

NOTICE OF AVAILABILITY OF STATE AND FEDERAL FUNDS

NOTICE OF AVAILABILITY

2015 Consolidated Funding Application

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

- Direct Assistance to Businesses and Other Organizations
- Community Development
- Waterfront Revitalization
- Energy
- Environmental Improvements
- Sustainability Planning and Implementation
- Education/Workforce Development
- Low Cost Financing

This announcement is meant to provide a general overview of the programs included in this year's REDC/CFA competition and does not contain all program requirements and guidelines. The full solicitation, application materials, and details for CFA workshops are available online at www.regionalcouncils.ny.gov. The funding solicitation opens on Friday, May 1, 2015 and applications will be accepted through the CFA until 4:00 pm on Friday, July 31, 2015.

Please be advised that the majority of CFA grants are subject to the New York State Executive Law Article 15-A which requires, where applicable, the establishment of minority-and women-owned business enterprises ("M/WBE") contract goals. Governor Cuomo has established a goal of expanding M/WBE participation in state contracting to 30%. For more information with regard to the M/WBE requirements, please contact the appropriate Regional Council in your project area for assistance.

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

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

Funding is available through the following programs:

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, Global NY projects, Veterans' Related Projects 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.

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 multi-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 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:

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.

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

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

records are required under section 2257 of Title 18, United States Code, to be maintained with respect to any performer in such production.

The Job Growth Track comprises 75% of the Program and includes projects creating new jobs in New York.

Targeted Activity	Minimum Job Creation Threshold
Scientific R&D	5
Software Development	5
Agriculture	5
Manufacturing	10
Back Office	50
Distribution	75
Music Production	5
Entertainment Company	100

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

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

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

New York State Business Incubator Program
Funding Available: Up to \$1.25 million

DESCRIPTION: Empire State Development’s (ESD) New York State Business Incubator Program was funded as part of the 2015-2016 State Budget and provides significant financial support for business incubators in the state. This underscores the importance of business incubation to the Governor’s overall economic-development strategy.

Business incubation is the process of accelerating the successful development of entrepreneurial companies through an array of business support resources and services targeting start-up companies. A business incubator is an entity responsible for organizing and managing an array of services designed to increase the success rate of early stage companies.

The goal of this competition is to increase access to incubator services provided to young companies thereby enabling these businesses to successfully transition from early state to larger scale production.

ELIGIBLE APPLICANTS: An entity wishing to be designated as a New York State Business Incubator must be a New York State not-for-profit currently providing business incubation services for at least three years. Entities not meeting this threshold may partner with other business development organizations or the Regional Innovation Hotspot to meet the three year requirement.

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

ESD anticipates making ten awards of up to \$125,000 annually for three years.

SUCCESSFUL APPLICANT REQUIREMENTS: Entities seeking designation under this program must meet the following requirements including:

- New York State not-for-profit;
- Documentation of incubation services provided over the last three years;
- Demonstrated link to regional sources of innovation and expertise;
- Commit to financially and programmatically maintaining the incubator for three years from date of designation;
- Commit to best practices of incubation;
- Provide a strategic plan that describes how it intends to positively impact the regional entrepreneurial environment;
- Detail the process it uses to accelerate the development and commercialization of its clients products and services;
- Expand those services in scope or provide new services;
- Provide a two-to-one match of the grant funds it receives for the operation of the incubator; and
- 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.

FUNDING PRIORITIES: ESD will seek to fund those incubators 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 their regional Hot Spot or other incubators in the region so as to leverage other regional economic development assets.

Applications will be reviewed against nationally recognized best practices of the incubator community.

"Best Practice" incubators are those that provide a majority of these programs and services:

- An integrated array of services for start-up firms;
- Opportunities for clients to network and collaborate with other business services;
- Access to capital via referral to financial institutions, venture capitalists, angel investors and other sources;
- Aid in accessing markets;
- Physical, laboratory and/or manufacturing space;
- 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; and
- Access by clients to mentoring, advisory or educational services.

SELECTION CRITERIA: The CFA application will be scored by its respective Regional Council. In addition to review and evaluation by the Regional Councils, applications will be reviewed and scored by ESD. The programmatic goal of this solicitation is to have applicants (not-for-profits) focus on services related to one or more industry verticals instead of general business development services. These verticals include but are not limited to (textiles, fashion, food, dairy, Industrial kitchens, consumables, maker spaces, bio, info-based, nanotechnology, energy and others). Applicants are encouraged to partner with their respective Regional NYS Innovation Hot spot and have the support of their Regional Economic Development Council (REDC). This program is intended to expand, enhance, and improve existing programs and services offered by the entity.

Applications will be evaluated and judged using the following criteria:

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

ADDITIONAL RESOURCES:

Program Contact: Michael.Ridley@esd.ny.gov Phone: 518-292-5707

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.

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: Up to \$12 million

DESCRIPTION:

Market NY is a grant program established to strengthen and encourage 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. For the 2015-2016 Fiscal Year, up to \$12 million will be available for *Market NY*, a program that will support regionally themed New York focused projects.

Funding is available for projects intended to create economic impact by increasing 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 eligible, top scoring projects.

While this is one program, there are two separate funding tracks available, each with different requirements. The funding tracks are:

- 1.) **Regional Tourism Marketing Competition**- up to \$5 million in funding available; and
- 2.) **Tourism Facility Funding**- up to \$7 million in funding available.

Note: Applicants with Regional Tourism projects that include both marketing and capital elements please be sure to apply for both tracks.

Eligibility 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.

Note to Not-For-Profit Organizations:

Not-for-profit organizations who are successful in receiving grants must complete the following prior to ESD Directors' approval and execution of a Grant Disbursement Agreement or Loan Agreement: 1) be prequalified in New York State Grants Gateway; 2) be registered and up-to-date with filings with the New York State Office of the Attorney General's Charities Bureau; and 3) be registered and up-to-date with the New York State Office of the State Comptroller's VendRep System.

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 30 percent (30%). Each project will be assigned an individual contract-specific goal, which may be **higher or lower** than 30 percent (30%). Should an Applicant receive a funding award, the Applicant shall be required to use good faith efforts to achieve the prescribed MWBE goals assigned to this project. Applicants must maintain such records and take such actions necessary to demonstrate such compliance.

INFORMATION APPLICABLE TO SPECIFIC FUNDING TRACK:

1.) Regional Tourism Marketing Competition

Up to \$5M in funding available for this track

Applicants must demonstrate how the marketing project will work to promote and forward the tourism goals of the corresponding Regional Council's strategic plan. Applications will be accepted for projects that market regional tourism destinations or attractions and existing or newly created special events. Proposed marketing projects should look to align with the goals and strategies of I LOVE NY which include increasing the perception and consideration of New York State as a travel destination, creating a positive economic impact and increasing tourism.

Applicants can reference the most recent [New York State Tourism Summit](#) information and other material at www.iloveny.com to learn more about I LOVE NY's current goals and strategies. Any use of the I LOVE NY logo as part of the funded project must conform to ESD guidelines and be approved by ESD. In the event I LOVE NY/NYS Division of Tourism would choose to have a presence at public events

connected with the awarded project, no further money would be exchanged for a sponsorship or space fee.

Regional Tourism Marketing Competition Eligible Expenses:

Please note that it is strongly suggested that applicants include a project plan (previously called the marketing plan) outlining the specifics of the project, the budget and specifically how the grant funds and the grantee equity is planned to be used and any other information that the applicant would like to share with the scoring teams. It is also strongly advised that applicants provide information that clearly and specifically addresses the Scoring Criteria listed later in these guidelines. Additionally, ensure that the budget in the project plan reflects the same total project costs indicated in budget section of the CFA application.

Eligible costs are generally those incurred in the development and delivery of a regionally-based tourism marketing projects. 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;
- eligible travel costs approved by the Department; and
- administrative costs 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 include but are not limited to:

- food and/or beverages, including alcoholic beverages;
- legal fees and/or membership fees;
- salaries, wages, and/or staff time;
- fringe benefits (such as health insurance, retirement benefits, and other non-mandated benefits); and
- expenses reimbursed from any other source or agency; and
- other expenses deemed ineligible by ESD.

ESD generally seeks to provide no more than seventy-five percent (75%) of the financing for Regional Tourism Marketing projects. A match of at least 25% is required to be an actual cash match. In-kind matches and/or staff time is not eligible for the match requirement. Additionally, funds from any other state agency (including I LOVE NY Matching Funds and the ESD Fund) are ineligible to be used for the match.

Expenses incurred prior to the award of a CFA grant 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 2016 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. No financial payment of the grant will be made upfront. The grantee should be prepared to subsidize the project for a term of up to 6 months. Please note that awarded grants are not transferable, unless approved by ESD, and reimbursement payments may only be made to the awardee.

Regional Tourism Marketing Competition Reporting:

Progress reports and requests for reimbursement will be submitted on a quarterly 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

Up to \$7M in funding available for this track

Tourism Facility Funding proposals (capital/construction projects) must be in alignment with the appropriate Regional Council(s) strategic plan and/or show how implementation of the project will promote and forward the strategic tourism goals of the corresponding Regional Council's plan. Applications will be accepted for projects that include plans to expand, construct, restore or renovate tourism destinations and attractions.

When appropriate, proposed projects should look to align with the goals and strategies of I LOVE NY which include increasing the perception and consideration of New York State as a travel destination, creating a positive economic impact and increasing tourism. Applicants can reference the most recent [New York State Tourism Summit](#) information and other material at www.iloveny.com to learn more about I LOVE NY's current goals and strategies.

Any use of the I LOVE NY logo as part of the funded project must conform to ESD guidelines and be approved by ESD. In the event I LOVE NY/NYS Division of Tourism would choose to have a presence at public events connected with the awarded project, no further money would be exchanged for a sponsorship or space fee.

Please note that it is strongly suggested that applicants include a project plan outlining the specifics of the project, the budget and specifically how the grant funds and the grantee equity is planned to be used and any other information that the applicant would like to share with the scoring teams. It is also strongly advised that applicants provide information that clearly and specifically addresses the Scoring Criteria listed later in these guidelines. Additionally, please make sure that budget in the project plan reflects the same costs total project costs indicated in budget section of the CFA application.

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. A match of 80% ("grantee equity") is required to be an actual cash match. In-kind matches and/or staff time is not eligible for the match requirement. Match/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. Additionally, funds from any other state agency (including, but not limited to I LOVE NY Matching Funds and the ESD Grant Fund) are ineligible to be used for the match.

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 in project budget.

Tourism Facility Funding Eligible Expenses:

Eligible projects costs should be associated with the construction of a new tourism destination/attraction, 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; and
- new construction, renovation or leasehold improvements.

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;
- staff time and/or wages;
- recapitalization/refinancing;
- training; and
- residential development, although program funds may be used for the commercial component of a mixed-use project.

Note: 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.

Tourism Facility Funding 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. No financial payment of the grant will be made upfront.

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. This 10% contribution is a commitment to the project and is **not** related to the cash match referenced in the above paragraph.

Tourism Facility Funds will be disbursed in a lump sum upon project completion as evidenced by attainment of a certificate of occupancy and/or other documentation verifying project completion as ESD may require, and documentation verifying project expenditures.

Both Tracks:

Please note the following:

- Awarded grants are not transferable;
- If the information on the application regarding a project match is determined to not meet the minimum "match" requirements for the program, the overall project may be deemed ineligible;
- Reimbursement payments may only be made to the awardee;
- Being awarded a grant does not imply approval of elements in the submitted marketing plan that do not comply with local/state/federal laws and/or regulations, including the requirements of the Market NY grant program itself;
- Projects that have been funded in three (3) consecutive rounds may be deemed ineligible; a question in the online CFA application will require that an applicant who has been funded in three (3) consecutive rounds justify how the proposed project is different from the project awarded in previous rounds of funding.

