

# NOTICE OF AVAILABILITY OF STATE AND FEDERAL FUNDS

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## Consolidated Funding Application

### *Introduction*

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).

Application materials with all program requirements can be found at [www.regionalcouncils.ny.gov](http://www.regionalcouncils.ny.gov)

Grant funding is available through the CFA from the following:

### *Direct Assistance to Businesses and Other Organizations*

#### **Empire State Development Grant Funds**

**Funding Available: Up to \$150 million**

##### **DESCRIPTION:**

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

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

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

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

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

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

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

**ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:**

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

**FUNDS MAY BE USED FOR:**

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

**INELIGIBLE ACTIVITIES:**

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

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

**PRE-APPLICATION REQUIREMENTS:**

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

**ADDITIONAL RESOURCES:**

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

## Excelsior Jobs Program

**Funding Available: Up to \$70 million**

**DESCRIPTION:** The Excelsior Jobs Program, established in Chapter 59 of the Laws of 2010, provides job creation and investment incentives to firms in such targeted industries as biotechnology, pharmaceutical, high-tech, clean-technology, green technology, financial services, agriculture and manufacturing. Firms in these industries that create and maintain new jobs or make significant financial investment are eligible to apply for up to four tax credits. The Program encourages businesses to expand in and relocate to New York while maintaining strict accountability standards to guarantee that businesses deliver on job and investment commitments. Program costs are capped at \$500 million annually to maintain fiscal affordability and ensure that New Yorkers realize a positive return on their investment. Firms in the Excelsior Jobs Program may qualify for four, fully refundable tax credits. Businesses claim the credits over a 10 year period. To earn any of the following credits, firms must first meet and maintain the established job and investment thresholds.

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

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

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

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

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

**ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:**

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

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

**Software Development:** the creation of coded computer instructions and includes new media; the application of information technology to traditional communications outlets, particularly through interactive modes such as the Internet, including video games, web search portals, interactive web-based content, and interactive advertising.

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

**Agriculture:** agricultural production (establishments performing the complete farm or ranch operation, such as farm owner-operators, tenant farm operators, and sharecroppers) and agricultural support (establishments that perform one or more activities associated with farm operation, such as soil preparation, planting, harvesting, and management, on a contract or fee basis).

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

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

**FUNDING PRIORITIES:** The Program is limited to firms in strategic industries making a substantial commitment to growth – either in employment or through investing significant capital in a New York facility. The Job Growth Track comprises 75% of the Program and includes all firms in targeted industries creating new jobs in New York. Twenty-five percent is set aside for the Investment Track firms in targeted industries (except manufacturing) who have at least 25 employees, with manufacturing firms retaining at least 10 employees, and make significant new capital investments in a New York facility and which meet a benefit-cost threshold of at least \$10 of investment and new wages for every \$1 of tax credit.

**INELIGIBLE ACTIVITIES:** A not-for-profit business entity, a business entity whose primary function is the provision of services including personal services, business services, or the provision of utilities, a business entity engaged predominantly in the retail or entertainment industry, and a business entity engaged in the generation or distribution of electricity, the distribution of natural gas, or the production of steam associated with the generation of electricity are not eligible to participate in the program.

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

## **New York State Innovation Hot Spot Support Program**

**Funding Available: \$1.25 million**

### **DESCRIPTION:**

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

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

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

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

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

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

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

The goal of the program is to improve the quantity and quality of incubator services provided to young companies, thereby enabling these businesses to successfully transition from their start-up phase to larger scale commercialization of their products and services.

### **ELIGIBLE APPLICANTS:**

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

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

### **FUNDING:**

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

Up to \$250,000 will be provided annually to entities designated as a New York State Innovation Hot Spot. ESD is limited by statute to designating no more than five Hot Spots in fiscal 2014-15, and only those entities located in the economic development regions of Long Island, New York City, Mid-Hudson Valley, Capital District and Mohawk Valley will be eligible to compete for these designations. There will only be one Innovation Hot Spot designation per region.

**APPLICANT REQUIREMENTS:**

Entities seeking designation as an Innovation Hot Spot will be required to:

- Be located in New York State;
- Have operated an incubator for the last three years;
- Have a demonstrated link to regional sources of innovation and expertise;
- Commit to financially and programmatically maintain the incubator for three years from date of designation;
- Commit to nationally recognized best practices of business incubation;
- Provide a strategic plan that describes how it intends to positively impact the regional entrepreneurial environment;
- Detail the process it uses to accelerate the development and commercialization of its clients' products and services;
- Expand its services in scope or to provide new services;
- Provide a two-to-one match of the grant funds it receives for the operation of the incubator;
- Submit data as required by ESD on the operations and performance of the incubator including a list of business enterprises currently being served by the incubator.

**ADDITIONAL HOT SPOT REQUIREMENTS:**

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

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

**FUNDING PRIORITIES:**

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

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

- An integrated array of services for start-up firms;
- Opportunities for clients to network and collaborate with other businesses;
- Access to capital via referral to financial institutions, venture capitalists, angel investors and other funding sources;
- Aid in accessing markets;
- Physical, laboratory and/or manufacturing space;
- Establishment of clear criteria for acceptance and graduation from the program;
- Financial support from sources other than tenants, the sponsoring entity or New York State governmental agencies;
- Participation by an independent advisory council or similar body;
- Expertise from a professional management and service delivery team;
- Access by clients to mentoring, advisory or educational services.

## ESD Strategic Planning and Feasibility Studies

Funding Available: Up to \$1 million

### DESCRIPTION

ESD's Urban and Community Development Program promotes economic development in the State of New York by encouraging economic and employment opportunities and stimulating development of communities and urban areas. Total program funding of up to \$1 million is available for working capital grants of up to \$100,000 each to support 1) strategic development plans for a city, county, or municipality or a significant part thereof and 2) feasibility studies for site(s) or facility(ies) assessment and planning. Projects should focus on economic development purposes, and preference shall be given to projects located in highly distressed communities. In addition, special consideration shall be given to projects supporting Regional Economic Development Council Opportunity Agenda priorities and projects identified in the NY Rising Community Reconstruction Program recovery plans. Each grant requires a minimum of 50% of total project costs in matching funds, which should include at least 10% of total project costs in the form of cash equity contributed by the Applicant organization. Funding will be awarded by the New York State Urban Development Corporation (d/b/a Empire State Development) at its discretion.

### ELIGIBLE TYPES OF APPLICANTS:

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

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

### ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:

Assistance is available in the following two categories:

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

### INELIGIBLE ACTIVITIES:

For Site Assessment and Site Planning grants:

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

### Priority will be given to projects located in Highly Distressed Areas

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

- If the location is in a former Empire Zone (investment zone areas)
- a poverty rate of at least twenty percent, or if the area does not contain a census tract or tracts, a block numbering area, or a city, town, or village, a poverty rate of at least thirteen percent;
- an unemployment rate of at least 1.25 times the statewide unemployment rate;
- significant job loss from one employer or in a particular industry;
- the United States President declares the area a natural disaster area;
- closure or realignment of a defense or military base or facility;

- contraction or discontinuance of a State hospital or mental hygiene facility;
- population and employment decline, increase in unemployment and public assistance recipients, decline in real property values, decline in per capita income, abandoned property and deteriorated industrial, commercial, and residential properties, a decline in business establishments, obsolescence in plant capacity, loss of markets to foreign competition, the unavailability of expansion financing, poor access to markets, and other indicators of chronic and severe economic distress;
- potential to attract private investment that will employ unemployed or economically disadvantaged persons;
- substantial public and private commitments to a long-term economic revitalization program and the capacity to manage the program;
- a plan that states the area's needs, proposals for meeting such needs, the process for routine periodic evaluation of progress in implementing the plan and compilation of essential information for such evaluation;
- applicable land use laws or regulations allow the use of at least twenty-five percent of the area for commercial or industrial activity; and
- twenty-five percent or more of the area is vacant, abandoned, or otherwise available for industrial or commercial development.

**ADDITIONAL RESOURCES:**

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

**Market New York**

**Funding Available: \$10 million**

**Description**

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

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

**While this is one program there are two separate funding tracks available, each with different requirements. Funding tracks include\*:**

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

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

**Eligible Entities Requirements for Both Tracks**

Entities that may apply for funding include not-for-profit corporations, municipalities, Tourism Promotional Agencies (TPAs), public benefit corporations, and for-profit companies. Not-for-profit corporations are subject to New York State's Not-For-Profit Corporation Law. In order to apply under this program, a not-for-profit corporation must have proof of incorporation (or equivalent document) from the NYS Department of State or NYS Board of Regents, a charities registration number from the NYS Office of the Attorney General, and proof of tax-exempt status under the IRS code.

**Pre-Application Requirements for Both Tracks**

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

**Participation by Minority Group Members and Women With Respect To State Contracts for Both Tracks**

In accordance with the requirements of Article 15-A of the New York State Executive Law: Participation By Minority Group Members and Women With Respect To State Contracts by providing opportunities for MBE/WBE participation, projects awarded funding shall be reviewed by ESD's Office of Contractor and Supplier Diversity, which may set business and participation goals for minorities and women. Such goals shall typically be included in the Regional Tourism Marketing Competition contract or the Tourism Facilities Funding incentive proposal.

Please note that ESD's agency-wide MWBE utilization goal is 23 percent (23%). Each project will be assigned an individual contract-specific goal, which may be higher or lower than 23 percent (23%). Should an Applicant receive a funding award, the Applicant shall be required to use good faith efforts to achieve the prescribed MWBE goals assigned to this project. Applicants must maintain such records and take such actions necessary to demonstrate such compliance.

**1.) Regional Tourism Marketing Competition**

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

**Regional Tourism Marketing Competition Eligible Expenses**

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

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

**Regional Tourism Marketing Competition Ineligible Expenses**

Ineligible expenses may include but are not limited to:

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

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

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

**Regional Tourism Marketing Competition Payment**

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

**Regional Tourism Marketing Competition Reporting**

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

**2.) Tourism Facility Funding**

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

**Tourism Facility Funding Successful Applicant Requirements**

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

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

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

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

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

**Tourism Facility Funding Eligible Expenses**

Eligible projects costs should be associated with adding on to an existing tourism destination/attraction and/or restoring an existing tourism destination. Funding can be used for the following:

- acquisition or leasing of land, buildings, machinery and/or equipment;
- acquisition of existing business and/or assets;
- new construction, renovation or leasehold improvements;
- acquisition of furniture and fixtures; and
- soft costs of up to twenty-five percent (25%) of total project costs.

