



Department of
Environmental
Conservation

GUIDELINES AND APPLICATION INSTRUCTIONS

New York State
Department of Environmental Conservation
Hudson River Estuary Program

*Round 33
2020 Hudson River Estuary Grants
for
River Education*

*NYS Grants Gateway Application ID No.:
DEC01-HRER33-2020*

Application Due Date: (3:00 P.M. ET, June 2, 2021)

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Introduction

The New York State Department of Environmental Conservation is pleased to announce funding for projects that implement priorities of the Hudson River Estuary Action Agenda to conserve, restore and revitalize the estuary and its ecosystem.

Applications must be submitted through the NYS Grants Gateway (<https://grantsgateway.ny.gov>). Paper applications will NOT be accepted. Applicants are strongly encouraged to submit their applications prior to the application deadline. Late applications will not be accepted. For more information about Grants Gateway, please visit the Grants Management website (<https://grantsmanagement.ny.gov/>) or contact the Grants Gateway Team at: grantsgateway@its.ny.gov. The [Grants Gateway help desk](#) can be reached at (518) 474-5595.

Grant application information is also available on the Department's website at www.dec.ny.gov/lands/5091.html.

Timetable of Key Events

Event:	Date:
Application Period Begins	March 2, 2021
Question & Answer Period Ends	May 26, 2021
Applications Due	June 2, 2021; 3:00 p.m. ET
Award(s) Announced By (anticipated)	Approximately Fall 2021

Applicant Eligibility

For the purposes of this grant program, the following entities are considered eligible applicants: Governmental Entities, Municipalities, and Quasi-Governmental Entities, including but not limited to Counties, Cities, Towns, Villages, or Indian nation or tribe recognized by the state or the United States with a reservation wholly or partly within the boundaries of New York State, or any combination thereof, Public Benefit Corporations, Public Authorities, Municipal Corporations, Soil and Water Conservation Districts, School Districts, and Community Colleges, and 501(c)(3) not-for-profit corporations whose projects are located within the eligible geographic boundaries defined in this RFA.

For this grant opportunity, a "Not-For-Profit Corporation" (NFP) is subject to New York State's Not-For-Profit Corporation Law and is qualified for tax-exempt status under Section 501(c)(3) of the Federal Internal Revenue Code, has filed a Certificate of Incorporation to be incorporated in New York State and is current in their charities reporting requirements with the Office of the Attorney General.

Individuals and unincorporated groups are not eligible for this grant opportunity. However, an eligible applicant may apply on behalf of an individual or unincorporated group as a fiscal sponsor. The fiscal sponsor accepts responsibility of the grant and serves as a fiscal conduit for a DEC-funded project, receiving and disbursing funds related to the grant, and administering the requirements throughout the DEC grant process, including final reporting of grant activity.

For Multi-Partner and Inter-Municipal Projects: If a proposed project involves a cooperative agreement or partners, only one eligible, designated lead applicant must 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 the State of New York Master Contract for Grants (MCG). Letters substantiating the collaboration from each partner are required. These letters are to be uploaded to the Grants Gateway in a single PDF (see "Applicant Partners" on page 13).

Grant Opportunity General Information and Conditions

1. Funding

Approximately \$200,000 is available from the NYS Environmental Protection Fund.

2. Proposed Project Timeframes

All projects must have defined objectives, tasks, and deliverables accounted for in performance measures that can be completed and invoiced within a two-year contract period/term. Applicants should not begin their projects or incur costs until a MCG has been fully approved by DEC, and if applicable approved by the Attorney General and the State Comptroller. Time extensions beyond the contract term end date will be determined by the DEC based upon written justification from the Grantee. Applicants should not submit an application if they do not anticipate their project can be completed within the specified contract term.

3. Minimum and Maximum Award Amounts

The minimum grant amount is \$10,500. The maximum grant amount is \$40,000.

4. Application Limit/Award limit

Applicants may submit up to two (2) applications. Multiple applications may not be for the same project or project location. Additionally, applicants who submit more than one grant application will only be eligible to receive one grant award in this grant round, unless additional funding remains after all qualifying grant awards are made (at one per grantee). Additional grants for qualifying projects will be awarded to an entity already receiving a grant award in this grant round, starting with the next highest scoring application, in accordance with application evaluation and scoring on page 20.

5. Eligible Project Locations

Eligible projects for grant funding must be located within defined geographic boundaries of the Hudson River Estuary watershed (see map in Appendix I). "Hudson River Estuary" refers to the legislatively designated Hudson River Estuarine District established in Environmental Conservation Law §11-0306, which extends from the Troy dam to the Verrazano Narrows and includes Upper New York Bay to Kill Van Kull and the East River to Hell Gate, focused on the tributaries that flow into any of these waters. The map of eligible boundaries may also be viewed at www.dec.ny.gov/docs/remediation_hudson_pdf/hregrantmap.pdf. A searchable Google Maps version is also available for download at: <https://www.dec.ny.gov/pubs/103459.html#hudson> (Data Set titled "Hudson River Estuary Grant Program boundaries" listed under the "Misc. Environmental Maps" Section).

6. Match Requirement and Expenditures

Match is the portion of project expenditures not paid for with grant funds. Match can be from local and/or in-kind contributions. Local sources can include funding from other non-state and/or non-federal grant sources or from project partners. In-Kind contributions are non-cash donations provided by non-state and/or non-federal third parties, which can include equipment, supplies, services, and other expendable property. Matching share contributions must support the objectives outlined in the Work Plan.

For this grant opportunity, applicants must match at least 15% of the grant funding amount.

Eligible sources of match funds cannot come from other New York State or federal funding sources. Applicants will be required to provide the sources of all matching funds using the Match Worksheet in the Grants Gateway.

7. New for this Grant Round

- Educational projects involving boats are applicable in this RFA only if the vessel is a platform for education about the estuary (see Project Type 3 on page 11 of this RFA for more information). A project type for boats for access to the River is provided in a separate, concurrent RFA for River Access (DEC01-HRER34-2020).
- Projects proposing to fund advocacy, water quality monitoring, and/or interpretive signage are not eligible.
- In light of the impact of COVID-19 on employment, for the 2020 RFA, project budgets may include up to 60% for program costs related to each eligible project type.
- Additional emphasis is placed on (i) engaging end users in EJ communities, (ii) delivering project summaries and/or a presentation as part of project reporting, and (iii) ensuring a focus on the River, its tributaries, and parts of NY Harbor waterways in this RFA's geographic scope.

8. Inquiries & Designated Contact Information

For general information on completing this application and for clarification of application requirements, contractual terms and procedures, contact:

Susan Pepe, Hudson River Estuary Program Grants Coordinator
HREPgrants@dec.ny.gov

Include **Round 33 Education RFA** in the **subject line** of the email. Questions regarding this grant opportunity will be accepted by the DEC until C.O.B. May 26, 2021. All questions, and answers, will be uploaded in the Grants Gateway application for all applicants to view.