ADDITIONAL RESOURCES:

For more information please contact the New York State Division of Tourism staff at RegionalTourism@esd.ny.gov and/or 518-292-5360

Community Development

NYS Council on the Arts – Arts, Culture and Heritage Initiatives

Funding Available: Up to \$5 million

DESCRIPTION: Funding for arts, culture and heritage initiatives is available to eligible non-profit applicants through the Regional Economic Development Program (REDC). The New York State Council on the Arts (NYSCA) welcomes applications in FY2016 for requests to REDC categories as described below. This Local Assistance support is provided 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.

NYSCA's REDC Program makes grant awards in all ten of the state's regions. Priority will be given to applicants that have not received NYSCA REDC Program funding in previous years.

NYSCA's REDC Program funding is distinct from and in addition to applications for support already submitted to other NYSCA programs in FY 2016.

GOALS: New funding opportunities are available through the REDC program for projects designed to enhance and transform the cultural and economic vitality of New York State communities.

Arts, culture and heritage activities enrich and strengthen the foundation of community, civic and social life in New York State. Successful proposals will demonstrate significant economic and community development impact that positions arts, culture and heritage at the core of local development efforts.

For NYSCA's REDC program, economic and community development impact will serve to:

- Develop the arts, culture and heritage workforce and engage new audiences
- Revitalize neighborhoods
- Generate collaborative projects among non-profit organizations, for-profit entities, artists, and municipal and local government
- Drive and support tourism through events that serve as destinations for regional, national and international visitors
- Enhance resources for communities experiencing poverty, geographic isolation or other barriers to participation in or access to arts, culture and heritage activities

The grant awards will assist communities and organizations to:

- Attract visitors to experience the cultural assets of the community
- Broaden and encourage greater public access to the arts, culture and heritage
- Develop innovative programming that incorporates new technology and explores previously under-recognized cultural and heritage resources
- Create new jobs in the arts, culture and heritage sector that will increase capacity, impact and efficiency of the organization(s), their programs and operations
- Expand business opportunities by harnessing the power of the creative economy
- Develop new and catalytic initiatives to expand public participation in community or regional arts institutions, cultural events, architecture and preservation, folk arts, history and local heritage resources, and art and technology industries
- Bring public, private, and non-profit sectors together as partners with community members and artists, to strategically enhance local economy and sense of place
- Map a wide range of local arts, culture and heritage assets to identify and locate resources

in a neighborhood, town, city, or region to serve as a springboard for new cultural initiatives

ELIGIBLE APPLICANTS AND ACTIVITIES: The New York State Council on the Arts 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.

Please click here to review the eligibility requirements for all NYSCA applicants:
http://www.arts.ny.gov/public/grants/who_is_eligible.htm

Organizations must be prequalified in Grants Gateway to be considered for funding. Prequalification must be completed by the CFA application deadline. Units of local government and Indian Tribes are exempt from the prequalification requirement.

Please click here to register for Grants Gateway and apply for prequalification:
<http://www.grantsreform.ny.gov/>

Applicants must meet the agency-wide and programmatic evaluative criteria: artistic/programmatic, managerial/fiscal and outreach/service to the public. Please click here to review the evaluative criteria:
http://www.arts.ny.gov/public/grants/funding_criteria.htm

Please click here to review NYSCA funding restrictions:
http://www.arts.ny.gov/public/grants/nysca_does_not.htm

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

Applicants **cannot** request funding for the same project through the FY2016 REDC Program and another FY2016 NYSCA grant program. Priority will be given to initiatives that have not been evaluated for funding by other NYSCA programs in prior years.

Applicants **may submit one application** to the NYSCA REDC Program. Organizations **are not** restricted from applying to other NYS agencies' REDC Programs. Please review the resource guide materials for the other agencies thoroughly.

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 the FY2016 categories of support for other eligibility requirements and funding restrictions.

FY2016 CATEGORIES OF SUPPORT:

Eligible applicants may submit an application to only **one** the following three REDC categories:

1. Arts, Culture and Heritage New Initiatives – Planning
2. Arts, Culture and Heritage New Initiatives – Implementation

3. Workforce Investment

CATEGORY DESCRIPTIONS & REQUIREMENTS:**1) Arts, Culture and Heritage New Initiatives – Planning**

Planning is critical to successful development and implementation of any project and requires collaborative commitment and participation from cross-sector leaders and stakeholders. REDC planning support is intended to lay a foundation for future implementation of projects and programs. Initiatives developed through partnerships between non-profit, for-profit and government entities are strongly encouraged. Applicants are encouraged to return in subsequent years for implementation funding. This category is open only to new initiatives that are not part of a current NYSCA FY2016 request. Priority will be given to initiatives that have not been evaluated for funding by other NYSCA programs in prior years.

Planning initiatives must cultivate and leverage local cultural assets, generating one or more of the following:

- Livability – quality of life
- New and increased revenue for local businesses
- Sustainable ongoing programming
- Job growth
- New opportunities for local and regional artists to create, market or make a living from their art

Planning initiatives may include:

- Comprehensive mapping of a community's cultural assets and resources, including artists, artisans, tradition bearers and other local cultural activity
- Community cultural plans for new partnerships that cultivate, deepen and support local arts and artists as the foundation of vital community, civic and social life
- Long range cultural programming with tangible economic and community development outcomes

Planning requests must demonstrate:

- Planning document(s) that present assessments, recommendations, conclusions and/or results
- Research and development activity directed to reach intended goals, objectives and outcomes
- Feasibility for long term cultural programming and its impact on the community
- Evaluation plans with defined goals, success indicators and outcomes

Planning Awards:

- Planning awards will range from \$10,000 - \$49,500
- No match is required
- Partnership applications are strongly encouraged
- Regrant projects **are not** eligible for funding
- The one year contract and work period is from January 2016 through December 2016

2) Arts, Culture and Heritage New Initiatives – Implementation

Support is provided for new programming initiatives designed to have tangible economic and community development impact in a community or region. Initiatives developed through partnerships

among non-profit, for-profit and government entities are strongly encouraged. This category is open only to new initiatives that are not part of a current NYSCA FY2016 request. Priority will be given to initiatives that have not been evaluated for funding by other NYSCA programs in prior years.

Implementation initiatives must cultivate and leverage local cultural assets, generating one or more of the following:

- Livability – quality of life
- New and increased revenue for local businesses
- Sustainable ongoing programming
- Job growth
- New opportunities for local and regional artists to create, market or make a living from their art

Implementation initiatives must:

- Develop an economic and community impact statement
- Compensate artists
- Provide letters of agreement or contracts between artists and/or partners
- Provide a comprehensive marketing plan
- Provide an evaluation plan with defined goals, success indicators and outcomes

Implementation Awards:

- Implementation awards will range from \$25,000 - \$150,000
- Require a 50% match in cash
- Partnership applications are strongly encouraged
- Regrant projects **are not** eligible for funding
- The contract and work period is from January 2016 through December 2016.

3) Workforce Investment

Workforce Investment support is designed to expand the capacity of New York State's arts, culture and heritage organizations with operating budgets under \$500,000. Grant awards will support one expanded or new staff position. Successful applicants must demonstrate the critical need for the employee and provide a sustainability plan to ensure continued employment after the grant term ends. This grant support is available for up to two years through a multi-year contract. Single year grant requests are not eligible. **Organizations that received a FY2015 REDC Workforce Investment grant may not apply to this REDC category in FY2016.**

Workforce Investment grants will only support:

- Wages to increase a current part-time employee's hours
- Wages to hire a new full or part-time employee

The applicant's organizational budget **may not exceed** \$500,000 (before depreciation). Organizational Budget size is determined by the audit or financial statement used for Grants Gateway Prequalification.

Workforce Investment funds **may not** support contract employees or seasonal staff. Support **may not** be requested for hiring costs, payroll taxes, fringe benefits, or overhead costs.

Workforce Investment Awards:

- Grant awards will be issued for a two-year period and will range from \$12,500 - \$49,500
 - Each year's grant award will range from \$6,250 - \$24,750, renewable for a second year at

the same funding level

- After staff review of required reporting and other eligibility criteria, the contract for the second year of support will be renewed
- The grant requires a 25% cash match each year
- Regrant projects **are not** eligible for funding
- The two year multi-year term contract and work period is January 2016 through December 2017

CONTACT/ADDITIONAL PROGRAM INFORMATION:

Additional Resources: For more information, applicants should contact the New York State Council on the Arts, 300 Park Avenue South, 10th Floor, New York, NY 10010, call (212) 459-8800 or email special.projects@arts.ny.gov

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) Public Infrastructure (2) Public Facilities (3) Planning (4) Microenterprise

1) 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 unserved that are in compliance with the NYS Smart Growth Public Infrastructure Act (Chapter 433 of the Laws of 2010) and principally benefit low- and moderate-income persons. Under the Public Infrastructure category, the benefit to low- and moderate-income persons is most commonly achieved through an area benefit. For more information regarding National Objective Compliance, refer to the Application Guidance located on the HCR website:

<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/>.

2) 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.

3) 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.

4) **Microenterprise**

The NYS CDBG Economic Development program through the CFA consists of 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 funds include, but are not limited to: acquisition of real property; financing of machinery, furniture, fixtures and equipment; working capital; inventory; and employee training expenses. 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.

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.
- A Business owner cannot be included or reported as a created job unless fulfilling the LMCMC (low-to-moderate income owner) National Objective.

Beginning May 1, 2015, all Economic Development and Small Business Applications will available through an Open Round process and completed through the CFA portal. The Open Round applications require the completion of a Pre-Submission Form. The Pre-Submission Form will be reviewed by The Office of Community Renewal and if accepted, the applicant will

receive an invitation to apply and will have 60 days to complete a full application within the CFA portal.

The CDBG Economic Development and Small Business applications are not subject to the 2015 CFA deadline. These open round applications may be submitted at any time. Please note, an applicant must submit a standalone CDBG Economic Development or Small Business application. The application cannot request other CFA resources in the same project application. More information is available online, here: <http://www.nyshcr.org/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.

Activity Funding Limits:

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

Program Delivery and Administration Costs

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

Public Facilities and Public Infrastructure

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

Microenterprise

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

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.

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

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

Additional Resources:

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

**New York Main Street & New York Main Street Technical Assistance
Funding Available: Up to \$9,700,000**

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.

In addition to the available New York Main Street program funds, approximately \$450,000 in Rural Area Revitalization Projects (RARP) and \$190,000 in Urban Initiatives (UI) funding is available. NYMS projects demonstrating a need for additional resources, and eligibility under the applicable program statute may request consideration for RARP and UI funds. Please refer to Articles XVI-A and XVII-B of Private Housing Finance Law for program information.

2015 NYMS CFA Activities:**New York Main Street (NYMS)**

Funds available for: Target Area Building Renovations, Downtown Anchors and Downtown Stabilization.

New York Main Street Technical Assistance (NYMS-TA)

Funds 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 each of the three components of the statutory definition of an eligible target area. Applications that do not address each of the three statutory criteria, or do not provide clear source documentation will be deemed ineligible. Please note, based on the statutory criteria there are areas within NYS that are not eligible; therefore vague or unclear responses cannot be interpreted to present an eligible target area.

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

Applicants are encouraged to identify well-defined Main Street areas to maximize the impact that the funds will have on the community. The proposed activities must be carried out in a program target area

of generally no more than three contiguous blocks which has experienced sustained physical deterioration, decay, neglect, or disinvestment, and has a number of substandard buildings or vacant residential or commercial units.

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

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 \$500,000 for Target Area Building Renovation Activities. Requests must not exceed an amount that can be reasonably expended in the identified target area, within a 24-month term. Requests generally should not exceed the amount of documented property owner need in the target area.

