

# NOTICE OF AVAILABILITY OF STATE AND FEDERAL FUNDS

## Consolidated Funding Application

Through the New York State Consolidated Funding Application (CFA), a single application for multiple sources of state funding, New York State is soliciting grant applications for funding to advance the priorities of the Regional Economic Development Councils (REDC). Funding will be available for the following projects:

- Direct Assistance to Businesses
- Community Revitalization
- Agricultural Economic Development
- Waterfront Revitalization
- Environmental Improvements
- Energy Improvements
- Sustainability
- Workforce Development
- Low Cost Financing

Application materials and details for workshops are available online at <http://nyworks.ny.gov>.

The funding solicitation opened on Thursday, May 3 and applications will be accepted through the CFA until 4:00 pm on Monday, July 16, 2012. Final attachments related to program specific requirements, if applicable, are due by 4:00PM Monday, July 23

Please be advised that all CFA grants are subject to the New York State Executive Law Article 15-A which requires, where applicable, the establishment of minority- and women-owned business enterprises (“M/WBE”) contract goals. Governor Cuomo has established a goal of expanding M/WBE participation in state contracting to 20%. For more information with regard to the M/WBE requirements, please contact the appropriate Regional Council in your project area for assistance.

For more information or questions regarding the CFA, please contact the appropriate Regional Council covering the project area:

Capital Region:	CFARegion1@ny.gov
Central New York:	CFARegion2@ny.gov
Finger Lakes:	CFARegion3@ny.gov
Long Island:	CFARegion4@ny.gov
Mid-Hudson:	CFARegion5@ny.gov
Mohawk Valley:	CFARegion6@ny.gov
New York City:	CFARegion7@ny.gov
North Country:	CFARegion8@ny.gov
Southern Tier:	CFARegion9@ny.gov
Western New York:	CFARegion10@ny.gov

Grant funding is available through the CFA from the following grant programs:

### Direct Assistance to Business

Empire State Development Grant Funds (up to \$174 million)

#### Description:

ESD has several grant programs that together make available \$174 million of capital grant funding for the State’s Regional Economic Development Council Initiative, which helps drive regional and local economic development across New York State in cooperation with ten Regional Economic Development Councils (“Regional

Councils”). Funding is available for capital-based economic development initiatives intended to create or retain jobs; prevent, reduce or eliminate unemployment and underemployment; and/or increase business activity in a community or region. \$150 million in funding is from the Regional Council Capital Fund, \$20 million is from the Empire State Economic Development Fund, and \$4 million is from the Urban and Community Development Program. Based on project type and location, ESD will determine which grant fund is the best fit for a project.

#### Applicant Eligibility Requirements:

Funding is for capital projects only, and assistance generally falls into three categories: Business Investment, Infrastructure Investment, and Economic Growth Investment; projects that are able to provide direct job commitments will be viewed favorably. Funds may be used for:

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

The following types of expenses may be included in budgets but shall not be eligible for funding: developer fees; working capital; recapitalization/refinancing; training; and residential development, although program funds may be used for the commercial component of a mixed-use project.

ESD generally seeks to provide no more than twenty percent (20%) of the financing for any particular project and generally requires ten percent (10%) equity in all projects. 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.

#### Project Cash Disbursements Methods:

- Funding awards will be documented in the form of an Incentive Proposal outlining the terms of the proposed assistance, which is conditioned upon approval of the ESD Directors and compliance with applicable laws and regulations. Funds may only be used for expenses incurred after an ESD incentive offer letter has been countersigned by the Applicant.
- 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 generally are disbursed in arrears, as reimbursement for expenses undertaken.
- Projects generally are presented to the ESD Directors once all project expenditures have been undertaken and disbursement of ESD assistance is sought.
- In accordance with State law, after approval by the ESD Directors, a public hearing may be required if the project involves the acquisition, construction, reconstruction, rehabilitation, alteration or improvement of any property. ESD will schedule a public

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

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

#### Contact Info:

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

Excelsior Tax Credits (up to \$70 million)

#### DESCRIPTION:

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

Firms in the Excelsior Jobs Program may qualify for four new, fully refundable tax credits. Businesses claim the credits over a 10 year period. To earn any of the following credits, firms must first meet and maintain the established job and investment thresholds.

The Excelsior Jobs Tax Credit: A credit of 6.85 percent of wages per new job to cover a portion of the associated payroll cost.

The Excelsior Investment Tax Credit: Valued at two percent of qualified investments.

The Excelsior Research and Development Tax Credit: A credit of 50 percent of the Federal Research and Development credit up to three percent of research expenditures in NYS.

The Excelsior Real Property Tax Credit: Available to firms locating in certain distressed areas (see Investment Zone list below) and to firms in targeted industries that meet higher employment and investment thresholds (Regionally Significant Project).

#### ELIGIBLE TYPES OF APPLICANTS:

For-profit business entities including corporations, limited liability companies, partnerships, sole proprietorships.

#### ADDITIONAL RESOURCES:

Program Contact: 518/292-5240

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

Regional Tourism Marketing Grant Initiative (I LOVE NEW YORK Fund) (Up to \$3 million)

DESCRIPTION: Empire State Development (ESD) administers the I LOVE NEW YORK Tourism Marketing program governed by Sec-

tion 100 of the New York State Economic Development Law. The law states that the department will plan and conduct a program of information and publicity designed to attract tourists, visitors and other interested persons from outside the state to this state and also to encourage and coordinate the efforts of other public and private organizations or groups of citizens to publicize the facilities and attractions of the state for the same purposes. Funds made available through this tourism marketing grants program will be for the purpose of promoting tourism destinations, attractions, events and other tourism-related activities that will attract visitors to New York State, especially promotions by region and theme.

**ELIGIBLE TYPES OF APPLICANTS:** Non-profit organizations, municipalities and public benefit corporations. Preference will be given to a group, series or collection of thematically related companies, organizations or other entities, choosing to market multiple, thematically related assets or activities in an integrated marketing campaign.

#### CONTRACT REQUIREMENTS:

Successful applicants will develop a marketing plan that clearly states the goals of the project and becomes part of the ESD contract. It will include project outcomes and metrics, milestone schedule, a detailed budget with all forms and information necessary in order to enter into contract with NYS. Each participant must submit a final report demonstrating that the applicable requirements were achieved.

#### PROGRAM REQUIREMENTS:

Promote regional tourism destinations, regional attractions, regional wide events and other regional tourism-related activities that will attract visitors to New York State.

Recipients will work with ESD to co-brand with I LOVE NEW YORK and align to its marketing program and consumer message. Recipients will comply with any other program guidelines that are provided at time of application. Additional consideration will be given to marketing plans that align with I LOVE NEW YORK’s “Follow Your Heart” campaign.

**ADDITIONAL RESOURCES/PROGRAM CONTACT:** Please contact Empire State Development for additional details at 518.292.5360 and/or [RegionalTourism@esd.ny.gov](mailto:RegionalTourism@esd.ny.gov) and/or refer to the Regional Tourism Marketing Grants Program Guidelines and I LOVE NEW YORK marketing information available at [www.esd.ny.gov](http://www.esd.ny.gov).

#### Community Development

Community Development Block Grant Program (up to \$28 million)

#### DESCRIPTION:

The New York State Community Development Block Grant Program (NYS CDBG) is a federally funded program administered by the New York State Housing Trust Fund Corporation’s Office of Community Renewal (OCR).

#### ELIGIBLE APPLICANTS:

Eligible applicants include non-entitlement villages, towns, cities or counties throughout New York State, 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. For Economic Development Projects, eligible applicants must apply on behalf of the business seeking CDBG funds. Awards are made to the applicant community and not directly to businesses.

