Matching Funds**

Applicants must demonstrate a 1:1 match which will be required on all grants and must be fully documented. For example, if applicants are requesting \$100,000 then the applicant would need to demonstrate a viable match of \$100,000 (for a minimum project cost of \$200,000). NYS Canal Corporation and/or NYPA funding may not be used to meet applicant match requirements but grant and/or other funding from other State, Federal, or private entities are eligible. Common and allowable types of applicant match include one or a combination of the following:

- Cash: Includes grants other than this grant request.
- Force Account (Payroll of applicant): Itemize according to job title or job assignment (on project). At the time of the reimbursement request, grant recipients will be required to document time worked, tasks, pay ratio and payment (including components and percentage of fringe benefit rate).
- Professional Services: The value of services provided by professional and technical personnel and consultants. Three-year retroactivity applies.
- Supplies and Materials: The current market value of items warehoused (not yet installed). Three-year retroactivity applies; use value current at time items were obtained.
- Volunteer Labor: Skilled and professional labor can be computed at the job rate. The value for labor (unskilled labor and work performed by professionals or skilled laborers in an area outside of their area of expertise) of an adult (18 and over) donating time to a project may be computed up to the amount identified as the Value of Volunteer Time for New York State at [http://www.independentsector.org/volunteer\\_time](http://www.independentsector.org/volunteer_time)
- (For example, a lawyer donating legal services may compute the value based on the standard billing rate, but the value for the same lawyer donating time painting walls will be computed up to the amount identified as the Value of Volunteer Time for New York State).
- Equipment Usage: Compute the value according to its fair market rental value in project location.
- Real Property: The value of all property acquired, donated or converted from other purposes should be included in the project schedule. One year retroactivity applies to all three categories.

### **GRANT REIMBURSEMENT:**

Grant funds will be provided on a reimbursement basis ONLY. Receipts, invoices and other documentation must meet the requirements of the Canal Corporation. Reimbursement will only be provided for projects or portions of a project initiated after the date of the grant award letter from the Canal Corporation. Projects may be initiated prior to receipt of the award letter, and matching expense documentation will be accepted for expenses up to one year prior to the date of the award letter, but reimbursement will only be provided for portions of the project initiated after the date of the award letter. Reimbursement payments will not be issued prior to final contract execution. There is a reimbursement requirement on all projects whereas twenty percent (20%) of the awarded funding will be retained for reimbursement pending the project being deemed complete.

### **SITE OWNERSHIP AND PERMITTING REQUIREMENTS**

Projects must be located on land owned by the applicant and/or Canal Corporation. Those applying

for projects on Canal Corporation property must reach out to Canal Corporation's Real Property Department to ensure the site is eligible for such a project. Correspondence may be submitted as part of the application process. Regional Real Property Coordinator contact information is available here: <https://www.canals.ny.gov/Real-Property-and-Permits/Permits>

Work on NYS Canal Corporation land requires both a Use and Occupancy Permit AND a Work Permit specific to the requested activities. All permits, including other required federal, state, and municipal permits, must be secured prior to implementing grant funded activities, including those activities related to the match. All applicants should anticipate a minimum of 4 weeks for initial review of permit applications by the NYSCC. Applicants must contact the NYS Canal Corporation's Real Property Department at (518) 449-6000 to ensure the site is eligible for the proposed project in advance of grant application.

**SUCCESSFUL APPLICANT REQUIREMENTS:**

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

For projects proposed by a municipality or other local unit of government, the awardee will be lead agency for purposes of the State Environmental Quality Review Act (SEQRA) or will be responsible for initiating lead agency designation procedures, if there are other involved agencies. For new projects initiated after receipt of the grant award letter, the Canal Corporation shall be an involved agency. The municipality shall meet the procedural and substantive requirements of SEQRA and all other state, federal or local law, rules, regulations, ordinances, codes and requirements.

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

**GENERAL OPERATING, LIABILITY, AND FINANCIAL CONSIDERATIONS:**

Canal Corporation assistance toward the costs of the project shall not exceed the amount awarded to the applicant. The Canal Corporation shall not be responsible for any increases in the total project costs beyond the grant approval amount indicated in the award letter from the Canal Corporation.

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

The liability for projects constructed, owned and maintained by awardees on real property-- not under the jurisdiction of the Canal Corporation--will remain with the grant awardees. Projects on Canal Corporation real property must be designed and constructed with Canal Corporation approval and in accordance with engineering and design standards of the Canal Corporation.

Projects must provide for public safety and must not interfere with Canal operations or navigation.

Projects will be required to meet all applicable insurance requirements. Projects on Canal Corporation real property may require the purchase, lease or permitting of the real property from the Canal Corporation, in accordance with all applicable laws and regulations and the Canal Corporation's "Canal Real Property Management Policy" and standard operating procedures. Operation and maintenance in perpetuity by the applicant is required and an agreement stating so will be required.

Every project must comply with all applicable local, state and federal laws, rules, regulations, requirements, ordinances and codes.

**ADDITIONAL RESOURCES:**

NYS Canal Corporation website:

[www.canals.ny.gov](http://www.canals.ny.gov)

Canalway Grant Program website:

<https://www.canals.ny.gov/Doing-Business/Grants/Canalway-Grant-Program>

**Questions? Eligible applicants can contact:**

Andy Marzo

Canals Strategic Projects Manager

[Andrew.Marzo@NYPA.Gov](mailto:Andrew.Marzo@NYPA.Gov)

# New York State Energy Research and Development Authority

## **Building Cleaner Communities Competition**

**Funding Available: \$25 million**

**Deadline: 8/14/2026 4pm EST**

***NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.***

### **1. PROGRAM DESCRIPTION**

The New York State Energy Research and Development Authority (NYSERDA) has \$25 million of funding available to administer the Building Cleaner Communities Competition (BCCC) which will support regionally significant, all electric, carbon neutral and resilient projects in New York State. These projects can be new construction, deep retrofit, adaptive reuse, and/or gut rehabilitation projects that will be clean and resilient, beautiful, and functional, and will provide healthy, safe, comfortable, and resilient spaces. All projects must demonstrate that the project will achieve all electric, carbon neutral or net zero energy performance. Projects should also demonstrate how they will help achieve the goals of the New York State Regional Economic Development Council's (REDC's) Strategic Plan. Projects should address NYSERDA's long term goal to increase the economic competitiveness of facilities by providing technical and financial support for the implementation of cost-effective energy efficiency and renewable energy technologies.

NYSERDA will make a total of \$25 million available Statewide through this solicitation funded by the Regional Greenhouse Gas Initiative funding.

The financial support for all projects will be capped at \$1,500,000 for a single building and \$3,000,000 for multiple buildings, or 35% of total project cost for 501(c)(3) entity or government entity and 25% of total project cost for all other entities, whichever is less. This funding can be comprised of both a dollar per square foot amount and flat incentive amounts for project elements. Projects owned by a 501(c)(3) entity or government entity may be eligible for an award of \$45 per square foot of gross floor area. All other projects will be eligible for an award of \$35 per square foot of gross floor area.

Additional incentives available for projects include the below:

1. Projects that have committed to designing and certifying to a Passive House standard will be eligible for an incentive of \$150,000;
2. Projects that have committed to installing Ground Source Heat Pumps to meet the design temperature-based heating and cooling loads will be eligible for an incentive of \$200,000;
3. Projects that have committed to installing Geothermal Network to meet the design temperature-based heating and cooling loads will be eligible for an incentive of \$400,000.

### **2. APPLICATION SUBMISSION**

#### **a. How to Apply:**

The application is required to go through the Consolidated Funding Application (CFA) portal, and all the required questions must be answered and completed. For any technical issues regarding the use of the portal, please refer to the CFA guidebook.

**b. Questions:**

No communication intended to influence this procurement is permitted except by contacting the designated contact by e-mail [BCCC@nyserda.ny.gov](mailto:BCCC@nyserda.ny.gov). If you have contractual questions concerning this solicitation, contact James Cowman at (518)-362-0487 or [jim.solicitations@nyseda.ny.gov](mailto:jim.solicitations@nyseda.ny.gov). Contacting anyone other than the Designated Contacts (either directly by the applicant or indirectly through a lobbyist or other person acting on the applicant's behalf) in an attempt to influence the procurement: (1) may result in an applicant being deemed a non-responsible offeror, and (2) may result in the applicant not being awarded a contract.

For more information, Proposers should contact the New York State Energy Research and Development Authority, 17 Columbia Circle, Albany, New York 12203, email [BCCC@nyserda.ny.gov](mailto:BCCC@nyserda.ny.gov) or visit: <https://www.nyserda.ny.gov/>.

**3. FUNDING AVAILABLE**

The awarded funding will be available to contracted projects for five (5) years from the date of the contract execution. If the project is making sufficient progress on the contracted work and funding is still available, the project team may request an extension to the project period. The funding may be extended at NYSERDA's sole discretion.

Expenses incurred to prepare the project proposal and that occur prior to the execution of a contract for an awarded project, are not eligible expenses and should not be listed in the CFA project budget.

The funding provided through BCCC may be used in conjunction with transportation (e.g., electric vehicle charging station) and distributed energy resources (e.g., solar photovoltaics or battery storage) funding available from NYSERDA and utility service providers. Projects that have been awarded or are seeking funding for support services from NYSERDA's PON 4614, PON 5614, PON 4192, PON 2112, PON 5367 or other programs will need to clearly indicate duplicative funding is not being provided for the same scope of work.

Applications are not eligible for award if they have already been awarded funding with the same scope of work under previous rounds of BCCC, or intend to seek or have already been awarded Clean Energy Initiative (CEI) funding distributed by the New York State Homes and Community Renewal (HCR), or funding distributed through the New York City Housing Preservation and Development (HPD) Future Housing Initiative or any of their sub-agencies that is provided by NYSERDA through the Clean Energy Fund and intended to support goals similar to those promoted through BCCC.

Applicants must review the rules and eligibility of all other programs, including utility programs, to determine if those funds are accessible in combination with funds offered by BCCC. A full funding stack is required to be included in the Scope of Work. If incentives are received from multiple programs, the incentive amount received cannot exceed the design and implementation cost of the scope of work.

### **Project Funding:**

The financial support for all projects will be capped at \$1,500,000 for a single building and \$3,000,000 for multiple buildings, or 35% of total project cost for 501(c)(3) entity or government entity and 25% of total project cost for all other entities, whichever is less. This funding can be comprised of both a dollar per square foot amount and flat incentive amounts for project elements. Projects owned by a 501(c)(3) entity or government entity may be eligible for an award of \$45 per square foot of gross floor area. All other projects will be eligible for an award of \$35 per square foot of gross floor area.

Additional incentives available for projects include the below:

1. Projects that have committed to designing and certifying to a Passive House standard will be eligible for an incentive of \$150,000;
2. Projects that have committed to installing Ground Source Heat Pumps to meet the design temperature-based heating and cooling loads will be eligible for an incentive of \$200,000;
3. Projects that have committed to installing Geothermal Network to meet the design temperature-based heating and cooling loads will be eligible for an incentive of \$400,000.

Awarded projects that propose any of the above three (3) additional incentives, but determine that they cannot proceed with the required implementation or installation, will have their award reduced to the lower amount, but may retain 15% of the difference between the two award options, at NYSERDA's sole discretion, based upon NYSERDA's review of the project team's submission of additional information including but not limited to, energy modeling and technical and cost analysis.

### **Fundable Activities:**

1. Planning, Design, Energy Modeling, and Integrated Project Delivery
2. Energy Efficiency Improvements
3. High Performance Building Envelopes
4. Upgrades and Appliances Necessary for Electrification
5. On-Site Renewable Energy Systems (photovoltaics, wind, or solar thermal)
6. Ground Source or Air Source Heat Pumps
7. On-Site Electric Vehicle Charging Stations
8. Battery and Thermal Storage Systems
9. Advanced Controls to Enable Building-Grid Interactivity
10. Resiliency Measures
11. Passive and Active Survivability Measures
12. Certification fees for third-party building performance standards (Passive House, WELL, or LEED)
13. Commissioning
14. Decarbonization of Central Plants
15. Or other efficiency or renewable energy technologies, as determined by NYSERDA

## **4. GENERAL ELIGIBILITY**

NYSERDA, at its sole discretion, determines an application's eligibility to BCCC.

Proposed projects must be comprehensive in nature. Applications of a nature that are single system or limited in scope will be deemed as ineligible.

**Eligible Project Types:**

Commercial projects owned by non-profits, for profits, municipal, government or agency entities are all eligible including but not limited to:

1. Light Industrial and Manufacturing Facilities
2. Warehouses and Distribution Centers
3. Municipal and Government Facilities
4. Offices
5. Restaurants, Breweries, Vineyards, and Distilleries
6. Retail (must show alignment with Regional Priorities)
7. Food Processing Facilities
8. Colleges and Universities
9. Healthcare Facilities
10. K-12 schools
11. Hotel Developments
12. Religious Facilities
13. Agricultural Facilities
14. Mixed Use Facilities (residential can be included in this type)
15. Decarbonization of an existing central plant

**Ineligible Project Types:**

1. Heavy Industrial Facilities (large-scale industrial operations that require specialized equipment and processes, M-2 or M-3 zoning district)
2. Transportation or Infrastructure
3. Projects that include Hydro-electric Power
4. Sole Residential Development

**Project Location**

BCCC is available to projects located anywhere in New York State, regardless of whether the project is located in an investor-owned electricity distribution company service territory. Applications for projects that are located in disadvantaged communities (DAC), NY Forward communities, Health Across All Policies/Age-Friendly NY and located within Downtown Revitalization Initiative (DRI) districts are considered in the scoring evaluation.

### **Project Status**

Projects that have received a final municipal approval; a Building Department's final approval of the building's architectural, mechanical, and plumbing plans; or the permit that allows for construction of the building at the time their application is submitted to NYSERDA, will not be eligible for consideration. Projects in the schematic design through the end of construction documentation phase as of the date their application is submitted to NYSERDA are considered in the scoring evaluation.

Eligible projects are as follows:

1. **New Construction:** A new building, buildings, or an addition, where a licensed professional architect or engineer has prepared and certified the building design documents.
2. **Adaptive Re-use or Gut Rehabilitation:** Substantial renovation for one of the following types of projects where a licensed professional architect or engineer has prepared and certified the building design documents:
  - i. Change of use and reconstruction of an existing building, buildings, or space(s) within a building,
  - ii. Construction work of a nature requiring that the building, buildings, or space(s) within a building to be out of service and unoccupied for a minimum of thirty (30) days,
  - iii. Reconstruction of a vacant structure, or structures, or space(s) within a building,
  - iv. The addition to or expansion of a building, in combination with any of the above.

### **Definition of a Project**

A project can encompass one (1) building or multiple buildings with similar scopes of work located on the same site or on adjacent sites. Adjacent sites are considered to be sharing a property line or separated by an easement or a public right-of-way. NYSERDA, at its sole discretion, can elect to divide proposals with more than one building into separate proposals to be evaluated separately or select one or more building(s) from a proposal with multiple buildings to be evaluated separately.

An applicant may elect to submit more than one (1) application to BCCC for different projects (different locations and different scopes of work). Members of an applicant's team are welcome to participate in more than one application. Multiple, alternative applications submitted for a single project will result in the disqualification of both proposals, as it is the responsibility of the applicant to determine the more appropriate set of solutions for their project.

### **Project Ownership**

The applicant must be the owner or developer of the proposed project and have the authority to select and direct all other members of the project team. If the applicant has been given the authority to select and direct all other members of the project team, it must include a letter of authority (attached in the Scope of Work) to validate its authority and responsibilities. A signature from the site owner or developer is required to be included in the letter of authority. The applicant

must demonstrate their internal and external project team, including sub-consultants, have the capabilities to perform and successfully complete the proposed project as a multidisciplinary and integrated project delivery team. If the applicant is still in the process of securing site control with the site's current owner, a letter of intent (attached in the Scope of Work) from the current owner is required to be eligible for this solicitation.

## 5. GENERAL REQUIREMENTS

### Energy Performance

The project must demonstrate clean, resilient, high performance and carbon neutral attributes, and meet the definition of either Carbon Neutral or Net-Zero Energy performance as defined below:

1. Carbon Neutral Performance: A project that excludes all fossil fuels from the building systems and equipment qualifies to be Carbon Neutral. Building systems and equipment refers to at a minimum: building heating, ventilation, and air conditioning (HVAC), domestic hot water (DHW), kitchen, laundry, and other appliances.
2. Net-Zero Energy Performance: A project that excludes all fossil fuels from the building systems and equipment and where the actual annual energy used on-site is less than or equal to the on-site renewable energy produced, qualifies to be Net-Zero Energy.

Projects that rely on a fossil fuel-fired generator for emergency use only, projects which are served by an off-site fossil fuel-fired central heating plant, or if fossil fuels must be utilized for a project due to energy requirements for an industrial process or for unregulated loads, may at NYSERDA's sole discretion qualify as carbon neutral if fossil fuel use is excluded from all other building systems and equipment. NYSERDA, at its sole discretion, will consider exemptions to the Carbon Neutral rule for process and other unregulated loads on the site on a case-by-case basis. To be considered, the Applicant must explain the rationale for continuing to use fossil fuels and demonstrate that there is not a fossil fuel free equipment or process that can replace the fossil fuel usage (commercial kitchens will be required to be all-electric). In this instance, NYSERDA will consider the project's use of the US Department of Energy's publication of [A Common Definition for Zero Energy Buildings](#) in determining eligibility based on off-setting carbon-emitting fuels with additional renewable energy production.

Electric vehicle (EV) charging stations are strongly encouraged to be included in projects. However, it is not required that loads related to EV charging be included in the determination of net zero energy performance.

The applicant is highly encouraged to have a preliminary energy model completed to include modeled energy and carbon savings in the application. If awarded, the applicant must deliver an energy model and analysis report for the project that will determine the energy savings.

Additionally, the applicant must rely on one (1) of the following primary paths to establish the minimum projected energy efficiency and building performance. If neither of the primary paths listed in Table a. Energy Performance Paths is achievable to the proposed project, an alternative path can be considered. If the project is awarded, the applicant must provide documentation associated with the selected path as a project deliverable.

Primary Paths	1. Passive House (Phius or PHI) Energy Modeling <u>OR</u>
	2. Appendix G of ASHRAE 90.1 as described in LEED V5 BD+C Enhanced Energy Efficiency Option 2 Energy Simulation.
Alternative Paths if either Primary Path is not Achievable	1. LEED V5 BD+C Enhanced Energy Efficiency Option 1 Prescriptive Path with edits (see below for details).
	2. Historic buildings with a Historic Building Report approved by the code official needed to meet latest code minimum.

Table a. Energy Performance Paths

The primary paths are based on Passive House and LEED methodology, however certification to the standards is not required, although considered in the scoring criteria. Please see the paragraphs below for details:

1. Appendix G of ASHRAE Standard 90.1: Applicants intending to rely on this standard to model and predict energy performance must commit to designing a project that will achieve a minimum modeled source (primary) energy savings of 15% (5 out of 10 points) when compared with the performance target following the LEED v5 BD+C Enhanced Energy Efficiency Energy Simulation Path; excluding the impacts of any proposed renewable energy generation. The path refers to Table 5. ASHRAE 90.1 2019: Equivalent Building Performance Factors for a Future Source Energy Metric for source energy saving calculation under the Enhanced Energy Efficiency credit. Energy performance must be established without the inclusion of any renewable or distributed energy generation, to confirm the energy efficiency performance threshold has been met, and then again calculated after renewable or distributed energy generation has been included in the energy model and submitted by the applicants to support evaluation of the energy efficiency of the design. Applicants must commit to use of the “90.1 Section 11 and Appendix G Compliance Form v4.9” to establish simulation inputs and complete internal quality control.
2. Projects intending to meet certification requirements as published by Phius (Passive House Institute U.S.) must identify the building(s)’ modeled source (primary) energy use in terms of kWh/person/year; and projects intending to meet certification requirements published by the Passive House Institute (PHI) must identify the building(s)’ modeled source (primary) energy use in terms of kBtu/treated-floor-area/year. Applicants committing to achieving certification to either passive house standard are deemed as meeting the minimum modeled source energy savings requirements. Energy modeling must be completed and submitted both with and without the use of renewable or distributed energy generation to support evaluation of the efficiency of the design. Alternative energy modeling will not be expected of the applicants committing to achieving certification to either passive house standard to support their predicted energy performance.

Alternative energy modeling and energy performance standards may be considered on a case-by-case basis. For projects cannot achieve 15% (5 out of 10 points) source (primary) energy savings using the LEED v5 BD+C Enhanced Energy Efficiency Energy Simulation Path, the Prescriptive Path can be an alternative.

However, a brief explanation of why the project cannot use the Simulation Path is required for approval of the Prescriptive Path. A COMcheck report as well as process load calculation sheet (as applicable) is required to show credits and LEED points (5 out of 10) earned by the measures in the scope. EO1 Improved Envelope Performance is eligible for Case 2. ASHRAE 90.1-2022 credit calculation besides all the other eligible measures in the LEED Enhanced Energy Efficiency, Prescriptive Path, Case 2. ASHRAE 90.1 2022 section.

Historic buildings also need a brief explanation to show the limitation of renovation and a Historic Building Report approved by the code official is required to be exempt from meeting the requirements under either primary path. They are instead required to meet the 2025 NYS ECCC minimum.

Applicants must specify in their Scope of Work any requests to utilize an alternative energy modeling approach or performance standard. Energy standards developed by NYSERDA for existing Standard Offer programs, such as NY Sun and Charge NY, including the use of eligible installers, will be required for awarded projects.

NYSERDA, at its sole discretion, may choose to award highly replicable projects where only a portion of the building is seeking carbon neutral or net zero energy performance. In this instance, projects must demonstrate that the loads for that portion of the building will be separated from the other portions of the building, and the installed renewable energy system will be sized appropriately for those anticipated loads.

## **6. APPLICATION REQUIREMENTS AND FORMAT**

The Scope of Work document structure should follow the outline listed below and sequentially address the Scoring Criteria as listed in the “7. APPLICATION EVALUATION” section. The applicant must identify their project’s status as of the date of submission, as defined and detailed in the “4. GENERAL ELIGIBILITY” section.

The quality, rigor, and organization of the Scope of Work document will impact its evaluation and scoring, in part as a reflection of the likelihood a selected applicants will be successful in reaching their stated goals. Inconsistencies within applications (e.g., CFA portal questionnaire, Scope of Work document, drawings, or data across all documents) may also impact evaluation and scoring.

The Scope of Work document should include a clear and concise description of the project, proposed scope of work services to be performed, and proposed project promotion, addressing each category detailed below. Scope of Work should not exceed ten (10) pages, not including supplemental project documents. The Scope of Work document is expected to be uploaded to the CFA portal.

The applicant must submit the following in the Scope of Work document:

- a) Brief Project Background (maximum for 1 page):
  - i. Project Description - including project status, design and construction schedule, square footage, number of buildings, construction type and methodology, building function, and third-party standards designed to as well as Clean Energy Job (see definition in the Scoring Criteria section) involved to design and implement the project,
  - ii. Project Location - including the building address and if the project is located within a Downtown Revitalization Initiative (DRI) district, NY Forward communities, disadvantaged community (DAC) as defined by NYS, NYS Department of Environmental Conservation (DEC) Potential Environmental Justice area, or Clean Energy Community (CEC),
  - iii. Project Team – including a list of additional developers of the project, firms acting in either a sub consultant capacity or as another partner on the project for design, engineering,

certification, quality control, construction manager, general contracting, and an indication of whether integrated design or construction will be employed on the project.

- b) Detailed Scoring Criteria alignment (maximum for 6-7 pages): Please elaborate and provide details for every category in “7. APPLICATION EVALUATION”, Scoring Criteria section.
- c) Project Costs and Budget (maximum for 1-2 pages): including the requested funding for the project in terms of the \$/sf amount and the project component incentives. Additionally, the application should include the project budget, proposed operation and maintenance costs. A project funding stack table is required to show the contribution of private funding and all the additional anticipated or attained public funding programs, grants, incentives and associated amounts.
- d) Brief Project Marketing Plan (maximum for 1 page): The applicant should describe how they intend to create high impact influence through successful marketing and promotion the project, including disseminating information to the market that could be useful to the industry and better inform the public about clean, resilient, carbon neutral building performance that supports the elimination or reduction in use of fossil fuels, and be aimed at increasing market replicability and scalability. Additional and relevant information may include, but should not be limited to, information about the project design, the construction and operational processes, strategies to reduce costs, project costs that are either absolute or comparative, financing strategies, additional construction details, resilient, active, and passive survivability attributes, non-energy co-benefits, cost reduction strategies, and overall lessons learned.