- **Building Renovation:** Matching grants available for renovation of mixed-use buildings. Recipients of NYMS funds may award matching grants of up to \$50,000 per building, not to exceed 75% of the total project cost in a designated target area. Renovation projects that provide direct assistance to residential units may be awarded an additional \$25,000 per 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 or Downtown Stabilization 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 architectural and engineering work, required environmental testing and clearances, and filing fees. Project Delivery expenses must be included in the per-building activity funding limits, and may not exceed 18% of the NYMS renovation funds for a specific project. Project costs incurred for work on buildings that eventually prove infeasible and do not receive other investments will not be reimbursed with NYMS funds. 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	2015 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 five site specific reviews
\$15,000	Administration: staff time to administer grant

2. NYMS Downtown Anchor Project:

Applicants may request between \$100,000 and \$500,000 for a standalone, single site, “shovel ready” renovation project. 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 downtown revitalization efforts through substantial interior and/or exterior building renovations.

Applicants for NYMS Downtown Anchor Project funds must:

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

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

Example NYMS Downtown Anchor Project Application Request:

\$250,000	2015 NYMS Downtown Anchor Project Request Amount
\$227,500	Building Renovation Funds: to renovate one project
\$10,000	Project Delivery: to hire firm to complete environmental review
\$12,500	Administration: staff time to administer grant

3. NYMS Downtown Stabilization Program

Applicants may request \$50,000 to \$500,000 to implement a Downtown Stabilization Program. Funds are available to assist with environmental remediation and associated construction costs, as well as other innovative approaches to stabilizing and developing downtown, mixed-use buildings. NYMS Downtown Stabilization Program funds may not exceed 75% of the total project cost.

NYMS Building Stabilization Project funds are available for projects that meet the goals identified above, including, but not limited to asbestos management (surveys, abatement design plans, air monitoring, etc.), soil vapor intrusion testing and mitigation, building stabilization construction activities (e.g. roof stabilization in conjunction with asbestos remediation) or other projects that identify or mitigate risks associated with other hazardous materials or remove obstacles to future redevelopment. Applicants must demonstrate local program interest and commitments, and may propose assistance to a single property, or multiple properties.

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

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.

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. Pre-development planning and associated expenses are ineligible uses of Target Area Building Renovation and Downtown Anchor Projects as these activities 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. Contact the Office of Community Renewal prior to submitting an application to discuss project eligibility, and review the NYMS Program Guide for more detailed guidance on NYMS program rules: <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. The NYMS-TA project should address local limitations identified prior to application, and should specifically address the unique needs of a community and 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; structural engineering study, proposed uses for the building including opportunities for upper story apartments; plan drawings; green technology potential; cost estimates; and funding strategies, including historic tax credits; and pro-forma analysis.

2. Design Guidelines

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

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

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

NYMS-TA proposals should be for future capital projects. OCR and HTFC will not fund a NYMS-TA proposal related to an open NYMS contract. 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.

- by the Regional Councils will be looked upon favorably.

Additional Resources:

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

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

Funding Available: Up to \$16 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. Grants can fund up to 50% of total project cost, up to 75% if the project is located in a high-poverty district. Grant awards are capped at \$500,000.

ELIGIBLE TYPES OF APPLICANTS:

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

The applicant must have an ownership interest in the project property:

- Where the applicant is not the property owner:
 - If the project is for planning only, the application must include a statement from the owner acknowledging the application and granting the applicant any access necessary to complete the project.
 - If the project involves acquisition of the property, the application must include documentation of the owner's intent to sell, donate or transfer the property.
 - If the project involves improvement/development of the property, the owner must agree to sign the project agreement and any long term protection document.
- If there are additional parties with an ownership interest in the property, including lien holders, all parties must agree to sign the project agreement and all lien holders must subordinate their interests to those of the State.

ELIGIBLE ACTIVITIES / PROGRAM BENEFIT AND LONG TERM PROTECTION REQUIREMENTS: Funding under the EPF Municipal Grant program is available for the grant categories and project elements listed below. To ensure the public benefit from the investment of State funds, 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.

- **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.
 - 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.

- Parkland acquired or improved by a municipality must remain parkland in perpetuity. Information is available in the "Handbook on the Alienation and Conversion of Municipal Parkland," 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. All work must conform to the Secretary of the Interior's Standards for the Treatment of Historic Properties.
 - Properties not currently listed, but scheduled for nomination review at the State Board for Historic Preservation meeting of either June 11, 2015, or September 17, 2015, 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.
 - Preservation covenants or conservation easements will be conveyed to the State (OPRHP) for all historic property grants.
 - 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.
- **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 at <http://www.nysparks.com/grants/heritage-areas/default.aspx>, which also provides links to maps showing exact Heritage Area boundaries.
 - To ensure a public benefit from the investment of state funds, appropriate long-term protections in the form of public-access covenants, preservation covenants or conservation easements will be conveyed to the State (OPRHP) for all Heritage Areas System grants.

ALLOWABLE COSTS:

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

Eligible budget items include:

Pre-Development Planning and Design

- **Design Fees** and other **Professional Fees** are allowed for the preparation of construction documents and to satisfy other pre-construction requirements. **Pre-development** costs must be incurred during the project term or in the three years prior to the application deadline. In

general, pre-development costs **should not exceed fifteen percent (15%) of the construction costs.**

- **Archeology** includes field work, report writing, curation of artifacts and interpretation. If your project includes any ground-disturbing activity (e.g., trenching, grading, demolition, new construction, etc.), it is very likely that an archeological survey will be required unless you can provide adequate documentation of prior ground disturbance. Your budget should take into account the need for an archeological survey. Contact your regional grants administrator (RGA) to determine the need and anticipated costs for archeology.
- **Project planning** is eligible for stand-alone funding in all three grant categories. 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.

Construction

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

Acquisition

- The application must identify each parcel proposed for acquisition, the type of interest to be acquired (fee simple, lease, easement, etc.) and method of acquisition (purchase, donation or transfer from another use), number of acres and estimated fair market value of the parcel(s) documented by a written estimate of value (windshield appraisal) by a qualified appraiser. Acquisition costs must be incurred during the project term or up to one year prior to the application deadline.
- Associated acquisition costs, such as the cost of **appraisals, surveys, title search, legal fees, title insurance (required for this grant)** and, where a conservation easement is required, the cost of **title continuation and recordation** are eligible costs.

Administration

- **Construction Supervision** costs are those associated with the coordination, supervision and scheduling of work and may be provided by a qualified member of the applicant's staff, the design professional who prepared the construction documents, or a clerk of the works.
- **Grant Administration** costs include expenses associated with administering the grant after it is awarded, such as preparing the project agreement, affirmative action, MWBE, and payment

request documentation. The cost of preparing this application is **NOT** eligible. In general, these costs **should not exceed ten percent (10%) of the grant amount.**

- **Procurement Costs** include costs for assuring competitive pricing, such as costs for distributing Requests for Proposals and for public advertising for bids, including the cost of advertising in specialty publications, such as minority newspapers and appropriate construction publications.
- **Audit:** Upon completion of the project, an accounting of expenditures and revenues is required. Based on the grant award and complexity of the project, this will be in the form of either an agreed upon procedure review performed by a Certified Public Accountant, or an expense summary audit. Prior to final reimbursement, the audit must be submitted to and approved by OPRHP.
- **Project Sign:** All grant-funded projects must have a project sign noting the funding assistance. Signs are available for purchase through the State for approximately \$57.

INELIGIBLE COSTS:

- Work completed prior to award is not eligible for reimbursement or for match. There are two exceptions:
 - 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.
 - Acquisition costs retroactive no more than one year prior to the application deadline are eligible costs.
- Contingencies, training, travel, OJT wages, working capital, marketing, taxes, interest, purchase of operational or maintenance equipment, salaries and wages, rent/lease are ineligible unless noted otherwise above.

MATCHING SHARE (APPLICANT SHARE) REQUIREMENTS

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

Successful applicants are reimbursed for up to 50 percent of their eligible expenditures. For projects located in impoverished areas (as defined by 10 percent or more of the population below the poverty level according to most recent Census data), the reimbursement can be up to 75 percent of the eligible project cost. All applicants are expected to raise their share within one year of the award, or risk cancellation of the grant. Principal types of applicant share are:

- **Cash:** Includes grants other than this grant request.
- **Force Account** (Payroll of applicant): Itemize according to job title or job assignment (on project). At the time of the reimbursement request, grant recipients will be required to document time worked, tasks, pay ratio and payment (including components and percentage of fringe benefit rate).
- **Professional Services:** The value of services provided by professional and technical personnel and consultants. Three-year retroactivity applies.
- **Supplies and Materials:** The current market value of items warehoused (not yet installed). Three-year retroactivity applies; use value current at time items were obtained.
- **Volunteer Labor:** Skilled and professional labor can be computed at the job rate. The value for labor (unskilled labor and work performed by professionals or skilled laborers in an area outside of their area of expertise) of an adult (18 and over) donating time to a project may be computed up to the amount identified as the Value of Volunteer Time for New York State at http://www.independentsector.org/volunteer_time. (For example, a lawyer donating legal services may compute the value based on the standard billing rate, but the value for the same lawyer donating time painting walls will be computed up to the amount identified as the Value of Volunteer Time for New York State).

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

ADDITIONAL RESOURCES:

Go to <http://www.nysparks.com/grants/consolidated-funding-app.aspx> to view forms and resources, including the CFA Guidance Document, which contains additional instructions concerning attachments to the application. For more information, contact the NYS Office of Parks, Recreation and Historic Preservation (OPRHP) Regional Grants Administrator for your county (see list below).

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

(518) 584-2000, FAX (518) 584-5694
 COUNTIES: Albany, Columbia, Greene,
 Rensselaer, Saratoga, Schenectady, Warren and
 Washington

COUNTIES: Clinton, Essex, Franklin, Hamilton,
 Jefferson, Lewis, and St. Lawrence

**Office of Parks, Recreation & Historic Preservation -
 Recreational Trails Program**

Funding Available: Up to \$1.2 Million

DESCRIPTION:

The Recreational Trails Program (RTP) was reauthorized on July 10, 2014, when the President signed into law the Moving Ahead for Progress in the 21st Century Act Extension (MAP-21 Extension).

The RTP is an assistance program of the U.S. Department of Transportation's Federal Highway Administration (FHWA). In New York, RTP is a program of the New York State Department of Transportation (NYSDOT) administered by the Office of Parks, Recreation and Historic Preservation (OPRHP). More information on the Federal legislation and program guidance can be found at: http://www.fhwa.dot.gov/environment/recreational_trails/.

The Recreational Trails Program provides funds to states to develop and maintain recreational trails for both motorized and non-motorized recreational trail use. Funding is available for the maintenance and restoration of existing recreational trails, development and rehabilitation of trailside and trailhead facilities and trail linkages for recreational trails, purchase and lease of recreational trail construction and maintenance equipment, construction of new recreational trails, acquisition of easements and fee simple title to property for recreational trails or recreational trail corridors, and assessment of trail conditions for accessibility and maintenance. Grants can fund up to 80% of the total project cost, or, up to 95% if the applicant is a federal agency. Grant awards are capped at \$200,000. Should project costs increase post award, the grant award will not be adjusted upward.

PROGRAM MANDATES:

The RTP legislation requires that States use 40% of their funds apportioned in a fiscal year for **diverse** recreational trail use, 30% for **motorized** recreation, and 30% for **non-motorized** recreation.

Below is a description of project types and funding categories.

INTENDED USE	TYPE OF USE EXAMPLES	FUNDING CATEGORIES
Non-Motorized Single Use	Pedestrian only; equestrian only; or bicycle only	Non-motorized Funding
Non-Motorized Diverse Use	Pedestrian, bicycle and skate; equestrian and pedestrian	Non-motorized and Diverse Funding
Diverse Use (includes both non-motorized and motorized uses)	Equestrian in summer, snowmobile in winter	Diverse Funding
Motorized Single Use	Snowmobile only	Motorized Funding
Motorized Diverse Use	Snowmobile and Motorcycles	Motorized and Diverse Funding

1. Non-Motorized project for a Single Use: A project primarily intended to benefit only one mode of non-motorized recreational trail use, such as pedestrian only or equestrian only. Projects serving various pedestrian uses (such as walking, hiking, wheelchair use, running, bird-watching, nature

interpretation, backpacking, etc.) constitute a single use for the purposes of this category. *Note: wheelchair use by mobility-impaired people, whether operated manually or powered, constitutes pedestrian use, not motorized trail use.* Projects serving various non-motorized human-powered snow uses (such as skiing, snowshoeing, etc.) constitute a single use for this category.