#### ELIGIBLE PROJECT TYPES:

##### Economic Development

- To provide financial assistance to for-profit businesses for an identified CDBG eligible activity which will result in the creation or retention of permanent job opportunities principally benefiting low and moderate income persons;

##### Small Business Assistance

- To provide resources to foster small business development as a vehicle for sustainable economic development and growth while providing job opportunities for persons from low and moderate income families. For the purposes of the NYS CDBG Small Busi-

ness Assistance program, a small business is defined as a commercial enterprise that is independently owned, operated, and controlled, and has twenty five (25) or fewer full-time equivalent employees at the time of application.

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

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

- Consists of, but is not limited to, water source development, storage, and distribution; sanitary sewage collection and treatment; flood control and storm water drainage. Projects may include ancillary public works components such as sidewalks, streets, parking, open space, and publicly-owned utilities. Eligible projects may include the repair or replacement of existing systems, construction of new systems, or expansion of existing systems into areas previously unserved that are in compliance with the NYS Smart Growth Public Infrastructure Act (Chapter 433 of the Laws of 2010) and principally benefit low and moderate income persons.

**Public Facilities**

- Include, but are not limited to, structures to house or serve special-needs populations; senior services; child care centers; removal of architectural barriers for the disabled (installing lifts, automatic doors, ramps, etc.); and multi-purpose buildings housing several qualifying activities where benefits are provided principally to low and moderate income persons. NYS CDBG funds can be used for construction or renovation of facilities, but cannot be used to cover the day-to-day operational costs, nor can funds be used for buildings that are primarily for the general conduct of government business (i.e. town halls).

**AWARD, CONDITIONS & REQUIREMENTS:**

**Town, Cities or Villages:**

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

**Counties:**

Economic Development	\$100,000 - \$750,000
Small Business Assistance	\$25,000 - \$100,000
Public Infrastructure/Public Facilities (including public works)	\$750,000

**Joint Applicants:**

Public Infrastructure (water/sewer/storm water only)	\$900,000
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**CONTACT/ADDITIONAL PROGRAM INFORMATION:**

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

New York Main Street Program (up to \$5.2 million)

**DESCRIPTION:**

The New York Main Street Program (NYMS) is a state funded program administered by the New York State Housing Trust Fund Corporation's Office of Community Renewal (OCR).

**ELIGIBLE APPLICANTS:**

Eligible applicants include cities, towns, villages or counties throughout New York State, and not-for-profit corporations that are incorporated under NYS Not-for-Profit Corporation Law. To be eligible for an award, not-for-profits must have been engaged in relevant service to the community for at least one year prior to application.

**ELIGIBLE PROJECT TYPES:**

Applicants may request between \$50,000 and \$250,000 for two eligible activities:

**Building Renovation:** Matching grants to building owners for renovation of mixed-use buildings. Recipients of NYMS funds may award up to \$50,000 in grant funds to building owners. Building renovation grant funds are used to renovate facades, storefronts and commercial interiors, with an additional \$10,000 per residential unit up to a per building maximum of \$100,000.

**Streetscape Enhancement:** Up to \$15,000 in grant funds for streetscape enhancement activities, such as: planting trees, installing street furniture and trash cans; providing appropriate signs in accordance with a local signage plan; and performing other supportive activities to enhance the NYMS target area. A streetscape enhancement grant will only be awarded as an activity ancillary to a building renovation project and cannot be applied for on its own.

**AWARD, CONDITIONS & REQUIREMENTS:**

Project must be located in an eligible target area. 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 of low income, or which is designated by a state or federal agency to be eligible for a community or economic development program.

**CONTACT/ADDITIONAL PROGRAM INFORMATION:**

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

Urban Initiatives (up to \$4 million)

**DESCRIPTION:**

The Urban Initiatives (UI) program is a state funded program administered by the New York State Housing Trust Fund Corporation's Office of Community Renewal (OCR).

**ELIGIBLE APPLICANTS:**

Eligible applicants include not-for-profit corporations or charitable organizations, which are either incorporated under the not-for-profit corporation law (together with any other applicable law) or, if unincorporated, are not organized for the private profit or benefit of its members. The applicant must have been engaged primarily in relevant community preservation activities for at least one year prior to application. The applicant's officers, directors and members must be representative of the residents and other legitimate interests of the neighborhood.

**ELIGIBLE PROJECT TYPES:**

Applicants may request between \$50,000 and \$200,000 to undertake housing preservation and community renewal activities in distressed neighborhoods by preserving existing housing units, generating new housing units, upgrading commercial and retail areas and by creating innovative approaches to neighborhood and community revitalization which improve cultural and community facilities.

**AWARD, CONDITIONS & REQUIREMENTS:**

Eligible areas for Urban Initiatives projects are neighborhoods within units of local government in New York State. Eligible units of local government include cities, towns or villages with a population of 20,000 or more.

An eligible neighborhood for UI projects shall mean an area: (a) that has experienced sustained physical deterioration, decay, neglect, or disinvestment; (b) has a number of substandard buildings or vacant residential or commercial units; and (c) in which more than fifty percent of the residents are persons whose incomes do not exceed eighty percent of the area median income for the county or Metropolitan Statistical Area (MSA) in which the project is located, or which is designated by a state or federal agency to be eligible for a community or economic development program.

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

**CONTACT/ADDITIONAL PROGRAM INFORMATION:**

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

Rural Area Revitalization Projects (up to \$4 million)

**DESCRIPTION:**

Rural Area Revitalization Projects (RARP) is a state funded program administered by the New York State Housing Trust Fund Corporation's Office of Community Renewal (OCR).

**ELIGIBLE APPLICANTS:**

Eligible applicants include not-for-profit corporations or charitable organizations, which are either incorporated under the not-for-profit corporation law (together with any other applicable law) or, if unincorporated, are not organized for the private profit or benefit of its members. The applicant must have been engaged primarily in relevant community preservation activities for at least one year prior to application. The applicant's officers, directors and members must be representative of the residents and other legitimate interests of the neighborhood.

**ELIGIBLE PROJECT TYPES:**

Applicants may request between \$50,000 and \$200,000 to undertake housing preservation and community renewal activities in distressed rural areas by preserving existing housing units, generating new housing units, upgrading commercial and retail areas and by creating innovative approaches to neighborhood and community revitalization which improve cultural and community facilities.

**AWARD, CONDITIONS & REQUIREMENTS:**

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

An eligible area for Rural Area Revitalization Projects shall mean a city, town or village: (a) that has experienced sustained physical deterioration, decay, neglect, or disinvestment; (b) has a number of substandard buildings or vacant residential or commercial units; and (c) in which more than fifty percent of the residents are persons whose incomes do not exceed ninety percent of the area median income for the county or Metropolitan Statistical Area (MSA) in which the project is located, or which is designated by a state or federal agency to be eligible for a community or economic development program.

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

**CONTACT/ADDITIONAL PROGRAM INFORMATION:**

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

Municipal Parks, Historic Preservation and Heritage Areas Projects (up to \$16 million)

**DESCRIPTION:**

Funds are available under Title 9 of the Environmental Protection Act of 1993 for the acquisition, development and improvement of parks, historic properties and heritage areas, and for the planning of such projects.

**ELIGIBLE APPLICANTS:**

Municipalities and not-for profit organizations with an ownership interest in the property may apply for funding.

**ELIGIBLE PROJECT TYPES:**

Funding will be available for the following grant categories:

- Park Development and Planning Program - for the acquisition, development and planning of parks and recreational facilities to preserve, rehabilitate or restore lands, waters or structures for park, recreation or conservation purposes and for structural assessments or planning for such projects. Examples of eligible projects include: playgrounds, courts, rinks, community gardens,

and facilities for swimming, boating, picnicking, hunting, fishing, camping or other recreational activities.