In accordance with the “10. RESPONSIBILITIES” section, the applicant should indicate which aspects of the project information can be publicly shared by NYSERDA in its promotional activities and should stipulate if any portion or portions of the information should be reserved for NYSERDA’s internal use and/or for anonymized analysis and not publicly shared as project-specific information.

After a project has received funding, NYSERDA may elect to disclose unprotected information, in whole or in part, on websites, social media, in publications, in presentations, or other venues. In addition, the applicant should outline their proposed methods or mechanisms for sharing this information through their marketing plan. Applicants are expected to cooperate with NYSERDA in the development and review of marketing materials. NYSERDA credits the project name and applicants in all promotional material. Applicants are expected to participate in presentations and other promotional events.

#### **Supplementary Documents:**

The applicant must submit all supplementary documents listed here, as available, to support the application evaluation as an appendix in the Scope of Work document:

- 1. Project rendering(s) - at least one (1) high-quality rendering,
- 2. Architectural drawings as available, including but not limited to:
  - i. Floor plans,
  - ii. Site plans,
  - iii. Letter of intent, as applicable
  - iv. Letter of authority, as applicable

Notes:

- 1. Submitted materials may be used for the presentation of funded projects in various forums.

2. Photographs and other images may be submitted as .pdf at the time of the application but must be provided as high-resolution image files at 24 inches wide and 300 dpi for projects funded and upon request. Credits shall be noted to the producer or creator.
3. Updates to the initially submitted materials may be requested for projects funded under BCCC.

## **7. APPLICATION EVALUATION**

Prior to review by a scoring committee, applications will be reviewed for completeness and to ensure they meet the eligibility requirements as detailed in the “4. GENERAL ELIGIBILITY” section. This will be conducted several weeks after closure of the CFA. Applicants that are determined to not meet the eligibility requirements as detailed in the “4. GENERAL ELIGIBILITY” section are not eligible for further consideration of this program for this year. Applications that do not meet the listed requirements will not be reviewed by the scoring committee.

Following the initial review, applications to BCCC will be evaluated based on their overall response and specifically based on the Categories and Category Descriptions as detailed in the “Scoring Criteria” section below. Evaluation and scoring of each application will ultimately be determined in comparison with and relative to the other applications submitted to BCCC.

A proposal is eligible to receive a total final score of 100, of which 80 percent is derived from the NYSERDA review criteria below and 20 percent is allocated to the applicable REDC. The REDC rates the degree to which the project aligns with the REDC’s Strategic Plan. 7 bonus points are given to a project in a DAC.

### **Scoring Criteria**

#### **1. Regional and State Economic Development and Energy Strategies (15 points):**

- a. Alignment with the REDC’s stated Economic Clusters or Strategic Plan;
- b. The Project provides supportive or essential services to the community, including but not limited to childcare, workforce development, health services, or services for veterans;
- c. Contributes to Priority Issue Areas, including but not limited to:
  - i. Disadvantaged Communities: Policies in place to direct funding in a manner designed to achieve a goal for disadvantaged communities to receive forty percent of overall benefits of spending on clean energy and energy efficiency programs, <https://www.nyserda.ny.gov/ny/Disadvantaged-Communities>,
  - ii. Downtown Revitalization Initiative and Strategic Community Investment: Priority consideration will be given to applications which demonstrate they will advance downtown revitalization and strategic place making through transformative housing, economic development, transportation and community projects that will attract and retain residents, visitors and businesses - creating dynamic neighborhoods where tomorrow’s workforce will want to live, work, and raise a family. Projects should reflect the general principles of smart growth and sustainable development,
  - iii. NY Forward: NY Forward was designed to support a more equitable downtown recovery for New York’s smaller communities, with a focus on hamlets, villages, and neighborhood-scale commercial centers. Similar to Downtown Revitalization Initiative, priority consideration will be given to applications which will attract more businesses, residents, and visitors, while also providing a higher quality of life for all residents, and

- iv. Health Across All Policies/Age-Friendly NY: This funding also supports the State’s initiative to advance Health Across All Polices/Age-Friendly NY, a collaborative approach that integrates health considerations into policymaking and program development across all sectors to improve community health and wellness. To encourage the economic and civic strengths of the aging population and to incorporate the social needs and desires of aging New Yorkers, NYSERDA will promote economic development that improves community health and wellness and supports age-friendly communities. Projects that favorably impact the ability of individuals to continue living in their homes and communities in a manner consistent with their abilities, and approaches that build toward a future in which every New Yorker can enjoy wellness, longevity, and quality of life in strong healthy communities are encouraged to describe in detail how the project addresses age-friendly inclusion;
- d. Clean Energy Jobs are involved in the project design and construction processes. Roles can be in a variety of settings including but not limited to professional and technical, construction and installation, and manufacturing. Sectors include but are not limited to high-efficiency heating, ventilation, and air conditioning (HVAC), building electrification, energy efficiency, solar, and wind as well as upskilling and reskilling existing workers for work with clean energy technologies and transition to Clean Energy Jobs.

**2. Clean and Carbon Neutral Performance Measures (20 points):**

- a. The estimated energy performance of the project with a preliminary energy model highly encouraged, including all building systems, unregulated loads and renewable energy systems;
- b. Any early-stage feasibility analysis that has been performed to date including but not limited to Geothermal borehole testing or district thermal studies;
- c. The applicant’s commitment to meet the carbon neutral or net zero performance standard;
- d. Whether the project will include integrated design and construction principles,
- e. Whether the project will be designed to meet third-party performance validation standards (e.g., Passive House, International Living Future Institute (ILFI) Living Buildings Challenge, LEED Zero, Resilience Action List (RELi), WELL Building Standards, AIA 2030, ASHRAE beQ, EnergyStar Label, Fitwel, Green Globes, Indoor airPLUS, Enterprise Green Community (EGC), etc.);
- f. Whether the project will integrate energy performance validation (i.e. measurement and verification) in the future;
- g. Whether the project is technically feasible, innovative, and superior to alternatives;
- h. Innovations in industrialization of construction, reduction in construction waste; efficient mechanical systems, how the innovations can be scaled and replicated;
- i. Strategies to achieve clean building design attributes can include, but are not limited to:
  - i. High performance building envelope,
  - ii. Geothermal (ground-source or water-source) heat pump systems,
  - iii. Electrical grid interactivity and controls,
  - iv. Energy storage (thermal and electric),
  - v. On-site renewable energy systems,
  - vi. On-site electric vehicle charging,
  - vii. Battery storage,

- viii. Heating, cooling, domestic hot water and ventilation components,
- ix. Appliances,
- x. Renewable generation district,
- xi. Smart building controls and monitors,
- xii. Transit-oriented development, and
- xiii. Clean building design attributes, or combinations of attributes, that have been designed to reduce peak loads, and
- xiv. Overall reduction to the total volume of refrigerants and greenhouse gas emissions, the use of lower Global Warming Potential (GWP) refrigerants, and increased use of systems that require few or no refrigerant piping joints to be made on the construction site;
- j. Strategies to achieve successful integration of non-energy co-benefits include, but are not limited to:
  - i. Attributes related to community connectivity, economic development, sustainability, durability, and other aspects to improve the living environments for occupants,
  - ii. Actions to optimize indoor air quality, reduce indoor pollutants, and to safeguard against transmission of air-borne contaminants that cause allergies, asthma, and illness, such as use of Minimum Efficiency Performance Value (MERV) 13 air filters or better, and use of durable materials that limit moisture intrusion,
  - iii. Integrating design attributes found in non-energy third party standards and feasibility of certification, validation or verification of non-energy co-benefits through third party standard(s) that incorporate health-related co-benefits;
- k. Reduced embodied carbon: Applicants must conform to the NY Office of General Services [GreenNY Specification](#): Lower Carbon Concrete and NYS Office of General Services [Buy Clean Concrete Guidelines](#) when specifying concrete. If embodied carbon modeling tool is used for the life cycle impact of the project, the applicant shall demonstrate the modeling tool, baseline and savings achieved in the project. Strategies to reduce the proposed project's life cycle embodied carbon impact may include, but not be limited to:
  - i. Strategies that reduce embodied carbon in materials and the specific manufacturing process that achieve carbon sequestration,
  - ii. Material is salvaged or reused from existing or other buildings or biogenetic materials;
- l. Preference will be given to projects that:
  - i. Utilize Ground Source Heat Pumps for heating and cooling,
  - ii. Are pursuing Passive House Certification,
  - iii. Projects in the Design Development to halfway Construction Documentation phase and
  - iv. Projects that are expected to finish construction within two (2) years.

**3. Resiliency, Passive and Active Survivability (13 points):**

- a. Applications should identify and assess each project-specific resilience risk, both current and anticipated throughout the project's useful life (e.g., more intense heat waves and increased frequency and severity of flooding), and describe in detail how a proposed strategy (or combination of strategies) will increase resilience of the building and its

occupants by addressing that risk. This can be in the form of presenting climate hazard exposure data or a resiliency plan;

- b. Examples of resilience, passive and active survivability include, but are not limited to:
  - i. Locating the building outside of the 100- or 500- year flood plain and raising living spaces and critical system components above 500- year flood level, at a minimum,
  - ii. Creating areas of refuge within the building for occupants to shelter in place during extreme heat and cold events, power outages, or flooding, that incorporate HVAC systems that remain operable during power outages,
  - iii. Ensuring adequate passive survivability during extended power outages by identifying the duration the building could remain safely occupied, while maintaining safe thermal conditions, natural light, natural ventilation, and other conditions,
  - iv. Incorporating active resiliency strategies, such as satisfying critical loads for an extended duration using backup power or the use of energy storage (e.g., battery) solutions, potentially in combination with renewable energy generation (e.g., solar array),
  - v. Incorporating community resilience-enhancing strategies, such as providing community services, connecting to district systems to ensure diversity of energy resources, and reduction of vulnerability of the area surrounding the site to extreme heat,
  - vi. Other strategies that enable the building or community to adapt to, absorb or recover from events, such as mechanical systems that can accommodate future climate conditions;
- c. For any buildings in New York City that are expected to be subject to tidal inundation by 2080 or in the 2080 future floodplain and for buildings outside of New York City that are in the 500 year flood zone or that are otherwise at risk of current or future flooding, storm water management and flood-mitigation measures should be incorporated into the design. At a minimum, critical system components must be raised above the future tidal inundation or flood elevation, depending on location, unless an alternative flood-mitigation plan to protect those critical components is proposed, and ultimately determined to be acceptable during the proposed project's review process, at NYSERDA's sole discretion;
- d. Applicants, regardless of the proposed project site location, may find the [NYC Climate Resiliency Design Guidelines](#) useful for resilience strategies and resources;
- e. For guidance on managing future flood risk, Partners may refer to the State [Flood Risk Management Guidance](#) and [NYC Flood Hazard Mapper](#);
- f. For guidance on climate change and building resilience, Partners may refer to the [ClimAID](#) climate projections for New York State, the [New York Adapting Buildings for a Changing Climate website](#), and the [New York State Climate Impacts Assessment: Understanding and Preparing for Our Changing Climate](#).

**4. Cost Effectiveness (17 points):**

- a. The project identifies costs of reaching carbon neutral or net zero energy performance in design, engineering, energy modeling, installation and commissioning;
- b. The overall estimated return on investment that the project identified in the application will generate including but not limited to energy savings, lower operating and maintenance costs,

- long-term utility savings, productivity, improved work environment, and shorter timeframe of on-site construction;
- c. Incremental cost for critical energy efficient measures (e.g., heating and cooling, hot water, envelope insulation etc.) compared to code minimum measures and each payback time;
- d. Cost reduction strategies that have the capacity to substantively reduce the overall cost of the proposed project;
- e. The status of funding or financing mechanisms for the project as well as a full funding stack with breakdown of funding sources;
- f. The degree of the Applicant's financial viability and strength of financials/operating history/credit score.

**5. Replicability (8 points):**

- a. Whether the design and construction utilize materials, system selection and equipment that are commercially available;
- b. Whether the project scope is highly replicable for similar development projects within the Region or the State. Replicability may be due to building type, sector or applicant's portfolio;
- c. Whether the project type and sector are economically viable in the current market;
- d. The degree of project readiness and likelihood of completion, including, where applicable for real estate development projects, if there are identified tenants for a completed project.

NYSERDA, at its sole discretion, may choose to not award any projects.

**Program Policy Factors:**

NYSERDA reserves the right to accept or reject applications based on the following program policy factors:

- 1. There is diversity of technologies, approaches, and/or methods utilized to achieve carbon savings;
- 2. There is geographic diversity among awardees, including within multiple locations, climates, regions, or other geographically articulated criteria (for example, disadvantaged communities, Regional Economic Development Regions, or an area of natural gas resource constraint).

**8. AWARD CRITERIA DETAILS, FUNDED PROJECTS, SUBSEQUENT SUBMISSIONS, AND REQUIRED UPDATES**

- 1. Upon NYSERDA selection for an award, NYSERDA will issue an Agreement for the project's estimated/eligible award amount. Applicants are required to execute an agreement with NYSERDA and deliver completed projects that meet the requirements detailed in the Request For Applications (RFA). The project deliverables and associated time and material or milestone payments will be as detailed in the RFA and the agreement executed between the selected applicants and NYSERDA. Selected applicants will work with NYSERDA to develop a detailed and site-specific scope of work, schedule and project budget.
- 2. Notice of a funding award will be given in the form of a contract outlining the terms of the proposed assistance. Applicants are strongly encouraged to review and countersign NYSERDA's Agreement prior to starting the project. Project funding may only be used for expenses incurred after the date

that the contract is executed. Costs associated with work or analyses conducted to submit an application to this program are not eligible for reimbursement.

3. All physical or design work conducted and costs incurred to make capital improvements to the facility prior to the execution of a contract of an awarded project will not be eligible for cost reimbursement.
4. An independent third-party energy consultant is required for all projects. The applicant must deliver an energy model and analysis report for the Project that will determine the energy savings of the Project.
5. At any point during the design process, NYSERDA must be notified and provided associated details if significant deviation from the original application is expected, including whether the project is expected to fall short of the building performance and related goals as detailed in the original application, including the applicant's commitment to achieving the source energy savings in their original application to NYSERDA. Continuation of any project that deviates from the original application will be subject to NYSERDA's discretion.
6. All applicants will be required to certify and agree that any decrease in the Scope of Work described in the applicant's final CFA submission including, but not limited to, total project costs, may result in NYSERDA's reduction of the award, in NYSERDA's sole discretion, in an amount proportionate to any such decrease. All applicants will be requested to certify and agree that any expansion of the scope of work described in the applicant's final CFA submission including, but not limited to, total project costs, may not result in an increase of the award, consideration of scope changes will be at the sole discretion of NYSERDA.
7. NYSERDA reserves the right to reduce the award amount or terminate any project should it fall below the originally committed energy performance.
8. Please note that awarded grants are transferable at the sole discretion of NYSERDA.
9. It is expected the project will proceed in the time frame set forth by the applicant. If the implementation of a project fails to proceed as planned and is delayed for a significant period of time and there is, in the exclusive judgment of NYSERDA, doubt as to its viability, NYSERDA reserves the right to cancel its funding commitment to such project. NYSERDA reserves the right to require Recipient to provide any additional information and/or documentation NYSERDA deems necessary and terminate the project at any point if the applicant fails to provide such documentation in a timely manner.
10. All required public approvals must be in place prior to the start of construction and installation of renewables, including State Environmental Quality Review (SEQR) and consultation with the New York State Historic Preservation Office (NYSHPO), if applicable. Physical work on a NYSERDA-funded project may not be started prior to the completion of any necessary environmental, historic and/or smart growth review.

11. Grant funds originally awarded to projects that have since been cancelled or terminated will be repurposed for economic development projects by NYSERDA at its discretion in consultation with the REDCs.
12. PROJECT TERM COMPLETION DATES: Financial incentives are based upon a dollar per square foot methodology and flat incentives to achieve carbon neutral or net zero energy performance, as determined in the approved Scope of Work.
  - i. NYSERDA will provide payments of incentives in at least four (4) designated stages during the design and construction of the project:
    - a. 1) Energy Model and Design Phase;
    - b. 2) 25% Construction Completion;
    - c. 3) 50% Construction Complete, with progress on systems and equipment installation;
    - d. 4) When construction is complete.
13. MATCHING FUND REQUIREMENTS / DEADLINES: The applicant will pay the remaining percentage of the total project cost of the design and construction of the project.
14. NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.

**9. SCHEDULE OF PAYMENTS**

	<b>Milestone</b>	<b>Percent of Total Award Paid at Each Milestone</b>
1	Energy Model and Design Phase	10%
2	At 25% Completion of Construction	40%
3	At 50% Completion of Construction	40%
4	At Completion of Construction	10%

NYSERDA reserves the right to negotiate the type (time and materials or milestone) as well as the amount or schedule of payments for a funded project. At its sole discretion, NYSERDA may reduce or withhold payments for a project that falls short of the proposed level of performance, or that has not met this solicitation’s minimum submission requirements.

**10. RESPONSIBILITIES**

NYSERDA Responsibilities

1. NYSERDA provides funding and support to projects in accordance with Building Cleaner Communities Competition, as detailed in this solicitation.

Applicant Responsibilities

1. Applicants are responsible for completing and promoting the use of effective, energy efficient products, services, and designs, as defined by the RFA.

2. Applicants must update the project information that was initially provided in the application, assist NYSERDA in promoting the project, and share information that will help the industry accelerate the design, construction, and operation of clean, resilient, high-performance buildings. All of which may be shared publicly unless otherwise noted.
3. Applicants must allow the project to be part of NYSERDA's promotional efforts and to cooperate with NYSERDA in the creation and implementation of those efforts, including but not limited to articles, books, case studies, exhibitions, lectures, presentations, tours, social media, and other electronic marketing promotions including a BCCC website. NYSERDA reserves the right to brand and market the funded projects as Building Cleaner Communities projects or a similar reference.
4. Applicants are responsible for abiding by the Terms and Conditions in the RFA.

# New York Power Authority

## **ReCharge New York**

**Amount available: Up to 22.7 Megawatts (availability as of May 2026)**

### **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. The RNY power program is a valuable tool for promoting economic development within the state. Businesses and Not-for-Profit Corporations are eligible to apply. The program is not available to sports venues, retail businesses, gaming or entertainment related establishments, and places of overnight accommodations.

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

For more information, eligible applicants should call the ReCharge New York Hotline at 888-JOBSNYS (888-562-7697) or email [PoweringBusiness@nypa.gov](mailto:PoweringBusiness@nypa.gov). More program information can be found at <https://www.nypa.gov/services/incentives-and-grants/recharge-ny>.

# New York State Department of Environmental Conservation

## **Climate Smart Communities**

**Amount Available: At least \$18 million**

The full CSC Program Guidelines and attachments is available on DEC's website at:

<https://dec.ny.gov/environmental-protection/climate-change/resources-for-local-governments/grants-for-climate-action>

### **1. Program Description**

The New York State (NYS) Department of Environmental Conservation (DEC or Department) is pleased to announce the 2026 round of the Climate Smart Communities Grant (CSCG) Program. At least \$18 million is available for the 2026 round CSCG program via this request for applications (RFA). Funding for this grant opportunity is provided by the Environmental Protection Fund and the Clean Water, Clear Air, and Green Jobs Environmental Bond Act and administered pursuant to Environmental Conservation Law Article 54, Title 15 and 6 NYCRR Part 492, Climate Smart Community Projects.

**Please note that effective April 1, 2026, the regulations governing the CSCG Program (6 NYCRR Par 492) have been amended. To reflect these changes, this request for application has been updated.**

The CSCG program is a competitive grant program for local governments, local public authorities and public benefit corporations, and Indian Nations. The CSCG program provides funding to support the completion of 1) a subset of Climate Smart Communities (CSC) Certification actions that move communities to certification under the CSC Certification program while building a solid foundation from which to take implementation action(s), 2) feasibility and design studies for flood risk reduction projects, conversion of existing refrigeration equipment to natural refrigerants, clean energy systems, and smart growth analysis, 3) greenhouse gas mitigation projects, and 4) adaptation projects that directly address or alleviate the impacts from hazards exacerbated by climate change.

The CSCG program covers up to 80% of the eligible cost of completing these projects including, but not limited to, personnel costs, contractual services, equipment purchase/rental, supplies and materials, and land acquisition, directly related to implementation of the project. See the Eligible and Ineligible Project Expenses section for additional details regarding eligible expenses.

Applicants may submit several applications, but no more than one application may be submitted for the same project or project location.

CSC grants are reimbursement-based. See Reimbursements section of this RFA for additional details.

All infrastructure installed must remain in the ownership of the grantee and cannot be transferred to another entity during the useful life of the project (typically 30-years) unless a climate change mitigation easement is in place.

## 2. Question and Answer Period

For grant-specific questions, contact Myra Fedyniak at the New York State Department of Environmental Conservation (DEC), Office of Climate Change (OCC), 625 Broadway, Albany, NY 12233-1030, 518-402-8448 or [cscgrants@dec.ny.gov](mailto:cscgrants@dec.ny.gov). Also see <https://dec.ny.gov/environmental-protection/climate-change/resources-for-local-governments/grants-for-climate-action> for additional information on OCC grant programs.

The question-and-answer period will run from the Consolidated Funding Application (CFA) opening date to June 22, 2026. Questions and answers will be posted to <https://dec.ny.gov/environmental-protection/climate-change/resources-for-local-governments/grants-for-climate-action> following the end of the question-and-answer period.

For general information and questions about the CSC Certification program, visit <https://climatesmart.ny.gov>, email [climatesmart@dec.ny.gov](mailto:climatesmart@dec.ny.gov), or call the DEC OCC at 518-402-8448.

**An informational webinar will be held on**

**July 8, 2026, 2:00pm. Register here:** <https://meetny.gov.webex.com/weblink/register/re51e7b951e156db418fc1a132216bdc4>

## 3. Disadvantaged Communities

The Climate Leadership and Community Protection Act (Climate Act) directed the Climate Justice Working Group (CJWG) to develop criteria to identify disadvantaged communities to ensure that frontline and underserved communities benefit from the State's historic transition to cleaner sources of energy, reduced pollution, cleaner air, and economic opportunities.

The CJWG developed criteria to identify census tracts that qualify as disadvantaged communities by evaluating indicators, including environmental exposures, burdens, climate change risks, and socioeconomic factors. Please see <https://climate.ny.gov/Resources/Disadvantaged-Communities-Criteria> for more information.

DEC is committed to meeting or exceeding the requirements of the Climate Act with respect to disadvantaged communities, including the requirement in Environmental Conservation Law (ECL) § 75-0117 that disadvantaged communities receive at least 35 percent of the benefits of spending on clean energy and energy efficiency programs, with a goal of 40 percent. Similarly, the Clean Water, Clean Air, Green Jobs Environmental Bond Act (ECL § 58-1101) requires that at least 35%, with a goal of 40%, of Clean Water, Clean Air, Green Jobs Environmental Bond Act funds benefit disadvantaged communities.

DEC will make every effort, consistent with this RFA and relevant regulations and policies, to provide adequate outreach to municipalities that contain disadvantaged communities to communicate the program benefits and application process to increase access to the program's benefits.

- **Projects in Disadvantaged Communities receive points in the scoring criteria:** Implementation projects with all components occurring completely in disadvantaged communities census tracts and certification projects occurring in municipalities with some percentage of their population

residing in disadvantaged communities will receive points in the scoring criteria. See the scoring tables in the Application Review and Scoring section for details. See Attachment D for instructions on using the DECinfo Locator to locate census tracts identified as disadvantaged communities within a municipality.

- **Projects benefiting certain higher-needs communities (such as disadvantaged communities, economically stressed communities) may be eligible for a reduced match:** The required match for the grants program is 50%; however, certain eligible communities that demonstrate need may be eligible for to a reduced match requirement of 20%. Criteria for reduced match in the certification projects section and the implementation projects section.

