

# **NOTICE OF AVAILABILITY OF STATE AND FEDERAL FUNDS**

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2016 Consolidated Funding Application

## 2016 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 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. Full solicitations, application materials, and details for CFA workshops are available online at [www.regionalcouncils.ny.gov](http://www.regionalcouncils.ny.gov). The funding solicitation opens on Monday, May 2, 2016 and applications will be accepted through the CFA until 4:00 pm on Friday, July 29, 2016.

This year, there are over 30 programs available through 11 state agencies, including Empire State Development; NYS Canal Corporation; NYS Energy Research and Development Authority; Environmental Facilities Corporation; Homes and Community Renewal; Department of Labor; New York Power Authority; Office of Parks, Recreation and Historic Preservation; Department of State; Department of Environmental Conservation, and Council on the Arts. In an effort to provide the most appropriate state resources through this process, participating agencies will be able to review and potentially provide funding to a project that did not specifically apply to that program, if the materials submitted at time of application satisfy the requirements for that program and allow for fair review under the circumstances. In addition, all programs contained in this document will use regional distribution standards to ensure projects are funded throughout the state.

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

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

Funding is available through the following programs:

## 2016 Available Resources

### Direct Assistance to Business and Other Organizations: Up to \$262 million

- **Empire State Development**
  - Up to \$175 million for ESD Grant Funds
  - Up to \$70 million for Excelsior Jobs Program
  - Up to \$2.5 million Business Incubator and Innovation Hot Spot Support Program
  - Up to \$1 million for ESD Grants for Strategic Planning and Feasibility Studies
  - Up to \$13.5 million for Market New York

### Community Development: Up to \$55 million

- **New York State Council on the Arts**
  - Up to \$5 million for Arts, Culture and Heritage Projects
- **Homes and Community Renewal**
  - Up to \$25 million for New York State Community Development Block Grant Program
  - Up to \$5 million for New York Main Street Program
- **Office of Parks, Recreation and Historic Preservation**
  - Up to \$20 million for Environmental Protection Fund Grants

### Waterfront Revitalization: Up to \$20.5 million

- **Department of State**
  - Up to \$19.5 million for the Local Waterfront Revitalization Program
- **New York State Canal Corporation**
  - Up to \$1 million for the Canalway Grants Program

### Energy: Up to \$60 million

- **New York State Energy Research and Development Authority**
  - Up to \$60 million for Energy Efficiency Programs
- **New York State Power Authority**
  - Up to 150MW for the ReCharge NY Program

### Environmental Improvements: Up to \$40 million

- **Department of Environmental Conservation**
  - Up to \$2 million for NYS DEC/EFC Wastewater Infrastructure Engineering Planning Grant
  - Up to \$26 million for the Water Quality Improvement Projects (WQIP) Program
- **Environmental Facilities Corporation**
  - Up to \$10 million for the Green Innovation Grant Program

### Sustainability Planning and Implementation: Up to \$15 million

- **Department of Environmental Conservation**
  - Up to \$11 million for the Climate Smart Communities Program
- **Department of State**
  - Up to \$4 million for Local Government Efficiency Grants

### Education/Workforce Development: Up to \$5 million

- **Department of Labor**
  - Up to \$5 million for Workforce Development

### Low Cost Financing: Up to \$300 million

- **Empire State Development**
  - Up to \$300 million for Industrial Development Bond (IDB) Cap

## Direct Assistance to Businesses and Other Organizations

### Empire State Development Grant Funds

Funding Available: Up to \$175 million

#### DESCRIPTION:

ESD has \$175 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, Downtown Revitalization Initiative 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.

Assistance generally falls into three categories:

1. Business Investment
2. Infrastructure Investment
3. Economic Growth Investment

**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.

**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 and Innovation Hot Spot Support Program**

**Funding Available: \$2.5 Million**

### **DESCRIPTION**

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

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

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

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

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

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

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

### ELIGIBILITY

An entity wishing to be designated as a designated NYS Business Incubator must currently be providing a business incubation program which has been in existence for three or more years. Applicants must provide a strategic plan for their incubator and demonstrate that their services align with industry best practices. Applicants must demonstrate how this funding will enable and/or expand services they provide to their tenant clients and demonstrate a 2:1 match of state funds.

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

### FUNDING

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

- Up to \$125,000 will be provided annually for five years to entities designated as a New York State Business Incubator. Ten awards are anticipated in this category for CFA Round VI funding.
- Up to \$250,000 will be provided annually for five years to entities designated as a New York State Innovation Hot Spot. Five awards are anticipated in this category for CFA Round VI funding.

**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, Downtown Revitalization Initiative projects, 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 \$13.5 million****Description**

*Market New York* is a grant program established to strengthen tourism and attract visitors to New York State by promoting destinations, attractions and special events. Funding is available for tourism marketing initiatives, capital/construction projects and the recruitment and/or execution of meetings, conferences, conventions, festivals, athletic competitions and consumer and industry trade shows. The Market New York program and each funded proposal will work to support the long term strategic plans for economic growth as put forth by the Regional Economic Development Councils (REDCs). For the 2016-2017 Fiscal Year, up to \$13.5 million will be available through *Market New York*.

Funding is available for eligible projects that will create an economic impact by increasing tourism throughout the state. Grant funding will be allocated among the ten REDC regions, based on each REDC's five-year strategic plan that sets out a comprehensive vision for economic development and specific strategies to implement that vision. REDC strategic plan information can be found at: <http://regionalcouncils.ny.gov/>.