**Tourism Facility Funding Ineligible Expenses**

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

- Developer fees;
- Recapitalization/refinancing;
- Training; and

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

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

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

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

## *Community Development*

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

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

#### **DESCRIPTION:**

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

#### **ELIGIBLE APPLICANTS and ACTIVITIES:**

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

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

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

Please click here to review funding restrictions:

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

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

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

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

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

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

Applicants **may submit one application** to the NYSCA REDC Program. Organizations **are not** restricted from applying to other NYS agency's REDC Programs.

**No applicant** may apply through a fiscal sponsor.

Projects and activities involving re-granting of funds **are not** eligible for support.

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

**CATEGORIES OF SUPPORT:**

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

1. Arts, Culture and Heritage Projects
2. Artistic Program Capital Equipment (Building related capital equipment purchases and improvements **are not** eligible for support)
3. Technology Improvement Program (technology improvement programs **may not** be primarily related to artistic program implementation and delivery)
4. Workforce Investment Program

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

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

Grants are available for projects that directly drive public participation, tourism and regional vitality in communities, large and small. Awards will range from \$10,000 - \$100,000 and require a 50% match in cash or in-kind support. Projects may include: presentation of arts, culture and heritage activities; art education programs; workforce development and student advancement and training programs; and development and implementation of business, artistic program, marketing plans and facility planning initiatives. Partnership applications are encouraged. Other revenue or in-kind support must be identified and available for project completion. The contract and work period is from January 2015 through December 2015. Re-grant projects are not eligible for funding.

**2) Artistic Program Capital Equipment:**

Grants are available for purchases that directly drive public participation, tourism and regional vitality in communities, large and small. Awards will range from \$5,000 - \$49,500 and require a 50% match in cash or in-kind support. Equipment and project cost is restricted to capital equipment and installation that **directly supports** the implementation and presentation of artistic programs sponsored by the applicant organization(s). **Support is not available for staff training or building related capital equipment or improvements. Examples of ineligible equipment requests include:** construction and renovation, non-depreciable audiovisual, office furniture or shelving, stackable chairs, most computers and software, and telephones. Please consult an accountant or auditor to confirm that the artistic program equipment is depreciable as defined by Generally Accepted Accounting Principles (GAAP) and is not a building improvement. Please make efforts to obtain bids from NYS Certified Minority and Women owned businesses and visit <http://www.esd.ny.gov/MWBE.html> for a listing of certified businesses. The contract and work period is from January 2015 through December 2015. Re-grant projects are not eligible for funding.

**Prerequisite for Eligibility in Artistic Program Capital Equipment:**

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

**3) Technology Improvement Project:**

Grants are available for needs assessments and/or purchases of technologies that directly improve and expand an organization's administrative, marketing, development, or operations capacity, impact and efficiency. **Technology improvements that primarily relate to the presentation or support of artistic programs are not eligible.** Grant awards will range from \$2,500 - \$49,500 and require a 25% match of cash or in-kind support. Project support is available for **Technology Needs Assessment & Planning Projects:** an assessment of existing administrative and marketing technology resources (websites, computer hardware and software, cloud based applications, printers, etc.) and the development of a technology improvement plan to upgrade or purchase new technology components. Organizations may work with outside consultants to develop an assessment plan. Project support is also available for **Technology Improvement Implementation & Staff Training:** the purchase and implementation of new technology resources and related staff training. Partnership applications are encouraged. The contract and work period is January 2015 through December 2015. Re-grant projects are not eligible for funding.

**Prerequisite for Eligibility for Technology Improvement Program:**

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

**4) Workforce Investment Program**

Grants are available for staff wages to support one expanded or new staff position. Grant awards will range from \$12,500 – \$49,500 for a two year period (\$6,250 to \$24,750 per year) to support wages paid to one individual filling a critical role as defined by the organization. The grant requires a 25% match in cash or in-kind support. Applicants must demonstrate the need for the employee and a sustainability plan to continue employment after the grant term ends. Funds **may only** be used to support wages and **not any** other associated payroll taxes or fringe costs. Funds **may be** used to support increasing a current part time staff member's hours **or** hiring a new full or part-time staff member. Funds **may not** be used to support contracted or seasonal staff. The contract and work period is January 2015 through December 2016. Re-grant projects are not eligible for funding.

**Prerequisite for Eligibility for Workforce Investment Program:**

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

**CONTACT/ADDITIONAL PROGRAM INFORMATION:**

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

Please visit *About NYSCA Grants* at <http://www.arts.ny.gov/public/grants/index.htm> for information on NYSCA's grant process, requirements and evaluative criteria. Also, please click

*Regional Priorities* at <http://regionalcouncils.ny.gov/> to view detailed information about the Regional Economic Development Councils.

**Community Development Block Grant Program**

**Funding Available: approximately \$25 million**

**Description:**

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

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

**Eligible Activities / Program Benefit Requirements:**

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

**1) Economic Development, Small Business Assistance, and Microenterprise**

The NYS CDBG Economic Development program consists of three funding activities: Economic Development, Small Business Assistance, and Microenterprise. Eligible applicants must apply on behalf of the business seeking

CDBG funds. Awards are made to the applicant community and not directly to businesses. Eligible uses of NYS CDBG Economic Development funds include, but are not limited to: acquisition of real property; financing of machinery, furniture, fixtures and equipment; building construction and renovation; working capital; inventory; and employee training expenses. Funds awarded under the Small Business activity may be used for all of the above uses, with the exception of new construction; funds awarded under the Microenterprise activity may be used for all other uses, with the exception of construction or other improvements when Davis Bacon and Related Acts must be applied.

#### **Economic Development**

Eligible non-entitlement units of local government must apply on behalf of the business seeking NYS CDBG funds. Funding is provided for traditional economic development activities such as business attraction, expansion, and retention projects to provide financial assistance to for-profit businesses for an identified CDBG eligible activity or to municipalities for the installation or extension of public infrastructure necessary to facilitate business expansion at existing facilities (non speculative).

The project must result in the creation or retention of permanent job opportunities principally benefitting low and moderate income persons.

- NYS CDBG can fund up to 40% of a total project cost.
- A minimum of one (1) full-time equivalent job must be created or retained for every \$15,000 in NYS CDBG funds.
- At least 51% of all jobs created/retained must be held by or made available to low- and moderate-income persons.
- NYS CDBG funds should be used as gap funding to induce project completion.

#### **Small Business Assistance**

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

- NYS CDBG can fund up to 40% of a total project cost.
- A minimum of one (1) full-time equivalent job must be created or retained for every \$25,000 in NYS CDBG funds.
- At least 51% of all jobs created/retained must be held by or made available to low- and moderate-income persons.
- A minimum of 20% owner equity contribution (cash equity only) to the project is required. However, the required equity contribution may be reduced to 10% if the project qualifies as "Green". The CDBG Green Incentive Checklist must be completed and submitted in the CFA. The form is available on the HRC website at:  
<http://www.nyshcr.org/AboutUs/Offices/CommunityRenewal/GreenIncentive.pdf>

#### **Microenterprise Program**

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

- A minimum of 50% of the CDBG award must be awarded to start-up businesses. A start up business is defined as an enterprise that has been in operation for fewer than six (6) months at the time for application for assistance.
- Individual grant amount to business: \$5,000 (minimum) to \$35,000 (maximum).
- Each microenterprise must either be owned by a low- to moderate-income person or the project must result in the creation of at least one full-time equivalent position to benefit a low- to moderate-income person

- At least 51% of all jobs created must be held by or made available to low- and moderate-income persons.
- NYS CDBG can fund up to 90% of a total project cost.
- Minimum of 10% owner equity contribution (cash equity only) to the project is required.
- Certified completion of a locally approved entrepreneurial assistance or small business training program is required. Cost of training may be a CDBG eligible expense; attendee may be reimbursed after completing the training.

## **2) Public Infrastructure**

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

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

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

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

## **3) Public Facilities**

The NYS CDBG Public Facility program activities include, but are not limited to, structures to house or serve special-needs populations; senior services; child care centers; removal of architectural barriers for the disabled (installing lifts, automatic doors, ramps, etc.); and multi-purpose buildings housing several qualifying activities where benefits are provided principally to low-and moderate-income persons. Removal of architectural barriers is not eligible in new construction. Under the Public Facilities category, the benefit to low- and moderate-income persons is achieved most commonly through a presumed benefit, which is applicable for seniors, the severely disabled or abused children. National Objective compliance for public facilities can also be met through the Low/Mod Area (LMA) benefit. For more information regarding National Objective Compliance, refer to the Application Guidance located on the HCR website: <http://www.nyshcr.org/AboutUs/Offices/CommunityRenewal/FundingOpportunities.htm>.

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

## **4) Planning**

The NYS CDBG Planning program consists of two activities: Community Needs Assessments and Preliminary Engineering Reports. Any planning proposal must address an activity which, if implemented, meets at least one

of two national objectives under the CDBG program. That is, it must be shown that either 1) at least 51% of the persons who would benefit from implementation of the plan are low- and moderate- income persons, or 2) the plan addresses a slum or blighted area in the community.

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

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

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

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

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

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

**Activity Funding Limits:**

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

**Eligible Types of Applicants:**

Eligible applicants are non-entitlement units of general local government (villages, cities, towns or counties), excluding metropolitan cities, urban counties and Indian Tribes that are designated entitlement communities. Non-entitlement

areas are defined as cities, towns and villages with populations of less than 50,000, except those designated principal cities of Metropolitan Statistical Areas, and counties with populations of less than 200,000. The NYS CDBG program does not provide direct financial assistance to businesses. For a list of eligible communities, please visit: <http://www.nyshcr.org/Programs/NYS-CDBG/EligibleCommunities.htm>.

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

**Ineligible Activities:**

The State CDBG Program deems any activity that is not included in the Housing and Community Development Act of 1974, as amended, ineligible. Generally, CDBG funding cannot be used for projects that involve buildings for the general conduct of government business, general government expenses, or political activities. In addition, any project that does not present satisfactory evidence of compliance with a national objective will be considered ineligible and will not be considered for funding.

For Economic Development projects, funds cannot be used to re-finance or pay off existing personal or business debt or fund speculative investment. Funds awarded under the NYS CDBG Small Business program may not be used for new construction activity. Construction, building or other improvements are not an eligible use of CDBG Microenterprise funds when Davis Bacon and Related Acts must be applied.