2. Non-Motorized Diverse Use project: A project primarily intended to benefit more than one mode of non-motorized recreational trail use such as: walking, bicycling, and skating; both pedestrian and equestrian use; or pedestrian use in summer and cross-country ski use in winter.

3. Diverse Use project including both Motorized and Non-Motorized Uses: A project intended to benefit both non-motorized recreational trail use **and** motorized recreational trail use. This category includes projects where motorized use is permitted, but is not the predominant beneficiary. This category includes projects where motorized and non-motorized uses are separated by season, such as equestrian use in summer and snowmobile use in winter. Other examples: a common trailhead project serving separate ATV and bicycle trails; purchasing a machine to groom both snowmobile and cross-country ski trails.

4. Motorized Single Use project: A project primarily intended to benefit only one mode of motorized recreational use, such as snowmobile trail grooming. A project may be classified in this category if the project also benefits some non-motorized uses (it is not necessary to exclude non-motorized uses), but the primary intent must be for the benefit of motorized use.

5. Motorized Diverse Use project: A project primarily intended to benefit more than one mode of motorized recreational use, such as: motorcycle and ATV use; or ATV use in summer and snowmobile use in winter. A project may be classified in this category if the project also benefits some non-motorized uses (it is not necessary to exclude non-motorized uses), but the primary intent must be for the benefit of motorized use.

Projects in categories 1 and 2 count toward the 30 percent non-motorized use requirement.

Projects in categories 2, 3, and 5 count toward the 40 percent diverse trail use requirement.

Projects in categories 4 and 5 count toward the 30 percent motorized use requirement.

For equipment-only purchases and assessment projects, the selection criteria will be based on the primary use of the trail system the project impacts.

ELIGIBLE TYPES OF APPLICANTS:

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

The applicant must have an ownership interest in the project property:

Where the applicant is not the property owner:

- A clear and legible copy of the documentation showing such interest in the property (i.e. lease, operating or management agreement) must be provided along with a letter of support for the project from the owner/managing entity stipulating that they will agree to enter into a legally binding agreement
- In the case of State Property, an authorization (i.e. permit) must be submitted if a lease, operating, or management agreement is not already in place. A letter of support from the Capital Facilities Manager must be submitted with the application.

- If the project involves acquisition of the property, describe the status of purchase negotiations and document the owner's intent to sell (signed purchase contract, option agreement, or letter of intent)
- If the project is for trail grooming equipment purchase **ONLY** (or a portion of the project is for trail grooming equipment purchase), a list of landowners and a copy of the land use agreement must be provided.

ELIGIBLE ACTIVITIES/PROGRAM BENEFIT REQUIREMENTS:

All projects funded under the Recreational Trails Grant Program must meet the following eligibility requirements:

- The proposed project must be legally and physically accessible to the public, or be a portion of an identified trailway project which, when completed, will be legally and physically accessible to the public;
- The proposed project must be physically and environmentally developable as a trailway;
- The proposed project must be planned and developed under the laws, policies and administrative procedures of the State; and
- The proposed project must be identified in or further one or more specific goals of the Statewide Comprehensive Outdoor Recreation Plan (SCORP) required by the Land and Water Conservation Fund Act of 1965, or the Statewide Trails Plan, as found at: <http://nysparks.com/grants/forms-resources.aspx>, or a local trails plan.

Funding under the Recreational Trails Grant Program is available for one or more of the following grant categories and project elements:

- **Maintenance and restoration of existing trails** may be interpreted broadly to include any kind of trail maintenance, restoration, rehabilitation, or relocation. This category may include maintenance and restoration of trail bridges or providing appropriate signage along a trail.
- **Development and rehabilitation of trailside and trailhead facilities and trail linkages for recreational trails** may be interpreted broadly to include development or rehabilitation of any trailside and trailhead facility. The definition of "rehabilitation" means extensive repair needed to bring a facility up to standards suitable for public use (not routine maintenance). Trailside and trailhead facilities should have a direct relationship with a recreational trail; a highway rest area or visitor center is not an appropriate use of RTP funds.
- **Purchase and lease of recreational trail construction and maintenance equipment** includes purchase and lease of any trail construction and maintenance equipment, including lawn mowers and trail grooming machines, provided the equipment is used primarily to construct and maintain recreational trails. This provision does not include purchase of equipment to be used for purposes unrelated to trails. For example, a lawn mower purchased under this program must be used primarily for trail and trailside maintenance, not to maintain open lawn areas or sport fields.
- **Construction of new recreational trails** includes construction of new trail bridges or providing appropriate signage along a trail. In the case of new recreational trails crossing Federal lands, construction of the trails shall be:
 - permissible under other law;
 - necessary and recommended by a Statewide Comprehensive Outdoor Recreation Plan (SCORP);
 - approved by New York State Office of Parks, Recreation and Historic Preservation (OPRHP); and
 - approved by each Federal agency having jurisdiction over the affected lands under such terms and conditions as the head of the Federal agency determines to be appropriate, except that the approval shall be contingent on compliance by the Federal agency with all applicable laws, including the National Environmental Policy Act of 1969 (42 U.S.C. 4321 et

seq.), the Forest and Rangeland Renewable Resources Planning Act of 1974 (16 U.S.C. 1600 et seq.), and the Federal Land Policy and Management Act of 1976 (43 U.S.C. 1701 et seq.).

- **Acquisition of easements and fee simple title to property** is self-explanatory. This category may include acquisition of old road or railroad bridges to be used as recreational trail bridges. However, §206(g)(1) prohibits condemnation of any kind of interest in property. Therefore, acquisition of any kind of interest in property must be from a willing landowner or seller.
- **Assessment of trail conditions for accessibility and maintenance** authorizes specific projects to assess trails to determine the level of accessibility for people who have disabilities, to develop programs to provide trail access information, and to assess trails for current or future maintenance needs.

ALLOWABLE COSTS:

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

Eligible budget items include:

Pre-Development, Planning and Design

- **Design Fees and Other Professional Fees** are allowed for the preparation of construction documents and to satisfy other pre-construction requirements. Upon approval, planning and environmental assessment costs incurred prior to project approval may be credited toward the non-Federal share cost of the project, limited to costs incurred not more than 18 months prior to project approval. Pre-development costs **should not exceed 15% of the construction costs. Administrative costs are not eligible.**
- **Archeology** includes field work, report writing, curation of artifacts and interpretation. If you cannot document prior ground disturbance, it is very likely that an archeological survey will be required prior to any work on the project. Your budget should take into account the need for an archeological survey. Contact your Regional Grant Administrator (RGA) to determine the need and anticipated costs for archeology.
- **Project Planning** is only permitted for projects that assess trail conditions to determine the level of accessibility for people who have disabilities, and to assess trails for current or future maintenance needs. Additional planning costs are not eligible.

Development

- Include only work items related to new development or restoration related to this grant application.
- Include only the costs pertaining to construction and rehabilitation that are directly related to recreational trails and trailside amenities. Where applicable, the budget should identify which costs are for trail clearing, gravelling/paving, bridge work, installation of gates, signs, or other trail-side amenities.

Acquisition of Land

- Provide a breakdown for each parcel showing the type of interest acquired (fee-simple, lease, easement, etc.) and method of acquisition (purchase, donation), number of acres and estimated Fair Market Value of the parcel(s) as determined by a qualified appraiser. **A written estimate of value (windshield appraisal/market valuation) for each acquired parcel must be included.**
- Also include **Appraisals, Surveys, and Legal Fees** under this category. If a grant is awarded, the value of each parcel must be established by a full, detailed (self-contained appraisal), the

standards for which can be found at <http://nysparks.com/grants/forms-resources.aspx>. For any parcel valued at \$300,000 or more, two full, detailed (self-contained) appraisal reports are required.

Purchase/Lease of Equipment

- Equipment is defined as tangible, non-expendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. Equipment purchased with grant assistance shall be used in the project or program for which it was acquired as long as needed, then may be used for other activities or disposed of in accordance with federal standards.
- **Provide a written estimate and photos (originals or examples from catalogs or brochures) of the type of equipment being purchased or leased.**

INELIGIBLE COSTS:

- **Condemnation** of any kind of interest in property or the use of value of condemned land toward the match requirement;
- **Construction of any recreational trail on State or Federal land for any motorized use** unless:
 - Such uses are legally permissible on such lands, and
 - Such construction is consistent with the management direction in the approved land and resource management plan;
- Upgrading, expanding, or otherwise facilitating **motorized use or access to recreational trails predominantly used by non-motorized recreational trail users** and on which, as of May 1, 1991, motorized use was prohibited or had not occurred.
- The performance of any **Trail Feasibility Study**
- Routine **Law Enforcement**
- **Trail Planning**, if it is the sole purpose of the project. Trail planning costs may be allowed if it is a relatively small portion of an overall trail project.
- **Railroad rights-of-way on which the railroad tracks are in place**, if trail users will traverse on or between the railroad tracks, except for providing a railroad crossing in coordination with the railroad owner, operator, and State agency with jurisdiction over the railroads.
- Improvements to **roads and/or bridges** intended to be generally accessible by low clearance passenger vehicles (regular passenger cars), unless they are specifically designated for recreational trail use by the managing agency
- **Paths or sidewalks** along or adjacent to public roads or streets unless the path or sidewalk is needed to complete a missing link between other recreational trails
- Federally designated **Wilderness areas** are subject to the restrictions of the Wilderness Act (16 U.S.C. 1131)

MATCHING SHARE (APPLICANT SHARE) REQUIREMENTS:

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

Successful applicants are reimbursed for up to 80 percent of their eligible expenditures. The reimbursement rate for awarded grants will be determined by the grant award/total cost ratio, which in some cases may be lower than 80%. Note: If the applicant is another Federal agency, the total federal share may not exceed 95%. After the grant award is made, the applicant is responsible for any increases in the total cost of the project. Successful applicants must be prepared to fund the cost of the project and then submit for reimbursement.

- **Cash:** Includes grants other than this grant request.
- **Force Account** (Payroll of applicant): Itemize according to job title or job assignment (on project). At the time of the reimbursement request, grant recipients will be required to document time worked, tasks, pay ratio and payment (including components and percentage of fringe benefit rate). Note: Fringe benefit rate cannot exceed the Federal rate for that fiscal year.
- **Professional Services:** The value of services provided by professional and technical personnel and consultants.
- **Supplies and Materials:** The value of items warehoused (not yet installed) with current market prices at the time they are obtained.
- **Volunteer Labor:** Skilled and professional labor can be computed at the job rate. The value for labor (unskilled labor and work performed by professionals or skilled laborers in an area outside of their area of expertise) of an adult (18 and over) donating time to a project may be computed up to the amount indicated for New York State at http://www.independentsector.org/volunteer_time. (For example, a lawyer donating legal services may compute the value based on the standard billing rate, but the value for the same lawyer donating time painting walls will be calculated up to the amount identified as the Value of Volunteer Time for New York State.)
- **Equipment Usage/Donation:** Compute the value according to its fair market rental value in project location.
- **Real Property:** The value of all property acquired or donated.

ADDITIONAL RESOURCES:

Go to <http://www.nysparks.com/grants/consolidated-funding-app.aspx> to view forms and resources, including the CFA Guidance Document, which contains additional instructions concerning attachments to the application. For more information, contact the NYS Office of Parks, Recreation and Historic Preservation (OPRHP) Regional Grants Administrator for your county (see list below).