#### **4. Eligibility**

##### **4.1 Eligible Applicants**

**Applicants do not need to be certified or registered in the CSC Certification program or be working toward CSC Certification to apply in response to this RFA.** However, points are awarded to communities that participate in the CSC Certification program as part of the scoring criteria. See the scoring tables in the Application Review and Scoring section for details.

**All applicants must submit application authorization. Applications submitted without such documentation will be deemed ineligible.**

Two or more eligible entities, or an eligible and ineligible entity(ies) may collaborate on a project; however, the applicant must be an eligible entity, accept responsibility for meeting all requirements of the CSC Grant program and the NYS Contract for Grants, accept all grant reimbursements, and enter into a partnership agreement, and potentially a climate change mitigation easement, with the ineligible entity. See the Partnerships section of this RFA for more details.

Pursuant to 6 NYCRR Subpart 492-1.1, eligible applicants vary based on project category:

- **Certification:** For the purposes of this RFA, the following entities in the State of New York are eligible to apply to the certification project category.
  - County
  - City
  - Town
  - Village
  - Indian Nations as defined in article 2, section 2 of the Indian Law.
- **Implementation:** For the purposes of this RFA, the following entities in the State of New York are eligible to apply to the implementation project category in response to this RFA:
  - County
  - City
  - Town
  - Village
  - Indian Nation as defined in article 2, section 2 of the Indian Law
  - Local public authority or a local public benefit corporation such as a municipal housing authority, municipal solid waste authority or resources recovery

agency, municipal water and sewer authority, municipal water authority/board, municipal sewer authority, county soil and water conservation district, local development corporations and local industrial development authority. Note that a local public authority or a local public benefit corporation must complete or manage a municipal project on behalf of its parent municipality. Projects benefiting private entities cannot be completed with CSC Grant funds

#### **4.2 Ineligible Applicants**

By statute, the following entities are not eligible to receive funding under this grant opportunity: State agencies, state public authorities, state public benefit corporations, federally established entities (e.g., Metropolitan Planning Organizations), utility corporations, school districts, supervisory districts, fire districts, community colleges, libraries, non-profits, and not-for-profit organizations remain ineligible applicants but may partner with an eligible entity to complete a project. See Agreements section of this RFA for details on partnership agreements and climate change mitigation easements.

#### **4.3 Eligible Timeline**

The start date for all contracts awarded through this RFA will be March 15, 2027, and the contract end date will be March 14, 2032. Project costs must be incurred between the contract start and end dates to be considered eligible for reimbursement or match. Applicants should not submit applications in response to this RFA if they do not anticipate that they can complete the proposed project(s) within five years of the contract start date.

The contract negotiation process will not begin until the procurement package has been approved by the New York State Office of the State Comptroller (OSC) and New York State Office of the Attorney General (OAG), as applicable, the awards have been announced, and the contracts have been created in the Statewide Financial System (SFS).

#### **4.4 Eligible Projects:**

Environmental Conservation Law (ECL) § 54-1507 provides that adaptation and mitigation “[p]rojects must demonstrate an ability to identify, mitigate, and/or adapt to climate change vulnerability and risk or demonstrate potential to reduce greenhouse gas emissions outside the power sector.” **Projects that do not meet this requirement are not eligible for grant funding under this program.**

### **5. Project Category Details and Requirements**

The CSC Grant program includes two different project categories: implementation and certification. The implementation category is divided into three subcategories: greenhouse gas mitigation, climate change adaptation, and engineering feasibility studies. Each category and the related project types are detailed below.

#### **5.1 Certification Project Category**

Certification projects are a subset of the assessments, inventories, and planning activities that are part of the Climate Smart Communities Certification program. These actions also provide a basis for future grant applications in the implementation category. Only the 22 certification actions listed in this section are eligible for grant funding.

##### **5.1.1 Funding Levels**

Total available - up to \$1,000,000

Minimum grant award - \$10,000

Maximum grant award - \$200,000

No more than fifty percent (50%) of the total available funds for certification will be awarded to municipalities with populations greater than 100,000 or to any single municipality.

If funding in the certification category remains after all awards in the certification category are made based on eligibility, program requirements and goals, and passing scores, DEC reserves the right to apply the remaining funding to eligible proposals in the implementation category.

### **5.1.2 Match Requirements**

A local match of 20% of total project costs is required under one of the following circumstances:

- Municipal applicant appears on the NYS Office of the State Comptrollers environmental stress score list with a designation of “Significant Environmental Stress,” “Moderate Environmental Stress,” or “Susceptible Environmental Stress” (see Attachment E).
- Municipal applicant has a 2020 - 2024 MHI less than or equal to \$68,656 per census table B19013.

A local match of 50% of total project costs is required under the following circumstance:

- The applicant municipality has a 2020 - 2024 MHI greater than \$68,656 per census table B19013.

See Attachment B of this RFA for detail on how to determine median household income for the purposes of this program.

See attachment E for a list of municipalities with an environmental stress score designation of “Significant Environmental Stress,” “Moderate Environmental Stress,” or “Susceptible Environmental Stress.”

**The applicant is responsible for correctly calculating the match based on the total project cost, median household income as returned in census table B19013, and/or the NYS Comptrollers environmental stress score list. Applications with incorrect match will be deemed ineligible.**

### **5.1.3 Certification Actions Eligible for Funding**

The certification actions listed below are eligible for grant funding.

Fees related to accessing tools for climate change adaptation and GHG mitigation for the duration of the project are reimbursable if directly related to the proposed project, e.g., ICLEI ClearPath, the Temperate tool, GHG software. Approval of these expenses will be made by DEC during application review.

1. PE2 Action: Government Operations GHG Inventory  
<https://climatesmart.ny.gov/actions-certification/actions/#open/action/6>
2. PE2 Action: Community GHG Inventory  
<https://climatesmart.ny.gov/actions-certification/actions/#open/action/7>
3. PE2 Action: Government Operations Climate Action Plan

4. PE2 Action: Community Climate Action Plan  
<https://climatesmart.ny.gov/actions-certification/actions/#open/action/10>
4. PE2 Action: Community Climate Action Plan  
<https://climatesmart.ny.gov/actions-certification/actions/#open/action/11>
5. PE3 Action: Fleet Inventory  
<https://climatesmart.ny.gov/actions-certification/actions/#open/action/147>
6. PE3 Action: Fleet Efficiency Policy  
<https://climatesmart.ny.gov/actions-certification/actions/#open/action/21>
7. PE5 Action: Refrigerant Management Program  
<https://climatesmart.ny.gov/actions-certification/actions/#open/action/165>
8. PE5 Action: Organics Management Plan  
<https://climatesmart.ny.gov/actions-certification/actions/#open/action/158>
9. PE5 Action: Construction and Demolition Waste Policy  
<https://climatesmart.ny.gov/actions-certification/actions/#open/action/57>
10. PE6 Action: Comprehensive Plan with Sustainability Elements  
<https://climatesmart.ny.gov/actions-certification/actions/#open/action/66>
11. PE6 Action: Complete Streets Policy  
<https://climatesmart.ny.gov/actions-certification/actions/#open/action/74>
12. PE6 Action: Planning for Biking and Walking  
<https://climatesmart.ny.gov/actions-certification/actions/#open/action/164>
13. PE6 Action: Natural Resources Inventory  
<https://climatesmart.ny.gov/actions-certification/actions/#open/action/82>
14. PE7 Action: Climate Vulnerability Assessment  
<https://climatesmart.ny.gov/actions-certification/actions/#open/action/85>
15. PE7 Action: Evaluate Policies for Climate Resilience  
<https://climatesmart.ny.gov/actions-certification/actions/#open/action/87>
16. PE7 Action: Climate Adaptation Plan  
<https://climatesmart.ny.gov/actions-certification/actions/#open/action/88>
17. PE7 Action: Heat Emergency Plan  
<https://climatesmart.ny.gov/actions-certification/actions/#open/action/91>
18. PE7 Action: Design Flood Elevation and Flood Maps  
<https://climatesmart.ny.gov/actions-certification/actions/#open/action/104>
19. PE7 Action: Freeboard Policies  
<https://climatesmart.ny.gov/actions-certification/actions/#open/action/103>
20. PE7 Action: National Flood Insurance Program Community Rating System  
<https://climatesmart.ny.gov/actions-certification/actions/#open/action/99>
21. PE7 Action: Strategic Relocation (Tier 1 and Tier 2 only)  
<https://climatesmart.ny.gov/actions-certification/actions#open/action/98>
22. PE9 Action: Climate Change Education & Engagement  
<https://climatesmart.ny.gov/actions-certification/actions#open/action/122>

Work plans submitted as part of an application for certification project must include completion of the minimum requirements for the selected certification action(s) as described in the CSC certification action links above under subheadings “E. How to Obtain Points for this Action” and “F. What to Submit.”

## 5.2 Implementation Category<sup>2</sup>

Implementation projects are divided into three subcategories:

- A. GHG Mitigation - reducing or eliminating the emission of carbon dioxide and other climate warming gases such as methane.
- B. Climate Adaptation - reducing risks to residents, infrastructure, and/or natural resources from changing climate hazards).
- C. Feasibility and design studies - flood risk reduction, natural refrigerant systems, clean energy systems and smart growth analysis.

### 5.2.1 Funding Levels

Funding available – At least \$17 million

Minimum grant award - \$35,000

Maximum grant award - \$2,000,000

For both the mitigation and adaptation implementation projects categories, design and engineering expenses are limited to a maximum of fifteen percent (15%) of the grant request. For projects with outreach or educational components, curriculum or program development expenses are limited to fifteen percent (15%) of the grant request. These limitations do not apply to the engineering feasibility study subcategory.

No more than fifty percent (50%) of the total available funds for implementation projects will be awarded to municipalities with populations greater than 100,000 or to any single municipality.

If funding in the implementation category remains after all awards in the implementation category are made based on eligibility, program requirements and goals, and passing score, DEC reserves the right to apply the remaining funding to eligible proposals in the certification category.

### 5.2.2 Match Requirements

A local match of 20% of total project costs is required under at least one of the following circumstances:

- All project components are located in and take place in a disadvantaged community census tract.
- Municipal applicant appears on the NYS Office of the State Comptroller’s environmental stress score list with a designation of “Significant Environmental Stress,” “Moderate Environmental Stress,” or “Susceptible Environmental Stress” (see Attachment E).
- Municipal applicant has a 2020 - 2024 median household income less than or equal to \$68,656 per census table B19013.

A local match of 50% of total project cost is required under both of the following circumstances:

- All project components or some project components are located outside/take place outside of a disadvantaged community census tract, and
- The applicant municipality has a 2020 - 2024 median household income greater than

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<sup>2</sup> Additional funding for this project type is contingent on Clean Water, Clear Air, and Green Jobs Environmental Bond Act allocations.

\$68,656 per census table B19013.

See Attachment B of this RFA for detail on how to determine the median household income for the purposes of this program.

See Attachment E for a list of municipalities with an environmental stress score designation of “Significant Environmental Stress,” “Moderate Environmental Stress,” or “Susceptible Environmental Stress.”

**The applicant is responsible for correctly calculating the match based on the total project cost, disadvantaged community status, median household income as returned in census table B19013, and/or the NYS Comptrollers environmental stress score list. Applications with incorrect match will be deemed ineligible.**

### 5.2.3 GHG Mitigation Projects

Eligible projects in the mitigation category must reduce GHG emissions outside the power sector. Eligible projects include, but are not limited to, the following:

1. **Reduction of Vehicle Miles Traveled (VMT).** These projects include, but are not limited to, the following:
  - Construction of facilities for non-motorized forms of transportation (sidewalks, bike lanes, multi-use paths, bus only lanes, train stops, non-motorized commuter facilities such as bike storage) that facilitate commuting or access to daily needs such as employment centers, residential neighborhoods, commercial areas, and schools.
    - Strictly recreational facilities are not eligible.
    - Bike lanes must be separated from traffic. Greenspace, trees, and stormwater plantings are the preferred separation method.
    - Sidewalk projects must include addition of trees, stormwater plantings (plantings to attenuate stormwater such as bioswales, rain gardens, stormwater planters, permeable pavers, biofiltration, sand filters, etc.), or other green infrastructure enhancements to reduce climate impacts (extreme heat, stormwater).
  - Implementation of transit improvements that have the potential to substantially increase ridership, improve access to daily needs, and/or increase commuting by mass transit including, but not limited to transportation demand management programs, expansion/upgrade of bus/train systems/routes, commuter facilities such as bike docking stations, lockers, and shower facilities; creation of transit stops (bus, train, subway, etc.).
2. **Reduction of Organic Waste.** These projects include, but are not limited to, the following:
  - Implementation, expansion, or piloting of education and outreach programs to prevent wasted food and reduce the volume of surplus food in the community, e.g., source reduction at the consumer level, thereby increasing the diversion of food waste from

landfills.

- Increasing the amount of edible food diverted from the landfill. E.g., establishment or expansion of food-donation programs, purchase and installation of storage equipment for food, purchase and use of edible-food collection vehicles, and infrastructure for the storage and management of edible food.
- Implementation, expansion, or piloting of a food-waste pick-up service for residents, businesses, institutions, or municipal facilities to repurpose food waste as animal feed or to compost it at an organic material recycling facility.
- Construction of new (or the expansion of existing) facilities to process food scraps, e.g., at wastewater treatment facilities or composting facilities.

3. **Refrigerant Management.** Refrigerant management projects include, but are not limited to, the following:

- Establishment of municipal and/or community disposal programs to recover and recycle refrigerants, including those from automobiles, and/or to properly dispose of equipment containing refrigerants.
- Adoption of codes to enable and encourage the use of alternative refrigerants or requirements for proper monitoring, repair, and disposal of refrigerants.
- Implementation of education and outreach programs for residents and local businesses regarding the reduction of GHG emissions from refrigerants.
- Replacement of existing refrigeration systems with, or conversion of existing systems to, systems using natural refrigerants (i.e., ammonia; carbon dioxide; natural hydrocarbons, such as propane; water; or air).
  - > Refrigeration systems are those in which the equipment is charged with refrigerant onsite after completion of equipment installation, e.g., ice rinks.
  - > Variable refrigerant flow/variable refrigerant volume systems are not eligible for funding.
- Replacement of existing HVAC equipment as part of a CSC grant application for an adaptation project, e.g., development of a cooling center, moving a critical facility out of the floodplain.
  - > Equipment installed as part of a grant-funded adaptation project must use the lowest GWP refrigerant available.
  - > Applications for installation of packaged HVAC equipment using refrigerants other than natural refrigerants must complete a refrigerant management plan that addresses proper disposal of retired equipment and refrigerants; a leak monitoring, detection, and repair plan; and an end-of-life disposal plan for the equipment purchased and installed through this program as part of the contract for State assistance.
  - > Unsealed equipment that uses refrigerants must include a leak detection system.

In December 2024, New York State amended 6 NYCRR Part 494, Hydrofluorocarbon Standards and Reporting (Part 494), to phase down climate-disrupting refrigerants to meet the required GHG emission limits pursuant to the Climate Act. <https://dec.ny.gov/sites/default/files/2024-12/part494expresssterms.pdf>.

See <https://dec.ny.gov/regulatory/regulations/proposed-emergency-recently-adopted-regulations/climate-change> for information relating to climate change regulatory revisions.

See the implementation feasibility study section of this RFA for information regarding the engineering feasibility study option that can help an applicant plan for climate friendly refrigerant system and HVAC replacement.

4. **Renewable Energy.** These projects must establish and implement easily replicable renewable energy projects, including microgrids, solar arrays, ground source heat pumps (geothermal), and wind turbines in municipal facilities (town hall, DPW building, public low-income housing, etc.). To qualify for a CSC grant, the system cannot return more than 25% of generated electricity back to the grid. Battery storage is encouraged. Projects requesting funding for heat pumps and/or HVAC must comply with the requirements listed in Section 3, Refrigerant Management, in the mitigation category.

#### 5.2.4 Climate Adaptation Projects

Eligible adaptation project types include projects designed to provide a meaningful reduction of risk to residents, infrastructure, and/or natural resources from hazards projected to become more severe or frequent as a result of climate change. Such projects include, but are not limited to, the following:

1. Natural and Nature-Based Resilience

Increasing or preserving the risk reduction benefits of natural systems and nature-based features, including, but not limited to, construction of living shorelines; dune restoration; sea grass restoration, wetlands creation or restoration; stream bank stabilization/restoration; reforestation; development of codes, zoning, and/or programs to encourage forest conservation including sustainable forestry; deterring degradation of coastal ecosystems through development of codes, zoning, and/or programs that encourage conservation of freshwater and coastal wetlands, dunes, and beaches; and other nature-based landscape features to decrease vulnerability to the effects of climate change and to improve or facilitate conservation, management, and/or restoration of natural floodplain areas and/or wetland systems. See Using Natural Measures to Reduce the Risk of Flooding and Erosion ([https://extapps.dec.ny.gov/docs/administration\\_pdf/crranaturalmeasuresgndc.pdf](https://extapps.dec.ny.gov/docs/administration_pdf/crranaturalmeasuresgndc.pdf)). Such projects may include mapping of wetlands, as long as the cost of the wetland mapping does not exceed fifteen percent (15%) of the grant request.

Applications for all natural and nature-based resilience projects involving flooding must include projected increases in sea level (for tidal areas), water level change, flood volume or precipitation due to climate change (future flows) in the calculations performed for project sizing and design. At minimum, the calculations must include the guideline elevations specified in the NYS Flood Risk Management Guidance ([https://extapps.dec.ny.gov/docs/administration\\_pdf/crrafloodriskmgmtgndc.pdf](https://extapps.dec.ny.gov/docs/administration_pdf/crrafloodriskmgmtgndc.pdf)). However, use of detailed local data is preferred in cases where it is available. See Estimating Guideline Elevations

[https://extapps.dec.ny.gov/docs/administration\\_pdf/crraestelevguidelines.pdf#ESTIMATING%20GUIDELINE%20ELEVATIONS](https://extapps.dec.ny.gov/docs/administration_pdf/crraestelevguidelines.pdf#ESTIMATING%20GUIDELINE%20ELEVATIONS)) for instructions on calculating these elevations.

2. Flood Risk Reduction

Flood-risk reduction projects floodproof, upgrade, or relocate critical municipal infrastructure such as buildings, stormwater systems, treatment plants, and water lines. These projects can include natural and nature-based treatments such as swales, sand filters, bioretention etc. to help attenuate stormwater or floodwater on site.

Applications that propose to relocate a building out of a flood area or floodproof an existing building and also request funding to purchase new HVAC products or equipment must comply with the requirements listed in Section 3, Refrigerant Management, in the mitigation category. DEC encourages applicants to consider solar panels, geothermal, or wind as the power source for all new buildings to the extent practical. The previous prohibition on funding renewable energy components has been removed as long as the system is not returning more than 25% of the electricity produced back to the grid for sale to customers.

Applications for all other flood-risk reduction projects must include projected increases in sea level rise (for tidal areas), water level change, flood volume, or precipitation due to climate change (future flow) in the calculations performed for project sizing and design. At minimum, the calculations must include the guideline elevations specified in the NYS Flood Risk Management Guidance

[https://extapps.dec.ny.gov/docs/administration\\_pdf/crrafloodriskmgmtgdnc.pdf](https://extapps.dec.ny.gov/docs/administration_pdf/crrafloodriskmgmtgdnc.pdf)). However, use of detailed local data is preferred in cases where it is available. See Estimating Guideline Elevations

[https://extapps.dec.ny.gov/docs/administration\\_pdf/crraestelevguidelines.pdf#ESTIMATING%20GUIDELINE%20ELEVATIONS](https://extapps.dec.ny.gov/docs/administration_pdf/crraestelevguidelines.pdf#ESTIMATING%20GUIDELINE%20ELEVATIONS)) for instructions on calculating these elevations.

If the proposed project is located in a 100-year or 500-year floodplain, the following must be included in the planning and design of the project (attach a copy of the project design to the application):

- A site plan with the contours indicating the special flood hazard area (100-year floodplain, coastal High Hazard Area), 500-year floodplain, or coastal erosion hazard area.
- Location and elevation of non-critical and critical equipment, infrastructure, and/or facilities.
- Certification of floodproofing.
- A floodway analysis with a no-rise certificate if the project is within a regulated floodway.
- Fulfillment of Federal Emergency Management Agency (FEMA) National Flood Insurance Program Special Flood Hazard Area process requirements.

3. Addressing Flow Barriers

Replacing, right-sizing, or removing flow barriers, including but not limited to, right-sizing bridges or culverts, improving or removing flow barriers to facilitate emergency response or protection of population centers, critical facilities, infrastructure, and/or natural resources,

based on assessment of projected future conditions. Such projects should include information on upstream occurrences that may be contributing to the problem, potential downstream impacts of the proposed project, and overall watershed assessment of the waterbody. Impacts must be due to climate change and not the result of deferred maintenance.

Applications for all right-sizing flow barrier projects must include projected increases in flood volume or precipitation due to climate change (future flows) in the calculations performed for project sizing and design. At minimum, the calculations must include the guideline elevations specified in the NYS Flood Risk Management Guidance ([https://extapps.dec.ny.gov/docs/administration\\_pdf/crrafloodriskmgmtgdnc.pdf](https://extapps.dec.ny.gov/docs/administration_pdf/crrafloodriskmgmtgdnc.pdf)). However, use of detailed local data is preferred in cases where it is available. See Estimating Guideline Elevations ([https://extapps.dec.ny.gov/docs/administration\\_pdf/crraestelevguidelines.pdf#ESTIMATING%20GUIDELINE%20ELEVATIONS](https://extapps.dec.ny.gov/docs/administration_pdf/crraestelevguidelines.pdf#ESTIMATING%20GUIDELINE%20ELEVATIONS)) for instructions on calculating these elevations.

Culverts in waterways with an internal opening greater than 20 feet and bridges spanning more than 20 feet in waterways should be designed to safely pass a flow that results from the 100-year flood event plus the appropriate climate change flow multiplier (minimum 10% or 20% per the Flood Risk Management Guidance) by gravity and without pressure flow. Bridge design shall also provide sufficient bridge freeboard, not less than two feet, when passing flows from the 50-year flood event including the appropriate climate change flow multiplier. See DEC's Guidance for the Review of Bridge and Culvert Projects in Nontidal Waters Requiring a Protection of Waters Permit and a Water Quality Certificate (<https://dec.ny.gov/sites/default/files/2025-04/gs2401.pdf>).

Culvert pipes over waterways, four-sided box culverts, and small bridges spanning less than 20 feet should be designed to safely pass a 50-year flood event plus the appropriate climate change flow multiplier (minimum 10% or 20% per the Flood Risk Management Guidance) by gravity and without pressure flow. Box and culvert pipe design shall provide at least two feet of roadway freeboard above the 50-year flood elevation and be able to pass the projected check flow (or 100-year flow) without roadway overtopping including the appropriate climate change flow multiplier. See DEC's Guidance for the Review of Bridge and Culvert Projects in Nontidal Waters Requiring a Protection of Waters Permit and a Water Quality Certificate (<https://dec.ny.gov/sites/default/files/2025-04/gs2401.pdf>).

Stormwater conveyance system upgrades/repairs can be designed to carry the greatest possible flow (e.g., 25-year storm) that can be accommodated by the location, including the climate change flow multiplier. These upgrades should also intercept, attenuate, and infiltrate stormwater before it flows into the system to avoid the creation of additional flooding problems downstream of the stormwater conveyance system. Stormwater projects must incorporate the DEC stormwater design manual ([https://extapps.dec.ny.gov/docs/water\\_pdf/swdm2015chptr01.pdf](https://extapps.dec.ny.gov/docs/water_pdf/swdm2015chptr01.pdf)), including climate change flow multiplier.