There are three categories of funding available under *Market New York*, each with varying requirements. Up to **\$13.5 million** is available for the following project categories:

- 1) **Regional Tourism Marketing;**
- 2) **Tourism Capital;** and
- 3) **Tourism Special Events.**

Note: Applicants with projects that include both marketing and capital expenditures will need to clearly indicate that in their CFA application. Applicants applying for special events projects will need to specify if the project includes marketing and/or capital investments.

**ELIGIBILITY REQUIREMENTS**

Applicants must complete and submit a Consolidated Funding Application (CFA) which will be reviewed by Empire State Development (ESD) and the REDC for the primary region in which the project is located.

Entities that may apply for funding include not-for-profit corporations, municipalities, Tourism Promotional Agencies (TPAs), public benefit corporations and for-profit companies. Individuals are not eligible to apply for this grant. Businesses must be certified in New York State. Not-for-profit corporations are subject to New York State's Not-For-Profit Corporation Law, and 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 meet the following requirements 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.

## FUNDING CATEGORY INFORMATION

### Regional Tourism Marketing

Applications will be accepted for projects that market New York State regional tourism destinations or attractions. Applicants must demonstrate how the tourism marketing project will promote and forward the tourism goals of the corresponding REDC's strategic plan.

The goal of proposed projects should be to increase visitation and demonstrate a positive economic impact especially by enhancing the visitors' experience and increasing their likelihood to advocate for New York State as a travel destination. Successful tourism marketing projects will complement the goals and strategies of I LOVE NY, namely to increase New York State the top destination choice for travelers, and particularly families looking to create meaning memories, and millennials/ double income couples without children. Achievement of these goals will be demonstrated by an increased interest in a NYS vacation, particularly by families and millennials/ double income couples without children; a broader awareness of all New York State has to offer; increases in room nights, visitor frequency and length of stay; higher level of engagement in social and digital channels, especially by family members and millennials/ double income couples without children; and greater visibility in relevant press (e.g. family magazines, outdoor publications, etc.). New York State will implement strategies to achieve these goals including television, digital, out-of-home and other advertising, activations at live events, international marketing, public relations efforts, social media engagement and others initiatives. More information is available at [www.iloveny.com/MarketNY](http://www.iloveny.com/MarketNY).

*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 will be used as well as 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. The budget in the project plan should reflect the same total project costs indicated in the budget section of the CFA application.*

### Regional Tourism Capital

Applications will be accepted for projects that include plans to expand, construct, restore or renovate New York State tourism destinations and attractions. Applicants must demonstrate how the tourism capital project will work to promote and forward the tourism goals of the corresponding REDC's strategic plan.

The goal of proposed projects should be to increase visitation and demonstrate a positive economic impact especially by enhancing the visitors' experience and increasing their likelihood to advocate for New York State as a travel destination. Successful tourism marketing projects will complement the goals and strategies of I LOVE NY, namely to increase New York State the top destination choice for travelers, and particularly families looking to create meaning memories, and millennials/ double income couples without children. Achievement of these goals will be demonstrated by an increased interest in a NYS vacation, particularly by families and millennials/ double income couples without children; a broader awareness of all New York State has to offer; increases in room nights, visitor frequency and length of stay; higher level of engagement in social and digital channels, especially by family members and millennials/ double income couples without children; and greater visibility in relevant press (e.g. family magazines, outdoor publications, etc.). New York State will implement strategies to achieve

these goals including television, digital, out-of-home and other advertising, activations at live events, international marketing, public relations efforts, social media engagement and others initiatives. More information is available at [www.iloveny.com/MarketNY](http://www.iloveny.com/MarketNY).

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.

*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 will 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, the budget in the project plan should reflect the same costs total project costs indicated in the budget section of the CFA application.*

### **REGIONAL TOURISM SPECIAL EVENTS**

New York State supports and encourages the successful recruitment of new major tourism events that derive a positive economic impact for the state. For that reason, applications will be accepted for the hosting, execution and / or promotion of special events to be held in New York State including: meetings, conventions, conferences, festivals, athletic competitions and consumer and industry trade shows. Applicants must demonstrate how the tourism special events project will work to promote and forward the tourism goals of the corresponding Regional Council's strategic plan. A portion of Special Events Funding, anticipated to be at least \$1 million, will be awarded for events that have not been held in New York State within the last three (3) years.

Business/Commercial meetings and events will be required to demonstrate in their project plan that the event increases visitation to a region or regions of New York State in order to be eligible for Market New York grant funding.

Note: ESD shall have the discretion to consider additional factors in determining the relative merits of projects.

### **MORE INFORMATION/ASSITANCE**

For more information please contact the New York State Division of Tourism staff at [RegionalTourism@esd.ny.gov](mailto:RegionalTourism@esd.ny.gov) and/or 518.292.5949.

## Community Development

### New York State Council on the Arts – Arts and Culture Initiatives

Funding Available: Up to \$5 million

#### DESCRIPTION:

Funding for arts and culture initiatives is available to eligible non-profit and local units of government applicants through the Regional Economic Development Program (REDC). The New York State Council on the Arts (NYSCA) welcomes applications in FY2017 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 planning, presentation and staffing of the performing, literary and visual arts that encourage broader participation and public interest in the cultural heritage of the state and promote economic development.

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.

All NYSCA's REDC Program funding must be distinct from and in addition to applications for support already submitted to or currently funded by other NYSCA programs in FY 2017.

#### GOALS:

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 and culture activities enrich and strengthen 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 and revitalization efforts.