9. Department of Environmental Conservation Oversight

The Department of Environmental Conservation reserves the right to:

- Award additional and available funding for scored and ranked projects consistent with this grant opportunity;
- Partially fund an application if the partially-funded portion can be demonstrated to meet the criteria for this RFA;
- Reject any or all applications in response to the RFA at the agency's sole discretion;
- Reduce an award from the amount requested in the application, so long as the reduced funding does not jeopardize the viability of the project to proceed at the reduced funding level;
- Reduce an award from the amount requested in the application, should the project budget contain costs considered ineligible under this grant program;
- Award an agreement for any or all parts of the RFA in accordance with the method of award or withdraw the RFA at any time at DEC's sole discretion;
- Award to the next highest scoring application in the event a grantee fails to negotiate a grant contract with DEC within 60-90 days of a grant award; or
- Monitor the progress of all grant awards and withdraw grant funding, if the grantee fails to make significant and timely progress on the project or fails to receive the necessary permissions and permits for the project.

10. Application Submission

Applications must be submitted through the NYS Grants Gateway (<https://grantsgateway.ny.gov>).

Paper applications will NOT be accepted. Applicants are strongly encouraged to submit their applications prior to the application deadline. **Late applications will not be accepted under any circumstances.** An applicant must be logged in using a role that permits access to initiate, complete, or submit a grant application, as follows:

"Grantee" role can initiate, edit, or save a grant application, but can **NOT** submit the application.

"Grantee Contract Signatory" role can initiate, edit, save, and submit (sign) a grant application.

"Grantee System Administrator" role has the same rights as the Grantee Contract Signatory.

“Grantee Delegated Administrator” role can **NOT** initiate or submit an application. This role can create users and assign roles.

All Applicants must be **Registered** with Grants Gateway to submit an application. In addition to registration, **not-for-profits** must also be **Prequalified** at the time and date that the application is due. If you are not Prequalified at that time and date, your application will not be considered. For more information about Grants Gateway and Prequalification, please visit the Grants Management website (<https://grantsmanagement.ny.gov/>) or contact the Grants Gateway Team at: grantsgateway@its.ny.gov. The [Grants Gateway help desk](#) can be reached at (518) 474-5595.

**PLEASE DO NOT DELAY IN BEGINNING AND COMPLETING THE
PREQUALIFICATION PROCESS.**

**THE STATE RESERVES 5 DAYS TO REVIEW SUBMITTED
PREQUALIFICATION APPLICATIONS. PREQUALIFICATION
APPLICATIONS SUBMITTED TO THE STATE FOR REVIEW LESS THAN
5 DAYS PRIOR TO THE DEADLINE FOR THIS APPLICATION MAY NOT
BE CONSIDERED.**

**APPLICANTS SHOULD NOT ASSUME THAT THEIR
PREQUALIFICATION INFORMATION WILL BE REVIEWED IF THEY DO
NOT ADHERE TO THIS TIMEFRAME.**

Applicant Prequalification

Pursuant to the New York State Division of Budget Bulletin H-1032, dated June 7, 2013, New York State has instituted key reform initiatives to the grant contract process which require nonprofits to register in the Grants Gateway and complete the Vendor Prequalification process in order for applications to be evaluated.

All Applicants must be Prequalified in the Grants Gateway at the time and date that the application is due. Applications received from nonprofit Applicants that have not registered and are not Prequalified in the Grants Gateway by the application due date and time listed at the beginning of this document cannot be evaluated. If you are not Prequalified at that time and date, your application will not be considered. **Such applications will be disqualified from further consideration.**

Below is a summary of the steps that must be completed to meet registration and Prequalification requirements. [Vendor Prequalification](#) on the Grants Management Website provides details the requirements and an online tutorial is available to further explain the process.

PLEASE NOTE: The information included here regarding Prequalification is not intended to be exhaustive, and Applicants should visit the Grants Management website (<https://grantsmanagement.ny.gov/>) or contact the Grants Gateway Team (grantsgateway@its.ny.gov) for more information about Grants Gateway and Prequalification. The [Grants Gateway help desk](#) can be reached at (518) 474-5595.

1. Register for the Grants Gateway

- On the Grants Management Website, download a copy of the [Registration Form for Administrator](#). A signed, notarized original form must be sent to the NYS Grants

Gateway Team at the address provided in the instructions. You will be provided with a Username and Password allowing you to access the Grants Gateway.

- If you have previously registered and do not know your Username please email grantsgateway@its.ny.gov. If you do not know your Password please click the Forgot Password link from the main log in page and follow the prompts.

2. Complete your Prequalification Application

- Log in to the Grants Gateway. **If this is your first time logging in**, you will be prompted to change your password at the bottom of your Profile page. Enter a new password and click SAVE.
- Click the *Organization(s)* link at the top of the page and complete the required fields including selecting the State agency you have the most grants with. This page should be completed in its entirety before you SAVE. A *Document Vault* link will become available near the top of the page. Click this link to access the main Document Vault.
- Answer the questions in the *Required Forms* and upload *Required Documents*. This constitutes your Prequalification application. Optional Documents are not required unless specified in this document.
- Specific questions about the Prequalification process should be referred to your agency representative or to the Grants Gateway Team at grantsgateway@its.ny.gov. The [Grants Gateway help desk](#) can be reached at (518) 474-5595.

3. Submit Your Prequalification Application

- After completing your Prequalification application, click the **Submit Document Vault** link located below the Required Documents Section to submit your Prequalification application for State agency review. Once submitted the status of the Document Vault will change to *In Review*.
- If your Prequalification reviewer has questions or requests changes you will receive email notification from the Gateway system.
- Once your Prequalification application has been approved, you will receive a Gateway notification that you are now Prequalified to do business with New York State.

Once you are Prequalified, please check the status of your document vault on a regular basis to ensure that none of your documents expire prior to the application due date. Refer to [Section 4.7 of the Grants Gateway Vendor User Guide](#) for more information about maintaining prequalification status. **Expired documents will lead to the loss of Prequalification status.**

Applicants are strongly encouraged to begin the prequalification process as soon as possible in order to participate in this grant opportunity. Please do not delay in beginning and completing the prequalification process. The State reserves 5 days to review submitted Prequalification applications. Prequalification applications submitted to the State for review less than 5 days prior to the application deadline may not be considered. Applicants should not assume that their Prequalification information will be reviewed if they do not adhere to this timeframe.

If you are not yet registered with Grants Gateway, there are many resources available to help you understand how to register and become Prequalified:

- [The NYS Grants Management Website](#)
- [Video: Grants Gateway Registration](#)
- [Grants Gateway FAQ](#) and [Prequalification FAQ](#)
- [Twice-weekly Document Vault webinars. All information can be found on the Grants](#)

Management website - <https://grantsmanagement.ny.gov/live-webinars>

The Grants Gateway Team offers live webinars for anyone who is interested in additional information about Grants Gateway, the Prequalification process, or submitting applications. Learn more including times and dates for these webinars: <https://grantsmanagement.ny.gov/live-webinars>. Any additional training related to this application will also be posted to the training calendar.