#### 4. Extreme Heat Preparation

Projects to reduce the impacts of extreme heat in public spaces and outdoor areas must demonstrate that the project is likely to reduce extreme heat exposure and must consider both current and future projected extreme heat conditions. Projects to reduce extreme heat in public spaces include but are not limited to,

- establishment of cooling centers\*
- construction of permanent shade structures
- implementation of other active and passive cooling features or programs such as spray pads
- comprehensive tree/perennial vegetation planting and maintenance programs (must include both planting and long-term maintenance of trees/perennial vegetation to ensure survival)
- installation of green roofs, green walls, vertical gardens, etc.
- removal of impervious surfaces and replacement with vegetation or pervious or cool materials (meshes, coatings, films, paints etc.)

Adaptation projects requesting funding to purchase new HVAC products or equipment must comply with the requirements listed in Section 3, Refrigerant Management, in the mitigation category. Generators associated with a cooling center must be powered by means other than fossil fuels to qualify for grant funding or match. Back-up battery systems or solar plus storage batteries are current options for generators allowed under this program. Projects that retrofit an existing facility within a 100-year or 500-year floodplain must elevate, as required by local floodplain code, or floodproof all utilities and generators.

5. Extreme Weather Preparedness

Emergency preparedness, including but not limited to, establishment of emergency warning systems or implementation of emergency preparedness and/or response programs (excluding radio communications). Applications requesting funding for a generator must meet the following requirements: 1) The generator installation must be a component of a larger adaptation project, and 2) the generator must be powered by means other than fossil fuels. If a hydrogen fuel cell powered generator is selected, it must be powered by hydrogen produced through electrolysis, either created onsite or delivered.

**Feasibility Studies and Engineering Design**

Eligible feasibility and design studies must help advance a project to shovel ready status through a preliminary study (to determine the exact problem, source, and options), conceptual planning, and/or 30% to 60% design of a preferred alternative. The following feasibility and design topics are eligible:

1. Flood Mitigation

Feasibility study and/or engineering design for flood mitigation, including but not limited to dam repair/upgrade/removal, bridge or culvert replacement, stormwater system upgrades, natural resilience measures including natural feature restoration, nature-based feature construction (e.g., floodplain bench, dunes, and wetlands), or bio-infiltration/bioretenion. All engineering feasibility studies related to flood mitigation must be prepared by a NYS licensed professional engineer and meet the following requirements:

- Include project location maps with the following labeled: hazard(s) areas, resources (natural and manmade) and populations (including disadvantaged communities) at risk.
- Include projected increases in flood volume, precipitation, storm surge, and/or sea level rise due to climate change (future flows) in the calculations performed for project sizing and design, or levee certification/recertification documents. At minimum, the calculations must

include the guideline elevations specified in the NYS Flood Risk Management Guidance ([https://extapps.dec.ny.gov/docs/administration\\_pdf/crrafloodriskmgmtgndc.pdf](https://extapps.dec.ny.gov/docs/administration_pdf/crrafloodriskmgmtgndc.pdf)) and sea level rise projections in 6 NYCRR Part 490 ([https://extapps.dec.ny.gov/docs/administration\\_pdf/risslr.pdf](https://extapps.dec.ny.gov/docs/administration_pdf/risslr.pdf)), where applicable. However, use of detailed local data is preferred in cases where it is available. See Estimating Guideline Elevations ([https://extapps.dec.ny.gov/docs/administration\\_pdf/crraestelevguidelines.pdf#ESTIMATING%20GUIDELINE%20ELEVATIONS](https://extapps.dec.ny.gov/docs/administration_pdf/crraestelevguidelines.pdf#ESTIMATING%20GUIDELINE%20ELEVATIONS)) for instructions on calculating these elevations.

- Include HEC-RAS hydraulic modeling or comparable hydraulic analysis that evaluates the effectiveness of the project(s) in reducing water surface elevations.
- Take a comprehensive, watershed wide or sub-watershed approach in flow modeling, best practice selection, and siting of the project, to demonstrate that the proposed project is effectively reducing flood risks and does not shift flood risks elsewhere.
- Consider groundwater migration due to sea level rise, if the project is coastal.
- Prioritize natural and nature-based flood mitigation measures where necessary to reduce risk- these may be combined with “grey” or “hard” infrastructure to mitigate flooding. See Using Natural Measures to Reduce the Risk of Flooding and Erosion ([https://extapps.dec.ny.gov/docs/administration\\_pdf/crranaturalmeasuresgndc.pdf](https://extapps.dec.ny.gov/docs/administration_pdf/crranaturalmeasuresgndc.pdf)).
- Identify the problem, investigate the root cause(s) of the problem, consider how climate change may exacerbate the problem, and develop a capital improvement project as the recommended solution.
- Provide an analysis of various alternatives and a cost estimate for each alternative, including a “no action” alternative. Each alternative must include a section that describes the type of maintenance required, a maintenance schedule, estimated maintenance costs, and estimated personnel time required to complete the maintenance.
- Provide a conceptual design for the preferred alternative.
- If the project is within a 100-year or 500-year floodplain, the following must be included in the feasibility study and design documents.
  - A site plan with the contours indicating the special flood hazard area (100-year floodplain coastal High Hazard Area, 500-year floodplain, or coastal erosion hazard area.
  - Location and elevation of non-critical and critical equipment, infrastructure, and facilities.
  - Certification of floodproofing
  - A floodway analysis with a no-rise certificate if the project is within a regulated floodway.
  - Fulfillment of Federal Emergency Management Agency (FEMA) National Flood Insurance Program Special Flood Hazard Area process requirements.
- Culverts in waterways with an internal opening greater than 20 feet and bridges spanning more than 20 feet in waterways should be designed to safely pass a flow that results from the 100-year flood event plus the appropriate climate change flow multiplier (minimum 10%

or 20% per the Flood Risk Management Guidance) by gravity and without pressure flow. Bridge design shall also provide sufficient bridge freeboard, not less than two feet, when passing flows from the 50-year flood event including the appropriate climate change flow multiplier. See DECs Guidance for the Review of Bridge and Culvert Projects in Nontidal Waters Requiring a Protection of Waters Permit and a Water Quality Certificate (<https://dec.ny.gov/sites/default/files/2025-04/gs2401.pdf>).

- Culvert pipes over waterways, four-sided box culverts, and small bridges spanning less than 20 feet should be designed to safely pass a 50-year flood event plus the appropriate climate change flow multiplier (minimum 10% or 20% per the [Flood Risk Management Guidance](#)) by gravity and without pressure flow. Box and culvert pipe design shall provide at least two feet of roadway freeboard above the 50-year flood elevation and be able to pass the projected check flow (or 100-year flow) without roadway overtopping including the appropriate climate change flow multiplier. See DECs Guidance for the Review of Bridge and Culvert Projects in Nontidal Waters Requiring a Protection of Waters Permit and a Water Quality Certificate (<https://dec.ny.gov/sites/default/files/2025-04/gs2401.pdf>).
- Stormwater conveyance system upgrades/repairs can be designed to carry the greatest possible flow (e.g., 25-year storm) that can be accommodated by the location, including the climate change flow multiplier. These upgrades should also intercept, attenuate, and infiltrate stormwater before it flows into the system to avoid the creation of additional flooding problems downstream of the stormwater conveyance system.
- Stormwater projects must incorporate the DEC stormwater design manual ([https://extapps.dec.ny.gov/docs/water\\_pdf/swdm2015chptr01.pdf](https://extapps.dec.ny.gov/docs/water_pdf/swdm2015chptr01.pdf)), including climate change flow multiplier.

## 2. Levee Certification/Re-certification

All engineering feasibility studies related to levee recertification must meet all the requirements listed in “Flood Mitigation” as well as the following FEMA requirements:

- Levee systems must meet the National Flood Insurance Program minimum design, operation, and maintenance requirements described in Title 44, Chapter 1, Section 65.10 of the Code of Federal Regulations (44 CFR 65.10).
- Accredited levee systems must meet the requirements outlined in “FEMA Guidance for Flood Risk Analysis and Mapping: Levees,” dated November 2023 ([https://www.fema.gov/sites/default/files/documents/fema\\_rm-levee\\_guidance\\_nov\\_2023.pdf](https://www.fema.gov/sites/default/files/documents/fema_rm-levee_guidance_nov_2023.pdf)).

## 3. Natural Refrigerant Systems

All engineering feasibility studies related to replacing existing heating, ventilation, air conditioning, and refrigeration (HVAC/R) systems with systems that use natural refrigerants<sup>3</sup> must be prepared for an individual facility by a NYS licensed professional engineer and meet the following requirements:

- The feasibility study must describe compliance with 6 NYCRR Part 494, Hydrofluorocarbon Standards and Reporting.

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<sup>3</sup> Natural refrigerants include but are not limited to ammonia, carbon dioxide and hydrocarbons (e.g., R-290).

- The feasibility study shall provide an alternatives analysis, including a “no action” alternative, a cost estimate for each alternative, and greenhouse gas emissions reduction estimates for each alternative. Each alternative must include a section that describes the type of maintenance required, a maintenance schedule, estimated maintenance costs, and estimated personnel time required to complete the maintenance.
- The feasibility study must include a conceptual site plan for the preferred alternative. All types of municipal facilities are eligible (e.g., DPW building, town hall, ice rink, cooling center).

In December 2024, New York State amended 6 NYCRR Part 494, Hydrofluorocarbon Standards and Reporting, to phase down climate-disrupting refrigerants.

<https://dec.ny.gov/sites/default/files/2024-12/part494expressterms.pdf>.

See <https://dec.ny.gov/regulatory/regulations/proposed-emergency-recently-adopted-regulations/climate-change> for information relating to climate change regulatory revisions.

#### 4. Smart Growth

Studies or analyses, such as zoning buildout analysis, zoning code updates, or programs to support dense, compact development or implementation of smart-growth strategies that reduce the need for passenger vehicles (such as transit-oriented development districts/overlays) and improve walkability and access to public transit.

## 6. Eligible and Ineligible Project Expenses

### 6.1 Reimbursable Expenses

The following expenses are eligible for reimbursement:

1. Personnel Services: Salaries of staff, including fringe, directly devoted to project implementation. Grantees will be required to document dates and hours worked and tasks completed via time records.
2. Contractual Services: Tasks completed by professional and technical consultants or contractors, e.g., engineering, planning, construction, and legal services, directly related to the project. Costs for the installation of alternative energy systems, such as solar panels, geothermal systems, and heat pumps are eligible as long as no more than 25% of the electricity produced is returned to the grid for sale to customers.
3. Equipment: Purchase or rental of equipment, e.g., backhoe, directly required to implement the project.
4. Travel: Project-related travel costs for municipal staff and/or volunteers assigned to the project only. Mileage will be reimbursed at the current federal rate and lodging at current state per diem rates for the location. Note that consultants should include travel in the overall cost proposal and not bill the grantee separately.
5. Supplies and Materials: Supplies and materials are defined as consumable products needed to directly implement the project, e.g., printing, copying, paving material, crushed stone.

6. Real Property (land): The cost of fee simple land acquisition and associated legal fees, filing fees, closing costs, and transactional costs, provided they result in the final acquisition of land in New York State necessary to facilitate a climate adaptation or mitigation implementation project. Transactional costs can be submitted for reimbursement as incurred throughout the contract term, but grantees may be required to return payments to New York State should the land transaction not successfully close. Transactional costs are limited to property surveys, appraisals, certified appraisal review, map and GIS/remote sensing data, phase I environmental assessment, title reports and title insurance, prorated property taxes, and State or local real estate transfer taxes, that are directly related to the project.

See the Land Acquisition Toolkit at <https://dec.ny.gov/environmental-protection/climate-change/resources-for-local-governments/grants-for-climate-action> for additional information, requirements, and documentation that must be provided for land acquisition. Specific documents, language, and requirements will vary depending on project type and various State and program requirements.

Applicants are strongly encouraged to investigate the steps involved in the land acquisition process and any State and local approvals that may be required and to initiate conversations with landowners before starting an application.

Real property (land) acquired prior to an executed contract are not eligible for grant funding, however, the land value of parcels acquired prior to an executed contract may be eligible as match; see the Match section of this RFA.

Real property that is currently protected by a State or federal easement program is not eligible for grant funding.

Phase I environmental site assessment reports are required for all properties acquired in fee simple and must be completed by a qualified consultant. If a phase II environmental assessment is recommended, the awardee must contact DEC to propose and request approval on appropriate next steps if reimbursement will be requested. If the land is determined to be contaminated in either a phase I or phase II report, the grantee must contact DEC to determine whether the parcel is eligible for the program and reimbursement. If conditions are considered unacceptable, DEC will notify awardee within 120 days of receipt of the environmental report.

The grantee must hold title to any land acquired in fee simple through this grant.

Title report and insurance are required for all properties.

Appraisals, surveys, title report and insurance, phase I environmental assessments, and deeds must be reviewed and approved or disapproved by DEC for all projects. No reimbursement will be made until the final approval is given by DEC. DEC will have a minimum of 120 days from the date all documents are received to review and approve, or disapprove, the acquisition of parcel(s).

Appraisals are required for all properties prior to reimbursement. Appraisals must be completed by a New York State Certified General Appraiser following the Uniform Standards of Professional Appraisal Practice (USPAP) and submitted as non-restricted narrative appraisal reports.

DEC may reimburse for purchase of land above appraised value, if, in DEC's opinion, a parcel has exceptional value for its protected purpose that cannot be factored into a determination of fair market value. However, grant amounts cannot be adjusted after award. DEC may reimburse at a

price above the highest approved independent appraisal provided (1) the price was the result of documented negotiations between Grantee and the seller, and (2) the Grantee demonstrates the unique protected purpose and value of the property and how it accomplishes the objective of this program.

Boundary surveys are required for all properties. Surveys must be completed by a professional land surveyor.

All land acquired under this grant must be protected for climate change mitigation or adaptation purposes, subject to alienation restrictions under ECL § 54-1525. At the time of application, the applicant must submit the following documentation:

- Map identifying the property, including adjacent roads and section-block-lot number.
- Narrative description of property.
- Legal description of property.
- Narrative description of any public access rights, forestry management, wetland management, flood infrastructure (natural [e.g., dune] and engineered) maintenance, or other climate mitigation or adaptation management or maintenance protocol to occur on the property.
  - Public access and passive recreational trails will be reviewed by DEC on a case-by-case basis. The applicant must provide at the earliest practicable date, a thorough description and maps showing public access points, proposed activities, proximity to the protected area, and justification for public access to assist DEC in making the determination of whether public access will have an impact on the protected purpose
- Documentation that federal, State, and local taxes and fees are up to date and paid in full
- Additional information or documentation as determined by DEC on a case-by-case basis.
- Provisional purchase agreement, if available, OR, if the property owner is another municipality, a certified resolution by the municipal property owner in support of the project indicating agreement to convey the real property to the applicant, OR, if the property owner is not a municipality, a notarized written statement from the property owner in support of the project indicating an agreement to convey the real property to the applicant.

The budget detail must estimate the value of the land being acquired for each parcel(s), transactional costs for each parcel(s), staff salaries devoted to or connected to the project or program, restoration costs, contractual costs, and travel cost. Applications that do not clearly detail costs associated with a land acquisition project or detail costs that do not provide a good value as it applies to achieving climate change adaptation and mitigation will not be eligible.

Property monitoring and enforcement protocol: Applicants are required to submit detailed protocols to demonstrate proper enforcement and monitoring of properties acquired with funding through this grant opportunity. Applicants that do not upload a detailed property enforcement and monitoring protocol with an online application will be deemed ineligible for funding. The protocol must include, but is not limited to, the following information:

- Monitoring Procedure
  - > Frequency (e.g., annual)

- > Type of monitoring (e.g., boundary survey, encroachment, dumping)
  - > Monitoring documentation (e.g., updated site photos, maps)
  - > Parties responsible for monitoring (e.g., staff, volunteers, contractors)
- Enforcement Procedure
  - > Violation definitions (e.g., minor, major)
  - > Potential violation response
  - > Violation documentation
  - > Violation resolution

If the acquired property is used for activities that interfere with the accomplishment of approved climate change adaptation or mitigation purposes, the violating activities must cease, and any resulting adverse effects must be remedied.

Grant funding must not be used for eminent domain proceedings.

Real property acquired, developed, improved, restored, or rehabilitated by a municipality pursuant to ECL § 54-1523(1)(i) shall not be sold or disposed of or used for other than climate change mitigation or adaptation purposes without the express authority of an act of the New York State Legislature, which shall provide for the substitution of other lands of equal environmental and fair market value and reasonably equivalent greenhouse gas mitigation or climate adaptation benefits to the residents of New York, and be located within New York State, as closely as practicable to those to be discontinued, sold, or disposed of, and such other requirements as shall be approved by the Commissioner.

For real property alienated under ECL § 54-1525, DEC must review and approve the proposed acquisition of a new parcel(s) prior to the sale of the original parcel. This requirement shall remain in effect beyond the term of a grant contract.

In accordance with the New York State Finance Law, landowners are considered sub-contractors of the grantee; therefore, any landowner receiving \$100,000 or more is required to submit a Vendor Responsibility Questionnaire before DEC will execute a contract with the applicant.

Land acquired under this program must have the “Notice of Grant” language recorded against the subject property; a certified copy of the deed containing this language must be provided to DEC. See the Land Acquisition Toolkit at <https://dec.ny.gov/environmental-protection/climate-change/resources-for-local-governments/grants-for-climate-action> for the Notice of Grant language as well as additional information, requirements, and documentation that must be provided for land acquisition. Specific documents, language, and requirements will vary depending on project type and various State and program requirements.

## **6.2 Eligible Expenses for Match**

The applicant must identify all sources and amounts of match in the budget at the time the application is submitted. The match amount is calculated based on the total project cost, not the grant request.

Projects which do not provide enough match will be deemed ineligible. Projects with the correct match amount but with some parts of the match deemed ineligible during review may have the award reduced to the eligible match amount or may be deemed ineligible if the reduced funding is unlikely to ensure successful completion of the project.

### 6.2.1 In-kind Match

The following expenses are eligible as in-kind local match:

1. Personnel Services: Salaries of staff, including fringe, directly devoted to project implementation. Grantees will be required to document date and hours worked and tasks completed via time records.
2. Real Property: The value of land, previously acquired, that is necessary for and directly related to a proposed implementation project may be used as match. At the time of application, the applicant must submit the following acquisition documentation when real property is being used as match:
  - Map identifying the property including section-block-lot number and adjacent roadways.
  - Current appraisal report with the valuation date within one (1) year of application submission date. Appraisals must be prepared by a New York State Certified General Appraiser. Appraisals must be written in accordance with the most recent publication of the uniform Standards of Professional Appraisal Practice (USPAP). Appraisals must be presented as an Appraisal report (formerly referred to as a Self-Contained Appraisal Report or Narrative Report).
  - Copy of the recorded deed conveying title with legal and narrative description. The “Notice of Grant” language must be added to the deed and will be part of the contract deliverables.

Real property utilized as match must be approved by DEC as part of the application review process. Match for which complete land acquisition documentation (listed above) is not submitted will either have the award amount reduced from the original request, or, if match is insufficient, the application will be deemed ineligible.

Real property previously acquired with CSC grant funds cannot be used as a match.

Donated parcels or parcels to be used as a match are subject to the terms of the grant including the alienation clause.

Land to be used as match must have the “Notice of Grant” match recorded against the subject property; a certified copy of the deed containing the language must be submitted to DEC. See the Land Acquisition Toolkit at <https://dec.ny.gov/environmental-protection/climate-change/resources-for-local-governments/grants-for-climate-action> for the “Notice of Grant” language as well as additional information, requirements, and documentation that will need to be provided for land acquisition. Specific documents, language, and requirements will vary depending on project type and various State requirements.

3. In-kind Equipment Use: In-kind use of municipal equipment will be valued at the current New York State Department of Transportation or Federal Emergency Management Administration (FEMA) equipment rates or documented local equipment rental rates. The rate selected by the applicant must be detailed in the budget.
4. Volunteer Time: Volunteer time is defined as unskilled labor or work performed by professionals or skilled laborers directly on the project, in an area outside their area of expertise. Values for volunteer time must be computed at the minimum wage at the time the work is performed. (See <https://dol.ny.gov/minimum-wage-0> for current wage rates for different areas of the State.) The rate selected by the applicant must be detailed in the budget. Grantees will be required to document dates and hours worked and tasks completed by volunteers via time

records.

5. Donated Professional Services (DPS): DPS is defined as work performed by professionals or skilled laborers in their area of expertise directly on the project. For example, a lawyer donating legal services to the project may compute value based on the standard billing rate for the location, but the same lawyer, donating time painting walls, must calculate the value using minimum wage. The rate selected by the applicant must be detailed in the budget. Grantees will be required to document date and hours worked and tasks completed for DPS via time records.

### **6.2.2 Cash Match**

Cash match includes general municipal funds, other grants from non-state or non-federal funding sources, and donations from community or corporate sponsors. Funds allocated from New York State, including the consolidated local street and highway improvement program (CHIPS), aid and incentives to municipalities (AIM), and payments in lieu of taxes (PILOT), are considered local general municipal funds and may be used as match.

Cash purchases for local match include the following:

1. Contractual Services: Tasks completed by professional and technical consultants, e.g., engineering, planning, construction, and legal services directly related to the project.
2. Equipment: Purchase or rental of equipment, e.g., backhoe, directly required to implement the project.
3. Travel: Project related travel costs for municipal staff or volunteers assigned to the project. Mileage will be reimbursed at the current federal rate and lodging at current state per diem rates for the location. Note that consultants should include travel in the overall cost proposal and not bill the grantee separately.
4. Supplies and Materials: Supplies and materials are defined as consumable products needed to directly implement the project, e.g., printing, copying, paving material, crushed stone.

### **6.3 Ineligible Expenses**

The following expenses are not eligible as match or for reimbursement:

1. Costs for the installation of electric vehicle service equipment or other charging or clean vehicle fueling infrastructure.
2. Costs for the installation of alternative energy systems, such as solar panel and heat pump projects, that return electricity to the grid for sale to customers.
3. Salt storage sheds.
4. Generators, unless part of a larger adaptation project and powered by means other than fossil fuels. Back-up battery systems or solar plus storage batteries are current options for generators allowed under this program.
5. Real property (land) acquired prior to award and contract start date and lands protected through State or federal easements are not eligible for grant funding.
6. Sub-allocation of the award from DEC is not permitted.

7. Indirect or overhead costs of the municipality. This category includes, but is not limited to, rent, telephone service, general administrative support, general-use computers, office equipment, general office supplies, and other general operations costs such as memberships and subscriptions, e.g., newspapers, professional and municipal associations.
8. Salaries and other expenses of elected officials, whether incurred for purposes of project direction, execution, or legislation.
9. Fund-raising expenses.
10. Taxes, insurance, fines, deficit funding, bond interest, and associated fees.
11. Contingency costs.
12. All federal funds, including but not limited to Infrastructure Investment and Jobs Act, Inflation Reduction Act, American Reinvestment and Recovery Act, Appalachian Regional Commission funds, as well as all loan programs such as Water Infrastructure Finance and Innovation Act, clean water state revolving fund, and drinking water state revolving fund.
13. Other NYS grant funds.

## **7. Application Criteria, Terms and Conditions**

Applications are accepted through the Consolidated Funding Application <https://apps.cio.ny.gov/apps/cfa/index.cfm> until 4pm July 31, 2026.

**Paper or emailed applications will NOT be accepted. Late applications will NOT be accepted.**

### **7.1 Application Authorization**

Towns, cities (with the exception of New York City), and villages must submit a resolution authorizing submission of the application and specifying the amount and source (capital fund, general fund, bond, etc.) of local match. See attachment A of this RFA for a template of a resolution.

Counties, local public authorities, local public benefit corporations, New York City and Indian Nations must submit a formal letter, signed by the authorized representative, confirming authority to submit the application (including name and section of authorizing statute or other authorization) and specifying the amount and source (capital fund, general fund, bond, etc.) of local match. Proof of authority may include a delegation of authority, statutory authorization, or other municipal authorization.

Applications submitted without such documentation will be deemed ineligible.

### **7.2 Statewide Financial System Grants Management (SFS GM) Registration**

Although the CSC grant program application is completed within the consolidated funding application (CFA), the contracting process will take place within the statewide financial system grants management system (SFS GM); therefore, **All APPLICANTS** to the CSC grant program **MUST** be registered with SFS GM **PRIOR** to submitting an application through the CFA. To register visit <https://grantsmanagement.ny.gov/register-your-organization-sfs>. Using **Google Chrome** to access SFS GM is recommended. Using other browsers may cause errors.