- Historic Property Preservation and Planning Program - to improve, protect, preserve, rehabilitate or restore and acquire properties listed on the State or National Registers of Historic Places and for structural assessments or planning for such projects. Properties not currently listed but scheduled for nomination review at the State Review Board meeting of June 14, 2012 or September 20, 2012, are eligible to apply for funding. Questions about or proposals for listing on the State or National Register should be directed to the National Register Unit at (518) 237-8643.
- Heritage Areas System Development and Planning Program - for projects to acquire, preserve, rehabilitate or restore lands, waters or structures, identified in the approved management plans for Heritage Areas designated under section 33.01 of the Parks, Recreation and Historic Preservation Law and for structural assessments or planning for such projects. The designated Heritage Areas with approved Management Plans are listed below. For exact Heritage Area boundaries, contact the Heritage Area or call (518) 473-7787.

- |            |                     |                    |                |
|------------|---------------------|--------------------|----------------|
| * Albany   | * Harbor Park (NYC) | * Sackets Harbor   | * Seneca Falls |
| * Buffalo  | * Ossining          | * Schenectady      | * Syracuse     |
| * Kingston | * Rochester         | * Saratoga Springs | * Whitehall    |
- \* Hudson-Mohawk (Cohoes, Colonie, Green Island, Troy, Waterford Town/Village, Watervliet)
- \* Lake Erie Concord Grape Belt (portions of Chautauqua Co.)
- \* Long Island North Shore Heritage Area (Nassau and Suffolk Cos. north of Rte. 25/1-495)
- \* Mohawk Valley Heritage Corridor (Oneida, Herkimer, Montgomery, Fulton, Schenectady, Schoharie, Saratoga, and Albany Counties, excluding Adirondack Park)
- \* Susquehanna (Broome and Tioga Cos.)
- \* Western Erie Canal Heritage Corridor (Erie, Niagara, Orleans, Monroe and Wayne Cos.)

**AWARD, CONDITIONS & REQUIREMENTS:**

This is a matching grant program; therefore grant recipients will be expected to provide at least 50 percent match to these awards, unless the project is in a location with a poverty rate (according to current census data) of ten percent or higher, in which case grant recipients must provide a minimum of 25 percent match. The maximum grant award will be \$500,000.

**CONTACT/ADDITIONAL PROGRAM INFORMATION:**

For more information, eligible applicants should contact Melinda Scott, Chief of Grants at the Bureau of Grants Management, New York State Office of Parks, Recreation and Historic Preservation, Albany, NY 12238, call (518) 474-0427 or visit <http://www.nysparks.com/grants>

Art Projects (up to \$4 million)

**DESCRIPTION:**

Funds are available under Article 3 of the Arts and Cultural Affairs Law for the study of presentation of the performing and fine arts, surveys to encourage participation of the arts, to encourage public interest in the cultural heritage of the state, and to promote tourism by supporting arts and cultural projects.

**ELIGIBLE APPLICANTS:**

The Council awards grants to nonprofit organizations incorporated in New York State, Indian tribes, and units of local government. The mission of the applicant or the lead applicant in a partnership must be primarily related to arts and culture.

Please click here to review eligibility: [http://www.nysca.org/public/grants/who\\_\\_is\\_\\_eligible.htm](http://www.nysca.org/public/grants/who__is__eligible.htm)

**ELIGIBLE PROJECT TYPES:**

Funding will be available for Art Projects as follows:

The awards are for support of art activities and services to the field provided by one or more organizations whose primary mission is in

arts and culture. The Art Project Grants will assist organizations and communities to:

- Broaden and encourage greater public participation in the arts through promotion and presentation of a wide range of projects and services (local, regional, and statewide) that build and strengthen collaborative relationships among new partners (inclusive of arts and non-art non-profits, local governments and businesses)
- Revitalize and improve neighborhoods
- Strengthen and stimulate cultural development and the leadership role of arts and cultural organizations within the community
- Create and/or retain jobs and expand business opportunities through community based arts development and resources
- Support projects that respond to clearly articulated needs of a community and/or enhance the appreciation of local cultural activities through creatively designed participatory arts programs
- Develop catalytic projects that enhance the resources and visibility of the arts
- Develop cultural tourism initiatives which promote and provide public education about a region's arts institutions, cultural events, architecture, folk life, history and/or local heritage resources
- Engage in creative place making projects which bring together partners from the public, private, non-profit sectors along with community members to strategically shape the physical and social character of a neighborhood, town, city, or region around arts and cultural activities.

**AWARD CONDITIONS & REQUIREMENTS:**

The minimum grant award is \$50,000. This is a matching grant program: the applicant may not apply for more than 50% of the project's cost. The match for the remaining 50% of the budget can be comprised of 25% in-kind support and 25% other revenue (NYSCA grants nor any other state revenue may be used as a revenue match). The period of support is November 2012 through October 2013. Capital Projects and Regrant Projects are not eligible for funding.

**CONTACT/ADDITIONAL PROGRAM INFORMATION:**

For more information, eligible applicants should contact: [specialprojects@nysca.org](mailto:specialprojects@nysca.org)

Please click About NYSCA Grants for information on NYSCA's grant process, requirements and evaluative criteria. Also, please click regional priorities to view the information about the Regional Economic Development Councils.

**Agriculture**

Agriculture Development Program (up to \$3 million)

**Description:**

The Agriculture Development Program provides grants on a competitive basis to eligible applicants to assist in reducing the cost of financing the construction, expansion or renovation of agriculture project(s) that have a direct benefit to New York producers and significance to the region served by the eligible applicant. The program will be administered by the New York State Department of Agriculture and Markets (NYSDAM).

Funding provided by the NYSDAM will be used for a project or projects designed and intended for the purpose of establishing, maintaining, or expanding agricultural operations, or for providing facilities and/or markets for the production, manufacturing, processing, warehousing, or distribution or sale of New York crops, livestock and livestock products.

The goal of this program is to promote agricultural economic development through funding a project or projects that will increase New York farm viability through expansion, value added production, diversification, or long term reduction of operating costs.

The minimum amount of program funds that may be applied for is \$30,000. The maximum amount of program funds that may be applied for is \$500,000. The program will generally provide up to 50% of the total cost of an eligible project. The program may provide additional funding to a project if a compelling financial need is identified. Direct grant administration costs shall not exceed 10% of the grant request.

In order to align their project(s) with regional goals and priorities, applicants are strongly encouraged to consult with their Regional Council Strategic Plans.

**Eligible Types of Applicants:**

Applicants must be one of the following:

1. Counties and Municipalities
2. Local Development Corporations
3. Regional Development Corporations
4. Public Benefit Corporations
5. Industrial Development Agencies
6. Farm Credit institutions
7. Not-for-profit corporations

An eligible entity that is a not-for-profit corporation must be registered or exempt from registration by the NYS Office of the Attorney General Charities Bureau. A charities registration number or exemption certificate must be submitted with the application.

**Eligible Activities / Program Benefit Requirements**

**Eligible Project**

An eligible project is a project designed and intended for the purpose of establishing, maintaining, or expanding an agricultural operation, or for providing facilities and/or markets for the production, manufacturing, processing, warehousing, distribution or sale of crops, livestock and livestock products as defined in subdivision 2 of section 301 of the Agriculture and Markets Law.