Western New York Region

Noelle Kardos
 Beaver Island State Park
 2136 West Oakfield
 Grand Island, NY 14072
 (716) 773-5292, FAX (716) 773-4150
 COUNTIES: Allegany, Cattaraugus, Chautauqua, Erie and Niagara

Central New York Region

Jean Egenhofer
 Clark Reservation State Park
 6105 East Seneca Turnpike
 Jamesville, NY 13078-9516
 (315) 492-1756, FAX (315) 492-3277
 COUNTIES: Cayuga, Cortland, Madison, Onondaga and Oswego

Finger Lakes Region

Tom Livak
 Allegany State Park
 ASP Rte 1, Salamanca, NY 14779
 (716) 354-9101, FAX (716) 354-2255
 COUNTIES: Genesee, Livingston, Monroe, Ontario, Orleans, Seneca, Wayne, Wyoming and Yates

Mohawk Valley Region

Jean Egenhofer
 Clark Reservation State Park
 6105 East Seneca Turnpike
 Jamesville, NY 13078-9516
 (315) 492-1756, FAX (315) 492-3277
 COUNTIES: Fulton, Herkimer, Montgomery, Oneida, Otsego and Schoharie

Long Island Region

Traci Christian
 Belmont Lake State Park
 PO Box 247
 Babylon, NY 11702
 (631) 321-3543, FAX (631) 321-3721
 COUNTIES: Nassau and Suffolk

Southern Tier Region

Laurie Moore
 2221 Taughannock Park Road
 Trumansburg, NY 14886
 (607) 387-7041, FAX (607) 387-3390
 COUNTIES: Broome, Chemung, Chenango, Delaware, Schuyler, Steuben, Tioga and Tompkins

New York City Region

Merrill Hesch
 NYS OPRHP
 Adam Clayton Powell, Jr. State Office Building
 163 West 125th Street, 17th Floor
 New York, NY 10027
 (212) 866-2599, FAX (212) 866-3186
 COUNTIES: Bronx, Kings, New York, Queens and
 Richmond

Mid-Hudson Region

Erin O’Neil
 NYS OPRHP
 Taconic Regional Office
 9 Old Post Road
 Staatsburg, NY 12580
 (845) 889-3866, FAX (845) 889-8321
 COUNTIES: Dutchess, Orange, Putnam, Rockland,
 Sullivan, Ulster and Westchester

Capital Region

Danielle Dwyer
 Saratoga Spa State Park
 19 Roosevelt Drive
 Saratoga Springs, NY 12866-6214
 (518) 584-2000, FAX (518) 584-5694
 COUNTIES: Albany, Columbia, Greene, Rensselaer,
 Saratoga, Schenectady, Warren and Washington

North Country Region

Sunshine Jenkins
 Keewaydin State Park
 Alexandria Bay, NY 13607
 (315) 482-2593, FAX (315) 482-9413
 COUNTIES: Clinton, Essex, Franklin, Hamilton,
 Jefferson, Lewis, and St. Lawrence

Waterfront Revitalization

Department of State - Local Waterfront Revitalization Program

Funding Available: Up to \$17 million

Description:

The Department of State's Local Waterfront Revitalization Program provides 50:50 matching grants on a competitive basis to eligible villages, towns, cities, and counties (with the consent and on behalf of one or more villages, towns, cities) located along New York's coasts or designated inland waterways to revitalize communities and waterfronts through planning, design, and construction projects, with design and construction tied to prior planning (must have an approved Local Waterfront Revitalization Program or relevant component substantially completed). Construction projects also must be on public property, or where a permanent public interest, such as conservation easement, has been established. 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 or Updating an LWRP to Incorporate Resilience Strategy
- Preparing or Implementing a Clean Transportation 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:

- Personal Services – including direct salaries, wages, and fringe benefits for activities related to project work by municipal employees and for grant administration for preparation of reports, vouchers and contract related administration required by the Department. Grant administration may not exceed 15% of the award amount or \$50,000, whichever is less.
- Non-Personal Services – including supplies and materials, travel, equipment, consultant/contractual services for direct project related costs and limited grant administration, and other goods and services. Grant administration may not exceed 15% of the award amount or \$50,000, whichever is less.

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
- 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.

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

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

Matching Fund Requirements:

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

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

Additional Resources:

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

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

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

Canalway Grants Program

Funding Available: Up to \$1 million

DESCRIPTION:

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

FUNDING PRIORITIES:

Priority will be given to projects are intended to further the goals and objectives of the NYS Canal Recreationway Plan and Regional Economic Development Councils Strategic Plans. The 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 and the corresponding region. Funding can be used to expand public access, increase recreational use, improve services for motorized and non-motorized boaters, increase visitation, and stimulate private investment along the NYS Canal System. Canal CFA projects are expected to offer a greater appreciation and understanding of canal and community history, and to promote the protection of environmental and historic canal resources. Additional consideration will be given to projects that also advance the New York Rising or the Opportunity Agendas of the Regional Economic Development Councils

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

Applicants must demonstrate a minimum of 50% match.

The Canal Corporation reserves the right to reallocate funding and grant awards based upon available funds and grant requests.

INELIGIBLE ACTIVITIES:

- Use of grant funds for land acquisition is prohibited (however the costs of acquisition may be used as a local match)
- Grant funds cannot be used to cover operating expenses

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

Energy

NYSERDA Energy Efficiency Programs - Up to \$50 million available

NYS Energy Research and Development Authority - Flexible Technical Assistance

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) on a first-come, first served basis until funds are exhausted. 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.nyserderda.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 and Load Management — Develop comprehensive protocols that allow customers to respond to curtailment calls from the New York Independent System Operator (NYISO) during periods of New York electrical system capacity constraints.
- Farm Energy Audits: Energy feasibility studies that provide farmers with cost effective, energy efficiency opportunities for their farm process.

PRE-APPLICATION REQUIREMENTS:

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

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 not eligible 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 that 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.

AWARD CRITERIA DETAILS

- ELIGIBLE AREA, CITY, COUNTY POPULATION LIMITS OR POPULATION TARGET TYPES: Customers must be contributing to the System Benefits Charge (SBC) on their electric or gas utility bill in order to be eligible. Distribution customers of the six major New York State electric utilities (Central Hudson Gas & Electric Corporation, Consolidated Edison, New York State Electric & Gas Corporation, National Grid, Orange and Rockland Utilities, Inc., and Rochester Gas and Electric Corporation) may contribute to the SBC. Gas utility customers may also be contributing to the SBC on their gas utility bill.

ADDITIONAL RESOURCES:

FlexTech Main Page: www.nyserda.ny.gov/flextech

FlexTech Cost-Shared studies – outline of process: <http://www.nyserda.ny.gov/All-Programs/Programs/FlexTech-Program/FlexTech-Process>

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 and have ten or fewer full-time equivalent employees at that site 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 or fewer full-time equivalent employees at that site 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 measures outlined above may not be eligible.

AWARD CRITERIA DETAILS

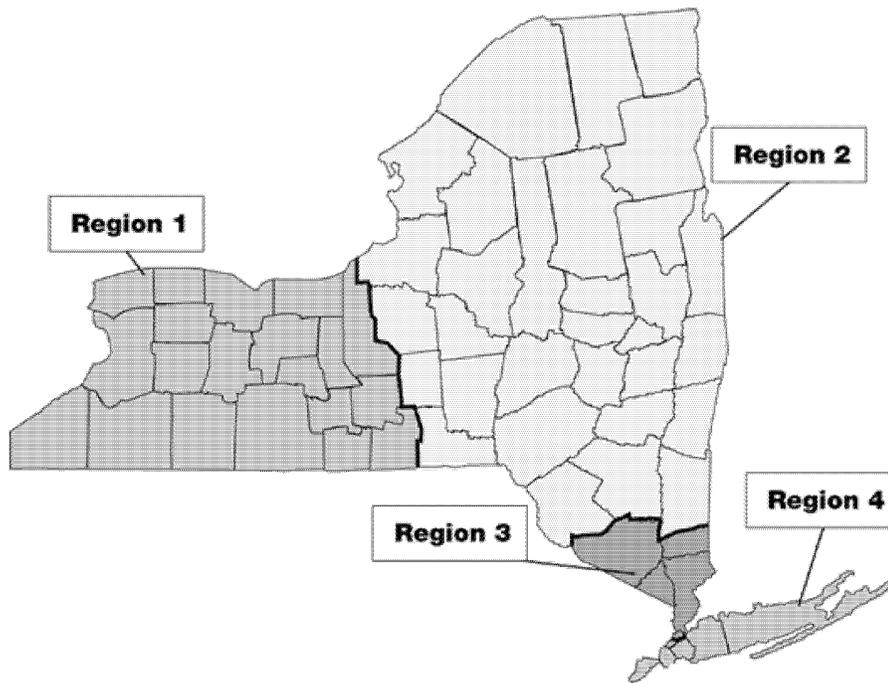
- ELIGIBLE AREA, CITY, COUNTY POPULATION LIMITS OR POPULATION TARGET TYPES: Free energy assessments are available to small businesses and not-for-profits statewide on a first-come, first-served basis until funds are exhausted.

ADDITIONAL RESOURCES:

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

Small Commercial Energy Assessment Contractors:

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

**Region 1 Counties**

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

Region 2 Counties

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

Region 3 Counties

Orange, Putnam, Rockland, Westchester, Bronx

Region 4 Counties

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

ADDITIONAL RESOURCES:

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

Small Commercial Energy Efficiency Project Manager:
 Jeff Hertik at (518) 862-1090 x3398 or jeff.hertik@nyserda.ny.gov

NYS Energy Research and Development Authority – Commercial New Construction Program

DESCRIPTION:

The Commercial New Construction Program (CNCP) 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 CNCP are given equal consideration; and
- To ensure eligibility to participate in all services available through the CNCP and to maximize CNCP 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 CNCP incentive offer is issued by NYSERDA;
- Energy-efficiency measures must be cost effective; and
- Energy-efficiency measures involving fuel switching are ineligible.

SELECTION CRITERIA:

- The program is open enrollment, advertised as a Program Opportunity Notice (PON), and is offered on a first come, first served basis subject to funding availability as of the date of the program offer letter.
- Incomplete or unauthorized applications will be returned.

AWARD CRITERIA DETAILS:

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

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**DESCRIPTION:*****Existing Facilities Program (EFP)***

The Existing Facilities Program offers resources 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) project types may be eligible for electric and natural gas improvements on a first-come, first-served basis until funds are exhausted.

Commercial and institutional facilities that pay the SBC charge on their utility bills are eligible. In addition, Con Edison electric customers who pay into the Monthly Adjustment Clause (MAC) in the Downstate region may be eligible for additional incentives through the Demand Management Program (DMP) for projects resulting in summer peak demand (kW) reductions.

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.

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 not eligible for funding.
- Only hardwired and pin-based CFLs are eligible. Screw-in compact fluorescent lighting with any type of adapter is not eligible 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 not eligible 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 must 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 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.

Demand Management Program Incentives

Projects or project portfolios that achieve a combined demand reduction of at least 50 kW may be eligible for Demand Management Program incentives. Projects that achieve a demand reduction of 500 kW or greater may be eligible for a bonus incentive. This is a jointly administered program with ConEd.

Eligible demand management measures may 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 may be a bonus pool available for large projects or project portfolios that achieve at least 500 kW of demand reduction. The large project bonus may be allowed to exceed the 50% project cost cap and is available on a first-installed, first-paid basis until bonus funds are exhausted.

Custom Projects

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

INELIGIBLE ACTIVITIES:

- 1) Projects with simple payback periods greater than 18 years (excluding NYSEDA incentives) are ineligible. NYSEDA'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 NYSEDA 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.