You can also contact the Grants Gateway Team for additional assistance:

Phone: (518) 474-5595; Email: grantsgateway@its.ny.gov

Grant Application Requirements and Conditions

1. Project Objectives

This Hudson River Estuary Grant RFA for River Education seeks to assist Hudson Valley municipalities and organizations build their capacity to implement the *Hudson River Estuary Action Agenda*, Benefit 6: Access for Education, Recreation and Inspiration, Targets 1 and 2:

“Residents of the Hudson Valley understand and appreciate the contribution of the estuary, its watershed, and its fish and wildlife to their lives, and take action to conserve the estuary and its resources.”

“Students who graduate from high school and colleges in the Hudson River Valley have a fundamental understanding of the estuary and its connected local waterways. They appreciate the river’s value to natural and human communities and have participated in stewardship activities along the estuary or in its watershed.”

See <http://www.dec.ny.gov/lands/5104.html> for an overview of the Hudson River Estuary Action Agenda and links to background information.

Funding under this RFA is available to support projects and plans to enhance education about the estuary along the tidal waters of the Hudson and make opportunities to learn about the Hudson River Estuary more accessible for a wide range of people. This funding may be used to support development of plans or curriculum, purchase of equipment, development of web sites or mobile phone apps, and/or construction of physical improvements, as described in greater detail below under “eligible projects.” Throughout this RFA, the word “plan,” as used to describe a deliverable, is broadly deemed to include: plans, feasibility studies, designs and related permitting activities, etc.

Programming to engage user groups, students, or other target audiences in the design, use, and/or roll-out of the funded education products and/or improvements may be included as part of the project scope of work. ***Up to 60% of the grant request may be allocated toward programming activities, as described for each project type below.***

** Wherever possible, incorporating principles of universal design is strongly encouraged (see Appendix VI).**

All projects must conform with CDC and/or New York State guidelines regarding COVID-19 that are in place at time of the application deadline. Adjustments to work plans and/or budgets may need to be implemented so the project is consistent with federal and/or state guidelines in place during the contract period.

2. Minimum Eligibility (Pass/Fail criteria)

- The applicant must be eligible, as shown on page 4 of this RFA. A not-for-profit organization must also be prequalified in the Grants Gateway by the application due date to be determined as eligible under this grant opportunity.
- The project must be located within the defined geographic boundaries of the Hudson River Estuary. In general, for purposes of this RFA, as defined in the eligible project types, that means projects will be on, near or tightly-focused on the tidal Hudson or relevant portions of NY Harbor.
- Proposed projects must provide or improve estuary-focused education as defined in eligible project types. If the project involves an educational facility, the facility must be on, near, or tightly-focused on the tidal Hudson or relevant portions of NY Harbor.

- The applicant must provide photos of the project location, and condition of the site (if applicable), uploaded to the Grants Gateway.
- Projects must implement one of the eligible project types identified in this RFA.
- The uploaded project timeline indicates completion of project objectives, tasks and deliverables on or before November 30, 2023.
- All project funding comes from eligible sources and at least 15% in eligible match is identified.
- If applicable, letters of collaboration that include the “Lead” applicant designation are provided from all applicant partners.
- Construction projects must have all required permits in place at the time of application.
- For projects involving work on property owned by an entity that is not the applicant, the applicant must provide as an upload to the application, written documentation from the landowner indicating willingness for the project to take place on their property. For example, a “Friends of the Park” group must have documentation from the park owner.
- The applicant must provide the required certification for sexual harassment prevention (“Attachment S”), as required by State Finance Law §139-l (see page 18).
- Application completeness: The application is broken out into four sections in the Grants Gateway: Program Information, Expenditure Budget, Work Plan, and Pre-Submission Uploads. To be eligible, applicants must complete all of these sections and upload the required documentation. See the checklist on the last page of the RFA as a reference.

3. Project Types (Program Question 4)

Funding must be used to implement one of the following project types to meet the above Project Objectives. Applicants will identify the project type number for the Program Question.

(1) Hudson River shoreline facilities for education about the Hudson River Estuary (planning and/or construction)

Applicants may apply for projects on or in sight of the shoreline of the Hudson River estuary or relevant portions of NY Harbor to plan, design, equip and/or construct facilities (including signage, exhibits and river-focused art installations) to be used for education of students, families, tourists and residents. Such projects must be consistent with the Americans with Disabilities Act (ADA), and should strive to utilize the principles of universal access or design wherever possible so that people of all abilities can learn about and enjoy the river. Projects should also be designed to be resilient to future storms and sea-level rise, if applicable. Project budgets may include up to 60% for program costs related to using the facilities that have been constructed with these grant funds. The proposed project should provide a lasting change or improvement.

(2) Hudson River Resources for Education about the Hudson River Estuary

Applicants may apply for equipment, materials, transportation equipment, or other capital investments that will be used to help students, families, tourists and residents directly learn about the estuary. This may include transportation equipment used to provide accessibility to existing river education facilities and waterfront sites. Project budgets may include up to 60% for program costs related to use of the newly-acquired products. The proposed project should provide a lasting change or improvement.

(3) Boats used for education about the River

Applicants may apply to purchase, construct or repair vessels specifically and primarily used as floating classrooms with education programming purposely focused on estuarine ecology, natural history, and water quality. Project budgets may include up to 60% for program costs related to use of the grant-

funded boat project for education upon completion of the purchase, repair or construction. Projects should strive to be inclusive of individuals with diverse needs and abilities. The proposed project should provide a lasting change or improvement.

(4) Internet-based and multi-media learning about the Estuary

Applicants may apply for projects to expand the audience for science-based information about the natural history of the Hudson estuary, promote a natural history-based sense of place, and create a multiplier effect for learning about the estuary through engaging use of the internet, Web applications for mobile devices, and social media. Project budgets may include up to 60% for program costs related to testing the product upon its completion. Projects should strive to be inclusive of individuals with diverse needs and abilities. The proposed project should provide a lasting change or improvement.

(5) Curriculum development or educator professional development directly linked to the *Hudson River Estuary Action Agenda*

Applicants may apply for projects to develop new curriculum, improve, or build on existing curriculum directly linked to the *Hudson River Estuary Action Agenda*, as well as professional development programs aimed at formal or informal educators that use such curriculum. The application must demonstrate commitment to teach about the Hudson River and demonstrate consistency with New York State Next Generation Learning Standards or other learning standards from the New York State Education Department. The final product must include lesson plans, training agendas, or other curriculum products which will be made available uncopyrighted for NYSDEC to post on its public web site of Hudson River lesson plans, so that it may be widely shared with other educators. Project budgets may include up to 60% for program costs related to testing and improving the curriculum. See <http://www.dec.ny.gov/lands/5102.html> for more information about teaching about the Hudson River Estuary. The proposed project should provide a lasting change or improvement.

4. Project Objective and Impact (Program Question 6)

Describe the objective for the proposed project, including methods, deliverables, and the need for the project. Projects that are likely to have an exceptional educational and/or positive impact on opportunities for a wide range of people to learn about the Hudson River Estuary will be the highest priority. Higher points will be awarded to projects that also have a regional impact.

For purposes of this RFA, “**regional**” is defined as two or more municipalities (including counties and boroughs).