If an applicant does not have access to the SFS Vendor Portal and if the organization (municipality) is already established within the SFS Vendor portal, an SFS Delegated Administrator has been authorized

within your organization to provision user login credentials, unlock accounts, or reset passwords. Please reach out to the municipality's Delegated Administrator directly.

If the municipality is new to the SFS Vendor portal, does not have a login, and would like to establish an account for the purposes of doing business with the State of New York, contact the SFS Help Desk at 518-457-7717, 855-233-8363 or [HelpDesk@sfs.ny.gov](mailto:HelpDesk@sfs.ny.gov) for more information.

The NYS SFS GM offers training videos and webinars for applicants requiring assistance. Please visit <https://grantsmanagement.ny.gov/resources-grant-applicants>. Once logged into the system, a Vendor User Manual can be found in SFS Coach.

#### Main Help Desk:

Contact the main help desk for assistance with registration, prequalification, applications, contracts, payments, and more.

Hours: Weekdays 8:00 am - 4:00 pm

Email: [Helpdesk@sfs.ny.gov](mailto:Helpdesk@sfs.ny.gov)

Phone: 518-457-7717 or 855-233-8363

### **7.3 Ownership**

Pursuant to ECL § 54-1515(3), all infrastructure and project components funded through the CSC grant program must be owned by the contractor (grantee) and cannot be transferred to another entity for the duration of the service life of such infrastructure and/or project components, unless the grantee obtains a Climate Change Mitigation Easement from a landowner or a DEC approved agreement from a government entity for infrastructure and improvements on real property not owned by the grantee.

Real property acquired, developed, improved, restored, or rehabilitated by a municipality with funds made available pursuant ECL § 54-1523(1)(i) shall not be sold, or disposed of, or used for, purposes other than climate change mitigation and adaptation without the express authority of an act of the New York State Legislature, which shall provide for the substitution of other lands of equal environmental and fair market value and reasonably equivalent usefulness and location to those to be discontinued, sold or disposed of, and such other requirements as shall be approved by the Commissioner, including but not limited to, review and approval of the proposed acquisition of a new parcel(s) prior to the sale of the original parcel. This requirement shall remain in effect beyond the term of a grant contract.

### **7.4 Maps**

Maps are required as part of the application in the following instances, all maps must include the applicant's name, project title, north arrow, and map legend:

1. Land value is requested as match or funding is requested for land acquisition. A map identifying the real property, adjacent roadways, section-block-lot number, and its spatial relationship to the project.
2. All flood risk reduction projects. A FEMA flood insurance rate map, or comparable alternative indicating flood risk, with the project location noted on the map.
3. All projects moving facilities out of a flood-prone area. A FEMA flood insurance rate map, or comparable alternative indicating flood risk, showing the current facility location in the floodplain and the future facility location outside the floodplain.
4. Reduction of VMT implementation projects. A map showing the on-road or off-road non-

motorized transportation facility location, its connection to other on-road or off-road non-motorized transportation facilities (planned or existing, denoting difference between existing and planned infrastructure), with all activity areas that the non-motorized system is designed to connect, e.g., neighborhood to employment center, labelled.

## **7.5 Work Plan and Budget**

Work Plan – Each application must contain a detailed work plan. The work plan should be completed on the template provided, which uses the SFS format of objectives (goals of the project), tasks (the steps involved in implementing the project, from creation of a request for proposals to final reporting), and performance measures (deliverables provided to DEC). Visit <https://dec.ny.gov/environmental-protection/climate-change/resources-for-local-governments/grants-for-climate-action> to download the CSC work plan template.

DEC will require certain objectives, tasks, and performance measures (deliverables) for certain project types to be included in the work plan, which may include measuring the benefits and outcomes of the project. Details will be provided during contract development.

Budget – Each applicant must submit budget information in both the CFA application and on the CSC grant budget template. The CSC grant budget template must contain only the relevant costs for the requested CSC funding and required match (total project cost). The CFA budget entry will contain expenses beyond the CSC grant total project cost, if applicable. This includes grant requests from other programs, matching funds for those other grant programs, and/or additional expenses to be covered by bond or loan programs. Visit <https://dec.ny.gov/environmental-protection/climate-change/resources-for-local-governments/grants-for-climate-action> to download the CSC budget plan template.

## **7.6 Agreements**

### **7.6.1 Partnership Agreement**

Two or more municipalities, or a municipality and a quasi-governmental entity(ies) or non-profit(s) organization, may collaborate on a project. However, only one eligible municipality, designated as the lead applicant, can submit the application for grant funding. Letters or other written agreements, signed by all parties, substantiating the collaboration, and detailing the responsibilities, roles, and match contributions of each party to the agreement are required as part of the application.

If awarded, formal, finalized agreements, (such as memoranda of understanding [MOU] or intermunicipal agreements), executed by all parties, must be provided to DEC and include the name, headquarters address, and contact information of all partners and lead municipality, or Indian Nation, as applicable; and must be signed and dated by the CEO or duly authorized representative of each party to the agreement. Awards involving a partnership agreement will not be moved to contract execution until the formal agreement is officially executed and a copy received by DEC.

The lead applicant must assume the responsibility for the project application, contract development and maintenance in SFS, performance of work consistent with this RFA, and compliance with all State, federal, and local laws and compliance with the State of New York Contract for Grants.

### **7.6.2 Climate Change Mitigation Easement**

In compliance with ECL § 54-1513, a municipality, or Indian Nation, as applicable, that uses CSC grant funds to develop, improve, restore, or rehabilitate real property that is not owned by the municipality must obtain from the landowner of the real property a climate change mitigation easement (CCME) or a DEC approved agreement from a government entity not legally authorized to enter into a CCME<sup>4</sup> for infrastructure and improvements on real property not owned by the grantee. This requirement applies to any real property, including improvements and easements, not owned by the applicant municipality. If a CCME or approved agreement is required, the applicant must submit a Landowner Agreement at the time of application, as follows:

- If the property owner is another municipality, applicant must submit a certified resolution by the municipal property owner in support of the project indicating agreement to enter a CCME with the applicant.
- If the property is owned by a government entity that is not legally authorized to execute a CCME, applicant must submit written permission for such use from the authorized representative of the government entity indicating that it will enter an agreement with the applicant.
- If the property owner is not a municipality, applicant must submit a notarized written statement from the property owner in support of the project indicating agreement to enter a CCME with the applicant.

The resolution, written permission, or notarized written statement (Landowner Agreement) must be uploaded as part of the application and include the stipulations in the bulleted list below; the name, headquarters address, and contact information of both the property owner, municipality, or government entity; and it must be signed and dated by the duly authorized representative of each party to the agreement. Awards involving a CCME or an approved agreement will not be moved to contract execution until the formal agreement is officially executed and a copy received by DEC.

Visit <https://dec.ny.gov/environmental-protection/climate-change/resources-for-local-governments/grants-for-climate-action> to download the CCME template.

Grant awards that include the development, improvement, restoration, and/or rehabilitation of real property not owned by the grantee, will not move to contract execution until the contractor (grantee) has developed and executed a CCME or an approved agreement with the landowner that ensures the following:

- The property shall be accessible to the municipality for any necessary work to achieve the funded purpose throughout the expected useful life of the project.
- The property shall provide the identified public benefit throughout the expected useful life of the project.
- The property shall be used to achieve climate protection and mitigation goals pursuant to ECL Article 54, Title 15 “Climate Smart Communities Projects” throughout the expected useful life of the project.
- The property owner shall provide information and data to the municipality or will provide access to the municipality for collection of data, as specified in the grant contract.

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<sup>4</sup> For example, if a pedestrian path project uses a New York State Department of Transportation (NYSDOT) right-of-way (ROW), the applicant must obtain a Landowner Agreement from NYSDOT advising that NYSDOT is willing to enter a Use, Occupancy, and Maintenance Permit for Municipal Improvements in the NYS Highway ROW funded through the CSC Program. If approved, NYSDOT would provide a permit to awardees for use of the DOT ROW.

- The easements minimum term will adequately reflect the expected useful life of the project.
- For CCMEs:
  - CCMEs are enforced as a conservation easement pursuant to ECL §§ 54-1513 and 49-0305.
  - CCMEs must be filed with the appropriate county clerk's office.

### **7.7 Smart Growth Public Infrastructure Policy Act**

New York State's Smart Growth Public Infrastructure Policy Act, Environmental Conservation Law Article 6, requires DEC and all State infrastructure agencies to assess whether each public infrastructure project that receives state funding is consistent with the State smart growth public infrastructure criteria specified in ECL § 6-0107, or that compliance is considered to be impracticable, before making any commitment to fund such project(s). Applicants are required to provide smart growth assessment information as part of the CFA.

### **7.8 Sexual Harassment Prevention Certification**

State Finance Law § 139-l requires all applicants of grant funding to certify that they have a written policy addressing sexual harassment prevention in the workplace and provide annual sexual harassment training (that meets the Department of Labor's model policy and training standards) to all its employees. Where applying for grant funding is required pursuant to statute, rule or regulation, every application submitted to the state or any public department or agency of the state must contain the following statement: "By submission of this application, each applicant and each person signing on behalf of the applicant certifies, and in the case of a partnering application each party thereto certifies as to its own organization, under penalty of perjury, that the applicant has and has implemented a written policy addressing sexual harassment prevention in the workplace and provides annual sexual harassment prevention training to all of its employees. Such policy shall, at a minimum, meet the requirements of section two hundred one-g of the labor law."

Applications that do not contain the certification will not be considered for award; provided however, that if the applicant cannot make the certification, the applicant may provide a signed statement with their application detailing the reasons why the certification cannot be made. After review and consideration of such statement, DEC may reject the application or may decide there are sufficient reasons to accept the application without such certification.

Applicants are required to sign and upload the Sexual Harassment Prevention Certification form or upload a signed statement with their application detailing the reasons why the certification cannot be made.

### **7.9 Gender-based Violence and the Workplace Certification**

State Finance Law §139-m requires bidders (Applicants) on State procurements to certify that they have a written policy addressing gender-based violence and the workplace and have provided such policy to all of its employees, directors, and board members. Such policy shall, at a minimum, meet the requirements of subdivision 11 of section five hundred seventy-five of the executive law.

Where competitive bidding is required pursuant to statute, rule, or regulation for work or services performed, or to be performed, or goods sold, or to be sold, every bid made to the State or any public department or agency of the state must contain the following statement:

“By submission of this bid (application), each bidder (applicant) and each person signing on behalf of any bidder (applicant) certifies, and in the case of a joint bid (application) each party thereto certifies as to its own organization, under penalty of perjury, that the bidder (applicant) has and has implemented a written policy addressing gender-based violence and the workplace and has provided such policy to all of its employees, directors, and board members. Such policy shall, at a minimum, meet the requirements of subdivision 11 of section five hundred seventy-five of the executive law.”

Bids (applications) that do not contain the certification will not be considered for award; provided however, that if the bidder (applicant) cannot make the certification, the bidder (applicant) shall provide a signed statement with their bid (application) detailing the reasons why the certification cannot be made. After review and consideration of such statement, the Department may reject the bid (application) or may decide that there are sufficient reasons to accept the bid (application) without such certification.

Bidders (applicants) are required to sign and submit the Gender-Based Violence and the Workplace Certification form, (Attachment G). If the bidder (applicant) cannot make the certification, then a signed statement must be submitted with the bid (application) detailing the reasons why the certification cannot be made. The certification form must be signed by an authorized staff of the bidder (applicant), and dated after the application start date.

#### **7.10 Executive Order 16**

Executive Order No. 16 provides that “all Affected State Entities are directed to refrain from entering into any new contract or renewing any existing contract with an entity conducting business operations in Russia.” The complete text of Executive Order No. 16 can be found at <https://www.governor.ny.gov/executive-order/no-16-prohibiting-state-agencies-and-authorities-contracting-businesses-conducting>. The Executive Order remains in effect while sanctions against Russia imposed by the federal government are in effect. Accordingly, municipal applicants utilizing subcontractors who may be excluded from award because of current business operations in Russia are nevertheless encouraged to respond to solicitations to preserve their contracting opportunities in case the sanctions are lifted during a solicitation or even after award in the case of some solicitations. As defined in Executive Order No. 16, an “Entity conducting business operations in Russia” means an institution or company, wherever located, conducting any commercial activity in Russia or transacting business with the Russian Government or with commercial entities headquartered in Russia or with their principal place of business in Russia in the form of contracting, sales, purchasing, investment, or any business partnership.

Vendors/applicants (municipalities) responding to this solicitation are required to complete and submit the form entitled “Certification Under Executive Order No. 16 Prohibiting State Agencies and Authorities from Contracting with Businesses Conducting Business in Russia.” The Certification must be completed and executed by the applicant municipality. Failure to do so will result in disqualification.

**The term “vendor” on the Executive Order No. 16 form refers to the municipal applicant for purposes of this grant program.**

**All applicants (municipalities) must complete and sign the Executive Order 16 Certification Form**

and upload the completed form, signed by the municipal applicant (vendor), to the CFA application. Applications omitting this form, containing incomplete or inappropriately completed forms, or incorrectly signed forms, will be deemed ineligible.

### **7.11 Coastal Consistency Requirements**

SEQR Type I and Unlisted actions located within the New York State Department of State's coastal zone boundaries must meet the consistency requirements of the New York State Secretary of State's Coastal Management Program. This consistency determination will be performed by DEC as part of the grant review process. If the proposed project is located within a municipality that has an approved Local Waterfront Revitalization Program (LWRP), the policies of that LWRP apply. Projects in areas that are not covered by a local LWRP must be consistent with the State's Coastal Policies. The coastal policies can be found at <https://dos.ny.gov/system/files/documents/2020/02/coastalpolicies.pdf>. Applicants are encouraged to determine if their project is located within the coastal zone, and to include in their site plan or sketch map their project's location within the coastal zone boundaries if applicable. Maps of the coastal zone boundaries can be found at <https://dos.ny.gov/coastal-consistency-review>.

### **7.12 Diesel Emissions Reduction Act 2006**

In 2007, New York State enacted legislation establishing the Diesel Emissions Reduction Act 2006 (DERA). This Act amended the ECL by adding § 19-0323, which requires the use of best available retrofit technology (BART) and ultra-low sulfur diesel fuel (ULSD) for heavy-duty vehicles owned or operated by, including on behalf of, state agencies and state or regional public authorities. DEC promulgated regulations (6 NYCRR Part 248) to provide guidance on provisions of the law. The regulations may be found online at <https://dec.ny.gov/regulatory/regulations/chapter-iii>. If applicable, the contractor (grantee) must certify to the New York State contracting agency or public authority that all heavy-duty vehicles used under this contract will comply with the provisions of ECL § 19-0323 and 6 NYCRR Part 248, which require the use of BART and ULSD, unless specifically waived by DEC. Qualifications for a waiver under this law are the responsibility of the Contractor (grantee). Additional guidance can be found at <https://dec.ny.gov/environmental-protection/air-quality/controlling-motor-vehicle-pollution/heavy-duty-vehicles#248>.

### **7.13 Secular Purpose**

If services performed pursuant to the New York State Contract for Grants are secular in nature, or are performed by a secular organization, they shall be performed in a manner that does not discriminate on the basis of religious belief, or promote, or discourage adherence to religion in general or particular religious beliefs.

## **8. Application Review and Scoring**

### **8.1 Eligibility Review**

ECL § 54-1507 provides that adaption and mitigation “[p]rojects must demonstrate an ability to identify, mitigate and/or adapt to climate change vulnerability and risk or demonstrate potential to reduce greenhouse gas emissions...” Projects that do not meet this requirement are not eligible for grant funding under this program.

Each application is initially assessed for eligibility based on the pass/fail criteria listed below. At the

request of DEC, the municipality shall provide any additional information (beyond that provided via the CFA), documents, or other material that DEC deems necessary to evaluate the municipality's eligibility. If an application does not meet all threshold criteria, it is deemed ineligible and disqualified from further review. DEC will mail a letter to the contact listed in the CFA application informing the applicant of the determination. If an application does not meet all threshold criteria, it is deemed ineligible and disqualified from further review. DEC will mail a letter to the contact listed in the CFA application informing the applicant of the determination. If the application meets all threshold criteria, it is deemed eligible and the application process will move on to technical scoring by a review team convened by DEC. However, if during or after the scoring process, it is determined based on additional information that the application is ineligible or otherwise does not meet the requirements of a specific project type, DEC reserves the right to deem the application ineligible, withdraw confirmation of an award, or seek reimbursement of any funding.

A failure to meet any one criterion below will disqualify the application from further consideration:

- If the application is for an implementation project, the applicant is a county, city, town, or village, Indian Nation as defined in article 2, section 2 of the Indian Law, local public authority or a local public benefit corporation (such as a municipal housing authority, municipal solid waste authority or resources recovery agency, municipal water and sewer authority, municipal water authority/board, municipal sewer authority, county soil and water conservation district, local development corporations and local industrial development authority) of the State of New York. If the applicant is a local public authority or a local public benefit corporation, the entity is completing or managing a municipal project on behalf of its parent municipality.
- If the application is for a certification project, the applicant is a county, city, town, village of the State of New York or an Indian Nation as defined in article 2, section 2 of the Indian Law.
- If the applicant is a city (excluding NYC), town, or village, the applicant has submitted a certified resolution authorizing the submission of the application.
- If the applicant is a county, local public authority, local public benefit corporation, or New York City, the applicant has submitted a formal letter signed by a municipal authorized individual authorizing the submission of the application. The letter must be accompanied by proof that the individual submitting the letter has authorization to apply on behalf of the municipality.
- The application directly addresses one of the eligible project categories.
- The applicant provides a completed expenditure budget and a completed work plan.
- The applicant is requesting funding at or above the minimum award amount for the corresponding project category.
- The applicant has provided the proper amount of match based on NYS disadvantaged communities' status, environmental stress score, financial hardship, and total project cost.
- If applicable, documentation of real property ownership and/or the necessary land access and use agreement(s) and/or partnership/CCME agreement(s) and/or land acquisition documentation are provided.
- If applicable, maps are provided.
- The applicant is registered in the Statewide Financial System Grants Management System (SFS GM).
- The applicant will own any infrastructure, project components, and real property funded or partially funded by this program, unless a Landowner Agreement, CCME, or a DEC approved agreement has been obtained from the property owner.
- The applicant demonstrates its ability to begin and complete the project within the five-year

contract term.

### 8.2 Detailed Application Review

Using information provided by the applicant, the DEC review team will score each eligible application according to the scoring criteria outlined below. The reviewer scores will be averaged and ranked highest to lowest. An application must score a minimum of 55 points, out of a possible 100 points, to be considered for funding.

Proposed projects must provide meaningful mitigation of GHG emissions or adaptation to climate change to receive an award. For example, for adaptation projects, DEC must determine that the municipality has considered future physical climate risk due to sea level rise, storm surges, flooding, extreme heat, and/or other climate hazard, based on available data predicting the likelihood of future extreme weather events, including hazard risk analysis data, if applicable. If the review team, after the more detailed review and scoring process, determines that a project proposal does not result in an overall climate benefit, the proposal will be deemed ineligible regardless of the initial eligibility determination or final score.

Applications are no longer reviewed by the Regional Economic Development Councils (REDC). However, the DEC review team can accept REDC input and use this input in the assessment of applications, where practicable.

### 8.3 Certification Category

Eligible projects in the certification category will be evaluated for their potential to provide information, data, planning, and policy foundations for future climate mitigation and adaptation implementation projects at the local level.

#### 8.3.1 Certification Scoring Overview

Category	Max. Points				Min. Points
Disadvantaged Communities	15	12	8	5	2
CSC Certification Status	8	6	3	-	0
Certification Readiness	3	-	-	-	0
Project Criticality	20	15	6	-	2
Effectiveness of Proposal	15	10	5	-	0
Planning Context	6	3	-	-	0
Implementation Readiness	8	6	4	-	0
Reasonableness of Cost	20	15	8	5	0
Quality of Application	5	3	1	-	0
Total Available Points	100				

#### 8.3.2 Certification Scoring Criteria

Category	Criterion	Points
<b>Disadvantaged Communities</b>	Applicant is a municipality with a disadvantaged community population of 81 – 100%. See Attachment C.	15

<b>(includes financial hardship)</b>	Applicant is a municipality with a disadvantaged community population of 61 - 80%.	12
	Applicant is a municipality with a disadvantaged community population of 41 - 60%.	8
	Applicant is a municipality with a disadvantaged community population of 21 - 40%.	5
	Applicant is a municipality with a disadvantaged community population of 1 - 20%.	2
<b>CSC Certification Status</b>	Applicant is a certified silver Climate Smart Community.	8
	Applicant is a certified bronze Climate Smart Community.	6
	Applicant is a registered Climate Smart Community.	3
	Applicant is not a Climate Smart Community.	0
<b>Certification Readiness</b>	Applicant has provided documentation showing formation of a CSC task force and two meetings in the past year, per <a href="https://climatesmart.ny.gov/actions-certification/actions/#open/action/2">https://climatesmart.ny.gov/actions-certification/actions/#open/action/2</a>	3
	Applicant has NOT provided documentation showing formation of a CSC task force and two meetings in the past year, per <a href="https://climatesmart.ny.gov/actions-certification/actions/#open/action/2">https://climatesmart.ny.gov/actions-certification/actions/#open/action/2</a>	0
<b>Project Criticality</b>	To determine project criticality, the following questions will be considered: 1. Why is the project needed in the community? Describe any local or regional events and/or problems that substantiate the need for the project. 2. How will funding for this project help meet the needs or alleviate the problem(s) presented in #1 above? 3. How will actions completed through this project build on previous work? 4. What was the method used to prioritize this project over other climate-related projects (data, immediate needs, etc.)? 5. How will this project support the municipality's efforts to encourage the public, local businesses, and non-governmental entities to act on climate change?	
	Application provides well-reasoned answers to all five of the questions above.	20
	Application provides well-reasoned answers to at least four of the questions above, including 1, 2, and 3.	15
	Application provides well-reasoned answers to at least three of the questions above.	6
	Application provides well-reasoned answers to at least two of the questions above.	2
<b>Effectiveness of Proposal</b>	Application <b>specifically</b> identifies and describes how the proposed project will build local capacity and lead to specific implementation projects that will help the community mitigate and/or adapt to climate change.	15
	Application <b>generally</b> describes how the proposed project will lead to additional efforts that will help the community mitigate and/or adapt to climate change.	10
	The proposed project may lead to indirect, secondary, or partial benefits for local climate mitigation or adaptation.	5

	The proposed project will not lead to an identifiable climate change adaptation benefit or reduce GHG emissions; or the application does not provide sufficient information to evaluate the effectiveness of the proposed project.	0
<b>Planning Context</b>	The proposed project is <b>specifically</b> recommended by an adopted local or regional plan or is a documented initiative of a climate, energy, or GHG task force or committee.	6
	The proposed project identifies and is consistent with the purpose of, or provides indirect benefit related to, a local or regional plan or documented initiative of a climate, energy, or GHG task force or committee.	3
	The application does not describe a local or regional planning context or does not provide sufficient information to evaluate the relationship of the proposed project with local or regional plans, task forces, or committees.	0
<b>Implementation Readiness</b>	To determine implementation readiness, the following questions will be considered: 1. Is the work plan clear and concise and does it contain the requirements and deliverables listed at <a href="https://climatesmart.ny.gov/actions-certification/actions/">https://climatesmart.ny.gov/actions-certification/actions/</a> ? 2. Does the project create or strengthen an organizational structure, including proper partnership agreements (where necessary), that will sustain implementation of the project and ongoing climate action? 3. Does the applicant have adequate labor (staff, partners, volunteers) and resources to complete the project within the contract period? 4. Does the applicant have, or can it obtain, the technical expertise needed to complete the project? 5. Does the project include adequate public engagement?	
	Application provides well-reasoned answers to at least four of the items above, including 1 and 2.	8
	Application provides well-reasoned answers to three of the items above, including 1.	6
	Application provides well-reasoned answers to two of the items above.	4
	Application provides well-reasoned answers to one or none of the items above.	0
<b>Reasonableness of Cost</b>	To determine the reasonableness of cost, the following seven questions will be considered: 1. Have costs been thoroughly documented using quotes, pricing sheets, previous final budgets for similar projects, or similar documentation? 2. Does the budget contain the proper amounts of grant and local share? 3. Are the budget line items aligned with the workplan tasks and deliverables? 4. Has a specific source of local match (such as general fund, highway department budget, or donation) been allocated? 5. Are budget lines (not backup documents) detailed with information, such as: type of contractor and amount, construction vs design; title of personnel, hours expected, and hourly or annual rate; purpose and location of travel; list of materials, title and hourly rate of donated	

	<p>professional services, or number of volunteers and hours anticipated? Engineering costs allocated to grant cannot exceed 15% of the total grant amount requested in the application.</p> <p>6. Are the size and scope of the project suitable to accomplish the desired outcome?</p> <p>7. Does the applicant leverage non-contractual services (e.g., municipal staff or other local) resources to accomplish the proposed work?</p> <p>8. Will the completed project provide a meaningful GHG mitigation or climate change adaptation benefit relative to anticipated project costs?</p>	
	Application provides well-reasoned answers to seven or more of the questions above, including 1, 2, and 3.	20
	Application provides well-reasoned answers to at least six of the questions above, including 1, 2, and 3.	15
	Application provides well-reasoned answers to at least five of the questions above.	8
	Application does not provide well-reasoned answers to more than three of the questions above.	5
	Application provides well-reasoned answers to three or fewer than three of the questions above.	0
<b>Quality of Application</b>	The application is complete, including an anticipated schedule, work plan, and detailed budget breakdown, and all necessary questions have been answered. The project is clearly and specifically described, and all supporting documentation is included.	5
	The application generally describes the project, but some questions have not been fully or adequately answered, supporting documentation is missing, and/or the budget or schedule generalizes across broad categories.	3
	The application does not clearly describe the project, or there are discrepancies in the proposal or between the work proposed and the included budget.	1
	The application is missing a significant amount of information, does not address the stated purpose of the grant program and its eligible project categories, and/or does not provide sufficient budget information to understand the amount of funding requested.	0

**8.4 Implementation Category**

Eligible projects in the mitigation category will be evaluated for their potential to provide a reduction in GHG emissions. Scores will be based on the anticipated effectiveness of the proposed project to reduce GHG emissions.