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

**Additional Resources:**

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

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

**New York Main Street**

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

and

**New York Main Street Technical Assistance**

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

**Description:**

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

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

2014 NYMS CFA Activities:

New York Main Street (NYMS)

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

New York Main Street Technical Assistance (NYMS-TA)

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

**Eligible Types of Applicants:**

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

**Eligible Target Area:**

All NYMS activities must be located in an eligible target area. Applicants must clearly identify how the target area meets all three components of the statutory definition of an eligible target area. Article XXVI of the Private Housing Finance Law indicates that an eligible target area shall mean an area:

(i) that has experienced sustained physical deterioration, decay, neglect, or disinvestment;

(ii) has a number of substandard buildings or vacant residential or commercial units;

**and** (iii) in which more than fifty percent of the residents are persons whose incomes do not exceed ninety percent of the area median income for the county or metropolitan statistical area (MSA) in which the project is located, or which is designated by a state or federal agency to be eligible for a community or economic development program.

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

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

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

**Eligible Activities:**

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

**1. Traditional NYMS Target Area Building Renovation Projects**

Applicants may request between \$50,000 and \$250,000 for the following activities:

- **Building Renovation:** Matching grants available for renovation of mixed-use buildings. Recipients of NYMS funds may award matching grants of up to \$50,000 per building, not to exceed 75% of the total project cost in a designated target area. Renovation projects that provide direct assistance to residential units may be awarded an additional \$10,000 per residential unit, up to a per-building maximum of \$100,000, not to exceed 75% of the total project cost.
- **Streetscape Enhancement:** Applicants may request up to \$15,000 in grant funds for streetscape enhancement activities, such as: planting trees, installing street furniture and trash cans, or other activities to enhance the NYMS target area.

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

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

Example NYMS Target Area Building Renovation Application Request:

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

**2. NYMS Downtown Anchor Project:**

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

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

Applicants for NYMS Downtown Anchor Project funds must:

- Document project readiness, as evidenced by funding commitments, site control, pre-development planning completed, and local approvals secured;
- Provide cost estimates to substantiate the request amount;
- Identify source(s) of available construction financing and matching funds;
- Demonstrate the importance of the project for the neighborhood, community and region;
- Provide a Business Plan and Market Analysis to demonstrate project viability; and
- Document a compelling need for substantial public investment.
- **Administration:** Applicants may request up to 5% of the grant amount for salaries and other costs associated with the administration of the Downtown Anchor Project grant. The administrative funds must be requested at the time of application, and must be included within the maximum request amount.

- **Project Delivery:** Applicants may request funds to cover reasonable, and necessary project delivery expenses such as architectural and engineering work, or required environmental review expenses. Project Delivery expenses must be included in the per-building activity funding limits, and may not exceed 18% of the NYMS funds for a specific project. Project costs incurred for work on buildings that eventually prove infeasible and do not receive other investments will not be reimbursed with NYMS funds. Project Delivery funds must be requested at the time of application, and must be included within the maximum request amount.

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

Example NYMS Downtown Anchor Project Application Request:

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

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

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

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

Costs that are not adequately justified or that do not directly support the project are not eligible for reimbursement with NYMS funds. Please contact the Office of Community Renewal prior to submitting an application to discuss project eligibility, and review the NYMS Program Guide for a more detailed guidance on NYMS program rules: <http://www.nyshcr.org/Programs/NYMainStreet/>

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

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

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

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

**1. Building Reuse or Feasibility Study**

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

**2. Design Guidelines**

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

Please contact the Office of Community Renewal to discuss the eligibility of a project prior to submitting an application at [HCR\\_CFA@nyshcr.org](mailto:HCR_CFA@nyshcr.org).

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

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

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

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

**Additional Resources:**

For more information, applicants should contact the Office of Community Renewal at New York State Homes and Community Renewal, 38-40 State St, Albany, New York 12207, call (518) 474-2057, email [HCR\\_CFA@nyshcr.org](mailto:HCR_CFA@nyshcr.org) or visit: <http://www.nyshcr.org/AboutUs/Offices/CommunityRenewal/>

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

**Funding Available: Up to \$15.5 Million**

**DESCRIPTION:**

Title 9 NYCRR (sections 439.1 – 443.4) implements the Environmental Protection Fund (EPF) Act of 1993 (Title 9 of Article 54 of the Environmental Conservation Law) which created OPRHP's Municipal Grant Program.

Funding is available under the EPF Municipal Grant Program for the acquisition, planning, development, and improvement of parks, historic properties, and heritage areas located within the physical boundaries of the State of New York. Project planning is eligible for stand-alone funding in all three program areas. This funding is intended for project-specific planning, such as designs and specifications for rehabilitation of an historic property or structural assessment of a dock for public fishing, not for comprehensive Open Space or Management Plans. Municipalities and not-for-profit organizations with an ownership interest in the property are eligible to apply. Historic properties must be listed on the

State or National Register of Historic Places. Properties not currently listed, but scheduled for nomination review at the State Board for Historic Preservation meeting of June 12, 2014 or September 11, 2014, are eligible to apply. Heritage Areas projects must be identified in an approved management plan for Heritage Areas designated under sections 35.03 and 35.05 of the Parks, Recreation and Historic Preservation Law. All grant awards under this program come with long term protections, either through parkland alienation law, conservation easements, or public access or preservation covenants recorded against the deeds.

**ELIGIBLE TYPES OF APPLICANTS:**

- Municipalities
- State Agencies
- Public Benefit Corporations
- Public Authorities
- Not-for-profit Corporations

Not-for-profit corporations are subject to New York State's Not-For-Profit Corporation Law. In order to apply under this program, a not-for-profit corporation must have tax-exempt status under the IRS code, be incorporated, and be current with pertinent filings under Section 501 of the United States Internal Revenue Code, and either Article 7-A of the New York Executive Law, or Section 8-1.4 of the New York Estates, Powers and Trusts Law, or Section 1508 of the New York Not-for-Profit Corporation Law, or Section 215 of the New York Education Law.

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

**For All Applicants:**

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

**For Municipal Applicants:**

Legislative authorization of alienation, if applicable.

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

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

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

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

**For Heritage Area Applicants:**

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

**For Partner Groups of State Parks or Historic Sites:**

1. **Documentation of affiliation** such as a Memorandum of Understanding (MOU) or Memorandum of Agreement (MOA).
2. **Letter(s) of support** from the **Regional Director AND Capital Facilities Manager**.

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

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

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

- **Park Acquisition, Development and Planning Program** - for the acquisition, development and planning of parks and recreational facilities to preserve, rehabilitate or restore lands, waters or structures for park, recreation or conservation purposes and for structural assessments and/or planning for such projects. Examples of eligible projects include: playgrounds, courts, rinks, community gardens, and facilities for swimming, boating, picnicking, hunting, fishing, camping or other recreational activities. To ensure the public benefit from the investment of state funds, public access covenants will be conveyed to the State for all park development projects undertaken by not-for-profit corporations. Conservation easements will be conveyed to the State for parkland acquisition projects undertaken by not-for-profit corporations. Any park project undertaken by municipalities is subject to the State's Parkland Alienation Law. The Handbook on the Alienation and Conversion of Municipal Parkland is available at <http://www.nysparks.com/publications/>.
- **Historic Property Acquisition, Preservation and Planning Program** - to improve, protect, preserve, rehabilitate, restore or acquire properties listed on the State or National Register of Historic Places and for structural assessments and/or planning for such projects. Grant funds cannot be used for constructing contemporary additions on an historic property unless that work will provide universal access and/or eliminate code deficiencies for access/egress, such as an elevator or stair tower. Multi-purpose additions to historic buildings and free-standing new construction on historic properties are not eligible for this grant program. Properties not currently listed, but scheduled for nomination review at the State Board for Historic Preservation meeting of either June 12, 2014 or September 11, 2014, are eligible to apply for funding. Questions about or proposals for listing on the State or National Register should be directed to the OPRHP National Register Unit at (518) 237-8643. All work must conform to the Secretary of the Interior's Standards for the Treatment of Historic Properties. To ensure the public benefit from the investment of state funds, preservation covenants or conservation easements will be conveyed to the State (OPRHP) for all historic property grants.
- **Heritage Areas System Acquisition, Development and Planning Program** - for projects to acquire, preserve, rehabilitate or restore lands, waters or structures, identified in the approved management plans for Heritage Areas designated under sections 35.03 and 35.05 of the Parks, Recreation and Historic Preservation Law, and for structural assessments or planning for such projects. The designated Heritage Areas with approved Management Plans are listed below. For exact Heritage Area boundaries, see the maps at <http://www.nysparks.com/grants/heritage-areas/default.aspx> or contact the Heritage Area.

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

- \* Susquehanna (Broome and Tioga Counties)
- \* Western Erie Canal Heritage Corridor (Erie, Niagara, Orleans, Monroe and Wayne Counties)
- \* Michigan Street African-American Heritage Corridor

**INELIGIBLE ACTIVITIES:** Work completed prior to award is not eligible for reimbursement or for match. There are two exceptions: 1) Professional services and materials purchased or donated, but not installed, up to three years prior to the application deadline may be applied toward the matching share and 2) Acquisition costs retroactive no more than one year prior to the application deadline are eligible costs. Contingencies, training, travel, OJT wages, working capital, marketing, salaries and wages, rent/lease are ineligible unless noted as otherwise above.