Projects are expected to address storm resiliency (as applicable), and have lasting impact. Projects that do not demonstrate storm resiliency, long-term sustainability, durability or lasting benefit will be assigned to Tier 5* - see Application Evaluation, Scoring and Selection starting on page 20, and scoring criteria on pages 33-34.

5. Project Audience (Program Question 8)

Describe the target audience of the project (i.e. user groups, such as elementary school students, seniors, families, bird-watchers, anglers, specific organizations or clubs, the general public, etc.), including the number of people to be served by the proposed project.

6. Project Timeline (Program Question 9)

Applicants **MUST** provide a timeline for meeting project objectives and identified tasks between December 1, 2021 and November 30, 2023. **Project expenditures prior to Master Contract for**

Grants (MCG) start date and after the MCG end date are not eligible for reimbursement or match.

All project timelines must include:

- (i) Consultation with Estuary Program Staff for project management purposes as step one in the timeline.
- (ii) Consultation with DEC's ADA Access Coordinator early in the project to discuss accessibility of the project or site; and
- (iii) Opportunities where end-users are engaged and involved in the development of the project.

Project timelines should include the following elements, as applicable:

As part of project reporting for a grant awarded under this RFA, grantees will be required to deliver a short presentation about the project, or provide a detailed summary, as further described under #11 Reporting End-User Benefit and Engagement. Similarly, participation of end-users who are residents of EJ communities may be a reported metric. Including this reporting in the timeline is optional, but doing so will make the application eligible for bonus points as noted under #11 Reporting End-User Benefit and Engagement.

For projects that will utilize principles of Universal Design (see #9 Universal Design), applicants should indicate how Universal Design elements will be incorporated in the project timeline. While not a requirement, incorporating Universal Design and demonstrating how it will apply in the timeline will receive the highest points available for Universal Design (Program Question 18).

Specific requirements for Project Type 1 (Hudson River Shoreline Facilities):

- Projects that propose a combination of planning and construction of facilities, the project timeline should include an activity to complete the permit process, including SEQRA review (see #13 Permit Requirements).
- Projects that propose planning only, the project timeline should include an activity to complete a NYSDEC jurisdictional review with the applicable regional permit administrator (see #13 Permit Requirements).

7. Applicant Partners (Program Question 15)

The Applicant Partner is a collaborator who has a significant role in the conduct of the project and is fundamentally a co-applicant for the grant. Projects involving an Applicant Partner (i.e. multi-partner and inter-municipal projects, page 4) require letters substantiating the commitment to collaborate that include the designation of a "Lead" applicant from each partner. A single PDF file of all letters should be uploaded to meet this requirement, if applicable for your project.

8. Estuary, Tributary, and Harbor Focus (Program Question 16)

Projects must be focused on the Hudson River Estuary, its tributaries, or parts of New York Harbor waterways. For this Program Question, describe how the project meets this requirement.

Applicants are strongly encouraged to fully address this application requirement. Failure to earn any points for this Program Question will result in the application being ranked "Low" (tied to Bonus Points for Minimum Standards [page 16]). Also see Application Evaluation, Scoring and Selection starting on page 20 of this RFA.

9. Universal Design (Program Question 18)

At a minimum, all projects are required to meet ADA standards, including parking, access routes and appropriate support facilities in relationship to the proposed project. Applicability of Universal Design extends beyond physical improvements to a facility/site or vessel. Programming, curriculum, mobile

apps, media, etc. are strongly encouraged to accommodate people of many abilities and languages.

The incorporation of the principles of Universal Design, which goes beyond the minimum requirements of ADA, is encouraged. Universal Design is the design of products and environments to be usable by all people, to the greatest extent possible, without the need for specialized design. The Universal Design concept simplifies participation by making products, communications and the built environment more usable by more people as it encompasses people of all ages, sizes and functional abilities.

Points for Universal Design are earned for proposing a universally accessible project where all or some of the project components are designed beyond minimum ADA requirements. In order to receive the highest amount of available points for this program question, specific examples of how Universal Design will be implemented must be demonstrated, AND details provided in the project timeline.

Documentation substantiating commitment to Universal Design is strongly encouraged. Any documentation must be provided at the time of application. Applicants will be asked in the Grants Gateway to upload, in a single PDF file, documentation supporting Universal Design.

Please see Appendix V and Appendix VI of this RFA for more information on ADA Standards and Universal Design.

10. End-User Benefit and Engagement (Program Question 20)

Projects should describe or demonstrate effective engagement of the user group(s), key stakeholders, and target audience (collectively, end-users) that will benefit as a result of the project. Such engagement should include the design, development, and evaluation phases of the educational program. Applicants who clearly identify the end-users, the value of the project to end-users, as well as specify opportunities for end-users to be engaged (in the project timeline), will receive points. The scope of work should describe how end-users will be engaged and informed during and after project completion.

Letters stating how they will use the grant project are a good indication of support from end-users whose support or involvement is necessary for the project to succeed (key stakeholders). Support letters from the government body offering the grant, or institutions or organizations who are fiscal sponsors and/or will provide services under the grant, will not be considered as evidence of stakeholder engagement. If letters are submitted, letters must be submitted at the time of application. Applicants will be asked in the Grants Gateway to upload, in a single PDF file, a copy of all letters of support.

Applicants are strongly encouraged to fully address this application requirement. Failure to earn any points for this Program Question will result in the application being ranked “Low” (tied to Bonus Points for Minimum Standards [page 16]). Also see Application Evaluation, Scoring and Selection starting on page 20 of this RFA.

11. BONUS POINTS for Reporting End-User Benefit and Engagement (Program Question 12)

As part of project reporting for a grant awarded under this RFA, grantees will be expected to either (a) participate in presenting their findings at a meeting/event coordinated by the Hudson River Estuary Program Education team, or (b) provide a very clear summary of their work appropriate for posting online, including several photos and a description. Photos will not be for commercial use, and the grantee is responsible for permission of any subjects in photos, if needed. Incorporating such reporting in the Work Plan will receive bonus points **IF** it is shown in the **project timeline**.

Similarly, as part of project reporting for a grant awarded under this RFA, participation of end-users who are residents of EJ communities may be a reported metric. Incorporating such reporting in the Work Plan will receive bonus points **IF** it is shown in the **project timeline**.

12. Engagement of Hudson River Estuary Staff (Program Question 22)

At a minimum, project timelines must include consultation with Estuary Program Staff for project management purposes as step one in the time line (e.g. a project kick-off meeting). Additionally, applicants are strongly encouraged, but are not required, to invite Estuary Program staff to attend project meetings and/or to provide technical assistance. An invitation for such additional participation should be included as a step in the project timeline schedule and deliverables (see Program Question 9) to qualify for additional points. Estuary Program staff may choose to participate, or not, in response to the invitation, as time allows. Please note that engagement of Estuary Program staff is not a substitute for stakeholder or end-user engagement by the applicant.

Should an award be made, applicants will be required to connect with the applicable Estuary Program Project Manager (to be assigned during the contracting stage) before work is started on the project.