Eligible projects in the adaptation category will be evaluated for potential to provide a meaningful response, at the municipal level, to anticipated future conditions resulting from climate change. Scores will be based on the anticipated effectiveness of the proposed project to reduce risk to residents, infrastructure, and/or natural resources under projected climate conditions.

**8.4.1 Implementation Scoring Overview**

Category	Max. Points				Min. Points
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Disadvantaged Communities	10	-	-	-	0
Financial Hardship	5	2	0	-	-
CSC Certification Status	6	4	2	0	-
Project Criticality	20	15	8	0	-
Effectiveness of Proposal	20	13	5	0	-
Planning Context	5	3	0	0	-
Implementation Readiness	10	7	3	0	-
Reasonableness of Cost	20	15	8	5	0
Quality of Application	4	2	1	0	-
Total Available Points	100				

#### 8.4.2 Mitigation Scoring Criteria

Category	Criterion	Points
<b>Disadvantaged Communities</b>	The project is located in a disadvantaged community census tract.	10
	The project is not located in a disadvantaged community census tract.	0
<b>Financial Hardship</b>	Applicant municipality has a Median Household Income (MHI) less than 80% of the 2020-2024 Statewide MHI ( <i>i.e.</i> , MHI less than \$68,656), per census table B19013 or are designated as “Significant Environmental Stress” or “Moderate Environmental Stress,” in Attachment E	5
	Applicant municipality has a 2020-2024 MHI greater than or equal to \$68,656 but less than \$85,820, per census table B19013 or are designated as “Susceptible Environmental Stress” in Attachment E.	2
	Applicant is not a financial-hardship community, as defined above.	0
<b>CSC Certification Status</b>	Applicant is a certified silver Climate Smart Community.	6
	Applicant is a certified bronze Climate Smart Community.	4
	Applicant is a registered Climate Smart Community.	2
	Applicant is not a Climate Smart Community.	0
<b>Project Criticality</b>	Application identifies GHG emissions from local and/or regional GHG emissions inventories <sup>5</sup> in the sector relevant to the proposed project, describes how the emissions in this sector are expected to change if no action is taken, and explains why undertaking the proposed project is essential at this time.	20
	Application describes information or data on GHG emissions at any scale and the GHG emissions to be targeted by this project.	15
	Application generally describes the value of GHG emission reduction.	8
	Application does not provide sufficient information to demonstrate an expected GHG emission reduction.	0
<b>Effectiveness of Proposal</b>	Application <u>specifically</u> identifies and provides quantifiable evidence (e.g., model results, calculations, data) that demonstrates the GHG mitigation value of the project, <i>i.e.</i> , how it will result in a meaningful reduction of GHG emissions.	20
	Application <u>generally</u> and credibly identifies and describes the GHG	13

<sup>5</sup> See the 2010 NYS regional GHG emissions inventories at <https://climatesmart.ny.gov/support/regional-greenhouse-gas-inventories-in-nys/>.

	mitigation value of the project.	
	The proposed project may lead to indirect, secondary, or partial benefits associated with GHG mitigation.	5
	The proposed work will not lead to identifiable benefits associated with GHG mitigation.	0
<b>Planning Context</b>	The proposed project is <b>specifically recommended</b> by an adopted local or regional plan, or it is a documented initiative of a climate or energy task force or committee.	5
	The proposed project identifies and is consistent with the purpose of, or provides indirect benefits related to, a local or regional plan or documented initiative of a climate or energy task force or committee.	3
	The application does not describe a local or regional planning context or does not provide sufficient information to evaluate the relationship of the proposed project with local or regional plans, task force, or committee.	0
<b>Implementation Readiness</b>	Application clearly describes <b>all</b> the following: 1. The work plan is detailed and clear; it aligns with the budget and contains most of the relevant information for the project type. 2. A realistic schedule for obtaining all necessary permits or approvals and/or ownership of or permission to use or acquire the property or facilities proposed for work. Project partnership agreements/letters of commitment are included and detailed regarding what each partner will provide, including match. 3. Municipal project manager, project participants, and the roles of each are described. 4. Project has support at the municipal level and with the public and is therefore likely to be completed within the contract term.	10
	Application clearly describes <b>at least 3</b> of the above factors, including #1 and #3.	7
	Application clearly describes <b>at least 2</b> of the above factors, including #1.	3
	Application does not identify an available source of eligible match, has not outlined a realistic schedule for obtaining all necessary permits or approvals, and/or does not clearly describe the factors listed above.	0
<b>Reasonableness of Cost</b>	To determine the reasonableness of cost, the following seven questions will be considered: 1. Have costs been thoroughly documented using quotes, pricing sheets, previous final budgets for similar projects, or similar documentation? 2. Does the budget contain the proper amounts of grant and local match? 3. Are the budget line items aligned with the workplan tasks and deliverables? 4. Has a specific source of local match (such as general fund, highway department budget, or donation) been allocated? 5. Are budget lines (not backup documents) detailed with information, such as type of contractor and amount, construction vs design; title of personnel, hours expected, and hourly or annual rate; purpose	

	<p>and location of travel; list of materials, title and hourly rate of donated professional services, or number of volunteers and hours anticipated? Engineering costs allocated to the grant cannot exceed 15% of the total grant amount requested in the application.</p> <p>6. Are the size and scope of the project suitable to accomplish the desired outcome?</p> <p>7. Does the applicant leverage non-contractual services (e.g., municipal staff or other local resources) to accomplish the proposed work?</p> <p>8. Will the completed project provide a meaningful GHG mitigation benefit relative to anticipated project costs?</p>	
	Application provides well-reasoned answers to seven or more of the questions above are answered, including 1, 2, and 3.	20
	Application provides well-reasoned answers to at least six of the questions above, including 1, 2, and 3.	15
	Application provides well-reasoned answers to at least five of the questions above, including 1, 2, and 3.	8
	Application provides well-reasoned answers to at least three of the questions above.	5
	Application does not provide well-reasoned answers to more than three of the questions above.	0
<b>Quality of Application</b>	The application is complete, including an anticipated schedule, work plan, and detailed budget breakdown, and all necessary questions have been answered. The project is clearly and specifically described, and all supporting information and documentation are included.	4
	The application generally describes the project, but some questions have not been fully or adequately answered, supporting documentation is missing, and/or the budget or schedule generalizes across broad categories.	2
	The application does not clearly describe the project, or there are discrepancies in the proposal or between the work proposed and the included budget.	1
	The application is missing a significant amount of information, does not address the stated purpose of the grant program and its eligible project categories, and/or does not provide sufficient budget information to understand the amount of funding requested.	0

**8.4.3 Adaptation Scoring Criteria**

Category	Criterion	Points
<b>Disadvantaged Communities</b>	The project is located in a disadvantaged community census tract.	10
	The project is not located in a disadvantaged community census tract.	0
<b>Financial</b>	Applicant municipality has a Median Household Income (MHI) less than	5

<b>Hardship</b>	80% of the 2020 - 2024 Statewide MHI ( <i>i.e.</i> , MHI less than \$68,656), per census table B19013 or are designated as “Significant Environmental Stress” or “Moderate Environmental Stress,” in Attachment E.	
	Applicant municipality has a 2020 - 2024 MHI greater than or equal to \$68,656 but less than \$85,820, as returned in census table B19013 or are designated as “Susceptible Environmental Stress” in Attachment E.	2
	Applicant is not a financial-hardship community, as defined above.	0
<b>CSC Certification Status</b>	Applicant is a certified silver Climate Smart Community.	6
	Applicant is a certified bronze Climate Smart Community.	4
	Applicant is a registered Climate Smart Community.	2
	Applicant is not a Climate Smart Community.	0
<b>Project Criticality</b>	Application identifies <b>specific</b> climate vulnerabilities (including populations and resources at risk), describes, quantitatively, the scientifically supported projections of future local or regional climate conditions <sup>6</sup> that will create or exacerbate those vulnerabilities, and cites scientific reference and relevant section of supporting documents.	20
	Application <b>generally</b> identifies climate vulnerabilities (including populations and resources at risk) and generally describes the scientifically supported projections of future climate conditions at any scale that will create or exacerbate those vulnerabilities.	15
	Application generally describes a relationship between climate change and vulnerable populations or resources.	8
	Application does not provide sufficient information to demonstrate a climate vulnerability expected to be exacerbated by climate change.	0
<b>Effectiveness of Proposal</b>	Application <b>specifically</b> identifies and provides quantifiable evidence (e.g., model results, calculations, data) that demonstrates the climate adaptation value and benefits of the project ( <i>i.e.</i> , how it will improve local climate resilience and/or minimize the effects of climate change).	20
	Application <b>generally</b> and credibly identifies and describes the climate adaptation value of the project.	13
	The proposed project may lead to indirect, secondary, or partial benefits associated with climate adaptation.	5
	The proposed work will not lead to identifiable benefits associated with either climate adaptation.	0
<b>Planning Context</b>	The proposed project is <b>specifically recommended</b> by an adopted local or regional plan or is a documented initiative of a climate task force or committee.	5
	The proposed project identifies and is consistent with the purpose of, or provides indirect benefit related to, a local or regional plan or documented initiative of a climate task force or committee.	3
	The application does not describe a local or regional planning context or does not provide sufficient information to evaluate the relationship of the	0

<sup>6</sup> See, for example, New York State Climate Impacts Assessment (<https://nysclimateimpacts.org/>), National Climate Assessment (<https://nca2023.globalchange.gov/>), and Climate Mapping for Resilience & Adaptation (<https://resilience.climate.gov/>).

	proposed project with local or regional plans, task force, or committee.	
<b>Implementation Readiness</b>	Application clearly describes <b>all</b> the following: 1. The work plan is detailed and clear, and it aligns with the budget and contains most of the relevant information for the project type. 2. A realistic schedule for obtaining all necessary permits or approvals and/or ownership of or permission to use or acquire the property or facilities proposed for work. Project partnership agreements/letters of commitment are included and detailed regarding what each partner will provide, including match. 3. Municipal project manager, project participants, and the roles of each are described. 4. Project has support at the municipal level and with the public and is therefore likely to be completed within the contract term.	10
	Application clearly describes <b>at least 3</b> of the above factors, including #1 and #3.	7
	Application clearly describes <b>at least 2</b> of the above factors, including #1.	3
	Application does not identify an available source of eligible match, has not outlined a realistic schedule for obtaining all necessary permits or approvals, and/or does not clearly describe the factors listed above.	0
<b>Reasonableness of Cost</b>	To determine the reasonableness of cost, the following seven questions will be considered: 1. Have costs been thoroughly documented using quotes, pricing sheets, previous final budgets for similar projects, or similar documentation? 2. Does the budget contain the proper amounts of grant and local share? 3. Are the budget line items aligned with the workplan tasks and deliverables? 4. Has a specific source of local match (such as general fund, highway department budget, or donation) been allocated? 5. Are budget lines (not backup documents) detailed with information, such as: type of contractor and amount, construction vs design; title of personnel, hours expected, and hourly or annual rate; purpose and location of travel; list of materials, title and hourly rate of donated professional services, or number of volunteers and hours anticipated? Engineering costs allocated to grant cannot exceed 15% of the total grant amount requested in the application. 6. Are the size and scope of the project suitable to accomplish the desired outcome? 7. Does the applicant leverage non-contractual services (e.g., municipal staff or other local) resources to accomplish the proposed work? 8. Will the completed project provide a meaningful climate change adaptation benefit relative to anticipated project costs?	
	Application provides well-reasoned answers to seven or more of the questions above, including 1, 2, and 3.	20

	Application provides well-reasoned answers to at least six of the questions above, including 1, 2, and 3.	15
	Application provides well-reasoned answers to at least five of the questions above, including 1, 2, and 3.	8
	Application does not provide well-reasoned answers to more than three of the questions above.	5
	Application provides well-reasoned answers to three or fewer than three of the questions above.	0
<b>Quality of Application</b>	The application is complete, including an anticipated schedule, work plan, and detailed budget breakdown, and all necessary questions have been answered. The project is clearly and specifically described, and all supporting documentation is included.	4
	The application generally describes the project, but some questions have not been fully or adequately answered, supporting documentation is missing, and/or the budget or schedule generalizes across broad categories.	2
	The application does not clearly describe the project, or there are discrepancies in the proposal or between the work proposed and the included budget.	1
	The application is missing a significant amount of information, does not address the stated purpose of the grant program and its eligible project categories, and/or does not provide sufficient budget information to understand the amount of funding requested.	0

**9. Awards**

Funding will be recommended based on the highest to lowest overall score ranking for eligible applications within each funding category, and within the expressed funding limits for municipalities with population sizes over 100,000 and/or any single municipality, as described in this RFA, until all available funding has been exhausted. DEC will utilize the population of a local public authority or local public benefit corporation’s parent municipality, e.g., Rockland County Solid Waste Management Authority's population will be the same as the population of Rockland County.

In the event of tied total scores between two or more applications at the funding limit, DEC will make the award to the application with the highest individual criteria score in the following order of priority:

1. Disadvantaged Communities
2. Project Criticality
3. Effectiveness of Proposal
4. Implementation Readiness
5. Reasonableness of Cost
6. Planning Context
7. Quality of Application
8. Financial Hardship

In the event there is a tie score on all individual scoring criteria, the proposed project that is likely to have the greatest impact on mitigating GHG emissions or adapting to climate change in New York State, as determined by DEC, will receive the award.

Applicants selected to receive grant awards will be notified by an official DEC award letter. DEC will send a “next steps” email with follow-up details on the contract development process once the New York State Office of the State Comptroller has approved the procurement and the contracts have been created in SFS GM.

IMPORTANT NOTE: By accepting an award, applicant agrees to abide by all State of New York Contract for Grants Attachment A-1 Agency Terms and Conditions and Attachment A-2 Program Terms and Conditions. Any changes to the terms and conditions will not be accepted and may affect applicant’s award. The contract for grants and Attachment A-1 Agency Terms and Conditions and Attachment A-2 Program Terms and Conditions for CSC grants are available on the OCC grants webpage: <https://dec.ny.gov/environmental-protection/climate-change/resources-for-local-governments/grants-for-climate-action>.

### **9.1 New York State Contract for Grants**

All applicants selected to receive an award will be required to complete the contract development and approval process within SFS GM. Contractors (grantee) will negotiate the budget and work plan with the DEC program manager and supply insurance information as described below in Insurance Requirements. Once the budget and work plan are approved by both parties and the insurance information is provided, the contractor (grantee) will be given access to the contract within SFS and required to input the approved budget and work plan, as well as upload insurance documentation, Equal Employment Opportunity (EEO) Policy Statement, EEO Staffing Plan, and Service-Disabled Veteran Owned Business (SDVOB) Utilization Plan. Minority and Women Owned Business Enterprises (MWBE) Utilization Plans must be submitted online using the New York State Contract System (NYSCS) at <https://ny.newnycontracts.com/>. The contract will then move to the next step of the contract execution process.

The NYS Contract for Grants and attachments include the following:

- NYS Contract for Grants Face Page
- NYS Contract for Grants Standard Terms and Conditions (NYS standard terms and conditions)
- Appendix A – Statewide Terms and Conditions
- Attachment A-1 Agency Specific Terms and Conditions
- Attachment A-2 Program Specific Terms and Conditions
- Attachment B-1 Expenditure Based Budget (project expense categories and detail)
- Attachment C Work Plan (project objectives, tasks and performance measures)
- Attachment D Payment and Reporting Schedule (claims for reimbursement and grant reporting provisions)

Contracts should be executed within 90 days from the time of the award notification. Failure to submit required Contract for Grants documents in a timely fashion may result in loss of the award. Once a contract is executed, the DEC program manager will provide the contractor (grantee) with the grantee guidelines, voucher and reporting paperwork, and draft funding acknowledgement signage if applicable.

Reimbursement requests will not be approved or processed by DEC until a NYS Contract for Grants is fully approved by DEC and, as applicable, the New York State Offices of the Attorney General and the State Comptroller, expenses are incurred, and reimbursement request is submitted with all required

documentation and corresponding deliverables. Advance payments are not authorized as part of the CSC grant program. Contract extensions will be considered on a case-by-case basis upon written request from the contractor (grantee).

## **9.2 Contractual Requirements**

### **9.2.1 Minority Women Owned Business Enterprise (MWBE) Goals**

DEC is required to implement the provisions of New York State Executive Law Article 15-A and 5 NYCRR Parts 142-144 (MWBE Regulations) for all State contracts with a value (1) in excess of \$25,000 for labor, services, equipment, materials, or any combination of the foregoing or (2) in excess of \$100,000 for real property renovations and construction.

Applicants subject to executing a future New York State Contract for Grants agree, in addition to any other nondiscrimination provision of the NYS Contract for Grants and at no additional cost to DEC, to fully comply and cooperate with DEC in the implementation of New York State Executive Law Article 15-A. These requirements include Equal Employment Opportunities (EEO) for minority group members and women and contracting opportunities for certified MWBEs. Contractors (grantees) demonstration of “Good Faith Efforts” pursuant to 5 NYCRR §142.8 shall be a part of these requirements. These provisions shall be deemed supplementary to, and not in lieu of, the nondiscrimination provisions required by New York State Executive Law Article 15 (the “Human Rights Law”) or other applicable federal, State, or local laws.

Failure to comply with MWBE and EEO requirements may result in a DEC finding of non-responsiveness, non-responsibility and/or a breach of contract, leading to the withholding of funds or such other actions, liquidated damages, or enforcement proceedings.

If awarded a grant, refer to the New York State NYS Contract for Grants Attachment A-1 Agency Specific Terms and Conditions Article X upon contract execution to review MWBE and EEO requirements.

The municipality (grantee) is responsible for designating someone to serve as their Affirmative Action representative. The governing body should make this designation through official means.

A list of certified MWBEs can be obtained via the internet from the Empire State Development at: <https://ny.newnycontracts.com/FrontEnd/searchcertifieddirectory.asp>

MWBE reporting for DEC contracts must now be completed using the New York State Contract System (NYSCS), <https://ny.newnycontracts.com/>.

**All contracts of \$25,000 or more will be assessed for MWBE goals.** Contracts which meet the established MWBE-EEO thresholds require the Contractor to submit the Utilization Plan prior to the execution of the contract and Monthly Compliance Audits in the NYSCS after the contract is executed.

To submit the required MWBE Utilization Plan, log-in to NYSCS <https://ny.newnycontracts.com/> and access the Utilization Plans section displayed on the user dashboard. Plans requiring action will be displayed in red.

All contractors (grantees) shall complete an Equal Employment Opportunity (EEO) Policy Statement and

Staffing Plan form and submit it prior to the execution of the contract. These EEO forms are to be uploaded to the SFS Grants Management System.

MWBE Overall Participation Goals: are established as follows:

- Construction/Engineering – up to 30%
- Commodities – up to 30%
- Services/Technologies –up to 30%

For more information regarding MWBE compliance and reporting guidelines, and to download required forms, please visit <https://dec.ny.gov/about/doing-business#MWBE> or contact the MWBE office at.

### **DEC MWBE Compliance Unit**

NYS Department of Environmental Conservation  
Bureau of Contract and Grant Development/MWBE Program  
625 Broadway, 10th Floor  
Albany, New York 12233-5028  
[mwbe@dec.ny.gov](mailto:mwbe@dec.ny.gov)  
Phone: (518) 402-9240  
Fax: (518) 402-9023

### **9.2.2 Service-Disabled Veteran Owned Business (SDVOB) Goals**

DEC is required to implement the provisions of New York State Veteran’s services Law Article 3. The contractor (grantee) must make “good faith efforts” to subcontract a goal of 6% of the contract amount to New York State Certified Service-Disabled Veteran-Owned Businesses (SDVOBs), for purposes of providing meaningful participation by SDVOBs. An SDVOB requirement of up to 6 percent of the DEC grant amount will pertain only to awards for construction projects more than \$100,000. There are no SDVOB requirements for contracts with grant awards of \$100,000 or less for construction, or for grant awards for CSC certification projects.

The contractor (grantee) is required to complete and submit a SDVOB utilization plan detailing how the contractor (grantee) intends to meet the SDVOB goal. In addition, the contractor (grantee) must complete and submit quarterly compliance reports detailing the amount spent on SDVOBs in the previous quarter. Upload all required forms to the Grants Management System In addition, all forms and guidance can be located at the Division of Service-Disabled Veterans' Business Development Compliance and Reporting <https://ogs.ny.gov/veterans/division-service-disabled-veterans-business-development-compliance-and-reporting>. Contact the Department’s SDVOB compliance staff with any questions:

DEC SDVOB Compliance Unit  
NYS Department of Environmental Conservation  
Bureau of Contract and Grant Development/SDVOB Program  
625 Broadway, 10th Floor  
Albany, New York 12233-5028  
[SDVOB@dec.ny.gov](mailto:SDVOB@dec.ny.gov)  
Phone: (518) 402-9240

### **9.2.3 Green Products Procurement**

Contractors (grantees) will utilize, to the extent possible, the New York State Office of General Services list of green products and sources for building construction or renovation.

<https://ogs.ny.gov/greenny/green-purchasing-products-and-sources>.

#### **9.2.4 Insurance Requirements**

Contractors (grantees) will be required to carry appropriate insurance as specified in Attachment A-2 (Program Specific Terms and Conditions) and to agree that each project consultant, project contract, and project subcontractor secures and delivers to the contractor (grantee) appropriate policies of insurance issued by an insurance company licensed to do business in the State of New York. Policies held by the contractor (grantee) must name the State of New York and the NYS Department of Environmental Conservation, 625 Broadway, Albany, NY 12233- 1030 as an additional insured and certificate holder, with appropriate limits, covering contractors (grantees) public liability and property damage insurance, Contractors (grantees) contingency liability insurance, “all- risk” insurance, workers’ compensation, and disability coverage for the project. Additional insurance or insurance riders may be requested by DEC based on the project work plan.

#### **9.2.5 Acknowledgment of Financial Support**

The following statement acknowledging DEC funding for the project must be included in any press releases or other public announcement, including newspaper articles and web posting, as well as all documents, brochures, reports, signage, maps, and exhibits: “This project has been funded in part by the Climate Smart Communities grant program, Title 15 of the Environmental Protection Fund through the New York State Department of Environmental Conservation.”