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

|  |   |
|--|---|
| <p><u>Western New York Region</u><br/>                     Noelle Kardos<br/>                     Beaver Island State Park<br/>                     2136 West Oakfield<br/>                     Grand Island, NY 14072<br/>                     (716) 773-5292, FAX (716) 773-4150<br/>                     COUNTIES: Allegany, Cattaraugus, Chautauqua, Erie and Niagara</p>  | <p><u>Central New York Region</u><br/>                     Jean Egenhofer<br/>                     Clark Reservation State Park<br/>                     6105 East Seneca Turnpike<br/>                     Jamesville, NY 13078-9516<br/>                     (315) 492-1756, FAX (315) 492-3277<br/>                     COUNTIES: Cayuga, Cortland, Madison, Onondaga and Oswego</p>                             |
| <p><u>Finger Lakes Region</u><br/>                     Lynn LeFeber<br/>                     Allegany State Park<br/>                     ASP Rte 1, Salamanca, NY 14779<br/>                     (716) 354-9101, FAX (716) 354-2255<br/>                     COUNTIES: Genesee, Livingston, Monroe, Ontario, Orleans, Seneca, Wayne, Wyoming and Yates</p>  | <p><u>Mohawk Valley Region</u><br/>                     Jean Egenhofer<br/>                     Clark Reservation State Park<br/>                     6105 East Seneca Turnpike<br/>                     Jamesville, NY 13078-9516<br/>                     (315) 492-1756, FAX (315) 492-3277<br/>                     COUNTIES: Fulton, Herkimer, Montgomery, Oneida, Otsego and Schoharie</p>                    |
| <p><u>Long Island Region</u><br/>                     Traci Christian<br/>                     Belmont Lake State Park<br/>                     PO Box 247<br/>                     Babylon, NY 11702<br/>                     (631) 321-3543, FAX (631) 321-3721<br/>                     COUNTIES: Nassau and Suffolk</p>  | <p><u>Southern Tier Region</u><br/>                     Laurie Moore<br/>                     2221 Taughanock Park Road<br/>                     Trumansburg, NY 14886<br/>                     (607) 387-7041, FAX (607) 387-3390<br/>                     COUNTIES: Broome, Chemung, Chenango, Delaware, Schuyler, Steuben, Tioga and Tompkins</p>  |
| <p><u>New York City Region</u><br/>                     Merrill Hesch<br/>                     NYS OPRHP<br/>                     Adam Clayton Powell, Jr. State Office Building<br/>                     163 West 125<sup>th</sup> Street, 17<sup>th</sup> Floor<br/>                     New York, NY 10027<br/>                     (212) 866-2599, FAX (212) 866-3186<br/>                     COUNTIES: Bronx, Kings, New York, Queens and Richmond</p> | <p><u>Mid-Hudson Region</u><br/>                     Erin O'Neil<br/>                     NYS OPRHP<br/>                     Taconic Regional Office<br/>                     9 Old Post Road<br/>                     Staatsburg, NY 12580<br/>                     (845) 889-3866, FAX (845) 889-8321<br/>                     COUNTIES: Dutchess, Orange, Putnam, Rockland, Sullivan, Ulster and Westchester</p> |
| <p><u>Capital Region</u><br/>                     Danielle Dwyer<br/>                     Saratoga Spa State Park<br/>                     19 Roosevelt Drive<br/>                     Saratoga Springs, NY 12866-6214<br/>                     (518) 584-2000, FAX (518) 584-5694</p>   | <p><u>North Country Region</u><br/>                     Gayle Underhill-Plumb<br/>                     Keewaydin State Park<br/>                     Alexandria Bay, NY 13607<br/>                     (315) 482-2593, FAX (315) 482-9413<br/>                     COUNTIES: Clinton, Essex, Franklin, Hamilton,</p>  |

|  |                                    |
|--|------------------------------------|
| COUNTIES: Albany, Columbia, Greene,<br>Rensselaer, Saratoga, Schenectady, Warren and<br>Washington | Jefferson, Lewis, and St. Lawrence |
|--|------------------------------------|

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

## *Waterfront Revitalization*

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

**Funding Available: Up to \$11.75 million**

**Description:**

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

**Eligible Types of Applicants:**

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

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

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

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

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

**Eligible Activities / Program Benefit Requirements:**

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

- Preparing or Implementing of a Local Waterfront Revitalization Program
- Redeveloping Hamlets, Downtowns and Urban Waterfronts

- Planning or Constructing Land and Water-based Trails
- Preparing or Implementing a Lakewide or Watershed Revitalization Plan
- Preparing or Implementing a Community Resilience Strategy

**Eligible Costs:**

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

- Direct salary costs -including wages, salaries, fringe benefits, and supplemental compensation paid to employees of the municipality for personal services
- Direct non-salary costs -including consultant and contractual services, costs for printing, travel, equipment, materials, supplies, and other goods and services, essential to project completion and dedicated 100% to the project

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

**Ineligible Costs:**

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

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

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

**Successful Applicant Requirements:****New York State Grants Gateway**

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

**Additional Resources:**

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

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

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

## Canalway Grants Program

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

### DESCRIPTION:

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

Projects are intended to meet the objectives of the Regional Economic Development Councils Strategic Plans and the NYS Canal Recreationway Plan. Projects should preserve and rehabilitate canal infrastructure, enhance recreational opportunities for water-based and land-side users, promote tourism, economic development, and revitalization of the canal corridor. Funding can be used to expand public access, increase recreational use, improve services for motorized and non-motorized boaters, increase tourism, and stimulate private investment along the canal. Canal projects are also expected to offer a greater appreciation and understanding of canal and community history, and to promote the protection of environmental and historic canal resources.

### ELIGIBLE TYPES OF APPLICANTS:

- Municipalities
- Not-for-profit Corporations

*Not-for-profit corporations are subject to New York State's Not-For-Profit Corporation Law. In order to apply under this program, a not-for-profit corporation must have proof of incorporation (or equivalent document) from the NYS Department of State or NYS Board of Regents, a charities registration number from the NYS Office of the Attorney General, and proof of tax-exempt status under the IRS code.*

### ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:

Eligible canal capital projects include, but may not be limited to: constructing new buildings, vessels or structures; constructing additions or improvements which enlarge, expand, enhance or extend existing buildings, vessels or structures; new systems in existing buildings, vessels or structures (HVAC, plumbing, electrical, mechanical, propulsion); substantial renovations or preservation of existing buildings, vessels or structures, including reconfigurations (removal or construction of walls, ceilings and flooring, windows, window frames, hulls); site preparation and improvements associated with a project (excavation, demolition, roadways, sidewalks, exterior lighting, sprinkler systems, utility hook-ups); acquisition of furnishings, fixtures, machinery and equipment with a useful life in excess of five years; constructing or rehabilitating segments of Canalway Trail; constructing or rehabilitating docks or bulkheads for the purpose of public access to and from the Canal System; and/or hazardous waste clean-up associated with a project.

### 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

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

## *Energy*

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

Funding Available: Up to \$6 million

**DESCRIPTION:**

Program provides eligible New York State commercial, industrial, and institutional end users with objective and customized engineering analysis to help make informed energy decisions.

**ELIGIBLE TYPES OF APPLICANTS:**

FlexTech is funded through the Energy Efficiency Portfolio Standard (EEPS). Eligible applicants are New York State electricity or gas distribution customers of a participating utility company, who pay into the System Benefits Charge (SBC). The SBC may be a line item on the customer's utility bills.

Eligible applicants include but are not limited to:

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

**ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:**

Customers who are in need of a service provider may choose from NYSERDA's FlexTech Consultant list comprised of firms under NYSERDA contract who have been competitively selected to provide technical services across the state. The current list of FlexTech Consultants is available on NYSERDA's website at [www.nyserda.ny.gov/flextech](http://www.nyserda.ny.gov/flextech). Alternatively, customers may select their own service provider. Potential service providers include, but are not limited to: ESCOs, energy consultants, and engineering companies.

Eligible study categories include:

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

**FUNDING PRIORITIES:**

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

**INELIGIBLE ACTIVITIES:**

- New facilities or those that have undergone substantial renovations, which have not been occupied for more than one year are ineligible for funding.
- Whole building, new construction, or new equipment commissioning is not eligible for funding under this program.
- Detailed engineering design is not eligible for funding under this program.
- Applications seeking funding for single, multifamily, or Publicly Assisted Housing are not eligible under this program, but may apply under NYSERDA's Residential Energy Affordability programs.
- Applications seeking funds to support the sale or distribution of energy are not eligible for funding under this program except as defined in NYSERDA's CHP requirements.
- Equipment purchases are not eligible for funding under this program, except for metering equipment, software costs, and other data collection hard costs. To be eligible for funding, the equipment must be a necessary component of the funded study. Please refer to PON 1746 for additional information.
- No service provider may apply for more than 25% of the funds available under this program.
- Power quality, power factor, and power conditioning studies are not eligible for funding under this program.
- Utility billing error analysis is not eligible for funding under this program.
- Retro-commissioning studies without the potential for significant energy savings are not eligible for funding. Study costs may be prorated at NYSERDA's discretion with NYSERDA cost-sharing only the energy efficiency components. Funds may be used for evaluation of facilities only and may not be used to correct deficiencies found. Calculations demonstrating the potential energy impacts from repairing each deficiency are required. NYSERDA reserves the right to determine which projects are classified as Retro-commissioning.
- Organizations which generate, transmit, or distribute energy for sale are not eligible for funding under this component of the program.
- Applications for generation studies without a heat recovery component are not eligible for funding.
- Applications for studies proposing to evaluate generation systems utilizing fuel sources other than natural gas are not eligible for funding.
- Applications seeking assistance with evaluating CHP systems for which the potential generation capacity would be larger than 50 MW or mechanical equivalent in total prime mover capacity, including back up, are not eligible for funding.
- Applications seeking assistance with evaluating CHP systems for which less than 75% of the electricity generated would be used on-site are not eligible for funding.

FlexTech funding is set to expire December 2015.

**ADDITIONAL RESOURCES:**

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

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

**Small Commercial Energy Efficiency Program: Energy Assessments****DESCRIPTION:**

Small Commercial Energy Assessments offer eligible small business and not-for-profit customers free walk-through energy audits to identify potential energy efficiency improvements. Small Commercial Energy Assessments are available to eligible customers statewide. Facilities must have an average electric demand of 100 kW or less to be eligible for Small Commercial Energy Assessments.