**Through NYSCA's REDC program, arts and cultural projects focused on economic and community development will:**

- Develop the arts, culture and heritage workforce
- 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 and cultural 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 and culture
- Create new jobs in the arts and culture 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 arts and culture
- 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 local government 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](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. Applicants must be arts or culture organizations. Please click here to review the evaluative criteria:  
[http://www.arts.ny.gov/public/grants/funding\\_criteria.htm](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](http://www.arts.ny.gov/public/grants/nysca_does_not.htm)

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

Applicants **cannot** request funding for the same project through the FY2017 REDC Program and another FY2017 NYSCA grant program.

Applicants **may submit only 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.

Proposals involving regranting of funds **are not** eligible for support.

Capital requests for equipment, design, feasibility studies or construction **are not** eligible for support.

**FY2017 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**

Support is intended to lay a foundation for future implementation of policies, projects and programs. Initiatives developed through partnerships between non-profit, for-profit and government entities will be given priority. The lead applicant must be a nonprofit arts and cultural organization or local unit of government working with and providing evidence of collaboration with multiple stakeholders.

- In every case, planning requests MUST encompass a specific neighborhood, municipality, county, and region or designated cultural or business district. Planning requests that only benefits a single organization will not be considered.
- This category is open only to initiatives that are not part of a current NYSCA FY2017 request and not included in continuing multi-year funding.

**2) Arts, Culture and Heritage New Initiatives – Implementation**

Support is provided for the implementation of 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 will be given priority.

New York State is celebrating two landmark events of great historical significance. The NYSCA REDC Program is supporting arts and culture projects that are inspired by either of these two events and that broadly engage the general public. Additionally, past REDC Planning grant recipients may apply for implementation of planned projects.

- This category is open only to initiatives that are not part of a current NYSCA FY2017 request and not included in continuing multi-year funding.
- their art

**3) Workforce Investment**

Workforce Investment support is designed to expand the capacity of New York State's arts and cultural organizations with operating budgets currently no more than \$750,000. Please note there is no limit on the organizational budget size for applications submitted in the Arts Career Development Fellowships for Underrepresented Communities focus area.

Grant awards will support one expanded staff position or one new staff position. Applicants must demonstrate the critical need for the employee and provide a substantial sustainability plan to

ensure continued employment after the grant term ends.

- Only nonprofit arts and cultural organizations may apply in this category.
- The Workforce Investment category is offered as a single-year grant contract. Past Workforce Investment grant recipients whose contract period has ended by the request year (FY2017) may apply for one additional year of support for the same original position.
- Organizations who have already received two grant awards in this category are not eligible to apply.
- This category is open only to initiatives that are not part of a current NYSCA FY2017 request and not included in continuing multi-year funding.

**CONTACT/ADDITIONAL PROGRAM INFORMATION:**

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

## **Community Development Block Grant Program**

**Funding Available: Up to \$25 million**

**Description:**

The Community Development Block Grant (CDBG) Program is a federally funded program authorized by Title I of the Housing and Community Development Act of 1974. The CDBG Program is administered by the 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) Community 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>.

**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>.

**3) Community 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.

**4) Microenterprise**

The NYS CDBG Economic Development program through the CFA includes Microenterprise activities. 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 where Davis Bacon and Related Acts apply.

**Activity Funding Limits:**

<b><i>County, Town, City or Village:</i></b>	<b><i>Maximum</i></b>
Public Infrastructure*	\$750,000
Public Facilities	\$300,000
<b><i>Joint Applicants:</i></b>	
Public Infrastructure* (drinking water and/or clean water only)	\$900,000
<b><i>County, Town, City or Village</i></b>	
Microenterprise Program	\$200,000
<b><i>County, Town, City or Village</i></b>	
Planning	\$ 50,000

**Eligible Types of Applicants:**

Eligible applicants are non-entitlement units of general local government (villages, cities, towns or counties), excluding metropolitan cities, urban counties and Indian Tribes that are designated entitlement communities. Non-entitlement areas are defined as cities, towns and villages with populations of less than 50,000, except those designated principal cities of Metropolitan Statistical Areas, and counties with populations of less than 200,000. The NYS CDBG program does not provide direct financial assistance to businesses. For a list of eligible communities, please visit: <http://www.nyshcr.org/Programs/NYS-CDBG/EligibleCommunities.htm>.

Applicants may submit multiple applications. The total amount requested by the applicant for Public Infrastructure cannot exceed \$750,000 with the exception of single projects that qualify under the higher threshold as described above. The total amount requested by the applicant for Public Facilities cannot exceed \$300,000. The total amount requested by the applicant for Microenterprise cannot exceed \$200,000. The total amount requested by the applicant for Community Planning cannot exceed \$50,000. 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 used 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.

**Additional Resources:**

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

**New York Main Street Program**

**Funding Available: Up to \$5,000,000**

**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.

**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:****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.

## **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.

## **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](mailto: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 one project type. 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/>

**Matching Fund Requirements:**

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

**Additional Resources:**

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

**Office of Parks, Recreation & Historic Preservation (OPRHP) –  
Environmental Protection Fund Grants Program for Parks, Preservation  
and Heritage (EPF)**

**Funding Available: Up to \$20 Million**

**DESCRIPTION:**

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

EPF Parks, Preservation and Heritage grant funding is available for the acquisition, planning, development, and improvement of parks, historic properties, and heritage areas located within the physical boundaries of the State of New York. Grants can fund up to 50% of 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 are 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 owner must grant 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 Parks, Preservation and Heritage Grants program is available for the activities and programs described below. An application may be evaluated in all categories for which it qualifies. Applicants should be alert to the requirements for each category for which they wish the application to be considered.