If a ribbon-cutting or other promotional event is planned for the project, the event must be coordinated, in advance, with the DEC Press Office.

#### **9.2.6 Metrics and Reporting**

Grantees must submit progress reports in narrative form on a quarterly basis, within 30 days following the end of the quarter as follows: Q1 - January 1 to March 31, due April 30; Q2 - April 1 to June 30, due July 31; Q3 - July 1 to September 30, due October 31; Q4 - October 1 to December 31, due January 31. The reports will summarize how the project progressed toward meeting project objectives and deliverables during the respective quarter. Expenditure reports (section VI Financial Status of the quarterly report form), detailed by object of expense as defined in the NYS Contract for Grants Attachment B-1 Expenditure Based Budget, must accompany the quarterly reports. Quarterly reports shall be submitted directly to the assigned DEC program manager.

Final project summary reports must be submitted and approved by DEC prior to the release of the final contract payment. The Contractor (grantee) must submit the final project summary report no later than 60 days after the end of the contract period. The final report should describe all aspects of the project and detail how the use of grant funds was utilized in achieving the goals set forth in the approved NYS Contract for Grants Attachment C Work Plan. All deliverables (performance measures) must be submitted and approved by DEC prior to approval of final reimbursement.

The grant recipient shall provide estimates of the project’s GHG emissions reductions, risk reduction, or other appropriate metrics, as approved by the DEC program manager, through the end of the contract term, in the quarterly report, and/or final project summary report as applicable. Grant recipient shall

also report on the number of jobs created by implementation of the project.

Projects involving volunteer time will be required to report the number of volunteers and the number of volunteer hours in their project quarterly status reports. The total number of volunteers and volunteer hours for the entire project must be reported in the final project summary report.

Quarterly reports must summarize project progress toward meeting project objectives and deliverables during the quarter.

### **9.2.7 Agreements**

#### **9.2.7.a Climate Change Mitigation Easement**

See the Agreements section of this RFA.

#### **9.2.7.b Partnership Agreement**

See the Agreements section of this RFA.

#### **9.2.7.c Conveyance of Real Property Agreements**

See the reimbursable Expenses section of this RFA.

### **9.2.8 30-day Notice**

Contractor (grantee) agrees to notify DEC, in writing, of the commencement of construction, within thirty (30) calendar days prior to the start of construction. If the start of construction began on or after the contract start date, the contractor (grantee) shall notify DEC in writing within thirty (30) calendar days as to the status of any construction. The contractor (grantee) agrees that it shall notify DEC in writing thirty (30) days following initial start-up operation of the project.

### **9.2.9 Procurement of Contractors/Subcontractors**

Municipalities must comply with General Municipal Law Sections 103 (competitive bidding) and 104-b (procurement policies and procedures). Failure to comply with these requirements could jeopardize full reimbursement of approved eligible project costs.

### **9.2.10 State Environmental Quality Review Act (SEQRA) Documentation**

The grantee shall comply with the State Environmental Quality Review Act and implementing regulations, 6 NYCRR 617. Where the grantee has previously completed SEQR for the action, the grantee shall furnish the negative declaration or final EIS and findings to the grantor. DEC recommends that applicants consult the SEQR Handbook ([https://extapps.dec.ny.gov/docs/permits\\_ej\\_operations\\_pdf/seqrhandbook.pdf](https://extapps.dec.ny.gov/docs/permits_ej_operations_pdf/seqrhandbook.pdf)) before beginning the SEQR process for Climate Smart Community grant applications.

### **9.2.11 Historic Preservation Review Requirements**

For projects that involve properties listed on the State or National Registers of Historic Places, all work undertaken as part of a grant-assisted project must conform to the Secretary of the Interior's Standards and Guidelines for Archaeology and Historic Preservation. Questions about or proposals for listing on the state or national register should be directed to the Office of Parks, Recreation, and Historic Preservation (OPRHP) National Register Unit at (518) 237-8643. To ensure the public benefit from the investment of state funding, preservation covenants or conservation easements will be conveyed to the

OPRHP for all historic property grants.

#### **9.2.12 Iran Divestment Act**

As a result of the Iran Divestment Act of 2012 (Act), Chapter 1 of the 2012 Laws of New York, a provision has been added to the State Finance Law, § 165-a requiring that entering into a contract, the contractor (grantee) certifies that it is not on the “Entities Determined to Be Non-Responsive bidders/Offerers Pursuant to The New York State Iran Divestment Act of 2012” list (“Prohibited Entities List”) posted on the OGS website at <http://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf> and further certifies that it will not utilize on such contract any subcontractor that is identified on the Prohibited Entities List. Additional detail on the Iran Divestment Act can be found in the Attachment A-1 Agency Specific Terms and Conditions.

#### **9.2.13 Permit Requirements**

If applicable, contractors (grantees) agree to obtain all required permits including, but not limited to local, state, and federal permits prior to the commencement of any project-related work. The contractor (grantee) agrees that all work performed in relation to the project by the contractor (grantee) or its agents, representatives, or sub-contractors will comply with all relevant federal, state, and local laws, rules, regulations and standards, zoning and building codes, ordinances, operating certificates for facilities, or licenses for an activity.

#### **9.2.14 Vendor Responsibility Questionnaire**

If any single sub-contractor will receive over \$100,000 in grant funds, the sub-contractor must complete the Vendor Responsibility Questionnaire online via the New York State VendRep System. To enroll in and use the New York State VendRep System, the sub-contractor can follow the VendRep instructions available at <https://www.osc.state.ny.us/state-vendors/vendrep/vendrep-system> or go directly to the VendRep System online at <https://onlineservices.osc.state.ny.us/Enrollment/login?0>. More information is available in section XVIII. Vendor Responsibility, of the Attachment A-1 Agency Program Terms and Conditions.

#### **9.2.15 Access for Individuals with Disabilities**

In the event the monies defined herein are to be used for the development of facilities, outdoor recreation areas, transportation, or written or spoken communication with the public, the Contractor shall comply with all requirements for providing access for individuals with disabilities as established by Article 4A of the New York State Public Buildings Law, Americans with Disabilities Act, and relevant sections of the New York State Uniform Fire Prevention and Building Code.

The 2010 ADA Standards for Accessible Design set minimum requirements – both scoping and technical – for newly designed and constructed or altered State and local government facilities, public accommodations, and commercial facilities to be readily accessible to and usable by individuals with disabilities. For details, see <https://www.ada.gov/law-and-regs/design-standards/2010-stds/>. Standards for certain Recreation Facilities are found in the 2010 ADA Standards for Accessible Design <https://www.ada.gov/law-and-regs/design-standards/2010-stds/> while others are found in the Architectural Barriers Act Accessibility Guidelines for Outdoor Recreation Areas at <https://www.access-board.gov/aba/guides/chapter-10-outdoor/>.

In the event the monies defined herein are to be used for the development of facilities, outdoor

recreation areas, transportation, or written or spoken communication with the public, the Contractor shall comply with all requirements for providing access for individuals with disabilities as established by Article 4A of the New York State Public Buildings Law, Americans with Disabilities Act, and relevant sections of the New York State Uniform Fire Prevention and Building Code. Standards for certain Recreation Facilities are found in the 2010 ADA Standards for Accessible Design <https://www.ada.gov/law-and-regs/design-standards/2010-stds/> while others are found in the Architectural Barriers Act Accessibility Guidelines for Outdoor Recreation Areas at <https://www.access-board.gov/aba/guides/chapter-10-outdoor/>.

The Access Board or Board issued its final rule that provides minimum guidelines for the accessibility of pedestrian facilities in the public right-of-way. These guidelines ensure that facilities used by pedestrians, such as sidewalks and crosswalks, constructed or altered in the public right-of-way by Federal, state, and local governments are readily accessible to and usable by pedestrians with disabilities. Compliance with these enforceable accessibility standards is mandatory. For details, see <https://www.access-board.gov/prowag/>.

### **9.3 Reimbursement**

The CSC grant program is a reimbursement program. State assistance paid shall not exceed the amount specified in the contract for grants. Total grant payments may not exceed the State share of the actual project cost. Pursuant to New York State Finance Law, municipalities are not eligible to receive advance payments, all reimbursements (installment payments) are based on documented incurred costs.

Project costs eligible for reimbursement and project match must be incurred between the NYS Contract for Grants start and end dates. Costs incurred prior to the NYS Contract for Grants start date or after the NYS Contract for Grants end date are not eligible for reimbursement or match. Copies of supporting cost documentation (paid invoices, receipts, cancelled checks, etc.) must be audited and approved by DEC for costs to be eligible for reimbursement.

If the municipality fails to comply with any of the requirements of the Environmental Conservation Law or regulations of DEC applicable to the project, DEC may withhold all or part of further payments pending compliance pursuant to 6 NYCRR § 492-3.5(c).

A final payment, which brings the total of State grant payments to 100 percent of the State share of the project cost, will be released upon determination by DEC that the project is complete and is operating satisfactorily, and that all grant requirements have been met. If the project is complete but not operating satisfactorily, DEC may withhold from the final payment an amount sufficient, in the judgment of DEC, to ensure correction of deficiencies. The amount withheld will be released when deficiencies are corrected, as per 6 NYCRR § 492-4.7(e).

Upon notification from the municipality that the project is complete, DEC will determine if the project is operating in accordance with applicable laws and regulations pursuant to 6 NYCRR Subpart 492-4.7(d). A final project summary report must be submitted no later than 60 days after the end of the contract period and be approved by DEC prior to the release of the final contract reimbursement. The final project summary report must report on all aspects of the program, include photographs and copies of media promotion, detail how grant funds were utilized in achieving the goals set forth in the work plan, summarize the obstacles experienced and how they were overcome and include monitoring and metrics data pertaining to the project's GHG emissions reductions, risk reduction, or other appropriate metrics

as defined in the contract work plan.

Draft copies of appropriate deliverables (e.g., inventory and/or management plan) must be submitted by the contractor (grantee) and approved by DEC before a final draft is produced. An on-site inspection by DEC may be required to confirm all work was completed in accordance with the approved contract work plan or certification action requirements as applicable.

#### **10. Debriefing**

In accordance with section 163 of the New York State Finance Law, DEC must, upon request, provide a debriefing to any unsuccessful applicant that responded to this opportunity regarding the reasons that the proposal or application submitted by the unsuccessful applicant was not selected for an award. An unsuccessful applicant wanting a debriefing must request a debriefing in writing, within fifteen calendar days of receipt of the notice that their proposal did not result in an award. Email requests to [cscgrants@dec.ny.gov](mailto:cscgrants@dec.ny.gov). Debriefings requested after fifteen calendar days may be denied.

#### **11. Protest Procedure**

DEC does not have a formal protest procedure; therefore, an applicant may file an initial protest with the Office of the State Comptroller's Bureau of Contracts (BOC) after DEC has made a contract award. The protest must be in writing and filed with BOC within ten business days of notice of the contract award or if a debriefing has been requested by the interested party, within five business days of the debriefing (whichever is later). If the interested party is not provided with notice of the contract award, the interested party may file a protest with BOC at any time after the contract award and prior to the Comptroller's final action on the contract.

Formal protests concerning a pending contract award must be received within five (5) business days after the protesting party knows or should have known of the facts that constitute the basis of the formal protest. The protest must be filed with the following:

Bureau Director  
at [applicationprotests@osc.ny.gov](mailto:applicationprotests@osc.ny.gov) or  
Bureau of Contracts  
New York State Office of the State Comptroller  
110 State Street, 11th Floor  
Albany, NY 12236

#### **12. Reserved Rights**

The Department of Environmental Conservation reserves the right to do the following:

- Award additional and available funding for scored and ranked projects consistent with this grant opportunity.
- Award an agreement for any or all parts of this RFA in accordance with the method of award or withdraw the RFA at any time at DEC's sole discretion.
- Award only one application for funding in the event there are several application submissions for a single project or for portions of a single project.
- Monitor the progress of all grant awards and withdraw grant funding if the contractor (grantee) fails to make significant and timely progress on the project or fails to receive the necessary permissions and permits for the project.
- Refuse to fund projects that are determined to be inconsistent with the NYS Smart Growth

Public Infrastructure Policy Act (ECL Article 6) or the Climate Act or the related implementing regulations.

- Reclaim funds paid to contractor (grantee) if false statements regarding eligibility of the project or any of its components are discovered after award or reimbursement has been made.
- Partially fund an application if the partially funded portion can be demonstrated to meet the criteria of this RFA and the project can proceed at the reduced funding level.
- Reject any or all applications in response to the RFA at the agency's sole discretion.
- Reduce an award from the amount requested in the application, should the project budget contain costs considered ineligible under this grant program.
- The Department reserves the right to cancel:
  - awards for projects whose contracts are not executed at time of contract expiration.
  - executed contracts that have been expired for more than 120 days after the contract end date.
  - executed contracts due to non-responsiveness of the contractor (grantee) after good faith effort to obtain required documents or deliverables, and
  - contracts that fail to make substantial progress within seven (7) years of the contract start date.
  - The Department shall provide final written notice via certified mail, receipt requested, regarding contract cancellation, which shall become effective 5 days after receipt by the Contractor.

## **Water Quality Improvement Project (WQIP) Program**

**Amount available: At least \$75 million**

The full Round 22 WQIP Program Overview is available on DEC's website at: <https://dec.ny.gov/get-involved/grant-applications/wqip-program>

### **GRANT DESCRIPTION**

The Water Quality Improvement Project (WQIP) program is a competitive, statewide reimbursement grant program open to local governments and not-for-profit corporations to implement projects that directly improve water quality or habitat, promote flood risk reduction, restoration, and enhanced flood and climate resiliency, or protect a drinking water source. This funding is for construction/implementation projects, not projects that are exclusively for planning.

### **FUNDING AVAILABLE**

At least \$75 million of funding is available for WQIP. Funding for this grant opportunity may be provided by a combination of the Environmental Protection Fund, Clean Water Infrastructure Act, 2022 Clean Air, Clean Water, Green Jobs Environmental Bond Act, Long Island Sound Study Program (U.S. Environmental Protection Agency), and Lake Champlain Basin Program (U.S. Environmental Protection Agency).

### **PROPOSED PROJECT TIMEFRAMES**

All projects must have defined objectives, tasks, and deliverables accounted for in performance measures that can be completed and invoiced within a five-year contract period/term. Costs outside of the contract period/term are ineligible. The Master Contract for Grants (MCG) must be fully approved by DEC, and if applicable, approved by the Attorney General and the State Comptroller. Time extensions beyond the contract term end date will be determined by DEC based upon written justification from the applicant. Applicants should not submit an application if they do not anticipate their project can be completed within the specified contract term.

### **QUESTION AND ANSWER PERIOD**

For grant-specific questions, contact the Division of Water Grants Team at the New York State Department of Environmental Conservation (DEC), Division of Water (DOW), 625 Broadway, Albany, NY 12233, 518-402-8179 or [dowgrants@dec.ny.gov](mailto:dowgrants@dec.ny.gov). The question-and-answer period will run from the Consolidated Funding Application (CFA) opening date through July 10, 2026. Questions and answers will be posted to <https://dec.ny.gov/get-involved/grant-applications/wqip-program>.

### **APPLICATION LIMITS**

- Applicants may only apply for one project type per individual application;
- Only one application may be submitted per project per round;
- Applicants are limited to five applications per round;
  - Applicants that have received funding in a previous round will not receive additional funding in this or a future round for the same scope of work. However, the WQIP program will fund distinct phases or different activities and costs of a project in consecutive rounds of funding if the applicant sufficiently describes how the planned scope of work is distinctly different from the previous.

## MATCH REQUIREMENT AND EXPENDITURES

- Grant funds are available for up to 75% of the requested budget. Applicants must provide the remaining 25% in match funds. Additional information regarding eligible forms of match (eligible costs) is provided under each project type.
- Match is the portion of project expenditures not paid for with grant funds. Match can be from local, in-kind contributions, or federal grants/funding. Ineligible match sources include state grants/funding, except for loans that will be repaid (e.g., State Revolving Fund loans). Applicants using federal match funds for projects are eligible to apply and inclusion of these match funds will not preclude an application. However, if DEC awards a project using federal funding within the Long Island Sound or Lake Champlain watersheds, that project may not use match from federal sources.
- Local sources can include funding from other non-state and/or non-federal grant sources or from project partners. In-Kind contributions are non-cash donations provided by non-state and/or non-federal third parties, which can include equipment, supplies, services, and other expendable property. Matching share contributions must support the objectives outlined in the work plan.
- Match for WQIP is a percentage of the award amount, not the total project cost.
- Only eligible costs/activities may be used for match.
- Applications that do not show sufficient match will have their potential award amounts decreased accordingly.

## PROJECT TYPES SUMMARY TABLE

Funding is available for the following project types (see project type sections for all information):

Project Type	Maximum Award	Required Match	Eligible Applicants	Required Attachments (refer to the full Round 22 Program Overview for the full list of required attachments by project type)
Wastewater Treatment Improvement	\$1,000,000 to \$15,000,000 depending on project subtype and population	25% of award amount	Municipalities	Engineering report Budget worksheet Project map Floodplain map Sexual Harassment Prevention Certification Form Executive Order 16 Form Gender-Based Violence and the Workplace Certification Form
Non-Agricultural Nonpoint	\$100,000 to \$10,000,000 depending on	25% of award amount	Municipalities	Budget worksheet Project map

Source Abatement and Control	project subtype and population		Soil and Water Conservation Districts	Floodplain map for certain project subtypes Sexual Harassment Prevention Certification Form Executive Order 16 Form Best Management Practice Detail Form Gender-Based Violence and the Workplace Certification Form See Nonpoint Source section for attachments required for certain project subtypes
Vacuum Trucks in Municipal Separate Storm Sewer System (MS4) Areas	\$400,000	25% of award amount	Municipalities Regulated by the MS4 General Permit Soil and Water Conservation Districts on behalf of regulated MS4 Operators	Comprehensive Mapping Worksheet(s) Catch basin clean-out plan and procedures Budget worksheet Project map Floodplain Map Sexual Harassment Prevention Certification Form Executive Order 16 Form Gender-Based Violence and the Workplace Certification Form
Land Acquisition for Source Water Protection	\$5,000,000	25% of award amount	Municipalities Soil and Water Conservation Districts Not-for-profit corporations	Monitoring and enforcement protocol Budget worksheet Project map (see Land Acquisition section for detail on specific map requirements) Floodplain map (projects only) Sexual Harassment Prevention Certification Form Gender-Based Violence and the Workplace Certification Form Executive Order 16 Form Fiscal reports (programs only, if grant funds will be used for personal services)

Salt Storage and Road Salt Reduction	\$400,000 to \$600,000 depending on project subtype	25% of award amount	Municipalities Soil and Water Conservation Districts	Budget worksheet Project map Floodplain map Sexual Harassment Prevention Certification Form Executive Order 16 Form Gender-Based Violence and the Workplace Certification Form Public highway lane and water resource map (Road Salt Reduction Practices only)
Dam Safety Repair/ Rehabilitation and Dam Removal	\$1,000,000 to \$2,500,000 depending on project subtype	25% of award amount	Municipalities Not-for-profit corporations	Engineering report Annual Certification Emergency Action Plan Budget worksheet Project map Floodplain map Sexual Harassment Prevention Certification Form Executive Order 16 Form Gender-Based Violence and the Workplace Certification Form Dam owner agreement, as applicable
Aquatic Connectivity	\$2,000,000	25% of award amount	Municipalities Soil and Water Conservation Districts Not-for-profit corporations	Budget worksheet Project map Floodplain map Sexual Harassment Prevention Certification Form Executive Order 16 Form Gender-Based Violence and the Workplace Certification Form See Aquatic Connectivity section for attachments required for certain project subtypes

Marine District Habitat Restoration	\$2,000,000	25% of award amount	Municipalities Soil and Water Conservation Districts Not-for-profit corporations	Budget worksheet Project map Floodplain map Sexual Harassment Prevention Certification Form Executive Order 16 Form Gender-Based Violence and the Workplace Certification Form Landowner agreements, as applicable Feasibility Study
Fish and Wildlife Habitat Restoration and Enhancement	\$2,000,000	25% of award amount	Municipalities Soil and Water Conservation Districts Not-for-profit corporations	Budget worksheet Project map Floodplain map Sexual Harassment Prevention Certification Form Executive Order 16 Form Gender-Based Violence and the Workplace Certification Form
Landfill Leachate Treatment	\$10,000,000	25% of award amount	Municipalities	Engineering Report Budget Worksheet Project Map Floodplain Map Sexual Harassment Prevention Certification Form Executive Order 16 Form Gender-Based Violence and the Workplace Certification Form

### APPLICATION EVALUATION

All applications will be reviewed and scored by a review team in accordance with the evaluation and scoring criteria contained in this RFA. Applicants are strongly encouraged to read and address the Scoring Criteria for the applicant project type in the process of developing an application. Knowledge of the scoring criteria is valuable for designing and proposing a relevant and quality project. Evaluation consists of the following steps:

#### Step 1: Application and Project Eligibility Determination (Pass/Fail Criteria)

Applications are evaluated for eligibility against the following criteria:

- Projects or programs must improve water quality, habitat, mitigate flooding risk, protect a drinking water source, or improve safety of a dam<sup>7</sup>;

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<sup>7</sup> As defined in the scoring criteria for each project type.

- Projects must be for implementation; projects only seeking funds for studies, planning, or design will be deemed ineligible;
- Applicants must be an eligible applicant type;
- Projects must be for an eligible project type;
- Applicants should **not** apply for both WQIP and the Non-agricultural Nonpoint Source Planning and MS4 Mapping Grant (NPG) for the same project. Applicants that apply for both grants for the same project will be deemed ineligible for WQIP but may still be considered under NPG;
- Applications must include all required attachments (view specific sections for each individual project type for a full list of required attachments). Attachments will not be accepted outside of the CFA system;
- Projects must meet the requirements for that project type or subtype;
- Applicants must submit the current WQIP budget form; applications that attach an outdated version of the budget form will be deemed ineligible;
- Application budgets must show match and an eligible match source; applications that do not show match or only use ineligible match sources will be deemed ineligible;
- Applications must be seeking funds for costs incurred after the release date of the Consolidated Funding Application (CFA)
- Duplicate applications will be reviewed based on submission timestamp. The application with the latest timestamp will be reviewed and all other duplicate applications will be deemed ineligible;
- Projects that have received funding in a previous round for the same or partially overlapping scope of work will be deemed ineligible. Phased projects may be considered, provided that the applicant sufficiently describes how the planned scope of work is distinctly different from the previous phase of the project. Applications that do not sufficiently describe how the planned scope of work is distinctly different from the previous phase of the project will be deemed ineligible.
- Applicants and applications must meet all applicable eligibility criteria included in the Program Overview.

#### Step 2: Application Scoring

If your application meets all eligibility pass/fail criteria, it will be further evaluated and scored by a review team in accordance with the Scoring Criteria contained in this RFA. All eligible applications will be individually evaluated by multiple review team members. Applications that fail to meet the minimum scoring criteria as detailed for each project type in this Program Overview will be deemed ineligible. An application must receive a score of at least 40 to be eligible for funding. In addition, applications that receive zero points in certain scoring criteria as indicated in the scoring criteria table for that project type may also be deemed ineligible.

Scoring criteria for each project type is available in the full Round 22 Program Overview available at: <https://dec.ny.gov/get-involved/grant-applications/wqip-program>

#### **FLOOD RESILIENCY REQUIREMENTS FOR ALL PROJECT TYPES**

DEC is committed to improving community resiliency to extreme weather events that result in flooding. Projects that promote flood risk reduction and enhanced flood resiliency, or both, will receive points in the evaluation of an application where indicated.