**ELIGIBLE TYPES OF APPLICANTS:**

Eligible applicants include nonresidential customers with an average electric demand of 100 kW or less and ten full-time equivalent employees or fewer including:

- Small Businesses
- Not-for-profit Corporations

**ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:**

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

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

**SUCCESSFUL APPLICANT REQUIREMENTS:**

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

**FUNDING PRIORITIES:**

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

**INELIGIBLE ACTIVITIES:**

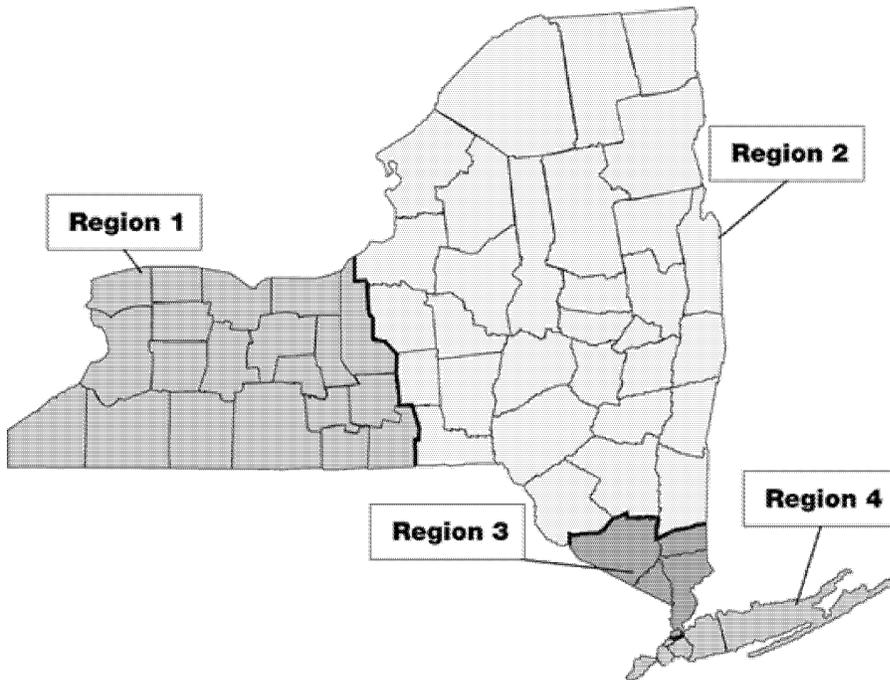
Energy efficiency measures beyond the standard measures outlined above may be ineligible for study.

**ADDITIONAL RESOURCES:**

Small Commercial Energy Assessments: [www.nyserda.ny.gov/small-commercial-energy-assessment](http://www.nyserda.ny.gov/small-commercial-energy-assessment).

Small Commercial Energy Assessment Contractors:

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



**Region 1 Counties**

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

**Region 2 Counties**

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

**Region 3 Counties**

Orange, Putnam, Rockland, Westchester, Bronx

**Region 4 Counties**

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

**ADDITIONAL RESOURCES:**

Small Commercial Energy Assessment webpage: [www.nyserda.ny.gov/small-commercial-energy-assessment](http://www.nyserda.ny.gov/small-commercial-energy-assessment).

Small Commercial Energy Efficiency Project Manager: Kathryn Fantauzzi

(518) 862-1090 x3456 or [kf3@nyserda.ny.gov](mailto:kf3@nyserda.ny.gov)

## **NYS Energy Research and Development Authority - New Construction Program**

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

**DESCRIPTION:**

The New Construction Program (NCP) provides technical assistance and financial incentives to promote the installation of energy-efficient electric equipment in new and substantially renovated commercial and industrial buildings.

**ELIGIBLE TYPES OF APPLICANTS:**

- State and local governments, businesses, not-for-profit and private institutions, public and private schools, colleges and universities, and health care facilities in New York State that are electricity or firm gas customers of a participating utility company, and that pay, or will pay, into the System Benefits Charge, are eligible for incentives.

**ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:**

- Projects for which an architect or engineer is preparing and certifying construction documents, including:
  - New buildings or space within a new building
  - Substantial renovations to existing buildings where the space has been, or will be, vacant for at least 30 consecutive days; or where there is a change of use (e.g. warehouse to office)

**FUNDING PRIORITIES:**

- All applications to the NCP are given equal consideration; and
- To ensure eligibility to participate in all services available through the NCP and to maximize NCP benefits, NYSERDA recommends that applications be submitted in the early schematic design phase or sooner.

**INELIGIBLE ACTIVITIES:**

- Applicants may not obtain incentives for the same energy efficiency measures through other NYSERDA programs or from programs offered by their local utility;
- Ineligible projects include renovations and equipment upgrades at existing facilities where the facility will remain occupied during construction;
- Applicants who do not, or will not, pay into the System Benefits Charge through their local utility company are ineligible for participation in the program;
- Applicants may not obtain incentives for energy efficiency measures installed before an application is submitted and an NCP incentive offer is issued by NYSERDA;
- Energy-efficiency measures must be cost effective; and
- Energy-efficiency measures involving fuel switching are ineligible.

**ADDITIONAL RESOURCES:**

More information is available at <http://www.nyserda.ny.gov/new-construction>.

1-866-NYSERDA

## NYS Energy Research and Development Authority - Existing Facilities Program

Funding Available: \$12 million

### DESCRIPTION:

#### **Existing Facilities Program (EFP)**

The Existing Facilities Program offers a broad portfolio of incentives to help offset the costs of implementing energy efficiency improvements in existing commercial facilities across New York State. Performance-Based (custom) and Pre-Qualified (prescriptive) incentives are available for electric and natural gas improvements.

All commercial and institutional facilities that pay the SBC charge on their utility bills are eligible. Incentives are structured to provide payments for electric and natural gas efficiency projects that reduce energy usage. In addition to the current EFP offerings, Con Edison electric customers who pay into the Monthly Adjustment Clause (MAC) in the Downstate region are eligible for additional incentives through the Demand Management Program (DMP) for projects resulting in summer peak demand (kW) reductions.

#### **Demand Management Program (DMP)**

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

Applications will be accepted on a first-come, first-served basis through 5:00 pm EST on December 31, 2015, or until funds are exhausted. Additional funds for DMP are available for projects completed by June 1, 2016.

### ELIGIBLE TYPES OF APPLICANTS:

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

### Definitions:

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

- *Project* = the plan for the implementation of eligible measures at a specified facility. The Project may include multiple energy efficiency measures.

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

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

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

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

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

#### **Overall Equipment & Project Eligibility**

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

##### Lighting

- All four-foot T8 fixtures must be high performance, or low wattage, as defined by the Consortium for Energy Efficiency (CEE).
- Installation of T12 lighting technology is ineligible for funding.
- Only hardwired and pin-based CFLs are eligible. Screw-in compact fluorescent lighting with any type of adapter is ineligible for funding. Any adapter (i.e. locking devices/discs/pin-based converters/etc...) that secures screw-in compact fluorescent lighting does NOT make screw-in CFLs eligible for incentives.
- Re-lamping projects are ineligible for funding. Re-lamping is defined as the replacement of only the removable lamp(s) in a light fixture of the same technology type.
- De-lamping / lamp removal may contribute to no greater than 20% of a project's total energy savings.
- Applicants implementing Solid State Lighting (SSL) projects should review the most current [EFP SSL \(LED\) policy](#) for eligibility.
- All lighting projects require the [Existing Facilities Program Lighting Form](#).

##### HVAC

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

##### Super-Efficient Electric Chiller Bonus

Water-cooled electric chillers greater than or equal to 300 tons may be eligible for a bonus if the proposed efficiencies exceed the centrifugal standard detailed in [Addendum 'bt'] of ASHRAE 90.1 2007 by specified levels. For more information, refer to the [Technical Guidance Document for Chillers](#) and the [Super Efficient Electric Chiller Bonus Estimator](#).

##### Demand Management Program Incentives

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

Eligible demand management measures include:

- Thermal (Ice) Storage

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

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

#### Custom Projects

Applicants considering projects other than lighting, HVAC, motors, Variable Frequency Drives (VFDs), or Energy Management Systems (EMS) should contact NYSERDA to discuss eligibility.

#### **INELIGIBLE ACTIVITIES:**

- 1) Projects with simple payback periods greater than 18 years (excluding NYSERDA incentives) are ineligible. NYSERDA's incentives will be adjusted to ensure these payback thresholds are adhered to.
- 2) Applicants may not obtain incentives for the same energy efficiency measures through other NYSERDA programs or from programs offered by their local utility.
- 3) Ineligible projects include power quality, power factor improvements, and most fuel switching activities. Residential projects are also ineligible for participation in the program.

#### **ADDITIONAL RESOURCES:**

EFP Website: [www.nyserda.ny.gov/Existing-Facilities-Program](http://www.nyserda.ny.gov/Existing-Facilities-Program)

DMP Website: [www.nyserda.ny.gov/Demand-Management-Program](http://www.nyserda.ny.gov/Demand-Management-Program)

Buildings Outreach: [Outreach@nyserda.ny.gov](mailto:Outreach@nyserda.ny.gov)

EFP Program Manager: Scott Smith

(518) 862-1090 x3344 or [sas@nyserda.ny.gov](mailto:sas@nyserda.ny.gov)

## **NYS Energy Research and Development Authority – Industrial and Process Efficiency Program**

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

#### **DESCRIPTION:**

The New York State Energy Research and Development Authority (NYSERDA) will invest over \$120 million of Energy Efficiency Portfolio Standard (EEPS) funds through its Industrial and Process Efficiency (IPE) Program to provide performance-based incentives to manufacturers and data centers implementing energy efficiency and process improvements.

IPE assists commercial and industrial manufacturers and data centers in identifying ways to improve energy efficiency through capital investments and process improvements by offering capital incentives and practical technical assistance while recognizing the importance of sustaining reliability and maximizing uptime. IPE's goal is to help manufacturers and data centers increase product output and improve data processing as efficiently as possible. IPE focuses on projects that improve manufacturing process productivity and data center efficiency. For example, projects that increase throughput, reduce scrap, improve productivity, and prioritize and optimize server loads all have an energy component. Manufacturing, industrial, and data center facilities are eligible for participation in this program and are engaged through effective marketing, which

includes key account strategies to build ongoing relationships as the primary energy efficiency resource for customers.

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

**ELIGIBLE TYPES OF APPLICANTS:**

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

- Manufacturing facilities, or support operations such as warehousing and distribution sites.
  - Example: Plastics and Packaging, Chemicals, Petrochemicals, Metals, Paper and Pulp, Transportation, Biotechnology, Pharmaceutical, Food and Beverage, Mining and Mineral Processing, General Manufacturing and Equipment Manufacturers.
- Data Centers located in various business sectors
  - Example: Manufacturing, Financial, Higher Education, Health Care, Commercial Real Estate, Service Provider, Co-location Facilities, Government, Legal, Insurance, and Telecom

**ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:**

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

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

- Generally, projects that save energy are eligible; however, NYSERDA’s focus is on projects that improve manufacturing process productivity and data center efficiency.
  - For example, projects that increase throughput, reduce scrap, improve productivity, and prioritize and optimize server loads all have an energy component and may be eligible for a NYSERDA incentive.
- NYSERDA also provides incentives for improvements to support system efficiency such as motors, VFDs, process cooling, compressed air, air flow management (hot isle/cold isle), and UPS system upgrades.