To ensure the public benefit from the investment of State funds, properties acquired or developed with grant funds will receive long term protections, either through parkland alienation law, conservation easements, or public access or preservation covenants recorded against the deeds.

- **Parks 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 Preservation Program** - to acquire, improve, protect, preserve, rehabilitate or restore properties listed on the State or National Register of Historic Places and for structural assessments and/or planning for such projects. All work must conform to the Secretary of the Interior’s Standards for the Treatment of Historic Properties.
    - Properties not currently listed, but scheduled for nomination review at the State Board for Historic Preservation meeting of either June 22, 2016, or September 22, 2016, 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 for all Historic Preservation 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 Area Program** - for projects to acquire, preserve, rehabilitate or restore lands, waters or structures identified in the approved management plans for Heritage Areas designated under section 35.03 of the Parks, Recreation and Historic Preservation Law, and for structural assessments or planning for such projects. 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 for all Heritage Area grants.

**INELIGIBLE COSTS:** (Ineligible costs will be eliminated from the total project costs in the grant application)

- 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.
- Comprehensive Open Space or Management Plans.
- Application Preparation.

- Contingencies, training, travel, OJT wages, working capital, marketing, taxes, interest, purchase of operational or maintenance equipment, salaries and wages, overhead or operating expenses, rent/lease are ineligible unless noted otherwise above.
- Fundraising events/expenses.
- Bond interest and associated fees. The interest associated with a Bond or Bond Anticipation Note (BAN) cannot be calculated into project cost, whether for reimbursement or local match.
- Lobbying expenses.
- Costs that are not adequately justified or that do not directly support the project.

**ADDITIONAL RESOURCES:**

Go to <http://www.nysparks.com/grants/consolidated-funding-app.aspx> to view forms and resources containing 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>                      Kathleen Mclsaac                      2221 Taughannock Park Road                      Trumansburg, NY 14886                      (607) 387-7041, FAX (607) 387-3390                      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>                      Kathleen Mclsaac                      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 125<sup>th</sup> Street, 17<sup>th</sup> 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 Drost                      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>

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 \$19.5 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, or city, or a county with the consent and on behalf of one or more villages, towns, cities) 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 a Local Waterfront Revitalization Program (LWRP)
- Updating an LWRP to Mitigate Future Physical Climate Risks
- Redeveloping Hamlets, Downtowns and Urban Waterfronts
- Planning or Constructing Land and Water-based Trails
- Preparing or Implementing a Lakewide or Watershed Revitalization Plan
- Implementing a Community Resilience Strategy
- Celebrating the Bicentennial of the Erie Canal - Improving Public Waterfront Access for Canal Communities

**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, fringe benefits for activities related to project work by municipal employees, including grant administration and grant administration
- Non-Personal Services – including supplies and materials, travel, equipment, consultant/contractual services for direct project related costs, project management, limited grant administration, and other goods and services.

NOTE: Project management activities may include, but are not limited to, oversight and coordination of tasks needed to produce contracts deliverables, coordination of Project Advisory Committee activities, consultant procurement and oversight, public outreach and providing technical assistance. Project management may include providing local and/or regional capacity to advance revitalization goals.

NOTE: Grant administration activities may include, but are not limited to, preparation of reports, vouchers, contract related administration and compliance with grant record keeping and reporting requirements. 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
- Bond interest and associated fees
- 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 \$10,000,000 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.

**Additional Resources:**

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

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

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

**Canalway Grants Program****Funding Available: Up to \$1 million****DESCRIPTION:**

The "Canalway Grants Program" includes up to \$1.0 million in competitive grants available to eligible municipalities, and 501(c)(3) non-profit organizations along the New York State Canal System for canal related capital projects. 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 that are intended to further the goals and objectives of the NYS Canal Recreationway Plan and Regional Economic Development Councils Strategic Plans

**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 that 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.

**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, 12209, or call 518-436-3055.

## Energy

### **NYSERDA Energy Efficiency Programs**

**Funding Available:** Up to \$60 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 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.nyserda.ny.gov/flextech](http://www.nyserda.ny.gov/flextech). Alternatively, customers may select their own service provider.

Potential service providers include, but are not limited to: ESCOs, energy consultants, and engineering companies.

Eligible study categories include:

- Energy Feasibility Studies — Studies and customized recommendations for the energy consuming systems at your facility that align with your business goals.
- Master Planning — Ongoing identification of energy opportunities for your business. Services include energy, carbon and sustainability master planning, long-term energy management support, and RFP preparation.
- Industrial Process Efficiency — Studies focusing on increasing productivity while improving energy performance. The findings of these studies help your company define and reduce energy use per unit of production.
- Data Centers — Assess energy efficiency and reduce energy and carbon impacts in your data center support systems. Includes items such as system upgrades or replacement, server virtualization, and redundancy optimization.
- Combined Heat and Power — Study to investigate the feasibility of installing gas-fired combined heat and power at your site.
- 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, new equipment commissioning and retro-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.
- 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.
- 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.