AWARD CRITERIA DETAILS:

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

ADDITIONAL RESOURCES:

EFP Website: <http://www.nyserda.ny.gov/All-Programs/Programs/Existing-Facilities-Program>

DMP Website: <http://www.nyserda.ny.gov/All-Programs/Programs/Demand-Management-Program>

Buildings Outreach: Outreach@nyserda.ny.gov

1 (866) NYSEDA

info@nyserda.ny.gov

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

DESCRIPTION:

The New York State Energy Research and Development Authority (NYSEDA)'s Industrial and Process Efficiency (IPE) Program provide performance-based assistance 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, or until funds are exhausted. Additional funds through the Demand Management Program are available for projects completed by June 1, 2016.

Incentive Type	Utility	All Other Utility Territories	ConEd Territory
Process and Energy Efficiency	Electric	\$0.12/kWh	\$0.16/kWh
	Natural Gas*	\$15/MMBtu	\$20/MMBtu
Operational & Maintenance (O&M)	Electric	\$0.05/kWh	\$0.05/kWh
	Natural Gas*	\$6/MMBtu	\$6/MMBtu
Maximum Incentive	All Projects	50% Project Cost	
	Electric	No Cap	
	Natural Gas	\$1 million/Facility/Year	

**** As of August 31st, 2014, the Industrial and Process Efficiency (IPE) Program has closed the waiting list for natural gas efficiency projects. All budgeted funds have been committed. Effective immediately, NYSERDA's IPE Program will no longer accept applications for natural gas incentive projects. IPE funds for electric efficiency projects are still available, applications are still being accepted for these projects.***

- 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.
- In order to be considered eligible, a facility must pay into the System Benefits Charge (SBC) as electric and/or natural gas distribution customers through one of the following utility companies:
 - The Brooklyn Union Gas Company d/b/a National Grid NY
 - Central Hudson Gas & Electric Corporation
 - Consolidated Edison Company of New York, Inc.
 - KeySpan Gas East Corporation d/b/a National Grid (KEDNY/KEDLI)
 - National Grid Generation d/b/a National Grid
 - National Fuel Gas Distribution Corporation
 - New York State Electric & Gas Corporation
 - Orange and Rockland Utilities, Inc.
 - Rochester Gas and Electric Corporation
- Projects must qualify for an incentive of at least \$30,000.
- A facility may receive an incentive for a specific energy efficiency measure either through NYSERDA or a utility company, but not both.

Additional incentives for Con Edison electric customers:

Demand Management 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

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.

- MATCHING FUND REQUIREMENTS / DEADLINES:

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

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

ADDITIONAL RESOURCES:

Website: www.nyserda.ny.gov/ipe

Contact us: IPEOutreach@nyserda.ny.gov

New York Power Authority - ReCharge New York**Amount available: Up to 141 Megawatts (availability as of 4/1/15)****Description:**

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

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

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

Environmental Improvements

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 \$100,000¹ (with a 20% required local match) will be provided to finance activities including engineering and/or consultant fees for engineering and planning services for the production of an engineering report.

The ultimate goal of this wastewater infrastructure engineering planning grant program is to advance water quality projects to construction for needy communities. Successful applicants can use the engineering report funded by the grant to seek financing through the CWSRF program or other funding entities 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>. A summary of the 2010 MHI census data can also be found on the EFC EPG website, <http://www.efc.ny.gov/Default.aspx?tabid=485>.

Eligible Activities

Funding can be used by municipalities for the preparation of an engineering report² and planning activities to determine the scope of water quality issues, evaluate alternatives, and propose a capital improvement project. In addition, the costs to conduct an environmental review for the recommended alternative in the report are eligible.

Priority will be given to municipalities proposing planning projects that are:

- required by an executed Order on Consent;
- required by a State Pollutant Discharge Elimination System (SPDES) permit;
- upgrading or replacing an existing wastewater system;
- constructing a wastewater treatment and/or collection system for an unsewered area; or
- 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.

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

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

In accordance with the laws, rules and regulations governing the CWSRF, projects defined in the federal Clean Water Act, Section 212 as treatment works 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.

Ineligible Activities

- Projects that do not lead to the restoration or protection of a surface waterbody.
- Projects that do not address improvements to a publicly-owned treatment works.³
- Projects and scope listed on the 2015 CWSRF Intended Use Plan Annual Project Priority List.
- Design and construction costs for any projects.

Grant Award Details

Option 1 - \$30,000 Grant

- Population of Municipality: 50,000 or less according to the United States Census 2010, <http://factfinder2.census.gov/faces/nav/jsf/pages/index.xhtml>.
- Type of Planning Project: any wastewater infrastructure-related.
- Local Match: calculated based on 20 percent of the total project costs.
- Example of Project Costs, Grant Award and Local Match Amounts.

Total Project Costs:	\$37,500
Grant Award:	\$30,000 (80% of total project costs)
Local Match:	\$ 7,500 (20% of total project costs)

³ See the "Key Definitions" section of this document on what is considered an eligible publicly-owned treatment works activity.

Option 2 - \$50,000 grant

- Population of Municipality: Greater than 50,000 according to the United States Census 2010, <http://factfinder2.census.gov/faces/nav/jsf/pages/index.xhtml>.
- Type of Planning Project: any wastewater infrastructure-related.
- Local Match: 20 percent of the total project costs.
- Example of Project Costs, Grant Award and Local Match Amounts:

Total Project Costs:	\$62,500
Grant Award:	\$50,000 (80% of total project costs)
Local Match:	\$12,500 (20% of total project costs)

Option 3 - \$100,000 grant

- Population of Municipality: no limit
- Type of Planning Project: Only for wastewater infrastructure inflow and infiltration issues as a result of an Order on Consent or SPDES Permit Compliance Schedule.
- Local Match: 20 percent of the total project costs.
- Example of Project Costs, Grant Award and Local Match Amounts:

Total Project Costs:	\$125,000
Grant Award:	\$100,000 (80% of total project costs)
Local Match:	\$25,000 (20% of total project costs)

Match

All grants require a local match equal to 20% of the total project costs. The match can include cash and/or in-kind services⁴. 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. The grant will provide up to 80% of the total eligible project costs.

Grant Payment

The grant will be disbursed in two payments. The municipality will be eligible to receive half the award amount, as an advance payment once the grant agreement is executed. The remainder of the grant award will be paid when the municipality's engineering report has been completed and accepted by DEC and EFC.

Project Term Completion Dates

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

Multiple Application Submissions

Only one project per municipality may be awarded in this Round. If an applicant is submitting multiple applications for their municipality, they are asked to prioritize their applications.

Additional Resources

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

⁴ See the "Key Definitions" section of this document for specific information on what is considered in-kind services.

New York State DEC of Environmental Conservation (DEC) – Water Quality Improvement Project Program

Funding Available: Up to \$35 million

Description

The Water Quality Improvement Project (WQIP) program is a competitive, statewide reimbursement grant program open to local governments and not-for-profit corporations for projects that directly address documented water quality impairments. Grants awarded through the WQIP program can fund up to 85% of the total project cost for Wastewater Treatment Improvement projects. Grant recipients may receive up to 75% of the total project cost for Non-agricultural Nonpoint Source Abatement and Control, Aquatic Habitat Restoration, Municipal Separate Storm Sewer System projects.

Funding Breakdown:

Up to \$35 million

- *Up to \$33.1 million statewide)*
- *Up to \$1.9 million available in the Peconic Estuary Comprehensive Management Plan/South Shore Estuary Reserve areas*

Eligible Types of Applicants

Generally, applicants meeting the following criteria are eligible for WQIP funds. There is some variability among eligible applicants for specific project types.

- Municipalities
- Municipal corporations
- Soil and water conservation districts
- Not-for-profit corporations, (**Only** aquatic habitat restoration projects)

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

Eligible Activities/Program Benefit Requirements

Funding through the Water Quality Improvement Project (WQIP) program is available for the following types of projects:

Non-agricultural Nonpoint Source Abatement and Control:

(Up to \$13.3 million available statewide)

(Up to \$1.9 million available in the Peconic Estuary Comprehensive Management Plan/South Shore Estuary Reserve areas)

Eligible Applicants

- Municipalities (see definition listed in Environmental Conservation Law §54-0101)
- Soil and water conservation districts

All municipalities and soil and water conservation districts must register in the NYS Grants Management System to be eligible for this grant (<http://grantsreform.ny.gov>).

Eligible Projects

Nonpoint Source Best Management Practices (BMPs)

Details on specific practices can be found in in the following guidance documents.

- NYSDEC NPS Best Management Practices Catalogs, (<http://www.dec.ny.gov/chemical/96777.html>)
- NYSDEC SW Design Manual, (<http://www.dec.ny.gov/chemical/29072.html>)
- NYSDEC Forestry BMPs for WQ – BMP Field Guide 2011 edition, (<http://www.dec.ny.gov/lands/37845.html>)
- 2014 Intermediate Design Manual, (<http://www.dec.ny.gov/chemical/79072.html>)

Grant and Match Funds

Grant Funds are available for up to 75 percent of the total project costs. Applicants must provide match funds of at least 25 percent of the total project costs.

Contact

New York State Department of Environmental Conservation
Division of Water, Don Tuxill, (518) 402-8168

Wastewater Treatment Improvement:

(Up to \$13.0 million available statewide)

(Up to \$1.9 million available in the Peconic Estuary Comprehensive Management Plan/South Shore Estuary Reserve areas)

Eligible Applicants

- Municipalities. (see definition listed in Environmental Conservation Law §56-0101)

All municipalities must register in the NYS Grants Management System to be eligible for this grant (<http://grantsreform.ny.gov>).

Eligible Projects

- Wastewater Effluent Disinfection – Wastewater treatment projects (as defined in Environmental Conservation Law §56-0101) to upgrade municipal systems to meet new wastewater treatment effluent disinfection requirements and increase wastewater treatment plant resiliency with the installation of backup power. Prior to submitting an application, eligible projects must have been notified that their treatment system requires an upgrade to add effluent disinfection. Maximum grant available per facility is \$2.5 million.
- General wastewater infrastructure improvements - Wastewater treatment improvement projects (as defined in Environmental Conservation Law §56-0101) to upgrade municipal systems to meet wastewater treatment discharge requirements. Maximum grant available per facility is \$2.5 million.

Grant and Match Funds

Grant funds are available for up to 85 percent of the total project costs. Applicants must provide match funds of at least 15 percent of the total project costs.

Match Funds

Match funds consist of cash contributions and in-kind services put forth by the applicant to complete the awarded project. Match funds include: municipal personal services, fringe benefits, supplies, materials, and land acquisition. Match funds must consist of activities considered eligible for WQIP funding. State or federal grant dollars cannot be used for the match funds. When applying for this grant, the applicant must show how they will meet the match funds requirements.

Contact

NYS Department of Environmental Conservation
Division of Water, Koon Tang, (518) 402-8238

Aquatic Habitat Restoration:

(Up to \$2.5 million available Statewide)

(Up to \$1.9 million available in the Peconic Estuary Comprehensive Management Plan/South Shore Estuary Reserve areas)

Eligible Applicants

- Municipalities (as defined in Environmental Conservation Law §54-0101)
- Soil and water conservation districts
- Not-for-profit corporations (as defined in Environmental Conservation Law §54-0101).

All municipalities and soil and water conservation districts must register in the NYS Grants Management System to be eligible for this grant (<http://grantsreform.ny.gov>).

All not-for-profits must register and prequalify in the NYS Grants Management System to be eligible for this grant (<http://grantsreform.ny.gov>).