**Eligible Project Costs**

Eligible project costs include but are not limited to;

1. machinery and equipment
2. construction
3. acquisition or expansion of buildings
4. working capital
5. processed or partially processed agricultural commodities
6. root stock
7. architectural and engineering costs
8. consultants
9. administration directly related to the execution of an eligible project (not to exceed 10% of the grant amount)

**Matching Requirements**

The program will generally provide up to 50% of the total cost of an eligible project. The program may provide additional funding to a project if a compelling financial need is identified. Qualifying match types include, but are not limited to, cash, in-kind services, federal funds, other state funds, donated or volunteer services, force account, etc.

**Funding Priorities**

Priority will be given to projects whose objectives are to accomplish the following:

1. Increase New York farm profitability through expansion, value added production, diversification, or long term reduction of operating costs;
2. Implement activities, programs and strategies of a County or Municipal Agricultural and Farmland Protection Plan as prescribed by § 324(3) and § 324-a(3) of the Agriculture and Markets Law and submitted for approval to or approved by the Commissioner of Agriculture and Markets;
3. Implement part or parts of a business plan;
4. Leverage private investment;
5. Create or retain jobs;
6. Increase agricultural business activity in a community or region;

or

7. Be responsive to the goals and objectives stated for agriculture in Regional

**Matching Fund Requirements / Deadlines:** The program will generally provide up to 50% of the total cost of an eligible project. The program may provide additional funding to a project if a compelling

financial need is identified. Qualifying match types include, but are not limited to, cash, in-kind services, federal funds, other state funds, donated or volunteer services, force account, etc.

**Additional Resources:** Questions regarding the program must be submitted in writing to

Stephen McGrattan

New York State Department of Agriculture and Markets

steve.mcgrattan@agriculture.ny.gov

Waterfront Revitalization

Local Waterfront Revitalization Program Grants (up to \$15 million)

**DESCRIPTION:**

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

**ELIGIBLE APPLICANTS:**

Eligible applicants are villages, towns, cities, and counties with the consent and on behalf of one or more towns, villages or cities, located along New York's coasts or inland waterway designated pursuant to Executive Law, Article 42. A current list of coastal water bodies and designated inland waterways is available at <http://www.dos.ny.gov/funding/>.

Applicants may also partner with other organizations; however, only applications from eligible applicants will be evaluated for funding.

Applications submitted by not-for-profit organizations (including, but not limited to, community-based organizations, neighborhood groups) and for-profit organizations are ineligible and will not be scored.

**ELIGIBLE PROJECT TYPES:**

Funding will be available for the following grant categories:

- Preparing or Implementing Regional and Local Strategies for Community and Waterfront Revitalization
- Redeveloping Hamlets, Downtowns and Urban Waterfronts
- Planning or Constructing Land and Water based Trails
- Preparing or Implementing a Watershed Management Plan

**AWARD, CONDITIONS & REQUIREMENTS:**

Grants will be available for up to 50% of the total eligible project costs set forth in the application and as approved by the Department.

**CONTACT/ADDITIONAL PROGRAM INFORMATION:**

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

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

Canalway Grant Program (up to \$1.0 million)

**DESCRIPTION:**

The Canalway Grants Program includes up to \$1 million in competitive grants available to eligible municipalities, non-profit organizations 501-C(3), state agencies, and public authorities along the New York State Canal System for canal-related capital projects.

**ELIGIBLE PROJECT TYPES:**

Projects must be located along one of the four canals of the Canal System (Erie, Champlain, Oswego and Cayuga-Seneca), or trail linkages or connections to existing Canal way Trail segments, or located along the historic canal alignment. Canalway Grant projects are intended to meet the objectives of the Regional Economic Development Councils Strategic Plans and the NYS Canal Recreationway Plan. Projects should preserve and rehabilitate canal infrastructure, enhance recreational opportunities for water-based and land-side users, promote tourism, economic development, and revitalization of the

canal corridor. Funding can be used to expand public access, increase recreational use, improve services for motorized and non-motorized boaters, increase tourism, and stimulate private investment along the canal. Canal projects are also expected to offer a greater appreciation and understanding of canal and community history, and to promote the protection of environmental and historic canal resources.

**AWARD, CONDITIONS & REQUIREMENTS:**

The minimum grant request amount is \$50,000. The maximum grant request is \$150,000. Grant administration and pre-development costs shall not exceed 10% of the grant award amount. A 50% match will be required on all grants and must be fully documented according to the requirements of the NYS Canal Corporation and the Office of the State Comptroller.

**CONTACT/ADDITIONAL PROGRAM INFORMATION:**

For more information, eligible applicants should contact the Grants Administration office at the New York State Canal Corporation, 200 Southern Boulevard, Albany, NY, call 518-436-3055 or visit <http://www.canals.ny.gov/community/grant.html>.

Environmental Improvements

Green Innovation Grant Program TBD

**DESCRIPTION:**

The Green Innovation Grant Program (GIGP) provides grants on a competitive basis to projects that improve water quality and demonstrate green stormwater infrastructure in New York. GIGP is administered by NYS Environmental Facilities Corporation (EFC) through the Clean Water State Revolving Fund (CWSRF) and is funded through a grant from the US Environmental Protection Agency (EPA).

**ELIGIBLE APPLICANTS:**

Applicants eligible for a GIGP grant include municipalities, school districts, private or not-for-profit organizations, individuals, firms, partnerships, associations, and soil and water conservation districts.

If the applicant is a non-municipal entity the project must not be required as part of a Long Term Control Plan, Administrative / Judicial Order, or a State Pollution Discharge Elimination System (SPDES) Permit. All applicants must submit a conceptual site plan, a feasibility study, site photographs, and a map of the project location. These documents must conform to the minimum requirements set forth on the NYS EFC website and in the CFA.

**ELIGIBLE PROJECT TYPES:**

- Funding will be available for the following types of projects:
- Permeable pavement, e.g. porous asphalt, concrete, or pavers
- Bioretention, e.g. rain gardens or bioswales
- Green roofs or green walls
- Street trees or urban forestry programs designed to manage stormwater
- Construction or restoration of wetlands, floodplains, or riparian buffers
- Stream daylighting, i.e. removing streams from pipes and restoring the natural morphology
- Downspout disconnection, i.e. redirecting stormwater from sewers to vegetated areas
- Stormwater harvesting and reuse, e.g. rain barrel and cistern projects

All projects must meet or exceed the standards set forth in the 2010 New York State Stormwater Management Design Manual (<http://www.dec.ny.gov/chemical/29072.html>).

**AWARD, CONDITIONS & REQUIREMENTS:**

Grants will be available for up to 90% of the total eligible project costs set forth in the application. A minimum 10% match from state or local sources is required. Prior to entering into a Grant Agreement with EFC, the Applicant will be required to demonstrate that funding is available to complete the project.

Competitive projects will:

- Create and maintain green, wet-weather infrastructure
- Spur innovation in the field of stormwater management
- Build capacity locally and beyond, to construct and maintain green infrastructure

- Facilitate the transfer of new technologies and practices to other areas of the State

**CONTACT/ADDITIONAL PROGRAM INFORMATION:**

For more information, eligible applicants should contact Suzanna Randall at the New York State Environmental Facilities Corporation, 625 Broadway, Albany, New York 12207, call 800-200-2200 or visit <http://www.efc.ny.gov/GIGP>.

Environmental Investment Program (Up to \$1 million)

**DESCRIPTION:**

The Environmental Investment Program (EIP), administered by New York State Empire State Development (ESD) helps businesses capture the economic benefits associated with pollution prevention, waste reduction, re-use and recycling. The program provides capital, technical assistance, and research and development grants that expand the ability to recycle solid and industrial waste into higher value products, or reduce pollution and waste at the point of generation. The program is funded through appropriations from the Environmental Protection Fund.