13. Permit Requirements, Project Type 1 (Program Question 24)

Permit requirements for applications submitted for Project Type 1, Hudson River shoreline facilities for education about the Hudson River Estuary, are as follows:

- *Shovel-ready construction projects*: Construction projects **MUST** have all required permits in place at the time of application, if applicable. Permit requirements are typically underestimated by applicants; most construction projects on or near the water will require some type of permit. Descriptions of permits that may apply to projects proposed are shown in Appendix II of this RFA. It is strongly encouraged for applicants to request a NYSDEC jurisdictional review from the applicable regional permit administrator (<https://www.dec.ny.gov/about/39381.html>) to confirm what permit needs may apply. Applicants will be asked in the Grants Gateway to upload, in a single PDF file, a copy of the cover letter(s) received for approved permit(s) or substantiate why no permits are needed.
- *Projects that propose planning and construction*: For projects that propose a combination of planning and construction, securing the necessary permits is considered to be an appropriate work activity covered by the grant. Applicants should include in the Work Plan and project timeline an activity to complete the permit process (see Appendix II of this RFA for more information on potential permit needs).
- *Planning projects*: For projects that propose planning only, applicants should include in the Work Plan and project timeline an activity to complete a NYSDEC jurisdictional review with the applicable regional permit administrator (<https://www.dec.ny.gov/about/39381.html>)..

14. Landowner Permission, if applicable (Program Question 25)

Projects must be open and available to the public. For projects involving work on property owned by an entity that is not the applicant, the applicant must provide as an upload to the application, written proof from the landowner (signed letter, formal written agreement, municipal endorsement or resolution, etc.) indicating willingness for the project to take place on their property and remain available to the public. For example, a “Friends of the Park” group must have documentation from the park owner. A single PDF file of all written documentation of proof of permission should be uploaded to meet this requirement, if applicable for your project. **To avoid disqualification, applicants must provide proof of landowner permissions at the time of application.**

15. Knowledge, Skills and Experience (Qualifications) (Program Question 27)

Applicants must possess the knowledge, skills, and/or track record to successfully implement the project. For this program question, applicants must identify lead staff who will be working on the project. Priority

is given to applicants with excellent qualifications or a successful track record with this type of project.

For purposes of this RFA, experience and track record include performance on current and prior Estuary grants, including quality and timeliness of grant reporting, progress on performance schedules, and completion of deliverables.

Applicants are strongly encouraged to fully address this application requirement. Failure to earn any points for this Program Question will result in the application being ranked “Low” (tied to Bonus Points for Minimum Standards [page 16]). Also see Application Evaluation, Scoring and Selection starting on page 20 of this RFA.

16. Project Cost Effectiveness (Program Question 28)

The cost-effectiveness of the proposed project will be evaluated as provided in the Application Review and Scoring Standards in Appendix III. The answer to this question, as well as the information provided in the Expenditure Budget will be used to determine scoring for cost effectiveness. Applicants that provide 30% eligible match or more above the minimum 15% may be eligible for additional points for cost effectiveness (see Appendix III, page 35). Applicants are encouraged to provide quotes from vendors/contractors for the work to be completed to help justify cost effectiveness.

Note the Grants Gateway rounds the match percent **down** to the nearest whole number. For example, if the match calculates at 29.8%, the expenditure summary of the expenditure budget will show a 29% match, not a 30% match. Applications are scored based on the match calculated by the Grants Gateway in the expenditure summary. Be sure to confirm the match percentage in the expenditure summary to ensure the Grants Gateway is calculating the intended match percentage. This is particularly important if you are aiming to propose 30% eligible match or more above the minimum 15%, which is eligible for additional points for cost effectiveness.

Applicants are strongly encouraged to fully address this application requirement. Failure to earn any points for this Program Question will result in the application being ranked “Low” (tied to Bonus Points for Minimum Standards [page 16]). Also see Application Evaluation, Scoring and Selection starting on page 20 of this RFA.

17. Bonus Points for Minimum Standards for “Estuary, Tributary, and Harbor Focus”, End-User Engagement, Qualifications, and Cost Effectiveness (Program Questions 16, 22, 27, 28)

Applicants receiving points for all of these program questions (do not score zero points on any of these questions) will receive **81 bonus points**. *Failure to earn these bonus points will result in the application being ranked “Low” (see Application Evaluation, Scoring and Selection starting on page 20 of this RFA).*

18. Statewide Priority (Program Questions 29-30)

• Alignment with Regional Economic Development (REDC) Strategies

Governor Andrew Cuomo directed the establishment of Regional Economic Development Councils (REDCs) to analyze the most significant business clusters in their respective areas. Any grants awarded by the State of New York shall take into consideration the recommendation of the relevant REDC or the Commissioner’s determination that the proposed project aligns within the regional strategic priorities of the region where the proposed project is located.

For Program Question 29, provide a brief narrative describing the economic benefits of the proposed project and how the project aligns with the strategies of the REDC plan for the project’s region (cite specific sections of the respective REDC plan, as applicable). The narrative must be included with the Application to receive points in the application review. If not applicable to your project, you must answer “N/A” for Program Question 29.

Each region has a unique plan. Visit <http://regionalcouncils.ny.gov/> for information on your region's Economic Development Council.

- **Priority for Environmental Justice (EJ) Projects**

DEC demonstrates a commitment to Environmental Justice (EJ) and remedies for communities that may be burdened by negative environmental consequences. Environmental justice is defined by the DEC as the fair treatment and meaningful involvement of all people, regardless of race, color or income, with respect to the development, implementation and enforcement of environmental laws, regulations and policies. A proposed project that is located in an EJ community or will directly benefit an EJ community, or a project that gives appropriate consideration to under-served urban neighborhoods (all potential neighborhoods whose demographic, geographic, or economic characteristics impede or prevent their access to adequate canopy cover and other benefits of trees) will receive points in the evaluation of an application. Maps of EJ areas in New York State are available at: <http://www.dec.ny.gov/public/911.html>.

To qualify for EJ points, your application must include the following details:

- a. To demonstrate location in an EJ area - The exact street location(s) where the project is to be implemented (no P.O. Box) or where the benefit will be provided; or
- b. To demonstrate location in an underserved neighborhood - A brief description of how the project will benefit underserved populations that experience disproportionate adverse environmental impacts such as pollution from multiple industrial facilities, sub-standard water quality, concentrated diesel emissions from bus depots, or other heavy vehicle traffic, adverse health effects related to environmental impacts (high asthma), lack of access to green benefits such as open space, environmental education or parks, or other such impacts.

19. Additional Points

- **Community Support (Program Question 31)**

Applicants are encouraged to engage public officials in their application process to generate awareness of the project and its objectives. Applications which demonstrate support from a variety of local, county, or state appointed or elected officials above and beyond those essential to the project (Program Question 20), as evidenced by letters of support uploaded with the application, will receive points.

- **Bonus points for applicants who do not have open (uncompleted) grants with the Estuary Program** (Awarded based on Hudson River Estuary Program records as of the RFA deadline)

In order to help new applicants to receive grants and to encourage speedy completion of grants, bonus points are available for applicants who do not have an open, uncompleted grant with the Estuary Program. To determine if the applicant has an open grant or not, an applicant with an existing grant must have submitted its final report and invoice and have received confirmation of completion by the deadline date for which this RFA is due.