- O&M incentives are available for projects that deliver verifiable annual energy savings resulting from upgrades or initiatives to improve operations. Projects may involve: Compressed air system leak management, replacement of leaking steam traps, installation of cogged styles fan belts, burner tune-up, server power management, air flow controls optimization, or dynamic temperature monitoring and adjustment.
- In order to be considered eligible, a facility must pay into the System Benefits Charge (SBC) as electric and/or natural gas distribution customers through one of the following utility companies:
  - The Brooklyn Union Gas Company d/b/a National Grid NY
  - Central Hudson Gas & Electric Corporation
  - Consolidated Edison Company of New York, Inc.
  - KeySpan Gas East Corporation d/b/a National Grid (KEDNY/KEDLI)
  - National Grid Generation d/b/a National Grid
  - National Fuel Gas Distribution Corporation
  - New York State Electric & Gas Corporation
  - Orange and Rockland Utilities, Inc.
  - Rochester Gas and Electric Corporation
- Projects must qualify for an incentive of at least \$30,000.
- A facility may receive an incentive for a specific energy efficiency measure either through NYSERDA or a utility company, but not both.

**Additional incentives for Con Edison electric customers:**

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

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

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

**FUNDING PRIORITIES:**

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

**ADDITIONAL RESOURCES:**

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

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

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

**Amount available: Up to 910 Megawatts**

**Description:**

ReCharge New York (RNY) is a statewide economic development power program designed to retain or create jobs through allocations of lower cost electricity to businesses and Not-for-Profit Corporations. The majority of the power remaining to be allocated will be for businesses that plan to expand operations in the state or are looking to relocate to New York State. The RNY power program is a valuable tool for promoting economic development within the state. Businesses and Not-for-Profit Corporations are eligible to apply. The program is not available to sports venues, retail businesses, gaming or entertainment related establishments, and places of overnight accommodations.

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

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

## *Environmental Improvements*

**New York State DEC/EFC Wastewater Infrastructure Engineering Planning Grant**

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

**Description**

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

The Wastewater Infrastructure Engineering Planning Grant will assist municipalities with a Median Household Income (MHI) of \$65,000 or less with the engineering and planning costs of CWSRF-eligible water quality projects. Grants of up to \$50,000<sup>1</sup> (with a 20% required local match) will be provided to finance activities including engineering and/or consultant fees for engineering and planning services for the production of an engineering report.

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

The ultimate goal of this wastewater infrastructure engineering planning grant program is to assist needy communities with funding necessary to initiate a planning process and follow-up implementation plan to address local water quality problems. Successful applicants can use the engineering report funded by the grant when seeking financing through the CWSRF program or other financial means to further pursue the identified solution.

#### Eligible Types of Applicants

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

#### Eligible Activities

Funding can be used by municipalities for the preparation of an engineering report<sup>2</sup> and planning activities to determine the scope of water quality issues. Priority will be given to municipalities proposing planning projects with a documented water quality impairment:

- reporting 4 or more events in 2013 under the Sewage Pollution Right to Know Act;
- documented Sanitary Sewer Overflow (SSO)-related issue;
- required by an executed Order on Consent;
- required by a SPDES permit;
- upgrade or replace an existing wastewater system;
- construct a wastewater treatment and/or collection system for an unsewered area.
- identified in a Total Maximum Daily Load (TMDL)

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

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

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

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

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

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

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

#### Ineligible Activities

- Projects that do not lead to the restoration or protection of a surface waterbody.
- Projects and scope listed on the 2014 CWSRF Intended Use Plan Annual Project Priority List.
- Design and construction costs for the wastewater treatment and/or collection systems.

#### Project Term Completion Dates:

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

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

**Matching Fund Requirements/Deadlines:**

- The grant will provide for up to 80% of the total eligible project costs set forth in the application. The applicant is required to provide the balance of the funds needed to complete the initial planning undertaken with the grant.
- A minimum 20% local match is required. Match can include cash and/or in-kind services. Other grants may not be used for local match. The applicant should identify the source of the match at the time that the application is submitted.

**Additional Resources**

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

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

**Funding Available: \$12.6 million**

**DESCRIPTION:**

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

Green infrastructure practices treat rainwater as a valuable resource to be harvested and used on site, or filtered and allowed to soak back into the ground, recharging our aquifers, rivers and streams. The plants used in green infrastructure help to cool our surroundings and improve air quality through the process of evapotranspiration. These green practices can also help beautify our streets and neighborhoods, improve property values, revitalize downtowns and improve the overall quality of our lives.

Projects selected for funding go beyond providing a greener solution; they maximize opportunities to leverage the multiple benefits of green infrastructure, which include restoring habitat, protecting against flooding, providing cleaner air, and spurring economic development and community revitalization. At a time when so much of our infrastructure is in need of replacement or repair and communities are struggling to meet competing needs, we need resilient and affordable solutions like green infrastructure that can meet many objectives at once.

EFC seeks highly visible demonstration projects which:

- Create and maintain green, wet-weather infrastructure
- Spur innovation in the field of stormwater management
- Build capacity locally and beyond, to construct and maintain green infrastructure
- Facilitate the transfer of new technologies and practices to other areas of the State

GIGP Round 6 applicants are strongly encouraged to work with their Regional Council to align their project with regional goals and priorities. EFC reserves the right to fund all, or a portion of, an eligible proposed project. Funding will be provided to selected projects to the extent that funds are available.

**ELIGIBLE TYPES OF APPLICANTS:**

- Municipalities
- State Agencies
- Public Benefit Corporations
- Public Authorities
- Not-for-profit Corporations
- For-profit Corporations
- Individuals
- Firms
- Partnerships
- Associations

- Soil and Water Conservation Districts

In accordance with the laws, rules, and regulations governing the Clean Water State Revolving Fund (CWSRF) and GIGP, **projects defined as point source projects under Section 212 of the Clean Water Act (CWA) must be publicly-owned.**

Projects which are explicitly required under / by one or more of the following are point source projects and must be publicly owned:

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

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

Non-municipal applicants such as school districts, private or not-for-profit organizations, individuals, firms, partnerships, associations, and soil and water conservation districts should contact the Green Innovation Grant Program Team at 518-402-7461 to verify project eligibility.

Eligible applicants may submit more than one grant application, however, EFC reserves the right to limit GIGP Round 6 funding to one grant award per applicant.

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

The Green Innovation Grant Program provides funding for eight specific green infrastructure practices:

##### Permeable pavement, e.g. porous asphalt, concrete, or pavers

Permeable pavement is designed to convey rainfall through the pavement surface into an underlying reservoir where it can infiltrate, thereby reducing stormwater runoff from a site. Given appropriate soil and subsurface conditions, permeable pavements can be used in any type of development, for example: roads, parking lots, sidewalks, basketball and tennis courts, playgrounds, and plaza surfaces. Permeable pavement includes pervious asphalt and concrete and pervious pavers such as reinforced turf, interlocking modules and unit pavers.

##### Bioretention, e.g. rain gardens or bioswales

Bioretention systems are shallow vegetated depressions often referred to by a variety of names such as bioinfiltration areas, biofilters, rain gardens, bioswales, or recharge gardens. They are very effective at removing pollutants and reducing stormwater runoff. These systems are designed to collect water in the depression where it ponds on the surface. This water is then used by the vegetation in evapotranspiration and infiltrated into the soil. Larger volume systems are designed to include stone storage underneath the soil to provide additional stormwater capacity. Properly designed bioretention techniques mimic natural ecosystems through species diversity, density and distribution of vegetation, and the use of native species, which results in a system that is resistant to insects, disease, pollution, and climatic stresses.

##### Green roofs and green walls

Green roofs consist of vegetation, growing media, and a drainage layer installed on top of a conventional flat or sloped roof. The rooftop vegetation soaks up rainwater. Some of this water evaporates off the surface, some is used by the plants in evapotranspiration, and in larger storms a portion of the water will runoff. Through storage of water in the plants, the soils and the drainage layer, the green roof reduces stormwater runoff volumes and attenuates peak flows.

*Green Walls* are typically vertical systems which consist of a modular container to hold growing media and vegetation. Vegetation can be rooted in the ground, or in modular containers, growing blocks or growing mats located at various heights along the face of the structure. In addition, green walls provide air quality and stormwater benefits, and can help to reduce energy usage.

Stormwater street trees / urban forestry programs designed to manage stormwater

*Stormwater street trees* include engineered tree pits, tree boxes and trenches designed to capture stormwater from the adjacent roadway and manage the stormwater through evapotranspiration and infiltration.

*Urban Forestry Programs* use a detailed inventory and map of existing and proposed trees to manage and maintain their urban forest. These tools help determine planting sites, select appropriate species, schedule maintenance, and evaluate the most effective practices to ensure tree health and stormwater capacity. By using these tools, an urban forestry program provides water quality benefits in addition to numerous other benefits including: reduced energy usage by shading buildings in the summer to reduce thermal loads and blocking winter winds, providing wildlife habitat, sequestering carbon dioxide and other greenhouse gases, intercepting and absorbing pollutants through their leaves and branches; increasing property values and revenues, reducing crime, engaging residents in creating safer neighborhoods, improving walkability of communities, calming traffic, and promoting smart growth.

Construction or restoration of wetlands, floodplains, or riparian buffers

*Riparian Buffers* are vegetated or undisturbed natural areas that filter runoff before it enters a waterbody. Riparian zones reduce sediment, nitrogen, phosphorous, pesticides and other pollutants by soaking the water and associated pollutants into the ground where some of these can be broken down. Healthy riparian buffers increase habitat, stabilize channels and banks, improve water quality, provide stream shade and temperature control, and improve aesthetics.

*Floodplains* are a natural water right-of-way that provide temporary storage for large flood events, keeping people and structures out of harm's way and preserving riparian ecosystems and habitats. Over time, people have filled-in and built on floodplains thereby reducing nature's ability to cope with large rain events. Restoring floodplains helps provide safe storage of excess water in large storm events, reduce volume through infiltration and evaporation, and filter sediment and nutrients from the water before it reaches or re-enters the larger waterbody.

*Constructed Wetlands* are shallow marsh systems planted with emergent vegetation that are designed to treat stormwater runoff. They are extremely effective for pollutant removal, and can also mitigate peak rates and reduce runoff volume. Constructed wetlands have considerable aesthetic and wildlife benefits and are a good option for retrofitting existing detention basins.