**ELIGIBLE TYPES OF APPLICANTS:**

**Capital Funding:**

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

**Technical Assistance Funding:**

- Non-profit organization or municipality providing assistance to groups of NYS businesses

**Research Demonstration and Development (RD&D) Funding:**

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

**SUCCESSFUL APPLICANT REQUIREMENTS:**

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

Awards made by EIP are subject to the New York State Executive Law Article 15-A which governs equal employment opportunities for minorities and women and the participation of certified minority and women-owned business enterprises (MWBEs) on State contracts. EIP has an overall program goal of 20% for MWBE participation. Goals for each project/contract shall be established pursuant to current MWBE availability

**ADDITIONAL RESOURCES:**

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

CWSRF Engineering Planning Grant (up to \$2 million)

**Description:**

The New York State Department of Environmental Conservation (DEC), in conjunction with the New York State Environmental Facilities Corporation (EFC), will offer grants to municipalities to help pay for the initial planning of eligible for Clean Water State Revolving Fund (CWSRF) water quality projects. Up to \$2 million has been made available for this program.

The CWSRF Engineering Planning Grant will assist municipalities facing economic hardship with the engineering and planning costs of CWSRF-eligible water quality projects. Grants of up to \$30,000 (with a 20% required local match) will be provided to finance activities including engineering and/or consultant fees for engineering and planning services for the production of an engineering report.

Successful applicants will use the engineering report when seeking financing through the CWSRF program to further pursue the identified solution.

**Eligible Types of Applicants:**

- Municipalities as defined in 21 NYCRR 2602 New York State Clean Water Revolving Fund Regulations; and
- Population of the municipality must be less than 30,000 accord-

ing to the United States Census 2010 <http://quickfacts.census.gov/qfd/states/36000.html>; and

- Median household income (MHI) of the municipality is equal to or less than \$55,000 according to the United States Census 2010 <http://quickfacts.census.gov/qfd/states/36000.html>.

**Eligible Activities/Program Benefit Requirements:**

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

Priority will be given to planning projects addressing a documented water quality impairment (i.e., Priority Waterbodies List (PWL), executed Order on Consent, SPDES Permit requirement). Engineering reports should be prepared in accordance with requirements identified in Recommended Standards for Wastewater Facilities (2004 edition), commonly known as the 10-State Standards (<http://10statesstandards.com/waterstandards.html>) or TR-16 Guides for the Design of Wastewater Treatment Works prepared by New England Interstate Water Pollution Control Commission (<http://www.neiwpc.org/tr16guides.asp>). Engineering reports must include the following sections:

- Problem defined
- Flow and organic load
- Impact on existing wastewater facilities
- Project description
- Drawings/Site Plan
- Engineering criteria
- Site information
- Alternative selection.
- Environmental review
- A concise summary of any additional pertinent information specific to the project proposal

Note the following requirements about the alternatives outlined in the engineering report: Smart Growth alternative(s) and green infrastructure alternative(s) must be considered and documented in the engineering report. The following minimum alternatives need to be considered for projects with no existing wastewater infrastructure:

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

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

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

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

**Ineligible Activities:**

- Projects that do not lead to the restoration or protection of a surface waterbody.
- Projects already listed on the annual CWSRF Intended Use Plan.
- Construction costs for the wastewater treatment and/or collection systems.

**Successful Applicant Requirements:**

**Documentation:** Recipients must provide documentation of the following requirements before entering into a grant agreement for the planning project.

- Legal right to own, operate and maintain the project for the duration of its useful life.
- Compliance with the New York State Smart Growth Infrastructure Policy Act of 2010.
- Compliance with the New York State's Minority/Woman-owned Business Enterprises (M/WBE) requirements.

- Detailed final budget and plan of finance including all third party funding agreements, and satisfaction of the minimum 20% local match requirement.
- Local resolution authorizing and obligating local match funds. Match can include cash and/or in-kind services. Other grants may not be used for local match.
- Designation of an Authorized Representative for the project.
- Executed Engineering Agreement.
- Completion of Environmental Quality Review (SEQR) Act and State Environmental Review Process (SERP). Please refer to EFC’s “Environmental Review Guidance” on EFC’s website for more information on the SEQR and SERP processes.
- Acknowledgement of project review by the New York State Office of Parks and Historic Preservation’s State Historic Preservation Office (SHPO).

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

**Grant Payment:** The grant will be disbursed in two payments. The municipality will be eligible to receive 50 percent of the grant amount, as an advance payment once the grant agreement is executed. The second half of the award will be paid when the municipality’s engineering report and planning has been completed and approved by DEC and EFC.

Additional Resources:

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

Energy Improvements

NYSERDA Energy Efficiency Programs (As of April up to \$50,000,000 for 2012)

DESCRIPTION:

To encourage New York businesses to increase energy efficiency, save money, use renewable energy, and reduce their reliance on fossil fuels, the New York State Energy Research and Development Authority (NYSERDA) will provide financial and technical assistance for commercial and industrial sector energy efficiency projects.

ELIGIBLE APPLICANTS:

Incentives are available to electricity and natural gas distribution customers of Central Hudson Gas & Electric Corporation, Consolidated Edison Company of New York, Inc., New York State Electric & Gas Corporation, National Grid, Orange and Rockland Utilities, Inc. and Rochester Gas and Electric Corporation who contribute to the System Benefits Charge/Renewable Portfolio Standard (sometimes referred to as SBC/RPS on customer utility bills).

Utility customers of the New York Power Authority (NYPA), the Long Island Power Authority (LIPA), and Municipal utility customers that do not pay into the System Benefits Charge (SBC) and are not eligible to participate with the exception of programs covered under Green Jobs-Green NY. Customers in those utility territories who have an average annual demand of 100kW or less can receive an audit through the FlexTech Energy Audit Program. Please review your latest utility bill for the SBC line item.

Eligible applicants include: NYS industrial, commercial, and institutional facilities, state and local governments, not-for-profit and private institutions, public and private K-12 schools, colleges and universities, health care facilities, and other non-residential customers.

ELIGIBLE PROJECT TYPES:

Rolling applications (projects funded on a first come first served basis) are currently open under the following programs, with funding available through calendar year 2012 as follows:

- Existing Facilities Program -Provides financial incentives to offset capital costs of cost effective energy efficiency, energy storage, and demand response projects that reduce electric and natural gas consumption in eligible existing commercial and industrial buildings.
- Applications to the Existing Facilities Program will be accepted through the Consolidated Funding Application (CFA) on a first-come, first-served basis through 5:00 pm EST on December 31, 2015, or until funds are exhausted.

- New Construction Program - Provides technical and financial assistance when incorporating energy-efficiency measures into the design, construction, and operation of new and substantially renovated buildings. These measures are designed to save energy through reduced energy usage and demand, thereby lowering building operating costs.
- Technical Assistance is available to help evaluate energy-efficiency measures and provide guidance to your design team on incorporating new and emerging energy-efficient technologies into your building design.
- Funding is available to offset a portion of the additional costs associated with the purchase and installation of approved equipment.
- Assistance also may be available for commissioning services and green building opportunities. Applications to the New Construction Program will be accepted through the Consolidated Funding Application (CFA) on a first-come, first-served basis as of the date of a formal offer letter, from January 4, 2012 through December 31, 2015, or until funds are exhausted.
- Flex Tech Program - Provides eligible facilities with objective and customized information on a cost-shared basis to help customers make informed energy decisions. FlexTech’s goal is to increase productivity and economic competitiveness of participating facilities by identifying and encouraging the implementation of cost-effective energy efficiency.
- Applications to the FlexTech Program will be accepted through the Consolidated Funding Application (CFA) on a first-come, first-served basis through December 31, 2015, or until funds are exhausted.
- Industrial and Process Efficiency Program - IPE’s goal is to help manufacturers and data centers increase product output and improve data processing as efficiently as possible. Incentives are calculated, when appropriate, based on a reduction in energy usage per unit of production or workload.
- Applications to the Industrial and Process Efficiency Program will be accepted through the Consolidated Funding Application (CFA) on a first-come, first-served basis through 5:00 pm EST on December 31, 2015, or until funds are exhausted.