20. Expenditure Based Budget

Applicants must complete an itemized budget in the NYS Grants Gateway that provides details of the proposed project-related expenses. Budget detail must clearly distinguish between expenses to be claimed under the State grant share and expenses comprising the match. The itemized budget should also include appropriate level of information for the breakdown of costs for each budget item (depending on the budget category this information is provided in the budget detail and/or budget narrative). Eligible and ineligible costs are identified in this RFA. A project's reasonableness of costs is at least 20% of the evaluation factor in the scoring of the application; therefore, attention to budget accuracy will increase your project score.

21. Work Plan

Applicants must complete a Work Plan in the NYS Grants Gateway that provides a clear overview of the

project. Applications must include proposed project objectives, tasks associated with meeting each objective, and the performance measures associated with each task (performance measures should include desired project outcomes or deliverables). The Work Plan should include anticipated time frames in meeting project objectives, tasks and deliverables. Time frames must be consistent with the timeline applicants are required to upload in the Grants Gateway for Program Question 9.

Note: A Work Plan 'worksheet' is available for applicants in the Grants Gateway (under Pre-submission Uploads). The 'worksheet' can be downloaded and used as a tool to help applicants organize their proposed project objectives, tasks and performance measures. A completed 'worksheet' should NOT be uploaded back into the Grants Gateway. The intent of the 'worksheet' is to assist applicants in developing their application Work Plan in the Grants Gateway.

22. Pre-Submission Upload: Sexual Harassment Prevention Certification

State Finance Law §139-l requires all applicants of grant funding to certify that they have a written policy addressing sexual harassment prevention in the workplace and provide annual sexual harassment training (that meets the Department of Labor's model policy and training standards) to all its employees.

Where applying for grant funding is required pursuant to statute, rule or regulation, every application submitted to the state or any public department or agency of the state must contain the following statement: "By submission of this application, each applicant and each person signing on behalf of the applicant certifies, and in the case of a partnering application each party thereto certifies as to its own organization, under penalty of perjury, that the applicant has and has implemented a written policy addressing sexual harassment prevention in the workplace and provides annual sexual harassment prevention training to all of its employees. Such policy shall, at a minimum, meet the requirements of section two hundred one-g of the labor law."

Applications that do not contain the certification will not be considered for award; provided however, that if the applicant cannot make the certification, the applicant may provide a signed statement with their application detailing the reasons why the certification cannot be made.

Applicants are required to sign and upload the Sexual Harassment Prevention Certification form or upload a signed statement with their application detailing the reasons why the certification cannot be made into the pre-submission uploads folder.

23. Pre-Submission Upload: Smart Growth Infrastructure Policy Act

New York State's Smart Growth Public Infrastructure Policy Act (ACT), Environmental Conservation Law Article 6, requires the DEC and all State infrastructure agencies to assess whether each public infrastructure project that receives state funding is consistent with the State Smart Growth Public Infrastructure criteria specified in the Act, or that compliance is considered to be impracticable, before making any commitment to fund such project(s).

In the Grants Gateway pre-submission upload section of the application, ALL applicants must download, complete and save the Smart Growth Assessment form, prior to uploading the completed form back into the Grants Gateway. Important note: Be sure to check the form after uploading to ensure the correct file is uploaded and that it is completed as required.

24. Historic Preservation Review Requirements (if applicable to your project)

For projects that involve properties listed on the State or National Registers of Historic Places, all work undertaken as part of a grant-assisted project must conform to the Secretary of the Interior's Standards and Guidelines for Archaeology and Historic Preservation.

Questions about or proposals for listing on the State or national Register should be directed to the OPRHP National Register Unit at (518) 237-8643. To ensure the public benefit from the investment of state funding, preservation covenants or conservation easements will be conveyed to the State (OPRHP) for all historic property grants.

25. Coastal Consistency Requirements

SEQR Type I and Unlisted actions located within the NYS Department of State's coastal zone boundaries must meet the consistency requirements of the Secretary of State's Coastal Management Program. This consistency determination will be performed by the Department as part of the grant review process. If the proposed project is located within a municipality that has an approved Local Waterfront Revitalization Plan (LWRP), the policies of that LWRP apply. Projects in other areas will need to be consistent with the State's 44 coastal policies. The coastal policies can be found at <https://www.dos.ny.gov/opd/programs/consistency/index.html>. Applicants are encouraged to determine if their project is located within the coastal zone, and to include in their site plan or sketch map their project's location within the coastal zone boundaries if applicable. Maps of the coastal zone boundaries can be found at http://appext20.dos.ny.gov/coastal_map_public/map.aspx.

Application Evaluation, Scoring and Selection

All applications will be reviewed and scored by a review team in accordance with the evaluation and scoring criteria contained in this RFA. **Applicants are strongly encouraged to read and address the Application Review and Scoring Standards in Appendix III in the process of developing an application.** Knowledge of the scoring criteria is valuable for designing and proposing a relevant and quality project. Scoring consists of:

Step 1: Application and Project Eligibility Determination

Pass/Fail criteria – please refer to the Application Evaluation and Scoring Standards in Appendix III.

Step 2: Project Evaluation, Scoring and Selection

If your application meets all eligibility pass/fail criteria it will be further evaluated and scored by a review team in accordance with the Evaluation and Scoring Standards contained in this RFA. These include:

- Evaluation of the project type, methods, budget and applicant qualifications;
- Assessment of the project impact, and priority project eligibility.

All eligible applications will be individually evaluated and scored by at least 3 technical review team members. Technical reviewer scores will be averaged and statewide priority points will be added to the average score to determine a final composite score. Based on the average score for project objective and impact (Program Question 6 in the Grants Gateway and evaluation criteria #1 in Appendix III of this RFA), applications will be assigned to one of five tiers.

Tiers are determined as follows:

Primary Project Objective Score Thresholds by Tier		
Tier Number	Lowest Average Score	Highest Average Score
Tier 1	28.0	35.0
Tier 2	21.0	27.9
Tier 3	12.0	20.9
Tier 4	3.0	11.9
Tier 5	0.0	2.9

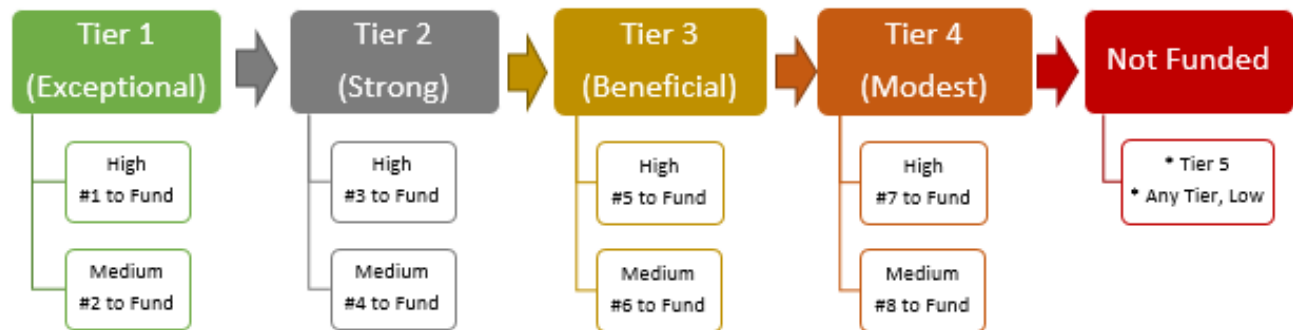
Applications will then be ranked within each tier as high, medium, or low based on the final composite score.