The following application eligibility requirements apply to all project types except:

- Nonpoint Source In-Waterbody Controls for Nutrients;
- Nonpoint Source Bathing Beach Restoration
- Nonpoint Source Programs, including Nonpoint Source Road Ditch Stabilization program, Septic Tank Pumpout program or Rain Garden/Rain Barrel Programs
- Land Acquisition Programs

Eligibility Requirements: If the project is wholly or partially within a 0.2% (500 year) or 1% (100 year) annual chance of occurrence floodplain<sup>8</sup> submit with the application a floodplain map with the location of the project indicated. Floodplain maps cannot be imbedded within another required attachment. If a floodplain map is not provided with the application or does not clearly depict the project location in relation to the floodplain or if not enough information is provided in the application to determine that the work proposed is occurring outside of the floodplain, DEC reserves the right to deem the application ineligible. If the project is awarded funding and is within a 0.2% or 1% floodplain, the following must be included in the planning and design of the project, if applicable:

- A site plan with the contours indicating the Special Flood Hazard Area (1% floodplain), Coastal High Hazard Area, or 0.2% floodplain
- Location of and elevation of non-critical and critical equipment
- Certification of floodproofing
- A floodway analysis with a no-rise certificate if the project is within a regulated floodway
- Projects that occur in the regulatory floodway may require a hydrological and hydraulic (H&H) analysis conducted by a New York State licensed Professional Engineer demonstrating the proposed project will have 0.00 feet of rise in the base flood elevation when comparing pre- and post-project conditions.<sup>9</sup> If the rise cannot be mitigated, a Federal Emergency Management Agency (FEMA) Conditional Letter of Map Revision (CLOMR) or Letter of Map Revision (LOMR) would be required.
- Fulfillment of Federal Emergency Management Agency (FEMA) National Flood Insurance Program Special Flood Hazard Area process requirements, where applicable  
(<https://dec.ny.gov/environmental-protection/water/water-quantity/dam-safety-coastal-flood-protection/floodplain-management>)

Guidance and information for meeting this requirement is on DEC's WQIP webpage:

<https://dec.ny.gov/get-involved/grant-applications/wqip-program>

### **CLIMATE RESILIENCY CRITERIA**

DEC is committed to combatting climate change and mitigating its impacts that are being felt across New York State. Projects in municipalities that are proactively addressing climate change resilience and adaptation, will receive points in the evaluation of an application where indicated.

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<sup>8</sup> Floodplain map resources: <https://www.fema.gov/flood-maps>

<sup>9</sup> Floodplain Development and Floodway Guidance: <https://dec.ny.gov/environmental-protection/water/water-quantity/dam-safety-coastal-flood-protection/floodplain-management>

To qualify for climate resilience points, the project must be: within or serving a certified silver or bronze Climate Smart Community (CSC) or a CSC-registered community that has completed specific actions identified for the project type being applied; or for wastewater treatment improvement projects, the project may receive points if it includes assets identified in an asset management program for Publicly Owned Treatment Works that was developed in accordance with DEC's Asset Management Guide.

### **PROJECTS AFFECTING ENVIRONMENTAL JUSTICE AND DISADVANTAGED COMMUNITIES**

DEC is committed to underserved and vulnerable populations, and providing remedies for communities that may be burdened by negative environmental consequences. Environmental Justice (EJ) is defined by DEC as the fair treatment and meaningful involvement of all people, regardless of race, color, or income, with respect to the development, implementation and enforcement of environmental laws, regulations, and policies. Potential EJ Areas (PEJA) are U.S. Census block groups of 250 to 500 households each that, in the Census, had populations that met or exceeded at least one of the following statistical thresholds: at least 52.42% of the population in an urban area reported themselves to be members of minority groups; or at least 26.28% of the population in a rural area reported themselves to be members of minority groups; or at least 22.82% of the population in an urban or rural area had household incomes below the federal poverty level. Disadvantaged Communities (DAC) are identified by New York's Climate Justice Working Group (CJWG) using indicators that include climate-related risks, environmental burdens, health vulnerabilities, and socio-economic factors.

Projects that will improve water quality or habitat within a PEJA or DAC, projects within the HUC 10 watershed of a drinking water source that will improve drinking water quality serving a PEJA or DAC, projects that are within the HUC 10 area and upstream of a PEJA or DAC, or projects that protect PEJA or DAC that are within a dam failure inundation area, will receive "PEJA and DAC Benefits" points in the evaluation of an application where indicated. Additionally, applicants that are municipalities with a DAC population will receive "Disadvantaged Communities" points based on the concentration of the DAC population served, in the evaluation of an application where indicated.

Maps of PEJA and DAC areas in New York State are available at: <https://dec.ny.gov/get-involved/environmental-justice/gis-tools> and <https://climate.ny.gov/resources/disadvantaged-communities-criteria/>, respectively.

To qualify for "PEJA and DAC Benefits" points, your application must include a DEC PEJA and/or DAC map and a summary narrative referencing that map, along with details demonstrating water quality or habitat improvement to a PEJA or DAC or to drinking water serving a PEJA or DAC, or protection of a PEJA or DAC area within a dam failure inundation area, i.e., where the benefit will be provided, or the area served by the drinking water source, or the exact street location(s) where the project is to be implemented.

### **ELIGIBLE/INELIGIBLE COSTS**

See the full Round 22 Program Overview for the full list of eligible and ineligible costs by project type.

### **APPLICATION RESOURCES FOR ALL PROJECT TYPES**

- Budget Tutorial for WQIP Grant Applications:  
<https://www.youtube.com/watch?v=WDW6EkYJSJs>
- DECinfo Locator (most up to date source of WI/PWL segment fact sheets):  
<https://gisservices.dec.ny.gov/gis/dil/>

- Flood Resiliency Requirements for WQIP and NPG Grant Applications Mapping Tutorial: <https://www.youtube.com/watch?si=mRT4wR9QKSHPEHPG&v=MZne-tThzYI&feature=youtu.be>
- Floodplain Map Instructional Guide: <https://dec.ny.gov/sites/default/files/2024-06/floodplainmapinstructions.pdf>
- HUC 12 watersheds map: <https://nysdec.maps.arcgis.com/apps/webappviewer/index.html?id=a02867dc903f40a2831c904c7eb1b7d8>
- Potential Environmental Justice Area and Disadvantaged Community Mapping Tutorial for WQIP and NPG Applications: [https://www.youtube.com/watch?si=yfT2\\_a6gR89LyYbk&v=D4z-qUpOJh0&feature=youtu.be](https://www.youtube.com/watch?si=yfT2_a6gR89LyYbk&v=D4z-qUpOJh0&feature=youtu.be)
- How to identify and create a map of Potential Environmental Justice Areas and Disadvantaged Communities [https://dec.ny.gov/docs/water\\_pdf/wqip23dacmapinst.pdf](https://dec.ny.gov/docs/water_pdf/wqip23dacmapinst.pdf)
- Maps of PEJA areas in New York State: <https://dec.ny.gov/get-involved/environmental-justice/gis-tools>.
- Maps of DAC areas in New York State: <https://climate.ny.gov/resources/disadvantaged-communities-criteria/>

Additional project specific resources are available in the Round 22 Program Overview available at: <https://dec.ny.gov/get-involved/grant-applications/wqip-program>.

## **Non-Agricultural Nonpoint Source and MS4 Planning Grant (NPG)**

**Funding Available: Up to \$3 million**

The full Round 7 NPG Program Overview is available on DEC's website at: <https://dec.ny.gov/get-involved/grant-applications/non-agricultural-nonpoint-source-planning-ms4-mapping-grant>

### **GRANT DESCRIPTION**

The New York State Department of Environmental Conservation (DEC) will offer grants to local governments and Soil and Water Conservation Districts to help pay for the initial planning of non-agricultural nonpoint source water quality improvement projects. The program aims to prepare nonpoint source projects for construction and application for implementation funding. DEC will also offer grants to regulated MS4 Operators to complete comprehensive stormwater system maps and stormwater management program planning. Those seeking planning grants to support projects to upgrade, repair or replace elements of a wastewater treatment and/or collection system, or the construction of such system for an area with failing onsite septic systems, are referred to the New York State DEC/EFC Wastewater Infrastructure Engineering Planning Grant Program.

### **FUNDING AVAILABLE**

\$3 million of funding is available for the Non-Agricultural Nonpoint Source Planning and MS4 Mapping Grant (NPG). At least \$1.5 million in funding is available for Nonpoint Source Planning Reports and at least \$1.5 million in funding is available for MS4 Mapping and MS4 Stormwater Management Program Planning. Funding for this grant opportunity is provided from the New York State Environmental Protection Fund.

### **PROPOSED PROJECT TIMEFRAMES**

All projects must have defined objectives, tasks, and deliverables accounted for in performance measures that can be completed and invoiced within a three-year contract period/term. Costs outside of the contract period/term are ineligible. The Master Contract for Grants (MCG) must be fully approved by DEC, and if applicable, approved by the Attorney General and the State Comptroller. Time extensions beyond the contract term end date will be determined by DEC based upon written justification from the applicant. Applicants should not submit an application if they do not anticipate their project can be completed within the specified contract term.

### **QUESTION AND ANSWER PERIOD**

For grant-specific questions, contact the Division of Water Grants Team at the New York State Department of Environmental Conservation (DEC), Division of Water (DOW), 625 Broadway, Albany, NY 12233, 518-402-8179 or [dowgrants@dec.ny.gov](mailto:dowgrants@dec.ny.gov). The question-and-answer period will run from the Consolidated Funding Application (CFA) opening date through July 10, 2026. Questions and answers will be posted to <https://dec.ny.gov/get-involved/grant-applications/non-agricultural-nonpoint-source-planning-ms4-mapping-grant>.

### **APPLICATION LIMITS**

- Applicants may only apply for one project type (Nonpoint Source Planning Reports, MS4 Mapping, or MS4 Stormwater Management Program Planning) per individual application.
- Applicants are limited to five applications per round for nonpoint source planning reports.
- Applicants are limited to one application per round for MS4 mapping.

- Applicants are limited to one application per round for MS4 Stormwater Management Program Planning. For Nonpoint Source Planning Reports, each application must fit within a single eligible report category.
- If an applicant receives more than one award, DEC may combine the projects into a single contract.
- Applicants that have received funding in a previous round will not receive additional funding in this or a future round for the same or partially overlapping scope of work.
- Applications for MS4 Mapping from a regulated MS4 Operator with an open NPG contract for MS4 Mapping will be deemed ineligible.
- Applications for MS4 Mapping from Soil and Water Conservations Districts for municipalities that are currently covered under the scope of work of an existing, open NPG contract for MS4 Mapping will be deemed ineligible. Soil and Water Conservation Districts may have multiple open NPG contracts for MS4 Mapping with unique scopes of work.

**MATCH REQUIREMENT AND EXPENDITURES**

- Grant funds are available for up to 90% of the application budget. Applicants must provide the remaining 10% in match funds. Additional information regarding eligible forms of match (eligible costs) is provided under each project type.
- Match for NPG is a percentage of the **award amount**, not the total project cost.
- Match is the portion of project expenditures not paid for with grant funds. Match can be from local, in-kind contributions, or federal grants/funding. Ineligible match sources include state grants/funding.
- Local sources can include funding from other non-state and/or non-federal grant sources or from project partners. In-Kind contributions are non-cash donations provided by non-state and/or non-federal third parties, which can include equipment, supplies, services, and other expendable property. Matching share contributions must support the objectives outlined in the work plan.
- Only eligible NPG costs/activities may be used for match.
- Applications that do not show sufficient match will have their potential award amounts decreased accordingly or may be deemed ineligible.

**PROJECT TYPES SUMMARY TABLE**

Funding is available for the following project types (see project type sections for all information):

Project Type	Maximum Award	Required Match	Eligible Applicants	Required Attachments
Nonpoint Source Planning Reports	\$50,000 to \$75,000 depending on project subtype	10% of award amount	Municipalities <sup>10</sup> Soil and Water Conservation Districts (excluding Decentralized	Completed budget worksheet Map(s) with the project area clearly identified. Floodplain map (if applicable) Sexual Harassment Prevention Certification Form

<sup>10</sup> For the purposes of this grant, “municipality” means a local public authority or public benefit corporation, a county, city, town, village, school district, supervisory district, district corporation, improvement district within a county, city, town or village, or Indian nation or tribe recognized by the state or the United States with a reservation wholly or partly within the boundaries of New York State, or any combination thereof.

<b>Project Type</b>	<b>Maximum Award</b>	<b>Required Match</b>	<b>Eligible Applicants</b>	<b>Required Attachments</b>
			Municipal Wastewater Treatment Facilities for Failing On-Site Treatment Systems)	Executive Order 16 Form Gender-Based Violence and the Workplace Certification Form Dam Safety applicants must attach a current Annual Certification, in conformance with 6 NYCRR Part 673.8 on file with the Department (due by January 31st every year).
MS4 Mapping	\$75,000 per municipality or \$400,000 per collaborative	10% of award amount	Municipalities <sup>11</sup> regulated by the MS4 General Permit <sup>12</sup> Soil and Water Conservation Districts on behalf of regulated MS4 Operators	Completed budget worksheet Map(s) with the project area clearly identified. Sexual Harassment Prevention Certification Form Executive Order 16 Form Gender-Based Violence and the Workplace Certification Form  Comprehensive Mapping Worksheet for each MS4 Operator, demonstrating level of mapping complete at time of application. Applicants applying as a collaborative of cooperating MS4 Operators must submit a worksheet for each MS4 Operator.
MS4 Stormwater Management	\$50,000	10% of award amount	Municipalities regulated by the	Completed MS4 Stormwater Management Program (SWMP) Plan Components Worksheet demonstrating level of plan

<sup>11</sup> For the purposes of this grant, "municipality" means a local public authority or public benefit corporation, a county, city, town, village, school district, supervisory district, district corporation, improvement district within a county, city, town or village, or Indian nation or tribe recognized by the state or the United States with a reservation wholly or partly within the boundaries of New York State, or any combination thereof.

<sup>12</sup> 40 CFR 122.26(b)(16)(i), Small municipal separate storm sewer system means all separate storm sewers that are owned or operated by the United States, a State, city, town, borough, county parish, district, association, or other public body (created by or pursuant to State law) having jurisdiction over disposal of sewage, industrial wastes, storm water, or other wastes, including special districts under State law such as a sewer district, flood control district or drainage district, or similar entity, or an Indian tribe or an authorized Indian tribal organization, or a designated and approved management agency under section 208 of the CWA that are discharges to waters of the United States.

Project Type	Maximum Award	Required Match	Eligible Applicants	Required Attachments
Program Planning			MS4 General Permit <sup>13</sup> Soil and Water Conservation Districts on behalf of regulated MS4 Operators	development at the time of application. Completed NPG Budget Worksheet Map(s) with the project area clearly identified Sexual Harassment Prevention Certification Form Executive Order 16 Form Gender-Based Violence and the Workplace Certification Form

### APPLICATION EVALUATION

All applications will be reviewed and scored by a review team in accordance with the evaluation and scoring criteria contained in this RFA. Applicants are strongly encouraged to read and address the Scoring Criteria for the applicant project type in the process of developing an application. Knowledge of the scoring criteria is valuable for designing and proposing a relevant and quality project. Scoring consists of:

#### Step 1: Application and Project Eligibility Determination (Pass/Fail Criteria)

- Applicant must be an eligible applicant type;
- Projects must be for an eligible project type;
- Projects must be for planning or mapping; projects seeking funds for implementation will be deemed ineligible;
- Applications must include all required attachments at the time of submission within the CFA system (**view the section for your project type for a full list of required attachments**). Attachments will not be accepted outside of the CFA system;
- Projects must meet the requirements for that project type or subtype;
- Applicants must submit the current NPG budget form; applications that attach an outdated version of the budget form will be deemed ineligible.
- Application budgets must show match and an eligible match source; applications that do not show match, match source, or only use ineligible match sources will be deemed ineligible;
- Applications must be seeking funds for costs incurred after the release date of the Consolidated Funding Application (CFA).

<sup>13</sup> 40 CFR 122.26(b)(16)(i), Small municipal separate storm sewer system means all separate storm sewers that are owned or operated by the United States, a State, city, town, borough, county parish, district, association, or other public body (created by or pursuant to State law) having jurisdiction over disposal of sewage, industrial wastes, storm water, or other wastes, including special districts under State law such as a sewer district, flood control district or drainage district, or similar entity, or an Indian tribe or an authorized Indian tribal organization, or a designated and approved management agency under section 208 of the CWA that are discharges to waters of the United States.

- Duplicate applications will be reviewed based on submission timestamp. The application with the latest timestamp will be reviewed and all other duplicate applications will be deemed ineligible;
- Projects that have received funding in a previous round for the same or partially overlapping scope of work will be deemed ineligible. Phased projects may be considered, provided that the applicant sufficiently describes how the planned scope of work is distinctly different from the previous phase of the project. Applications that do not sufficiently describe how the planned scope of work is distinctly different from the previous phase of the project will be deemed ineligible.
- Applicants and applications must meet all applicable eligibility criteria included in the Program Overview.

## **Step 2: Project Evaluation, Scoring and Selection**

If your application meets all eligibility pass/fail criteria, it will be further evaluated and scored by a review team in accordance with the Scoring Criteria contained in this RFA. All eligible applications will be individually evaluated by multiple review team members. Projects will receive a final score and be selected for grant funding from the highest down to the lowest ranked scores. Applications that fail to meet the minimum scoring criteria as detailed for each project type in this Program Overview will be deemed ineligible. **An application must receive a minimum score of at least 40 to be eligible for funding.** In addition, applications that receive zero points in certain scoring criteria as indicated in the scoring criteria table for that project type may also be deemed ineligible.

## **FLOOD RESILIENCY REQUIREMENTS**

DEC is committed to improving community resiliency to extreme weather events that result in flooding. Projects that promote flood risk reduction and enhanced flood resiliency, or both, will receive points in the evaluation of an application where indicated.

The following application eligibility requirements apply to all project types **except**:

- Nonpoint Source In-Waterbody Controls for Nutrients
- Nonpoint Source Bathing Beach Restoration
- MS4 Mapping
- MS4 Stormwater Management Program Planning

### **Eligibility requirements:**

If the project is wholly or partially within a 0.2% (500 year) or 1% (100 year) annual chance of occurrence floodplain,<sup>14</sup> submit with the application a floodplain map with the location of the project indicated. Floodplain maps cannot be imbedded within another required attachment. If a floodplain map is not provided with the application or does not clearly depict the project location in relation to the floodplain or if not enough information is provided in the application to determine that the work proposed is occurring outside of the floodplain, DEC reserves the right to deem the application ineligible.

If the project is awarded funding and is within a 0.2% or 1% floodplain, the following must be included in the planning and design of the project, if applicable:

- A site plan with the contours indicating the Special Flood Hazard Area (1% floodplain), Coastal High Hazard Area, or 0.2% floodplain

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<sup>14</sup> Floodplain map resources: <https://www.fema.gov/flood-maps>

- Location of and elevation of non-critical and critical equipment
- Certification of floodproofing
- A floodway analysis with a no-rise certificate if the project is within a regulated floodway.
- Fulfillment of Federal Emergency Management Agency (FEMA National Flood Insurance Program Special Flood Hazard Area process requirements, where applicable  
(<https://dec.ny.gov/environmental-protection/water/water-quantity/dam-safety-coastal-flood-protection/floodplain-managementhttps://www.dec.ny.gov/lands/24267.html>).

Guidance and information for meeting this requirement is on DEC’s NPG webpage:  
<https://dec.ny.gov/get-involved/grant-applications/non-agricultural-nonpoint-source-planning-ms4-mapping-grant>

### **CLIMATE RESILIENCY SCORING CRITERIA**

DEC is committed to combatting climate change and mitigating its impacts that are being felt across New York State. Projects in municipalities that are proactively addressing climate change resilience and adaptation will receive points in the evaluation of an application where indicated.

To qualify for climate resiliency points, the project must be within or serving a current certified silver or bronze Climate Smart Community or a community that is a registered Climate Smart Community and has completed specific actions as identified in the scoring criteria.

### **ENVIRONMENTAL JUSTICE AND DISADVANTAGED COMMUNITIES SCORING CRITERIA**

DEC is committed to underserved and vulnerable populations, and that may be burdened by negative environmental consequences. Environmental Justice (EJ) is defined by DEC as the fair treatment and meaningful involvement of all people, regardless of race, color, or income, with respect to the development, implementation and enforcement of environmental laws, regulations, and policies. Potential EJ Areas (PEJA) are U.S. Census block groups of 250 to 500 households each that, in the Census, had populations that met or exceeded at least one of the following statistical thresholds: at least 52.42% of the population in an urban area reported themselves to be members of minority groups; or at least 26.28% of the population in a rural area reported themselves to be members of minority groups; or at least 22.82% of the population in an urban or rural area had household incomes below the federal poverty level. Disadvantaged Communities (DAC) are identified by New York’s Climate Justice Working Group (CJWG) using indicators that include climate-related risks, environmental burdens, health vulnerabilities, and socio-economic factors.

Projects that will improve water quality within a PEJA or DAC, projects within the HUC 10 watershed of a drinking water source that will improve drinking water quality serving a PEJA or DAC, projects that are within the HUC 10 area and upstream<sup>15</sup> of a PEJA or DAC, or projects that protect PEJAs or DACs that are within a dam failure inundation area will receive “PEJA and DAC Benefits” points in the evaluation of an application where indicated. Applicants that are municipalities with a DAC population will receive “Disadvantaged Communities” points based on the concentration of the DAC population served, in the evaluation of an application where indicated.

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<sup>15</sup> Upstream is defined as in the opposite direction from that in which a waterbody flows.

Maps of PEJA and DAC areas in New York State are available at: <https://dec.ny.gov/get-involved/environmental-justice/gis-tools> and <https://climate.ny.gov/resources/disadvantaged-communities-criteria>, respectively.

To qualify for “PEJA and DAC Benefits” points, your application must include a DEC PEJA and/or DAC map and a summary narrative referencing that map, along with details demonstrating water quality improvement to a PEJA or DAC or to drinking water serving a PEJA or DAC, or protection of a PEJA or DAC area within a dam failure inundation area, i.e., where the benefit will be provided, or the area served by the drinking water source, or the exact street location(s) where the project is to be implemented. To qualify for “Disadvantaged Communities” points, your application must include a DEC DAC map and summary narrative referencing that map and the DAC population served.

### **ELIGIBLE/INELIGIBLE COSTS**

See the full Round 7 Program Overview for the full list of eligible and ineligible costs by project type.

### **APPLICATION RESOURCES FOR ALL PROJECT TYPES**

- DECinfo Locator (most up to date source of WI/PWL segment fact sheets):  
<https://gisservices.dec.ny.gov/gis/dil/>
- How to read WI/PWL segment assessments:  
[https://dec.ny.gov/docs/administration\\_pdf/decinfolocatorhelp.pdf](https://dec.ny.gov/docs/administration_pdf/decinfolocatorhelp.pdf)
- Flood Resiliency Requirements for WQIP and NPG Grant Applications Mapping Tutorial:  
<https://www.youtube.com/watch?si=mRT4wR9QKSHPEHPG&v=MZne-tThzYI&feature=youtu.be>
- Floodplain Map Instructional Guide: <https://dec.ny.gov/sites/default/files/2024-06/floodplainmapinstructions.pdf>
- HUC 12 watersheds map:  
<https://nysdec.maps.arcgis.com/apps/webappviewer/index.html?id=a02867dc903f40a2831c904c7eb1b7d8>
- Potential Environmental Justice Area and Disadvantaged Community Mapping Tutorial for WQIP and NPG Applications: [https://www.youtube.com/watch?si=yfT2\\_a6gR89LyYbk&v=D4z-qUpOJh0&feature=youtu.be](https://www.youtube.com/watch?si=yfT2_a6gR89LyYbk&v=D4z-qUpOJh0&feature=youtu.be)
- How to identify and create a map of Potential Environmental Justice Areas and Disadvantaged Communities [https://dec.ny.gov/docs/water\\_pdf/wqip23dacmapinst.pdf](https://dec.ny.gov/docs/water_pdf/wqip23dacmapinst.pdf)
- Maps of PEJA areas in New York State: <https://dec.ny.gov/get-involved/environmental-justice/gis-tools>.
- Maps of DAC areas in New York State: <https://climate.ny.gov/resources/disadvantaged-communities-criteria/>

Additional project specific resources are available in the Round 6 Program Overview available at: <https://dec.ny.gov/get-involved/grant-applications/non-agricultural-nonpoint-source-planning-ms4-mapping-grant>