AWARD, CONDITIONS & REQUIREMENTS:

Existing Facilities Program - Pre-Qualified Incentives

Pre-Qualified Incentives are provided to encourage applicants to purchase and install more energy-efficient equipment for small-sized energy projects and equipment replacement projects. Incentives are available on a \$/unit basis for Pre-Qualified energy efficiency measures. Applicants can receive up to \$60,000 in Pre-Qualified Incentives (\$30,000 - electric, \$30,000 - natural gas) per facility per calendar year. National Fuel Gas customers using less than 12,000 Mcf per year can receive a maximum natural gas incentive of \$25,000 per facility per calendar year. For a list of the current eligible measures please visit the Existing Facilities Program website at: [www.nyscrda.ny.gov/existing-facilities](http://www.nyscrda.ny.gov/existing-facilities).

Existing Facilities Program - Performance-Based Incentives

Performance-based incentives are provided to encourage applicants to implement larger-scale projects that increase energy efficiency and produce verifiable annual energy savings. These incentives are calculated by determining a project’s total energy savings and multiplying that number by the applicable rate below. Final incentive amounts are based on one full year’s savings and are capped at 50 percent of the project cost.

	Upstate	Downstate
Electric Efficiency	\$0.12/kWh	\$0.16/kWh
Energy Storage	\$300/kW	\$600/kW
Natural Gas Efficiency	\$15/MMBtu	\$20/MMBtu
Demand Response	\$100/kW	\$200/kW
Monitoring-Based Commissioning	\$0.05/kWh	\$0.05/kWh

NYSERDA will invest up to \$2 million per facility per year, based on specific eligibility requirements. Please see the Existing Facilities Program website at: [www.nyserderda.ny.gov/existing-facilities](http://www.nyserderda.ny.gov/existing-facilities) for more information.

**Flex Tech Program - Cost Shared Energy Studies**

Eligible engineering studies can apply for incentives on a 50/50 cost-shared basis up to \$1,000,000. Please see the FlexTech Program website at: [www.nyserderda.ny.gov/flextech](http://www.nyserderda.ny.gov/flextech) for more information.

**Flex Tech Program - Energy Audits**

Through the Green Jobs-Green NY program, small businesses and not-for-profits are eligible for a free audit. All facilities must have an average electric demand of 100kW or less.

For more information please visit the FlexTech Energy Audit website at: [www.nyserderda.ny.gov/flextech-energy-audit](http://www.nyserderda.ny.gov/flextech-energy-audit)

**New Construction Program**

Incentives are available to conduct technical assessments of energy efficiency improvements in building designs and to offset a portion of the incremental capital costs to purchase and install energy-efficient equipment. More information, including technical and financial incentives, can be found on the New Construction Program website at: [www.nyserderda.ny.gov/new-construction](http://www.nyserderda.ny.gov/new-construction).

**Industrial and Process Efficiency Program**

IPE's goal is to help manufacturers and data centers increase product output and data processing as efficiently as possible. Therefore, our incentives are calculated, when appropriate, based on a reduction in energy usage per unit of production or workload. Incentives are available for:

- New construction and existing facilities
- Manufacturing facilities and data centers
- Electricity and natural gas savings

**Industrial and Process Efficiency Incentives**

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

For more information please visit the Industrial and Process Efficiency Program at: [www.nyserderda.ny.gov/ipe](http://www.nyserderda.ny.gov/ipe).

**CONTACT/ADDITIONAL PROGRAM INFORMATION:**

For more information, eligible applicants should contact 1-866-NYSERDA

NYSERDA  
17 Columbia Circle  
Albany, NY 12203  
[www.nyserderda.ny.gov](http://www.nyserderda.ny.gov)  
[cfa@nyserderda.org](mailto:cfa@nyserderda.org)

**Sustainability**

NYSERDA Regional Economic Development and Greenhouse Gas Reduction Program (up to \$12 million)

**PROGRAM DESCRIPTION**

The Regional Economic Development and Greenhouse Gas (GHG) Reduction Program (the Program) will award cost-share funding for energy efficiency, renewable energy, and/or carbon abatement projects that address the regional priorities of the Regional Economic Development Councils (REDCs), result in strategic investments, and

build the capacity within the region to participate in the State's clean energy economy. Projects must be capable of moving forward within one year, while positioning the region for long-term economic growth and environmental stewardship. The Program will complement other funding available through NYSERDA, but will not supplant funds which are otherwise available from NYSERDA programs. The focus of the Program is on the following end-use sectors: Transportation, Manufacturing and Industrial Process, Buildings, Agriculture, Municipal process, Renewable electric generation, and District Energy. Funds are available in nine Eligible Project Categories as listed below.

**FUNDING AND COST-SHARE**

NYSERDA plans to award up to \$12 million to fund projects. Funds are derived from the Regional Greenhouse Gas Initiative (RGGI) and included in New York State's approved RGGI Operating Plan. A maximum of \$1.5 million will be awarded per project. The minimum amount that can be requested per project is \$250,000. Cost-share of at least 25% of total project cost is required, however higher cost-shares and leveraging of funds is encouraged and will be considered in evaluating proposals (see Scoring Criteria below). Eligible cost-share can be comprised of cash and/or in-kind contributions and must be derived from sources other than NYSERDA programs.

No single region (as defined by the REDCs) can receive more than 25% of the available funds.

NYSERDA expects to make approximately 15 awards. NYSERDA reserves the right to award all or none of the funds based on technical level of the proposals received.

**ELIGIBLE APPLICANTS**

Applicants must be located in New York State and be one of the following: Business, Agri-business, Municipality (e.g. county, town, city, or village), local development corporation, business or municipal improvement district, public and private institution (e.g. universities, colleges, hospitals, schools), or Non Profit organization or entity. Groups of eligible applicants can submit a joint application, however one eligible applicant must be identified as the lead applicant on behalf of the group or consortium.

**PROJECT ELIGIBILITY**

Projects must be aligned with the Strategic Plan(s) developed by the REDCs for the region in which the project is located. The project must address a key regional sector or objective, and represent an opportunity that develops the capacity for the region to achieve its vision for economic growth. Project funds must be used for energy efficiency, renewable energy, or carbon abatement measures that result in greenhouse gas reductions, in accordance with the RGGI regulations.

In order to qualify, the project (or measures within a project) must not be eligible for current NYSERDA funds which are associated with open or current competitive solicitations which have been issued by NYSERDA (directly or through the CFA), or those which NYSERDA lists on its website as upcoming funding opportunities in the next six months. (Go to <http://www.nyserderda.ny.gov/ea/FundingOpportunities.aspx> for a listing of NYSERDA funding opportunities.) Specific funding restrictions are noted under each of the nine Eligible Project Categories below. Most of these restrictions refer to whether or not the applicant pays the System Benefits Charge/Renewable Portfolio Standard (SBC/RPS) on its natural gas and/or electric utility bill, which applies only to customers of Central Hudson Gas & Electric Corporation, Consolidated Edison Company of New York, Inc., New York State Electric and Gas Corporation, National Grid, Orange and Rockland Utilities, and Rochester Gas and Electric Corporation.

Applicants can request supplemental funds to funds available through current NYSERDA programs for other measures within a project that are not otherwise eligible for funding. For parties which have already received NYSERDA funding, applicants can supplement prior funds for other measures within a project that were not eligible under the original solicitation. NYSERDA will assist applicants to determine if the project, in whole or in part, is eligible for consideration through other NYSERDA programs and solicitations. Applicants should contact [REDGHG@nyserderda.org](mailto:REDGHG@nyserderda.org) with questions.