**ADDITIONAL RESOURCES:**

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

**ADDITIONAL RESOURCES:**

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

**NYS Energy Research and Development Authority – Commercial New Construction Program****DESCRIPTION:**

The Commercial New Construction Program (CNCP) provides technical and financial support to evaluate energy efficiency options and to promote the installation of energy-efficient electric equipment in new and substantially renovated commercial 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)

**SUCCESSFUL APPLICANT REQUIREMENTS:**

- Submit a Consolidated Funding Application (CFA).
- Working with NYSERDA, identify, analyze and document potential energy efficiency measures and incentives. Technical support services during this phase may require cost-sharing between NYSERDA and the applicant, with the applicant's prior approval.
- Purchase and install equipment after receiving an incentive offer from NYSERDA.\*

\* NYSERDA may elect to inspect projects prior to final approval. If requested by NYSERDA the applicant must also provide access to the site for post-occupancy measurement and verification.

**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; and
- Energy-efficiency measures must be cost effective.

**ADDITIONAL RESOURCES:**

More information is available at <http://www.nyserdera.ny.gov/new-construction>.  
1-866-NYSERDA

**NYS Energy Research and Development Authority - Commercial Implementation Assistance Program****DESCRIPTION:*****Commercial Implementation Assistance Program***

The Commercial Implementation Assistance Program (CIAP) offers resources to help offset the costs of implementing energy efficiency improvements in existing commercial facilities across New York State. Applicants must apply to their utility for incentives prior to apply to NYSERDA. Only those measures that are not eligible for utility incentives will be considered. Project types may be eligible assistance 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. Applications will be accepted on a first-come, first-served basis through 5:00 pm EST on December 31, 2016, 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

**ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:**

Facilities can apply to NYSERDA's program for cost-shared, financial support of up to 50% to complete targeted energy efficiency projects. Targeted energy efficiency projects covered by NYSERDA's program include:

- Advanced clean energy or underutilized technologies
- Deep-energy savings projects
- Systems-based projects that expand the diversity of measures and depth of savings

Requirements for these projects include:

- A simple payback period that is between 4 and 14 years *excluding* NYSERDA incentives
- A minimum project cost of \$50,000

**FUNDING PRIORITIES:**

The program is offered as open enrollment, advertised as a Program Opportunity Notice (PON), and is offered on a first come, first served basis until funds are exhausted.

**INELIGIBLE ACTIVITIES:**

- 1) Projects with simple payback periods greater than 4 years and less than 14 years (excluding NYSERDA incentives) are ineligible. NYSERDA's incentives will be adjusted to ensure these payback thresholds are adhered to.
- 2) Applicants may not obtain incentives for the same energy efficiency measures through other NYSERDA programs or from programs offered by their local utility.
- 3) Ineligible projects include power quality, power factor improvements, and most fuel switching activities. Residential projects are also ineligible for participation in the program.
- 4) Projects that can receive an incentive from their utility or other NYSERDA programs are not eligible.

**ADDITIONAL RESOURCES:**

<http://www.nyserdera.ny.gov/All-Programs/Programs/Commercial-Implementation-Assistance-Program>

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

The New York State Energy Research and Development Authority (NYSERDA)'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.

**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.

Incentive Type	Utility	All Other Utility Territories	ConEd Territory
Process and Energy Efficiency	Electric	\$0.10/kWh	\$0.16/kWh
	Fossil Fuel	\$6/MMBtu	\$6/MMBtu
Operational & Maintenance (O&M)	Electric	\$0.04/kWh	\$0.04/kWh
	Fossil Fuel	\$3/MMBtu	\$3/MMBtu
Maximum Incentive	All Projects	50% Project Cost; \$2 million per company	
	Electric	\$1 million per project	
	Fossil Fuel	\$500,000 per project	

In order to be considered eligible, a facility must pay into the System Benefits Charge (SBC) on their electric bill through one of the following utility companies:

- Consolidated Edison Company of New York, Inc.
  - Central Hudson Gas & Electric Corporation
  - National Grid Generation d/b/a National Grid
  - 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 \$25,000.
  - A facility may receive an incentive for a specific energy efficiency measure either through NYSERDA or a utility company, but not both.

**ADDITIONAL RESOURCES:**

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

**New York Power Authority - ReCharge New York****Amount available: Up to 150 Megawatts (availability as of 4/1/16)****Description:**

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

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

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

## Environmental Improvements

### New York State DEC/EFC Wastewater Infrastructure Engineering Planning Grant Program - Overview

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 round of the Wastewater Infrastructure Engineering Planning Grant (EPG) program.

Grants of up to \$100,000<sup>1</sup> will be provided to municipalities with a Median Household Income (MHI) of \$65,000 or less to finance engineering and planning services for the production of an engineering report.

The ultimate goal of the EPG 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 the Key Definitions section of this document; and Median household income (MHI) of the municipality is equal to or less than \$65,000 according to the United States Census, 2013 American Community Survey. A summary of the United States Census, 2013 American Community Survey MHI data can be found on the EFC EPG website, [www.efc.ny.gov/cwplanninggrants](http://www.efc.ny.gov/cwplanninggrants).
- Municipalities may only have two *active* EPG awards, they are not eligible to have three active awards.
  - An active EPG award means a project that has been awarded funding and awaiting an executed grant agreement or currently has an executed grant agreement with EFC.

#### ELIGIBLE ACTIVITIES

Funding can be used by municipalities for the preparation of an engineering report<sup>2</sup> and planning activities to determine the scope of water quality issues, 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) implementation plan.