Ranks within Tiers are determined as follows:

Tier Number	Rank		
	High	Medium	Low
Tier 1	245.0 – 190.0	189.9 – 160.0	≤159.9
Tier 2	235.0 – 180.0	179.9 – 150.0	≤149.9
Tier 3	225.0 – 170.0	169.9 – 140.0	≤139.9
Tier 4	215.0 – 165.0	164.9 – 135.0	≤134.9
Tier 5	N/A	N/A	N/A

Tier placement and rank will be used to determine which projects receive funding. Applications will be selected for funding based on the highest to lowest scoring projects within each rank for high and medium ranking projects as follows: Applications in Tier 1 will be the priority for funding, followed by

Tier 2, Tier 3, and then Tier 4. Tier 5 (applications that score zero points on the first scoring criteria for project objective and impact) and applications ranking low, regardless of tier (applications that do not meet minimum standards) will NOT be funded. Based on the scoring and evaluation process, these projects are deemed to be sufficiently flawed and should not be implemented with state funds. The Department may, at its discretion, decide to fund only one grant project if multiple applications are received for the same project.



RFA Priority – HRER 33 (River Education) and HRER 34 (River Access) are concurrent grant opportunities for the Hudson River Estuary Program, both supporting the 2015-2020 Action Agenda Benefit 6. Priority may be given to awardable projects under River Access which score in Tier 1 (Strong Impact), over awardable projects under River Education which score in Tier 3 (Beneficial Impact) or lower.

Award limit – Applicants will only be eligible to receive one grant award in this grant round (the applicant’s highest scoring application) regardless of tier, rank, and score of subsequent qualifying applications (up to 2 applications can be submitted by a single applicant). However, in the event additional funding remains after all qualifying grant awards are made (at one per grantee), additional grants for qualifying projects will be awarded to an entity already receiving a grant award in this grant round, starting with the next highest scoring application. In the event there is a tie among remaining applications submitted by same organizations, the tie breaker will be addressed as described in the following paragraph.

Tie breaker – If there is a numerical tie in an application’s final score, the application that scores the highest in “Project Objectives and Methods” in the evaluation criteria will determine placement on the ranked list. If a tie remains, the application that scores the highest in “Project Success Factors” in the evaluation criteria number will determine placement on the ranked list. If there is a numerical tie between multiple applications within a funding category, the application that scores the highest in Cost-Effectiveness will determine placement on the ranked list. If a tie remains, the order applications were received will determine placement on the ranked list, with the earliest application placing highest.

Grant Program Payment

Advance payments of up to 25% of the awarded grant amount may be available to not-for-profit grantees once a Master Contract for Grants (MCG) has been fully approved by all applicable State agencies. Only not-for-profits are eligible to receive advance payments under State Finance Law.

Project costs eligible for reimbursement and project match must be incurred between the MCG term start and end dates. Costs incurred prior to the MCG term start date or after the MCG term end date will not be considered eligible for grant reimbursement or match. Copies of supporting cost documentation (paid invoices, receipts, cancelled checks, etc.) must be audited and approved by the DEC for costs to be eligible for grant reimbursement.

Eligible and Ineligible Expenditures

Eligible Project Expenditures

- Personal Services: Staff salaries including fringe benefits, directly devoted to the project implementation. Itemize salaries according to job title and roles/responsibilities on the project. Grantees will be required to document time worked, tasks, pay ratio and payment.
- Contractual Services: The value of services provided by responsible professional and technical personnel and consultants (i.e. engineering and architectural services, surveys, plans and specifications, research, design and development of a project, consultant and legal services directly related to a project, feasibility study for a facility, archaeological field work, report writing, curation of artifacts and interpretation, etc.) Equipment and other non-property rentals directly required to implement the project.
- Construction enhancements: Costs directly associated with facility improvements.
- Supplies and materials: Directly needed to implement the project. Construction projects should include funds to cover required signage (see 3.b. on page 26).
- Equipment: Equipment (purchase/rental) that is directly necessary to implement the project, however, long-term rental fees for facilities such as port-a-potties or temporary/removable accessible ramps are not allowable for reimbursement.
- Advertising costs: Publicity, promotion and public education directly related to an operating or functioning project.
- Land accessibility costs: eligible direct project costs such as appraisals by a certified appraiser, title searches, surveys and associated legal fees. The land must be owned by the grant applicant.
- Travel: Travel costs directly required to implement the project (within New York State only).
- Training costs: Costs are eligible if they are directly related to holding a training or workshop that will improve estuary stewardship outcomes.
- Projects involving boats: Are applicable in this RFA only if the vessel is a platform for education about the estuary (see Project Type 3 on page 11 of this RFA for more information).

Ineligible Project Expenditures

- Indirect costs: Overhead or operating expenses (space, real property, rent, utilities, etc.).
- Travel: Out-of-state travel costs, and any travel not directly required to implement the project.
- Land: Value of land.
- Administrative salaries: Administrative salaries are NOT eligible for grant reimbursement, but may be used as match funds. For the purposes of this RFA, administrative salaries are defined as follows:
 - Preparation of equal employment opportunity and women and minority business enterprises documentation.
 - Preparation of quarterly narrative and expenditure reports.
 - Preparation of payment reimbursement request forms and backup cost documentation.
 - Preparation of Final Report upon project completion.
- State and/or federal funding: project costs funded from other state and/or federal funding sources are not eligible for grant reimbursement.
- Costs for activities related to advocacy, water quality monitoring, and/or interpretive signage.

Budget limitation: Programming to engage user groups, students, or other target audiences in the design, use, and/or roll-out of the funded education products and/or improvements, as described for each project type, may comprise up to 60% of the grant request.

Match Requirement and Expenditures

Applicants must provide **15% in match funds based on the amount of grant funds.**

<u>Formula</u> : Requested Grant Funds x 15% = Required Match

Eligible Forms of Match

- Cash: Includes other grants from non-state or non-federal funding sources.
- Personal Services: Staff salaries devoted to the project, including fringe benefits expenses. Itemize salaries according to job title or job assignment on the project. Grantees will be required to document time worked, tasks, pay ratio and payment.
- Contractual Services: The value of services provided by responsible professional and technical personnel and consultants (i.e. engineering and architectural services, surveys, plans and specifications, research, design and development of a project, consultant and legal services directly related to a project, feasibility study for a facility, archaeological field work, report writing, curation of artifacts and interpretation, etc.).
- Supplies and materials: The current market value of items warehoused (not yet installed); use value current at time items were obtained.