Project funds can be used for project design and engineering costs, implementation of measures, installation of equipment, infrastructure

investments, and for demonstrations of new and emerging technologies and approaches in the Eligible Project Categories listed below. Given the focus on near-term benefits, funds are not available through this program for research and development projects or for product development. Projects must be able to commence within a year of award. Applicants are required to submit a proposed scope of work, budget, and project milestone timeline with their application.

#### ELIGIBLE PROJECT CATEGORIES

An eligible applicant can propose for projects in one or more of the following Eligible Project Categories. A separate application must be submitted through the CFA for each project category. Applications that do not fit one of these project categories or that are not in compliance with the funding restrictions associated with the category under which the application is made will be deemed non-responsive.

1. Transportation projects that improve the efficiency and reduce emissions related to the movement of goods and services in and around major commercial centers (e.g. hubs, ports, markets, industrial parks, etc) within the region, including vehicle idling reduction projects. Projects may also include the installation of equipment to dispense alternative transportation fuels (that reduce greenhouse gas emissions), and/or the incremental purchase cost of vehicles capable of operating on alternative fuels, for fleets that move goods or services around major commercial centers within the region, or that represent one of the key industries or industry clusters identified in the Region's Strategic Plan.

Funding restrictions: Applicants cannot seek funds through this Program for the same projects as those submitted or eligible to be submitted under one of NYSEERDA's current or upcoming competitive or open enrollment solicitations in the Transportation area.

2. Measures that demonstrate significant improvements in the energy efficiency of manufacturing, agri-business, or datacenter processes in current or expanded operations and that result in productivity improvements. Projects can include energy efficiency measures, measures that reduce the use of water through efficiency improvements, and/or fuel switching measures that result in substantial greenhouse gas reductions. Projects must be located at sites that are one of the key industries or part of an industry cluster identified in the Regional Economic Development Strategic Plan. The applicant must present an approach for how it will use the results of the project to demonstrate the benefits to others and build the capability to achieve replication of efficient process improvements for these key industries within the region.

Funding restrictions: For applicants that pay the SBC/RPS on the natural gas and/or electric utility bill for the facility(s) that is the subject of the application, funds through this Program can only be used for measures for which incentives are not available through NYSEERDA's Industrial and Process Efficiency Program (available to SBC-paying customers through the CFA). In addition, applicants (whether SBC paying or not) cannot seek funds through this Program for the same projects as those submitted or planned to be submitted under one of NYSEERDA's current or upcoming competitive Manufacturing R&D solicitations: Accelerating Commercialization of Industrial Technologies, or the Innovations in the Manufacturing of Clean Energy Technologies Program.

3. Installation or improvement of equipment that allows for **manufacturing and/or testing of materials, systems and products** related to **clean energy technologies** for the transportation, buildings, industrial, and power sectors. The project must be of strategic importance for the region as identified in the Regional Economic Development Strategic Plan and represent a new opportunity to develop a clean energy industry that will benefit the regional economy.

Funding restrictions: For applicants that pay the SBC/RPS on the natural gas and/or electric utility bill for the facility(s) that is the subject of the application, funds through this Program can only be used for measures for which incentives are not available through NYSEERDA's Industrial and Process Efficiency Program (available to SBC-paying customers through the CFA). Applicants (whether SBC-paying or not) cannot seek funds through this Program for the same projects as those submitted or planned to be submitted under one of NYSEERDA's current or upcoming competitive Manufacturing R&D

solicitations: Accelerating Commercialization of Industrial Technologies or the Innovations in the Manufacturing of Clean Energy Technologies Program.

4. Energy efficiency measures in one or more **existing buildings** through comprehensive retrofits, system optimization, and/or system upgrades in one of two subcategories:

For customers that do not pay the SBC/RPS on the natural gas and/or electric utility bill for the building(s) that are the subject of the application: Projects must improve the energy efficiency of the building by 40% or more (above current consumption), taking into account interaction of measures. Projects can include electricity and/or fossil fuel efficiency measures (e.g. envelope, heating, cooling, lighting, roofs, motors, energy management systems). Fuel switching measures are allowed if they provide efficiency improvements and reduction in greenhouse gas emissions. The applicant must identify how the building energy efficiency project is an innovative and strategic opportunity that is closely aligned with the goals and priorities of the Region's Economic Development Strategic Plan. The applicant must present a plan for how it will use the results of the project to demonstrate the benefits to others and build the capability to achieve replication of the "deep energy savings" approach for other buildings. Pre and post installation measurement of energy usage must be conducted and monitored. Project savings estimates must be supported by an engineering analysis.

For customers that do pay the SBC/RPS on the natural gas and/or electric utility bill for the building(s) that are the subject of the application: Projects are limited to non-electric and non-natural gas measures (e.g. boiler improvements or replacements). Fuel switching measures are allowed if they provide efficiency improvements and reduction in greenhouse gas emissions. The applicant must identify how the building energy efficiency project is an innovative and strategic opportunity that is closely aligned with the goals and priorities of the Region's Economic Development Strategic Plan. Pre- and post-installation measurement of energy usage must be conducted in accordance with International Performance Measurement and Verification (PMVP) protocols. Project savings estimates must be supported by an engineering analysis.

Funding restrictions: As noted above, for applicants that pay the SBC/RPS, funds through this program can only be used for measures for which incentives are not available through NYSEERDA's Existing Facilities Program (available to SBC/RPS-paying customers through the CFA).

5. Project design costs, and/or energy efficiency and renewable measures for one or more **new or substantially renovated** zero-energy commercial buildings or, zero-energy capable commercial buildings, or commercial buildings where the total energy consumption per square foot (measured in MMBTu/SF) is expected to be reduced by 50% or more. (Zero-energy buildings use no more energy in the course of a year than they produce from on-site renewable energy sources. Zero-energy capable buildings demonstrate a similar level of efficiency as a zero-energy building but do not incorporate any or sufficient on-site renewable generation to cover their annual energy use.) The applicant must identify how the new construction energy efficiency project is an innovative and strategic opportunity that is closely aligned with the goals and priorities of the Region's Economic Development Strategic Plan. The applicant must present an approach for how it will use the results of the project to demonstrate the benefits to others and build the capability to achieve replication for other buildings. The projected building energy use must be modeled and supported by an engineering analysis, and the actual energy performance of the building(s) tracked for at least one year following construction.

Funding restrictions: For applicants that pay or expect to pay the SBC/RPS on the natural gas and/or electric utility bill for the building(s) that are the subject of the application, funds through this Program can only be used for measures for which incentives are not available through NYSEERDA's High Performance New Construction Program (available to SBC/RPS-paying customers through the CFA) or through NYSEERDA's solar PV, solar thermal, or other customer-sited tier renewable energy programs (available to customers who pay

the SBC/RPS). However, an applicant can derive the total savings to achieve the goal from a combination of measures including those for which funds are requested under this Program, as well as those for which incentives are available through the other NYSERDA programs. Applicants that do not pay the SBC/RPS are eligible to apply for any energy efficiency and renewable measures through this Program.

6. **Renewable energy technologies** that generate electricity or produce thermal energy from: solar energy, wind energy, geothermal sources; anaerobic digesters; fuel cells; or biomass. The applicant must identify how the Renewable Energy project is an innovative and strategic opportunity that is closely aligned with the goals and priorities of the Region's Economic Development Strategic Plan. The applicant must demonstrate how the project will help the applicant meet its economic and environmental objectives, and how the project will build the capacity to achieve replication within the region. All projects must meet NYSERDA's performance and installation standards.