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

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

The report must follow EFC's current Engineering Report Outline. The report must contain a comprehensive analysis of the following alternatives, as applicable:

- No-action alternative (required)
- Green infrastructure in combination with gray infrastructure or individually (required for projects involving stormwater, including stormwater inflow to sewer systems)
  - A justification must be provided if a green infrastructure component is not part of the recommended alternative
- Repair or replacement versus new construction
- Regional consolidation opportunities
- Centralized versus decentralized (required for new systems), or a combination thereof (small cluster or individual systems)

Any alternatives considered technically infeasible should be identified as such and the rationale briefly discussed.

Smart Growth alternative(s) must be considered and documented in 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.

#### **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.<sup>3</sup>
- Projects and scope listed on the 2016 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, 2013 American Community Survey. Population data can be found on the EFC EPG website at [www.efc.ny.gov/cwplanninggrants](http://www.efc.ny.gov/cwplanninggrants).
- Type of Planning Project: any wastewater infrastructure-related, including disinfection projects.
- Engineering Report Requirements: Due within 9 months of grant agreement execution.

##### *Option 2 - \$50,000 grant*

- Population of Municipality: Greater than 50,000 according to the United States Census, 2013 American Community Survey. Population data can be found on the EFC EPG website at [www.efc.ny.gov/cwplanninggrants](http://www.efc.ny.gov/cwplanninggrants).
- Type of Planning Project: any wastewater infrastructure-related, including disinfection projects.
- Engineering Report Requirements: Due within 9 months of grant agreement execution.

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

*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.
- Engineering Report Requirements: Due within 1 year of grant agreement execution.

**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. In addition, municipalities may only have two *active* EPG awards, they are not eligible to receive a third.

**Additional Resources**

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

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

Funding Available: Up to \$26 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 percent of the project cost for Wastewater Treatment Improvement projects. Grant recipients may receive up to 75 percent of the project cost for Non-agricultural Nonpoint Source Abatement and Control, Aquatic Habitat Restoration, Municipal Separate Storm Sewer System projects.

### **Additional Resources**

The RFA 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](mailto:user.water@dec.ny.gov) no later than July 11, 2016.

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 and/or grant-related questions are encouraged to attend.

### **Funding**

The Department anticipates using mainly Environmental Protection Funds for these projects. The Department anticipates having up to \$26 million available for WQIP projects. The Department may potentially receive additional funding for qualifying projects (e.g., wastewater treatment, nonpoint source abatement and control, aquatic habitat restoration) located in Nassau and Suffolk counties. Should such funding become available, DEC reserves the right to award funding for scored and ranked projects, consistent with the method of award described in this grant opportunity.

### **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. Applicant eligibility criteria is more clearly identified under each specific WQIP project type contained in this Request for Applications (RFA).

- Municipalities
- Municipal corporations
- Regulated traditional Municipal Separate Storm Sewer Systems (MS4s)
- Soil and water conservation districts
- Not-for-profit corporations, (**Only** aquatic habitat restoration projects)

**Applicant who have demonstrated poor management of past WQIP contract(s) will not be funded in Round 13. Also applicants who have not previously been awarded a WQIP grant but their Round 13 application does not demonstrate the experience and ability to carry out the project will not be funded in Round 13.**

**Projects that have not secured any of the necessary approvals and are not ready to proceed with project implementation will not be funded.**

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

All not-for-profits must register and prequalify in the NYS Grants Gateway by the due date of this application to be eligible for this grant (<http://grantsreform.ny.gov>).

#### Eligible Types of Projects

- Non-agricultural Nonpoint Source Abatement and Control
- Wastewater Treatment Improvement
- Aquatic Habitat Restoration
- Municipal Separate Storm Sewer Systems (MS4s)

#### Ineligible WQIP Projects

Application proposals that do not address water quality impairment.

#### Eligibility Criteria:

To be eligible for consideration applicants must meet the following criteria:

1. Eligible Applicant
  - a. Municipality
  - b. Municipal Corporation
  - c. Regulated traditional Municipal Separate Storm Sewer Systems (MS4s)
  - d. Soil and Water Conservation District
  - e. Not-for-Profit Corporation ( Aquatic Habitat only)
2. Eligible Project Type
  - a. Non-Agricultural Nonpoint Source Abatement and Control
  - b. Wastewater Treatment Improvement
  - c. Aquatic Habitat Restoration
  - d. Municipal Separate Storm Sewer Systems (MS4s)
3. Registration in the NYS Grants Gateway
  - a. Municipalities, Municipal Corporations and Soil and Water Conservation Districts must be registered in the NYS Grants Gateway by the time of project award.
  - b. Not-for-Profit Corporations must be registered and pre-qualified in the NYS Grants Gateway by the application due date.

### **Environmental Facilities Corp. - Green Innovation Grant Program**

**Funding Available: \$10 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.

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 8 of GIGP (GIGP 8) is \$10 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 8 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. Grants will be available for up to 90% of the total eligible project costs set forth in the application. A minimum 10% match from state or local sources is required. Funding will be provided to selected projects to the extent that funds are available.

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

- Municipal
- Intermunicipal
- Interstate Agencies
- State Agencies

Eligible applicants may submit more than one grant application. However, EFC reserves the right to limit GIGP 8 funding to one grant award per applicant.

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

GIGP funding is provided for water quality projects. Eligible project costs are limited to items that are directly attributable to the improvement or protection of water quality and integral to the success of the following eight specific green infrastructure practices:

Bioretention, e.g. rain gardens or bioswales

Construction or restoration of wetlands, floodplains, or riparian buffers

Downspout disconnection

Green roofs and green walls

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

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

Stormwater street trees / urban forestry programs designed to manage stormwater

Stream daylighting

Applicants should refer to the New York State Stormwater Management Design Manual <http://www.dec.ny.gov/chemical/29072.html> for design guidance.