Stream daylighting

Stream daylighting includes the removal of natural streams from artificial pipes and culverts to restore a natural stream morphology that is capable of accommodating a range of hydrologic conditions while providing biological integrity. Stream daylighting improves habitat, promotes infiltration, helps reduce pollutant loads and can provide better runoff attenuation because it increases the storage size of the natural system. The historic enclosure of rivers and streams often took place in urbanized areas to accommodate development. Stream daylighting re-establishes stream banks where culverts once existed. This often requires updating of existing grey stormwater infrastructure. When the operation is complete, what was once a linear pipe of heavily polluted water becomes a meandering stream with dramatic improvements to both aesthetics and water quality. Stream daylighting is not only an important water quality practice, but it is also a powerful economic development and community revitalization tool.

Downspout disconnection

Downspout disconnection is the removal of roof runoff from a direct connection to the combined or storm sewer. Historically, many communities required that roofs have stormwater connected to the sewer to rapidly convey the water away from the structure. However, by redirecting the rain to a designated vegetated pervious area, runoff volume can be greatly reduced and water quality benefits can be achieved. When disconnecting a downspout, the runoff is directed to a vegetated and pervious area where plants and soil can filter and infiltrate the water.

Stormwater harvesting and reuse, e.g. rain barrel and cistern projects

Rain barrels are rooftop catchment storage systems typically utilized in residential settings while cisterns are large-scale rain barrels used in commercial and industrial settings. Rain barrels and cisterns capture and store stormwater runoff to be used later for lawn and landscaping irrigation, or water can be filtered and used for non-potable activities such as car washing or filling swimming pools. Rain barrels and cisterns may be constructed of any water-retaining material; their

size varies from hundreds of gallons for residential uses to tens of thousands of gallons for commercial and/or industrial uses. The storage systems may be located either above or below ground and may be constructed of on-site material or pre-manufactured.

#### PRE-APPLICATION REQUIREMENTS:

All applicants must submit a conceptual site plan, a feasibility study, site photographs, and a map of the project location with their Consolidated Funding Application (CFA). Minimum content requirements for the feasibility study, conceptual site plan, and map are included in the CFA and can also be found at: <http://www.efc.ny.gov/Default.aspx?tabid=124>

#### INELIGIBLE ACTIVITIES:

Projects which are **NOT ELIGIBLE** for GIGP funding include:

- Stormwater controls that have impervious or semi-impervious liners and provide no compensatory evapotranspirative or harvesting function for stormwater retention
- Stormwater ponds that serve an extended detention function and/or extended filtration, including dirt-lined detention basins
- In-line and end-of-pipe treatment systems that only filter or detain stormwater
- Underground stormwater control and treatment devices such as swirl concentrators, hydrodynamic separators, baffle systems for grit, trash removal/floatables, oil and grease, inflatable booms and dams for in-line underground storage and diversion of flows
- Stormwater conveyance systems that are not soil/vegetation based (swales) such as pipes and concrete channels
- Hardening, channelizing or straightening streams and/or stream banks
- Street sweepers, sewer cleaners, and vector trucks, unless they support green infrastructure projects
- Water meters
- Wetlands construction or restoration required as compensation (mitigation) for adverse impacts to wetlands or other environmental damage caused through construction activities. This ineligible category includes both tidal and freshwater wetland mitigation projects

#### ADDITIONAL RESOURCES:

For more information, visit <http://www.efc.ny.gov/gigp>

## Sustainability Planning and Implementation

### NYS Energy Research and Development Authority – Cleaner, Greener Communities Program, Phase II Implementation Grants

Funding Available: Up to \$31 million

#### APPLICATION DUE DATES

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

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

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

#### INTRODUCTION

The Cleaner, Greener Communities (CGC) Program was announced by Governor Cuomo in his 2011 State of the State address as a competitive grant program to encourage communities to develop and implement regional sustainable growth strategies. The CGC Program builds on the Climate Smart Communities Program, which was established in 2009 by the New York State Department of Environmental Conservation and the New York State Energy Research and

Development Authority (NYSERDA) as a network of local governments across New York that have committed, by voluntarily adopting the Climate Smart Communities Pledge, to reduce their greenhouse gas (GHG) emissions and to prepare for unavoidable changes in climate. The CGC Program provides enhanced support for development and implementation of regional sustainability plans to help ensure that New York State's (NYS) ongoing and substantial investments in infrastructure help to shift communities and NYS as a whole toward a more environmentally and economically sustainable future. The primary goal of the CGC Program is to encourage communities to create public-private partnerships and develop regional sustainable growth strategies in such areas as emissions control, energy efficiency, renewable energy, low-carbon transportation, and other carbon reductions. [Phase I of CGC](#) provided funding to the 10 Regional Economic Development Council (REDC) regions in NYS for the development of Regional Sustainability Plans. [Phase II of CGC](#) (CGC II) offers grant funding for projects that support the goals of each region's respective sustainability planning effort. This solicitation, PON2951, is the second in a series of funding rounds to support these types of projects. A subsequent round is expected in 2015. A total of \$90 million in potential funding awards will be available over the three-year life of the CGC Program. The CGC Program is funded with proceeds from the Regional Greenhouse Gas Initiative (RGGI), the purpose of which is to lower carbon emissions in the participating states.

#### **PROGRAM DESCRIPTION**

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

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

#### **FUNDING CATEGORIES - SUMMARY**

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

**Category 2 – Planning Initiatives (Due Date Applications - Competitive):** Up to \$5 million will be available to support comprehensive planning, zoning amendments, predevelopment technical assistance for projects, or other innovative planning-related initiatives. These initiatives will prepare a community, region, or project for a more sustainable and resilient future; thereby creating [indirect](#) community benefit and carbon reductions. Initiatives must be ready to commence within 3 months of NYSERDA contract execution and should be completed within 3 years of contract execution. Applicants may not commence work on any portion of the project until there is a fully executed contract with NYSERDA. Awards will range from \$25,000 to \$250,000 per project with a 25% minimum cost share requirement. Award amounts will be primarily based on the innovative and transformative merits of the application in its ability to advance sustainable planning practices. **Proposals for Category 2 are due by 4:00pm Eastern Standard Time on June**

**16, 2014.** For specific application requirements, please see the section of this document entitled “FUNDING CATEGORIES – DETAILED PROGRAM REQUIREMENTS.”

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

### **FUNDING CATEGORIES – DETAILED PROGRAM REQUIREMENTS**

#### ***CATEGORY 1: PHOTOVOLTAIC AND ELECTRIC VEHICLE SUPPLY EQUIPMENT PERMITTING INCENTIVES***

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

#### ***ELIGIBLE APPLICANTS – CATEGORIES 2 AND 3***

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

#### ***CATEGORY 2: PLANNING INITIATIVES***

Funding Available: Up to \$5 million.

#### **Category 2 Project Eligibility**

All Category 2 applicants must propose a *qualified planning initiative*. A *qualified planning initiative* shall be defined as: a single project consisting of creating or revising a municipal comprehensive plan, drafting and implementing zoning amendments, pre-development technical assistance for a specific capital project, or another innovative planning-related initiative that will better prepare a community, region, or project for a more sustainable and resilient future. Eligible applicants may include only one specific project or initiative in the application. Proposals targeting multiple projects or initiatives are not eligible under this category. All proposals must demonstrate how initiatives are innovative, support local or regional sustainable economic development, and will serve to transform future market practice in a manner that will have multiple long term community benefits and reduction of carbon emissions. NYSERDA recommends using the Technical Guidance Manual for Sustainable Neighborhoods, created by the United States Green Building Council in partnership with the Land Use Law Center at Pace Law School, to guide community planning processes and proposal development. NYSERDA also recommends considering the LEED® for Neighborhood Development Floating Zone as part of anticipated planning and zoning efforts. A resource for form-based codes is available at <http://www.formbasedcodes.org/>. Use of other nationally recognized standards or development of new

standards to meet market needs are also encouraged.

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

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

#### **Category 2 Ineligible Initiatives**

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

#### **Category 2 Application Process**

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

#### **CATEGORY 3: COMMUNITY-SCALE SUSTAINABILITY PROJECTS**

Funding Available: Up to \$25 million

#### **Category 3 Project Eligibility**

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

eligible.

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

Prerequisites for showcase or anchor construction projects:

A. SMART LOCATION

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

B. WALKABLE STREETS

- a. Includes public-facing building entries (other than a parking lot) on 90% of building frontage;
- b. Includes a minimum of 15% of street length with building-height-to-street ratio of at least 1 to 3;
- c. Includes a minimum of 90% of street length with sidewalks; and
- d. Includes no more than 20% of street length with garage doors.

C. COMPACT DEVELOPMENT

- a. Provides at least 7 dwelling units per acre for residential; and
- b. Meets a minimum 0.5 floor-area ratio for non-residential.

D. NEIGHBORHOOD CONNECTIONS

- a. Includes streets or pathways into the development at least every 800 feet;
- b. Includes at least 140 intersections per square mile;
- c. If the project has no internal streets, is surrounded within a ¼ mile by an existing street network of at least 90 intersections a square mile; and
- d. Provides for bicycle paths and bicycle parking.

E. GREEN INFRASTRUCTURE AND BUILDINGS

- a. Targets making 90% of building square footage a minimum of 10% more efficient than the energy code;
- b. Targets reducing water usage 20% over baseline requirements or use; and
- c. Uses a green building rating system to certify at least one project building.

For more detail regarding how to meet these pre-requisites, please reference the U.S. Green Building Council's Leadership in Environmental and Energy Design (LEED) for Neighborhood Development rating system<sup>3</sup>.

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

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

- C. Providing *scalable* technical assistance services addressing specific market barriers; and
- D. Other innovative projects or programs that break down market barriers.

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

Applicants must request \$500,000 to \$5,000,000 of NYSERDA funding per project. NYSERDA may make award offers at amounts lower than those for which the applicant proposed, pursuant to the scope and merit of the proposal received, but will not make awards less than \$500,000. NYSERDA, in order to avoid double-funding projects or measures within projects, may also adjust awarded funding amounts at any time based on new information regarding other secured project funding. A minimum cost-share of 25% is required. The applicant cost-share and the NYSERDA share must contribute to the same project or measures within the project intended to reduce carbon emissions, promote energy efficiency, or increase use of renewable energy. All demonstrated cost-share must be confirmed by signed commitments from contributing parties. Other NYS funding sources, including other NYSERDA funding, shall not count toward the proposer's cost-share. For example, if an applicant requests \$750,000 from NYSERDA, the applicant must commit a minimum cost share of \$250,000, for a total minimum project cost of \$1,000,000. Cost share may include private equity or grants, loans, in-kind or volunteer services documented in dollar value, or other non-NYS government funding sources. For the purposes of this solicitation, "NYS government funding" is defined as a grant or an incentive that is received from a NYS governmental entity. This funding cannot be counted as any portion of the applicant cost-share. For the purposes of this solicitation, annual NYS funding going toward standard operating costs for an organization is not considered "NYS government funding." A retainage equal to 10% of the NYSERDA award will be withheld throughout the project and will be payable upon project completion and acceptance of all reporting requirements.