Eligible Project Types

Aquatic Habitat Restoration (as defined in Environmental Conservation Law §56-0101) projects must meet the following criteria to be eligible for WQIP funding. Additional activities will be eligible for projects located within Nassau and Suffolk Counties:

1. Projects located in New York State (including Peconic and South Shore Estuaries):
Eligible applications must focus on work that improves aquatic connectivity, and refers to the natural pathways which allow for the movement of biota and physical material. Projects should seek to increase aquatic organism passage, as well as any other related ecological connectivity conditions. Projects should correct limitations to aquatic connectivity and must focus on culverts, bridges or dams that are causing these barriers.
Sample projects, include, but are not limited to, the following:
 - Upgrade and replacement of road stream crossing structures (culverts and bridges) to a larger size and appropriate design to increase ecological connectivity and hydrologic capacity. Guidance for such projects is found at: <http://www.dec.ny.gov/permits/49066.html>
 - Removal or breach of stream barriers such as dams or weirs that limit aquatic connectivity. Removals must meet natural resource management goals of an area
 - Removal or alteration of impoundments for aquatic passage in locations that have been regionally ranked or have been identified as being of biologic importance such as those in the Hudson River Estuary
 - Stream daylighting, the opening of streams which have been previously enclosed in permanent tunnels
2. Projects within the Peconic and South Shore Estuaries
Additionally, eligible applications must improve the ecological condition of the waters of the state including ponds, bogs, wetlands, bays, sounds, streams, rivers, or lakes and shorelines with the intent to support a spawning, nursery, wintering, migratory, nesting, breeding, or foraging environment for fish and wildlife and other biota.
Sample projects, include, but are not limited to, the following:
 - Restoration or management of tidal or freshwater wetlands
 - Creation or restoration of submerged aquatic vegetation
 - Restoration or enhancement of shellfish and shellfish beds

Grant and Match Funds

Grant funds are available for up to 75 percent of the total project costs. Applicants must provide the remaining match funds of at least 25 percent of the total project costs.

Although there is no maximum grant amount that can be requested, individual grants are typically from \$25,000 to \$500,000.

Match Funds

Match funds consist of cash contributions and in-kind services put forth by the applicant to complete the awarded project. Match funds include: personal services, fringe benefits, supplies, equipment, materials, and land acquisition. Match funds must consist of activities considered eligible for WQIP funding. State or federal grant dollars cannot be used for the match funds. When applying for this grant, the applicant must show how they will meet the match funds requirements.

Project-Specific Funding Information

Funding is available for qualifying projects located statewide and specifically confined within the Peconic and South Shore Estuaries. An amount of no more than \$1,900,000 will be available for eligible projects (e.g., wastewater treatment, nonpoint source abatement and control, aquatic habitat restoration) in the Peconic and South Shore Estuaries.

Contact

NYS Department of Environmental Conservation
Division of Fish, Wildlife and Marine Resources, Josh Thiel, (518) 402-8978

Municipal Separate Storm Sewer Systems (MS4s):

(Up to \$3 million available statewide)

Eligible Applicants

- Regulated Traditional MS4s (as defined by 40 CFR 122.26(b)(16))
- Soil and water conservation districts

All municipalities and soil and water conservation districts must register in the NYS Grants Management System to be eligible for this grant (<http://grantsreform.ny.gov>). Only the lead applicant needs to register in the NYS Grants Management System.

Funding will be considered for proposals submitted on behalf of multiple regulated MS4s.

To be eligible to receive funding, applicants must be participating in an area-wide municipal cooperative stormwater group. If one does not currently exist, the applicant needs to document the steps that are being taken to develop such a group. In these cases, the group has to be in place prior to receiving a grant award. In the rare case where a coalition does not exist nor will be established in the project area, the applicant must justify the reasons in the application.

Applicants requesting funds must provide a list of cooperating MS4s and signed letters of intent from each of them. If funded, applicants must get a signed commitment from each participating MS4 that it will deliver its share of the outputs in the contract workplan.

Eligible Projects

Eligible activities include (*proposed projects must meet the minimum MS4 permit requirements*):

1. Completion of gap analysis to identify barriers to green infrastructure in local laws that prevent the following:
 - Reduction of impervious areas;
 - Preservation of natural areas and conservation design;

- Incorporation of green design elements for stormwater management (i.e., wing gutters, curbs, direct connections); and
 - Promotion of efficient, compact development patterns and infill
2. Revision of local laws to remove barriers to green infrastructure.
(Applicant must demonstrate that gap analysis is complete to be eligible for local law revisions).
 3. Comprehensive system mapping/program mapping: see full solicitation

Grant and Match Funds

Grant and match funds are available for up to 75 percent of the total project costs. Applicants must provide the remaining match funds of at least 25 percent of the total project costs.

Eligible Costs

Eligible costs are those costs incurred by MS4s to develop and implement a stormwater management program (SWMP) that complies with GP-0-15-003.

Match Funds

Match funds consist of cash contributions and in-kind services put forth by the applicant to complete the awarded project. Match funds include: municipal personal services, fringe benefits, supplies, materials, and land acquisition. Match funds must consist of activities considered eligible for WQIP funding. State or federal grant dollars cannot be used for the match funds. When applying for this grant, the applicant must show how they will meet the match funds requirements.

Contact

New York State Department of Environmental Conservation
Division of Water, Carol Lamb-Lafay, (518) 402-8123

Contract Period

DEC prefers contract terms of 2 -3 years in length. In rare cases, contracts can have a maximum term of 5 years. Project-related costs incurred on or after May 1, 2015 will be eligible for reimbursement.

Additional Resources:

The Request for Applications is available on the Department of Environmental Conservation's website: <http://www.dec.ny.gov/pubs/4774.html>. Updates and/or modifications to the RFA, along with answers to questions received, will be posted on the DEC's website. Questions should be submitted to user.water@dec.ny.gov.

Pre-application workshops will be held around the State. The workshop schedule along with additional information is 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.

Environmental Facilities Corp. - Green Innovation Grant Program

Funding Available: \$14.85 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 the New York State Environmental Facilities Corporation (EFC) through the Clean Water State Revolving Fund (CWSRF) and is funded through a grant from the United States 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.

The amount of funding available for Round 7 of GIGP (GIGP 7) is \$14.85 million. 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 7 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

Eligible applicants may submit more than one grant application, however, EFC reserves the right to limit GIGP 7 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 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, can 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 also 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 a 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, existing conditions plan, a feasibility study, and site photographs with their Consolidated Funding Application (CFA). Minimum content requirements for the feasibility study, conceptual site plan, and existing conditions plan, are included in the CFA and can also be found at: www.efc.ny.gov/gigp

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 vactor trucks
- Asbestos abatement
- Amenities i.e. bus shelters, benches, light poles, traffic devices, etc.
- Potable water irrigation systems
- Green infrastructure practices which are being implemented to comply with the requirements of the New York State Department of Environmental Conservation SPDES General Permit for Stormwater Discharges from Construction Activity Permit No. GP-0-15-002 ("Permit"). (Note practices which are over and above Permit requirements will be considered for funding)
- 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 \$30 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 4:00p.m. Eastern Time on September 30, 2019, until funds are exhausted, or until the solicitation is revised by NYSERDA, whichever comes first.

Category 2 – Flexible Funding Pilots (Rolling Applications - Competitive): NYSERDA will continue to accept applications for Category 2 under PON3106 on a rolling basis until 4:00p.m. Eastern Time on September 30, 2019, until funds are exhausted, or until the solicitation is revised by NYSERDA, whichever comes first.

Category 3 – Community-Scale Sustainability Projects (Due Date Competitive): Applications for Category 3 under PON3106 are due by 4:00p.m. Eastern Time on July 31, 2015.

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, PON3106, is the third and final round in a series of funding rounds to support these types of projects. A total of \$90 million in potential funding awards is 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 3 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. Funding will also support communities taking action to move toward a self-sustaining clean energy future. 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 3 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 to reduce carbon pollution.

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 may add other permitting or model ordinances as they become available for communities to adopt and apply for incentives under this category. **NYSERDA will continue to accept applications through the Consolidated Funding Application for Category 1 until 4:00p.m. Eastern Time on September 30, 2019, until funds are exhausted, or until the solicitation is revised by NYSERDA, whichever comes first.**

Category 2 – Flexible Funding Pilots (Rolling Applications - Competitive): Up to \$5 million will be available to communities for assistance with completing transformative clean energy and sustainability projects that have both an immediate and long-term impact on carbon mitigation. In order to qualify for funding, municipalities will have to complete four of six Steps in order to submit an application for funding. These projects will prepare a community, region, or project for a more sustainable and resilient future; thereby creating direct or indirect community benefit and carbon reductions. This category is intended to be flexible in that NYSERDA may periodically add and remove eligible project types based on the needs identified in the market over time. Any changes will be communicated on the CGC Guidance Documents webpage. Projects must be ready to commence within three months of NYSERDA award notification and should be completed within three 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 cap of \$250,000 per applicant per year and 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 energy efficiency, renewable energy, or carbon mitigation as well as economic development benefits. **NYSERDA will continue to accept applications for Category 2 on a rolling basis until 4:00p.m. Eastern Time on September 30, 2019, until funds are exhausted, or until the solicitation is revised by NYSERDA, whichever comes first.** 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 energy efficiency, renewable energy, or carbon mitigation, as well as economic development benefits; 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 three months of NYSERDA award notification and should be completed within three 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 \$3 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 energy efficiency, renewable energy, or carbon mitigation as well as economic development benefits. **Proposals for Category 3 are due by 4:00p.m. Eastern Time on July 31, 2015.** 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 may add other permitting or model ordinances as they become available for communities to adopt and apply for incentives under this category. **NYSERDA will continue to accept applications through the [Consolidated Funding Application for Category 1](#) until 4:00p.m. Eastern Time on September 30, 2019, until funds are exhausted, or until the solicitation is revised by NYSERDA, whichever comes first.**

ELIGIBLE APPLICANTS – CATEGORY 2

Local governments (county, city, town, village, or Indian tribal government or nation located within NYS) in New York State are eligible to apply for funds. Municipalities 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. All involved municipalities must meet the eligibility criteria outlined in the section of this document titled “Category 2 Project Eligibility: Required Steps.” A single municipality, or a group or consortium of municipalities, may choose to designate a non-municipal entity (private, non-profit, etc) to be the lead applicant, but the lead applicant must provide letters of support from each municipality involved in the project. The lead applicant, if successful, will have a contractual obligation to NYSERDA and will act as the main point of contact for NYSERDA for all project-related matters.

ELIGIBLE APPLICANTS – CATEGORY 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 any 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: FLEXIBLE FUNDING PILOTS

Funding Available: \$25,000 to \$250,000 per project with a 25% minimum cost share requirement

Category 2 Project Eligibility: Required Steps

In order to qualify for funding, all Category 2 applicants must first complete four of six relatively low-cost Steps and submit proof of completion for each Step. The six Steps, including more information on how to meet the requirements for each Step, are outlined in the PON3106 – Category 2 Required Steps and Project Types document, which can be found on the [CGC Guidance Documents](#) website. Required Steps and eligible Project Types are subject to change. NYSERDA will communicate any changes on the [CGC Guidance Documents](#) website. Applicants may request a pre-review of the documentation of completion of required Steps by sending an email, with all requested documentation attached, to CGC@nyserderda.ny.gov.

Note that applicants may be eligible to earn points towards certification through the [Climate Smart](#)

Communities (CSC) Certification Program by completing the Steps and for completing one or more projects under this category.

Category 2 Project Eligibility: General Eligibility Criteria

Eligible applicants may choose to include only one specific project in their application, but proposals targeting multiple projects or initiatives are also 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.

Applicants may request between \$25,000 and \$250,000 of NYSERDA funding per project, with a cap of \$250,000 per applicant per year. 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% of total project cost is required. 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. The applicant cost-share and the NYSERDA share must contribute to the same project or tasks within the project intended to reduce carbon emissions, promote energy efficiency, or increase use of renewable energy. All proposed 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. 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."