**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
- 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
- Costs not directly attributable to water quality including: asbestos abatement and amenities i.e. bus shelters, benches, light poles, traffic devices, etc.
- Potable water irrigation systems
- Capital equipment costs such as street sweepers, sewer cleaners, and vector trucks

**ADDITIONAL RESOURCES:**

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

## Sustainability Planning and Implementation

### Climate Smart Communities Grant Program

Funding Available: Up to \$11 million

#### DESCRIPTION

Communities are at the forefront of action to make residents of New York State more resilient to our changing climate and significantly reduce greenhouse gas emissions. Adaptation to climate change is local, whether the hazards are sea-level rise, extreme precipitation, heat waves, or changes in the natural environment upon which agriculture, tourism and many communities' sense of place depend. Local governments are also key partners in the state's role as an international leader in reducing greenhouse gas emissions.

Many communities are doing their part and have already committed to acting on climate. These forward-thinking communities and others are assessing their climate vulnerabilities and making plans to protect and improve the health, safety and economic well-being of their residents. At the same time, they are seeking to reduce their carbon footprints, secure direct cost savings, and increase economic activity.

The Climate Smart Communities Environmental Protection Fund grant program will enable even more communities across the state to put climate plans into action. The program matches state resources with community commitments to bring local and regional plans to fruition. The competition for grant funding will reward foresight and innovation in climate protection and showcase the ingenuity of many communities.

For general information and questions on the Climate Smart Communities Program, please contact the Office of Climate Change, New York State Department of Environmental Conservation, Office of Climate Change, 625 Broadway, Albany, NY 12233, 518-402-8448, [climatechange@dec.ny.gov](mailto:climatechange@dec.ny.gov).

#### Eligible Applicants

Eligible applicants are villages, towns, cities, and counties of the State of New York. Partnership projects are encouraged. If a proposed project involves a cooperative agreement or partners, only one eligible, designated lead applicant can submit the application for grant funding. The lead applicant must assume the responsibility for the project application, performance of work consistent with this RFA, and compliance with the State of New York Master Contract for Grants. Letters substantiating the collaboration from each partner are required.

#### Eligible Activities

Projects will be considered in the following two categories:

1. *Climate Protection Implementation Projects*
  - a. Construction of natural resiliency measures
  - b. Relocation or retrofit of climate-vulnerable facilities:
  - c. Conservation or restoration of riparian areas and tidal marsh migration areas:
  - d. Reduction of flood risk:
  - e. Clean transportation:

**f. Reduction or recycling of food waste:****2. Climate Smart Communities Certification Projects**

Grants totaling up to \$500,000 will be awarded for assessment activities in this project category, with a minimum award of \$25,000 and a maximum award of \$100,000. Funding will be distributed across small, medium and large municipalities, with consideration for communities that demonstrate financial hardship, with no more than 50% of the funds going to cities or towns with a population greater than 100,000.

Grant funding may be used to conduct projects that will lead to identification of climate protection implementation projects. Applications will be accepted in this round for one or more of the following Certification Actions (see Certification Manual for full action descriptions):

- *Certification Action 3.11* - Right-size the local government fleet.
- *Certification Action 6.17* - Develop a natural resource inventory.
- *Certification Action 7.1* - Conduct a vulnerability assessment.
- *Certification Action 7.3* - Review existing community plans and projects to identify climate adaptation strategies and policies or projects that may decrease vulnerability.
- *Certification Action 7.4* - Develop climate adaptation strategies.
- *Certification Action 7.6* - Update the multi-hazard mitigation plan to address changing conditions and identify specific strategies to reduce vulnerability to natural hazards.

The Climate Smart Communities Certification Manual is available on the Office of Climate Change web site at <http://www.dec.ny.gov/energy/96511.html>. Applicants that have previously undertaken documented completion of Climate Smart Communities certification actions will receive higher points. Applicants that propose undertaking a comprehensive suite of certification actions will receive higher points. For consideration under this category, applicants must identify the applicable CSC certification action(s) being addressed by the proposed work in the submitted funding application.

**Ineligible Activities/Costs**

Ineligible budget items that will not be accepted as local match or supported with grant funds include:

- 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, or subscription costs.
- Salaries and other expenses of elected officials, whether incurred for purposes of project direction, execution, or legislation.
- Fund raising events/expenses.
- Taxes, insurance, fines, deficit funding, bond interest and associated fees.
- Contingency costs.
- Federal funds.
- Costs for purchase and installation of zero-emission vehicles (ZEV) and associated infrastructure that are eligible for funding under the 2016 EPF ZEV Municipal Rebate Program.

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

**Funding Available: Approximately \$4 Million**

### **DESCRIPTION**

For the 2016-2017 program year approximately \$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.

### **ELIGIBLE APPLICANTS**

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.

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, 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 a business.

#### ELIGIBLE PROJECT TYPE DESCRIPTIONS

Four project types are described:

1. Existing Employee Training (EET) Program;
2. New Hire Training (NHT) Program;
3. Unemployed Worker Training (UWT) Program; and
4. Special Populations Training (SPT) Program.

#### **1. Existing Employee Training (EET) Program**

This program provides \$2 million in WIOA funds for applicants to train their existing employees in specific occupational skills leading to attainment or retention of middle-skills occupations.