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

### Category 3 Ineligible Projects

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

- Projects or measures within projects that are required by law or regulations;
- Projects that have an aggregate adverse effect on indoor or outdoor air quality, carbon emissions, or public health in general;
- Natural gas, electricity, or other "fuel distribution or supply lines" including, but not limited to, gas pipelines and electricity lines. For the purposes of this solicitation, combined heat and power systems and district energy systems are not considered "fuel distribution or supply lines;"
- Design and construction costs for projects comprised of only residential buildings consisting of between one

and four units;

- Research and development (R&D) or commercialization efforts for products, processes, or other activities;
- Biomass heating or biomass energy generation equipment that combusts or gasifies any fuel other than premium wood pellets. (Premium wood pellet biomass measures are eligible, but must comply with NYSERDA's CGC Biomass Heating System Program Requirements, which can be accessed at the [CGC Guidance Documents](#) webpage). For the purposes of this solicitation, landfill gas energy generation equipment, bio-digesters, and the fuels produced as a result of their processes, are not considered biomass;
- Costs of consumables, including, but not limited to, fuels such as gasoline, wood pellets, fuel oil, and biodiesel;
- Projects that involve improvements to a single building;
- Projects focused on the installation of a single technology into a building or site; and
- Research studies.

#### **DISCLAIMER**

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

#### **ADDITIONAL RESOURCES**

All CGC program resources and guidelines can be found on the CGC Guidance Documents webpage at the following location: <http://www.nyserda.ny.gov/Statewide-Initiatives/Cleaner-Greener-Communities/Implementing-Smart-Development-Projects/Guidance-Documents.aspx>. NYSERDA may host an interactive online webinar-based information session to answer questions about this solicitation. Webinar information will be posted on NYSERDA's [CGC Guidance Documents](#) webpage. Within two weeks of the information session, NYSERDA will issue a "Frequently Asked Questions" document specific to this solicitation and will post it on this website. All other questions about this solicitation should be submitted to NYSERDA, in writing, at [CGC@nyserda.ny.gov](mailto:CGC@nyserda.ny.gov). Due to the large number of inquiries expected, NYSERDA may not be able to return phone calls.

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

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

#### **DESCRIPTION:**

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

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

#### **ELIGIBLE APPLICANTS:**

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

Generally local governments must apply cooperatively for an LGE grant. However, in certain instances the program can provide direct assistance to fiscally stressed local governments to implement internal reorganizations or service delivery modifications.

**ELIGIBLE ACTIVITIES / PROGRAM FUNDING:**

Local governments may apply for implementation planning and implementation projects.

- The maximum funding for planning, or the planning component of a project that includes both planning and implementation, is \$12,500 for each local government involved in the project, not to exceed \$100,000.
- The total maximum cumulative funding for a project is \$200,000 for each local government involved in the project, not to exceed \$1,000,000.

Applicants are required to provide matching funds for all projects.

- For a planning grant, matching funds equal to at least 50% of the total project cost shall be required. Upon implementation, the original matching funds required will be refunded up to 90% of the eligible costs.
- For an implementation project, matching funds equal to at least 10% of the total project cost shall be required.

All grants are reimbursement grants. In order to receive full funding, the awardees must demonstrate that the project has received all appropriate public consideration, referenda where required.

For projects that implement a previously funded planning grant under the Local Government Efficiency (LGE) Grant program or the Shared Municipal Services Incentive (SMSI) program, the grant award from this RFA will be increased by the amount of the local matching funds provided for the planning grant.

**INELIGIBLE ACTIVITIES:**

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

## ***Education/Workforce Development***

### **Department of State - Workforce Development Grants**

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

**DESCRIPTION**

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

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

**ELIGIBLE PROJECT TYPES**

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

1) **Job Creation and Placement**

Expected Result: Workers and potential workers will obtain full-time skilled employment or improve opportunities for skilled employment.

2) **Workforce Education and Development**

Expected Result: Participants will be prepared to obtain full-time skilled employment.

3) **Soft Skill Development**

Expected Result: Participants will be better prepared to enhance their “soft skills” and grow as a full-time, skilled employee.

4) **Entrepreneurial Development**

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

**ELIGIBLE APPLICANTS**

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

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

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

Applicants are **required** to demonstrate that their organization:

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

**AWARDS, CONDITIONS & REQUIREMENTS**

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

**CONTACT/ADDITIONAL PROGRAM INFORMATION**

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

## Department of Labor - Workforce Development

Funding Available: Up to \$5 million

### Department of Labor – Workforce Investment Act

#### DESCRIPTION:

Provides grants on a competitive basis for occupational skills upgrading and training of employed and long-term unemployed workers to enhance hiring and workforce skills, commensurate with regional economic development strategic plans.

#### ELIGIBLE PROJECT TYPES:

Business Hiring and Training Incentives

#### Existing Employee Training

##### *Program Description:*

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

#### New Hire Training

##### *Program Description:*

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

#### Unemployed Worker Training

##### *Program Description:*

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

#### ELIGIBLE APPLICANTS:

- For Existing Employee Training and New Hire Training:
  - Private sector for-profit businesses, including corporations, LLCs, LLPs, etc. with two or more employees
  - Private sector not-for-profit businesses with two or more employees
- For Unemployed Worker Training:
  - Private sector for-profit businesses, including corporations, LLCs, LLPs, etc. with two or more employees;
  - Private sector not-for-profit businesses with two or more employees; or
  - Training providers.

#### AWARD, CONDITIONS & REQUIREMENTS:

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

#### Matching Fund Requirements:

Existing Employee Training and Unemployed Worker Training programs have no match requirements. New Hire Training match must be at least 50% of the trainee's wages. Contracts resulting from this RFP will be awarded for a period of up to one year and will operate on a reimbursable basis. Only not-for-profit organizations funded under the Unemployed Worker Training program will be eligible for a cash advance of up to 25% upon contract execution at the Department's

sole discretion and subject to the availability of funds appropriated and available for contracts entered into pursuant to this RFP. Any award must be expended on program activities in New York State.

**CONTACT/ADDITIONAL PROGRAM INFORMATION:**

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

## *Low Cost Financing*

### **Federal Industrial Development Bond Cap**

**Available Funding: Up to \$350 million**

**DESCRIPTION:**

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

**ELIGIBLE APPLICANTS/PROJECT TYPES:**

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

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

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

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

**NY Rising Summary**

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

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

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

**Opportunity Agenda Summary**

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

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

**CONTACT/ADDITIONAL PROGRAM INFORMATION:**

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

## Office of Storm Recovery – Resilience Fund Low-Cost Financing

**DESCRIPTION:**

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

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

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

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

**Eligible Activities / Program Benefit Requirements:**

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

- (1) Economic Development: These projects should present ways the community will return economic and business activities to a state of health, and to develop new economic opportunities. Examples of projects include:
  - Adoption of storm mitigation measures to reduce the risk of doing business in a community
  - Investment in infrastructure to serve commercial and industrial areas
- (2) Infrastructure: These projects should express how a community will restore, repair, and manage critical infrastructure and facilities. Examples of projects include:
  - New investments in infrastructure that would most effectively improve services to the community, resilience, and economic growth

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

**Ineligible Activities:**

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

- General government expense
- Political activities
- Operations and maintenance
- Infrastructure improvements where the damage was a result of deferred maintenance
- Income payments to individuals
- Assistance to homeowners and for second homes
- Replacement of lost business revenue as a result of the storm
- Direct financial assistance to businesses
- Assistance to private utilities
- Purchase of equipment (with several exceptions, e.g., generators for community resiliency needs, a public service activity, a solid waste disposal facility, or an integral part of a public facility project)
- Any assistance to a business or property owner who received FEMA assistance in the past where required flood insurance has not been maintained

**Eligible Applicants:**

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

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

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

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

**Capacity to Implement Resilient Infrastructure Project:**

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

**Relationship to Storm Event:**

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

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

**Pre-Application Requirements:**

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

**Financing Priorities:**

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

**Selection Criteria:**

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

**Program Criteria:**

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

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

**Financing Terms:**

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

**Local Match:**

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

**Contact / Additional Program Information:**

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

Division of Homeland Security and Emergency Services  
1220 Washington Ave.  
State Campus, Bldg. 7A  
Albany, NY 12242

NONPROFIT ORGANIZATIONS WITHIN THE NEW YORK CITY URBAN AREA

**Federal Fiscal Year 2014 Urban Area Security Initiative (UASI) Nonprofit Security Grant Program (NSGP)**

Description:

Request for Applications (RFA) for up to \$75,000 in federal Urban Area Security Initiative (UASI) Nonprofit Security Grant Program (NSGP) funding made available by the NYS Division of Homeland Security and Emergency Services (DHSES) from the U.S. Department of Homeland Security Federal Emergency Management Agency. There is a total of \$13 million nationally in funding available under this grant program and funds will be awarded competitively based on the submission of applications by eligible nonprofit organizations located within the New York City Urban Area.

Funding will be awarded to support target hardening activities to nonprofit organizations (as described under section 501(c)(3) of the Internal Revenue Code of 1986 and exempt from tax under section 501(a) of such Code) that are at high risk of terrorist attack due to their ideology, beliefs, or mission and are located within the New York City Urban Area (includes the Cities of New York and Yonkers and the Counties of Westchester, Nassau and Suffolk). The program seeks to integrate nonprofit preparedness activities with broader state and local preparedness efforts. It is also designed to promote coordination and collaboration in emergency preparedness activities among public and private community representatives, as well as State and local government agencies.

Due to the competitive nature of this program, funding preference will be given to nonprofit organizations that have not received prior years funding.

Applications will be accepted only through May 9, 2014, through New York State's Division of Homeland Security and Emergency Services (NYS-DHSES) electronic grants management system (E-Grants).

*For application and instructions, please contact:* Division of Homeland Security and Emergency Services, Valerie Bloomer, 1220 Washington Ave., State Office Campus, Bldg. 7A, Albany, NY 12242, grants@dhses.ny.gov, 1-866-837-9133