Funding restrictions: For applicants that pay the SBC/RPS on their utility bill, funding is limited only to anaerobic digester gas-to-heat projects that do not also produce electricity. (Note that customers who pay the SBC/RPS are eligible to apply for NYSERDA incentives through the following programs: Solar PV Program; Solar Thermal Incentive Program; On-Site Wind Turbine Incentive Program; Customer Sited Tier Regional Program; Customer Sited Tier Fuel Cell Program; and the Customer Sited Tier Anaerobic Digester Gas-to-Electricity Program.) Applicants that do not pay the SBC/RPS are eligible for all the renewable energy technologies referenced in this Eligible Project Category.

7. **Energy distribution technologies** including district heating and cooling systems, efficient combined heat and power (CHP) systems, and energy storage systems. CHP systems must be capable of generating more than 1.3 MW, and have a fuel conversion efficiency of at least 60 percent. The applicant must identify how the project is an innovative and strategic opportunity that is closely aligned with the goals and priorities of the Region's Economic Development Strategic Plan. The applicant must demonstrate how the project will help the applicant meet its economic and environmental objectives.

Funding restrictions: For applicants that do pay the SBC/RPS for the host site of a district heating or cooling system or a CHP system, only non-electric or non-natural gas powered systems are eligible. Applicants that do not pay the SBC/RPS are eligible for all technologies in this Eligible Project Category, regardless of fuel source.

8. Measures that significantly improve the efficiency of **water treatment, or waste-water treatment facilities**. The applicant must identify how the project is an innovative and strategic opportunity that is closely aligned with the goals and priorities of the Region's Economic Development Strategic Plan. The applicant must demonstrate how the project will help the applicant meet its economic and environmental objectives, and how the project will build the capacity to achieve replication within the region.

Funding restrictions: For applicants that pay the SBC/RPS on the natural gas and/or electric utility bill for the facility(s) that is the subject of the application, funds from this Program can only be used for measures for which incentives are not available through NYSERDA's Industrial and Process Efficiency Program (available to SBC/RPS-paying customers through the CFA). In addition, applicants cannot seek funds through this Program for the same projects as those submitted or planned to be submitted under one of NYSERDA's current competitive solicitations in the Environmental R&D area.

9. Installation of equipment, displays and materials that support the training of individuals to enter the **clean energy workforce**. The project must be of strategic importance for the region as identified in the Regional Economic Development Strategic Plan and represent a new opportunity to build capacity to deliver clean energy benefits to energy consumers within the region.

Funding restrictions: Applicants cannot seek funding for any project that would otherwise be eligible for funding through NYSERDA's Workforce Development solicitations.

#### ADDITIONAL INFORMATION:

For additional information regarding the Regional Economic Development and GHG Reduction Program, send email questions to: REDGHG@nysesda.org; or call 1-800-866-NYSERDA.

#### Workforce Development

Workforce Investment Act related training and workforce development activities (up to \$5 million)

#### DESCRIPTION:

The purpose of these programs is to address lay-off aversion by training existing employees who are at risk of losing their jobs unless they obtain skills upgrading; and training long term unemployed individuals who require on-the-job training upon being hired or classroom based skills upgrading to qualify them for hire. These programs also support workforce needs of strategic plans of the Governor's Regional Economic Development Councils.

#### ELIGIBLE PROJECT TYPES:

Existing Employee Training

Program Description:

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

New Hire Training

Program Description:

This program provides Workforce Investment Act funds to train newly hired employees who are long term unemployed individuals to perform their job duties. These funds will reimburse the hiring business for up to 50% of the new employee's wages. Long term unemployed individuals are defined those who have been unemployed for 27 weeks or more.

Unemployed Worker Training

Program Description:

This program provides Workforce Investment Act funds to train long term unemployed individuals in a customized classroom setting, provided there is a commitment from a business or businesses to interview individuals who successfully complete the training. Long term unemployed individuals are defined as individuals who have been unemployed for 27 weeks or more.

#### ELIGIBLE APPLICANTS:

- o Private sector for-profit businesses, including corporations, LLCs, LLPs, etc. with four or more employees
- o Private sector not-for-profit businesses

#### AWARD, CONDITIONS & REQUIREMENTS:

The maximum grant that an applicant may receive if it applies for one, two or all three types of training is \$100,000.00. The maximum cost per trainee is \$5,000.

#### Matching Fund Requirements:

Existing Employee Training and Unemployed Worker Training programs have no match requirements. The New Hire Training program match must be at least 50% of the trainee's wages

Contracts resulting from this RFP will be awarded for a period of up to one year and will operate on a reimbursable basis. Only not-for-profit organizations funded under the Unemployed Worker Training program will be eligible for a cash advance of up to 25% upon contract execution at the Department's sole discretion and subject to the availability of funds appropriated and available for contracts entered into pursuant to this RFP. Any award must be expended on program activities in New York State.

#### CONTACT/ADDITIONAL PROGRAM INFORMATION:

The contact for this program is Andrew Gehr, New York State Department of Labor, Division of Employment and Workforce Solutions, State Office Campus, Building # 12, Room # 440, Albany, New York, 12240, (518) 457-0361. This RFP and any related questions and answers are available on NYSDOL's web site at <http://labor.ny.gov/cfa/index.shtml>.

#### Low Cost Financing

Federal Industrial Development Bond Cap (Up to \$350 million)

#### DESCRIPTION:

Up to \$350 million from the Federal IDB Cap allocation will be available for State and local government issuers to sell tax exempt bonds for private projects that demonstrate a public purpose.

**ELIGIBLE APPLICANTS/PROJECT TYPES:**

Qualifying projects must be eligible under the Internal Revenue Code (IRC) sections 142-144, and 1394 which include:

- \* Multi-family and/or elderly rental housing for low income residents;
- \* Residential Rental Facilities;
- \* Small manufacturing Projects;
- \* Local furnishing of electric energy or gas;
- \* Local district heating or cooling facilities;
- \* Sewage facilities and solid waste disposal facilities;
- \* First-time farmer's property, equipment, and other capital improvements;
- \* Utility projects, including water, sewer, electric and gas;
- \* Bonds issued to provide loans for first time homebuyers (homeownership)

**CONTACT/ADDITIONAL PROGRAM INFORMATION:**

For more information eligible applicants should contact George LaPointe at the Empire State Development, call 518 292-5307 or visit <http://www.empire.state.ny.us/BusinessPrograms.html>.

<sup>1</sup> Applicants must complete reviews under both the State Environmental Quality Review (SEQR) Act and State Environmental Review Process (SERP) to obtain the funds for the design and construction of their project. Applicants also must have their projects reviewed by the New York State Office of Parks and Historic Preservation's State Historic Preservation Office (SHPO)

<sup>2</sup> [http://www.nysefc.org/DesktopModules/DNNCorp/DocumentLibrary/Components/FileDownloader/FileDownloaderPage.aspx?tabid=2674&pid=O&lrf=/DesktopModules/DNNCorp/DocumentLibrary/App\\_LocalResources/DocumentLibrary&cl=enUS&mcs=%2fDesktopModules%2fDocumentLibrary%2f&uarn=Administrators&cd=false&tmid=258&ift=1](http://www.nysefc.org/DesktopModules/DNNCorp/DocumentLibrary/Components/FileDownloader/FileDownloaderPage.aspx?tabid=2674&pid=O&lrf=/DesktopModules/DNNCorp/DocumentLibrary/App_LocalResources/DocumentLibrary&cl=enUS&mcs=%2fDesktopModules%2fDocumentLibrary%2f&uarn=Administrators&cd=false&tmid=258&ift=1)