#### **2. New Hire Training (NHT) Program**

This program provides \$1 million in WIOA funds to applicants to train dislocated workers who require on-the-job training upon being hired. Applicants are encouraged to focus hiring on individuals in special populations, defined as those with barriers to employment under WIOA, veterans, long-term unemployed, and Temporary Assistance for Needy Families (TANF) and Supplemental Nutrition Assistance Program (SNAP) recipients.

#### **3. Unemployed Worker Training (UWT) Program**

This program provides WIOA funds to provide occupational skills training of dislocated workers to prepare them for full-time jobs (35 hours per week or more) needed by an applicant or group of applicants 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. Applicants are encouraged to focus training on dislocated workers from special populations, defined as those with barriers to employment under WIOA, veterans, long-term unemployed, and TANF and SNAP recipients.

#### **4. Special Populations Training (SPT) Program**

This program provides WIOA funds to provide for training of dislocated workers in special populations (e.g., ex-offenders, limited English proficient, individuals with disabilities, TANF and SNAP recipients, veterans) who require classroom-based occupational skills training in order to be qualified to be hired for full or part-time employment. For the full list of special populations

eligible under this RFP, see the Workforce Innovation and Opportunity Act Section 3 (24) or the full solicitation.

### ELIGIBLE APPLICANTS

#### Existing Employee Training Program, and New Hire Training Program

- Private sector for-profit businesses, including corporations, LLCs, LLPs, etc. with two or more employees, or the equivalent of two full-time employees; or
- Private sector not-for-profit businesses with two or more employees, or the equivalent of two full-time employees.

#### Unemployed Worker Training Program, and Special Populations Training Program

- Local Workforce Development Boards (LWDBs) with two or more employees; or
- Training providers with two or more employees, or the equivalent of two full-time employees.

### CONTACT / ADDITIONAL PROGRAM INFORMATION:

The contact for this program is Juie Deo, New York State Department of Labor, Division of Employment and Workforce Solutions, State Office Campus, Building # 12, Room # 440, Albany, New York, 12240, (518) 457-3555.

Applicants may submit questions via electronic mail ([CFA@labor.ny.gov](mailto:CFA@labor.ny.gov)). Questions regarding this RFP will be accepted no later than July 19, 2016. No telephone inquiries will be accepted. All inquiries should reference "CFA Question" in the Subject line. Answers to all questions will be posted on NYSDOL's website (<http://labor.ny.gov/businessservices/funding.shtm>) on an ongoing basis, with the final posting taking place no later than July 22, 2016.

The full 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 2016 statewide private activity bond allocation (“volume cap”) authority under Federal guidelines will be dedicated to facilitate lower cost tax-exempt bond financing for qualified projects by authorized State and/or local government issuers.

#### ELIGIBLE APPLICANTS/PROJECT TYPES:

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

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

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

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

#### NY Rising Summary

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

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

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

#### Downtown Revitalization Initiative

Priority consideration will be given to proposals which demonstrate they will advance downtown revitalization through transformative housing, economic development, transportation and community projects that will attract and retain residents, visitors and businesses - creating dynamic neighborhoods where tomorrow’s workforce will want to live, work, and raise a family.

## Opportunity Agenda Summary

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

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

**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

MUNICIPALITY WITH PERMITTED CSO'S THAT SERVES A POPULATION OF LESS THAN 200,000 PEOPLE  
**NYS Sewage Pollution Right to Know Grant Program**

Applications will be accepted for projects that will assist communities with the detection, monitoring and reporting of Combined Sewer Overflows (CSOs) to fulfill reporting requirements of the Sewage Pollution Right to Know law. This grant will provide funding to municipalities so they can purchase and install detection or monitoring devices on CSO outfalls to better inform the public and state agencies about CSO conditions in real time. Specifically, this grant focuses on smaller communities with fewer CSO outfalls. Smaller communities typically have less funding available for projects such as monitoring or detection.

**APPLICATION DEADLINE AND SUBMISSION**

All applications must be developed and submitted in the NYS Grants Gateway by 3:00 PM, June 24, 2016.

**FUNDING**

Up to \$500,000 is available from a NYS General Fund Local Assistance Account for the NYS Sewage Pollution Right to Know Grant program.

**MATCH REQUIREMENT AND EXPENDITURES**

Grant funds are available for up to 90 percent of the total eligible project costs. Applicants are required to provide a 10% match on the grant fund amount.

**APPLICANT ELIGIBILITY**

Eligible applicants must meet all of the criteria listed below.

1. Municipality, as defined in 6 NYCRR Part 750, means any county, town, city, village, district corporation, special improvement district, sewer authority or agency thereof; AND
2. Municipality must have permitted CSOs; AND
3. The municipal wastewater system must serve less than 200,000 people; AND
4. The municipality must agree to use NY-ALERT to report CSO discharges for their entire system. The municipality must be registered with NY-ALERT, or must have submitted to DEC by Friday, June 24, 2016 an application to use NY-ALERT.

**MINIMUM PROJECT ELIGIBILITY**

Application must include one of the following types of CSO detection technologies;

- CSO activation detection devices
- Flow monitoring devices
- Flow monitoring with remote communications systems
- Public notification system

Ineligible Projects include:

- Rehabilitation of CSO outfalls (i.e. weir adjustments, pipe diversions)
- Tidal gates or control devices
- Repair, replacement, or separation of combined sewer systems

For an application, contact:

Applications must be submitted through the Grants Gateway. Please visit <https://grantsgateway.ny.gov> to register or submit your application.