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 award notification 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. 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 Eligible Project Types

Subject to the approval of the required documentation for four of the six required Steps referenced above, applicants may apply for funding for one or more of the eligible project types outlined in the PON3106 – Category 2 Required Steps and Project Types document, which can be found on the [CGC Guidance Documents](#) website. Brief descriptions of each project type are included within this document and applicants may be eligible to earn points towards certification through the [CSC Certification Program](#) for completion of one or more of the project types.

All project proposals must demonstrate how projects 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.

Category 2 Ineligible Project Types

Projects that are not listed under the section of this document entitled “Category 2 Eligible Project Types.”

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 several buildings OR an actual development project that consists of several 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 100 feet
 - d. Avoids prime agricultural land
 - 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-width ratio of at least 1 to 3
 - c. Includes a minimum of 90% of street length with sidewalks
 - 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
 - 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
- 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
 - 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 system⁵.

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

Applicants must request \$500,000 to \$3,000,000 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% of the total project cost is required. 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. The applicant cost-share and the NYSERDA share must contribute to the same project or tasks 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. Cost share may include private equity or grants, loans, in-kind or

⁵ <http://www.usgbc.org/resources/leed-neighborhood-development-v2009-current-version>

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 by NYSERDA of all required reporting.

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. 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
- Development, implementation, or funding of outreach, education, or technical assistance programs targeting municipal or other local governments that are not services being targeted under the below referenced Communities Local Support Framework preferred project type under this category.
- 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. Projects that duplicate or exceed the incentives available under the Renewable Heat NY Program are ineligible for funding under this solicitation. District heating biomass projects are eligible but either must include a completed thorough feasibility study (if requesting funding for implementation) or request funding for completion of a thorough feasibility study (if requesting funding for design).

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

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/cgc>. NYSERDA may host an interactive online webinar-based information session to answer questions about this solicitation. Webinar information will be posted on NYSERDA's [CGC Guidance Documents](#) webpage. Within two weeks of the information session, NYSERDA will issue a "Frequently Asked Questions" document specific to this solicitation and will post it on this website. All other questions about this solicitation should be submitted to NYSERDA, in writing, at CGC@nyserda.ny.gov. Due to the large number of inquiries expected, NYSERDA may not be able to return phone calls.

Department of State - Local Government Efficiency Program

Funding Available: Up to \$4 Million

DESCRIPTION:

For the 2015-2016 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.

ADDITIONAL RESOURCES: <http://www.dos.ny.gov/lg/lge/index.html>

Education/Workforce Development

Department of Labor - Workforce Development

Funding Available: Up to \$5 million

DESCRIPTION:

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

Occupational skills training is defined as instruction conducted in an institutional or worksite setting designed to provide individuals with, or upgrade them in, the skills required to perform a specific job or group of jobs needed by the business.

ELIGIBLE PROJECT TYPES:

Business Hiring and Training Incentives

Existing Employee Training Program

Program Description:

This program provides \$2 million in Workforce Innovation and Opportunity Act funds to businesses to train their existing employees in specific occupational skills needed by that business or industry that lead to job advancement.

The position(s) targeted for training must exist and be filled at the time the proposal is submitted. Part time employees are eligible for training under this grant if they have a permanent, year-round attachment to the business. Temporary employees, seasonal employees, public (federal, state, county, municipal, public authority and public benefit corporation) employees and volunteers are not eligible for training under the Existing Employee Training Program.

New Hire Training Program

Program Description:

This program provides \$1 million in Workforce Innovation and Opportunity Act funds to businesses to train dislocated workers who require on-the-job training upon being hired. Businesses hiring new workers that need training on specific occupational skills will be eligible to receive reimbursement for up to 50% of the employee's wages for a period of time appropriate for the employee to become proficient in the occupation, but not to exceed six (6) months.

Unemployed Worker Training Program

Program Description:

This program provides Workforce Investment Act funds to provide occupational skills training of dislocated workers to prepare them for full-time jobs (35 hours per week or more) needed by a business or group of businesses in the region. Training is provided in a classroom setting, and there must be a commitment from business(es) to interview individuals who successfully complete the training.

Special Populations Training Program

Program Description:

This program provides Workforce Innovation and Opportunity Act funds to provide for training of dislocated workers in special populations (e.g., ex-offenders, limited English proficiency, individuals with disabilities, recipients of Temporary Assistance for Needy Families, veterans) who require classroom-

based occupational skills training in order to be qualified to be hired for full-time employment (35 or more hours per week) in the region.

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; and
 - Private sector not-for-profit businesses with two or more employees.
- For Unemployed Worker Training and Special Populations 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;
 - Local workforce investment boards with two or more employees; or
 - Training providers with two or more employees.

Unincorporated LWIBs interested in applying must designate the local area's WIA Grant Recipient or Fiscal Agent as the official grantee for any award under this offering. Training should be provided by the training providers on the Eligible Training Provider List. LWIBs have the authority to enter into contracts with institutions of higher education, such as community colleges, or other eligible training providers to facilitate the training of multiple individuals in high-demand occupations. LWIBs/One-Stop Operators should not deliver training directly with these WIA funds.

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

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

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

AWARD, CONDITIONS & REQUIREMENTS:

Awards may not exceed \$100,000 per business. Please note that there are four NYSDOL Workforce Development programs available under this RFP: the Existing Employee Training Program, the New Hire Training Program, the Special Populations Training Program, and the Unemployed Worker Training Program. Eligible businesses may apply for funding under one, two, three or all four of these programs. However, the maximum award that a business may receive is \$100,000 regardless of the number of NYSDOL programs for which it applies.

In addition, there is a cap per trainee of \$5,000 for each program proposal (not per-trainee per-course). If the training proposed by the business exceeds a cost of \$5,000 per trainee, the business must pay the difference. Note that this is a cap per trainee, not an average cost per trainee.

For those applicants that are applying for multiple NYSDOL programs under the CFA, funds for two, three or all four programs cannot be combined to use on the same trainees. For example, an applicant may not use New Hire Training funds to train a new worker on-the-job and then use Existing Employee Training funds to send the same worker to classroom training. Each group of trainees must remain separate and distinct and be trained solely under one NYSDOL CFA program.

Matching Fund Requirements:

The Existing Employee Training, Unemployed Worker Training, and Special Populations Training Programs have no match requirements, but leveraged funds will factor in the scoring of proposals. The New Hire Training Program match must be at least 50% of the trainee's wages.

Match percentages for these three programs will be awarded points as follows:

- 0% to 25% = 0 points;
- 25.01% to 50% = 2 points;
- 50.01% to 75% = 4 points; and
- 75.01% and up = 6 points.

Please note that, for the Existing Employee Training Program, wages to be paid to trainees during training can be calculated and cited as leveraged funds in the application budget.

The New Hire Training Program match must be at least 50% of the trainee's wages.

Match percentages for this program will be awarded points as follows:

- 50% to 60% = 0 points;
- 60.01% to 70% = 2 points;
- 70.01% to 80% = 4 points; and
- 80.01% and up = 6 points.

Contracts:

The start date for all contracts resulting from this RFP may be no earlier than the date of the award letter issued by NYSDOL and no later than six months from the date of the award letter.

Training may not begin until after an award is made (i.e., once the due date has passed, reviews have been completed, due diligence has been completed, EEO Staffing plan approvals have been made, awardees have been determined and award letters have been issued). The earliest start date for any contract resulting from this RFP is the date of the award letter. Any training that begins and/or is paid for prior to the date of the award letter will fall outside the contract period and be ineligible for reimbursement.

Contracts resulting from this RFP will be awarded for a period of up to one year and will operate on a cost reimbursement basis. Only not-for-profit organizations funded under the Unemployed Worker Training or Special Populations Training Programs 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.

Once a contract has been developed and formally executed, funds will be released to the business on a cost reimbursement basis, meaning that a grantee must first pay the trainer and then submit a voucher to NYSDOL for reimbursement. Vouchers must be submitted to NYSDOL on the prescribed forms before payment is made. For cost reimbursements to be approved certain records must be kept and specific documents submitted.

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.

Applicants may submit questions via electronic mail (labor.sm.dews.CFA@labor.ny.gov). Questions regarding this RFP will be accepted no later than July 22, 2015. No telephone inquiries will be accepted. All inquiries should include the following reference in the Subject line: "CFA Question". Answers to all questions will be posted on NYSDOL's web site (<http://labor.ny.gov/businessservices/funding.shtm>) on an ongoing basis, with the final posting taking place no later than July 24, 2015.

This RFP and any related questions and answers are available on NYSDOL's web site at <http://www.labor.ny.gov/businessservices/funding.shtm> and at <http://labor.ny.gov/cfa/index.shtm>.

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

Low Cost Financing

Federal Industrial Development Bond Cap

Available Funding: Up to \$300 million

DESCRIPTION:

Up to \$300 million of the 2015 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, Global NY, Veterans’ initiative and Opportunity Agenda projects identified by the appropriate Regional Council(s).

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.

Department of Environmental Conservation
625 Broadway
Albany, NY 12233-2560

FIRE DEPARTMENTS

Rural Volunteer Fire Assistance

Pursuant to the Agriculture Appropriations Act, Section 7(b)3 of P.L. 95-313 (Cooperative Forestry Assistance Act of 1978), the New York State Department of Environmental Conservation hereby gives notice of the following:

The New York State Department of Environmental Conservation (The Department) will administer the 2015 Volunteer Fire Assistance (VFA) Grant program to assist eligible rural fire departments in the purchase of eligible wildland fire suppression equipment. VFA applications will be accepted through June 30, 2015.

The Department received a federal appropriation of \$400,000 to award fire assistance grants. Fire departments eligible to apply may receive grant funding up to \$1,500 for the purchase of eligible wildland fire suppression equipment. Fire departments are required to equally match (50/50) the amount of the award. Grant funding is based on federal guidelines for use in fire districts serving a rural area or a rural community with a population of 10,000 or less. A fire department serving a population greater than 10,000 and not providing protection to a rural area or rural community is not eligible for VFA financial assistance.

Applications are scored based on established rating criteria including: population, the I.S.O. Fire Prevention Insurance rating, the presence of Native American communities in the district and the date of the last VFA grant received.

Applications are available on-line at <http://www.dec.ny.gov/regulations/2364.html>. For further information, contact: Lynne Korona, DEC Division of Forest Protection, 625 Broadway, 3rd Fl., Albany, NY 12233-2560, (518) 402-8835 or email questions to vfagrant@dec.ny.gov

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

ELIGIBLE VOLUNTEER FIRE DEPARTMENTS, VOLUNTEER EMERGENCY SERVICE ORGANIZATIONS AND STATEWIDE ORGANIZATIONS THAT REPRESENT THE INTERESTS OF VOLUNTEER FIREFIGHTERS AND/OR VOLUNTEER EMERGENCY SERVICES PERSONNEL

Fiscal Year 2015-2016 Recruitment and Retention Grant Program

Fiscal Year 2015-2016 Recruitment and Retention Grant Program seeks applications for up to \$25,000 in state funding made available by the NYS Division of Homeland Security and Emergency Services (DHSES) for programs designed to promote the development of, or support existing, regional recruitment and retention efforts. All awards are subject to availability of funds, pursuant to the provisions of sections 209-G and 630-b of the New York State Tax Law. This Grant Program is intended to promote the recruitment and retention of volunteer firefighters and volunteer emergency services personnel through the following primary objectives: 1.) Support organizational leadership development through education and training; and, 2.) Develop and implement recruitment and retention programs and materials. Funds will be awarded competitively based on the submission of applications by eligible volunteer fire departments, volunteer emergency service organizations and statewide organizations that represent the interests of volunteer firefighters and/or volunteer emergency services personnel.

Applications will be accepted from April 14, 2015 through 11:59 p.m. on June 11, 2015 and must be submitted to DHSES's grants inbox: grants@dhSES.ny.gov.

For the Request for Applications (RFA) please visit the Division of Homeland Security and Emergency Services (DHSES) website at <http://www.dhSES.ny.gov/grants> or DHSES's Grant Hotline at (866) 837-9133.