- Volunteer Labor: Skilled and professional labor can be computed at the job rate. Unskilled labor and work performed by professionals or skilled laborers in an area outside of their area of expertise must be computed at the minimum wage (For example, a lawyer donating legal services may compute the value based on the standard billing rate, but the same lawyer donating time painting walls must calculate the value using minimum wage).
- Equipment: Compute the value according to its fair market value in the project location.
- Land accessibility costs: eligible direct project costs such as appraisals by a certified appraiser, title searches, surveys and associated legal fees. The land must be owned by the grant applicant.
- Travel: Travel costs (within New York State) directly required to implement the project.
- Administrative Salaries: Administrative salaries must be documented and identified by task and must fall within the grant contract term to be eligible as match. For the purposes of this RFA, administrative salaries are defined as follows:
 - Preparation of equal employment opportunity and women and minority business enterprises documentation.
 - Preparation of quarterly narrative and expenditure reports.
 - Preparation of payment reimbursement request forms and backup cost documentation.
 - Preparation of Final Report upon project completion.

Applicants must clearly identify administrative salaries to be used towards match in the personal services detail section of the expenditure budget.

Ineligible Forms of Match

- Indirect costs: Overhead or operating expenses (space, real property, rent, utilities, etc.).
- Travel costs: Out-of-state travel costs, and any travel not directly required to implement the project.
- Land: Value of land.
- Other State or Federal funding: Project costs paid from other state and/or federal funding sources.
- Costs for activities related to advocacy, water quality monitoring, and/or interpretive signage.

Grant Program Reporting

Quarterly Narrative Reports must be submitted in narrative form, no later than 30 days from the end of the calendar quarter. The reports will summarize how the project progressed toward meeting project objectives and deliverables during the respective quarter.

Quarterly Expenditure Reports, detailed by object of expense as defined in the MCG Attachment B-1 Expenditure Based Budget, must accompany the quarterly Narrative Reports, no later than 30 days from the end of the calendar quarter. These reports must correlate to subsequent vouchers submitted

for payment.

Quarterly MCG payment reimbursement requests will be accepted prior to submission of a final closeout reimbursement request. An approved project design, required permits and landowner permissions must be in place to submit a reimbursement request.

Final Report must be submitted and approved by the DEC prior to the release of the final contract payment to the Grantee. The Contractor must submit the Final Report no later than 60 days after the end of the contract period. The Final Report should report on all aspects of the program and detail how the use of grant funds were utilized in achieving the goals set forth in the approved MCG Attachment C Work Plan. Copies of appropriate documents (i.e. inventory and/or management plan) must be submitted and approved by the DEC.

A DEC on-site inspection may be required to confirm all work was completed in accordance to the approved project Work Plan (including the installation of interpretive signage, if applicable, at the project site).

Grantees may be expected to give a short presentation of their work at a regional education meeting coordinated by the Hudson River Estuary Program Education team. Meetings will be scheduled with at least two months' notice.

Any project involving volunteer time will be required to report the number of volunteers and the number of volunteer hours in their project quarterly status reports. The total number of volunteers and volunteer hours for the entire project must be reported in the Final Report.

Projects already receiving funds from another NYS or Federal assistance grant program are not eligible to receive funding for the same project activities identified in this RFA.

What to Expect If You Receive an Award

1. Notification of Award

Applicants selected to receive a grant award will be notified by email and in an official DEC award letter. The NYS Grants Gateway will also provide you with an award status.

IMPORTANT NOTE: By accepting an award, applicant agrees to abide by all MCG terms and conditions. Any changes to the terms and conditions will not be accepted and may affect applicant's award.

2. State of New York Master Contract for Grants (MCG)

Applicants selected to receive a grant award will be required to execute a MCG **within 60 - 90 days** from the time of their award notification. Failure to submit timely required MCG documents could cause a grantee to lose their grant award. Applicants should review and be prepared to comply with all MCG terms and conditions should grant funding be awarded. The MCG and attachments can be reviewed and/or downloaded in the Grants Gateway HRE application under the screen named 'Contract Document Properties.' The MCG and attachments include:

- MCG Face Page
- Standard Terms and Conditions (NYS standard terms and conditions)

- Attachment A-1 Program Specific Terms and Conditions (*Agency and Program specific terms and conditions*)
- Attachment A-2 Federally Funded Grant Terms and Conditions
- Attachment B-1 Expenditure Based Budget (*project expense categories and detail*)
- Attachment C Work Plan (project objectives, tasks and performance measures)
- Attachment D Payment and Reporting Schedule (claims for reimbursement and grant reporting provisions)
- Attachment E Signage Requirements (if applicable)

IMPORTANT NOTE: Project related costs must be incurred within the term of the MCG to be considered eligible for reimbursement or match. Contract payments will not be approved or processed by the DEC until a MCG is fully approved by the DEC, and as applicable the Attorney General and the State Comptroller. All contracts must be fully approved by the contract start date of which will be determined at the time of an official award.

3. Applicants (referred to as “Contractor” following award of Grant Contract) Should Be Prepared to Comply With the Following MCG Requirements:

a. Insurance Requirements

Contractor will be required to carry appropriate insurance as specified in the MCG, Attachment A-1 Program Specific Terms and Conditions, and agree that each project consultant, project contractor and project subcontractor secures and delivers to the contractor appropriate policies of insurance issued by an insurance company licensed to do business in the State of New York. Policies must name the contractor as an additional insured, with appropriate limits, covering contractor’s public liability and property damage insurance, contractor’s contingency liability insurance, “all-risk” insurance and workers’ compensation/disability benefits coverage for the project.

b. Signage Requirements (if applicable)

The Department will require project signs for construction projects under this RFA (see Appendix IV for specifications). All signs shall be constructed in accordance with the specifications identified in the Master Contract for Grants (size: 24" wide by 18" high or as appropriate to sign location, construction materials: aluminum blank sign boards with vinyl sheeting). The cost of the sign is a reimbursable project cost and should be included in the “other” category in the expenditure-based budget. The Department may, in its discretion, waive this requirement if the sign cannot be reasonably maintained, the sign is not consistent with other laws, or the location of the sign would not provide a public purpose.

c. Permit Requirements (if applicable)

Contractors agree to obtain all required permits, including but not limited to, local, state and federal permits prior to the commencement of any project-related work. The Contractor agrees that all work performed in relation to the project by the Contractor or its agents, representatives, or contractors will comply with all relevant federal, state and local laws, rules, regulations and standards, zoning and building codes, ordinances, operating certificates for facilities, or licenses for an activity.

d. State Environmental Quality Review Documentation

With respect to the project, the Contractor certifies that it has complied, and shall continue to comply, with all requirements of the State Environmental Quality Review Act (SEQRA). The Contractor agrees to provide all environmental documents as may be required by the DEC. The Contractor has notified, and shall continue to notify, the DEC of all actions proposed for complying with the environmental review requirements imposed by SEQRA.

e. Vendor Responsibility Questionnaire

Not-For-Profit contractors and/or subcontractors are subject to a vendor responsibility review by the State to ensure public dollars are being spent appropriately with responsible contractors. A vendor responsibility review may include a contractor and/or subcontractor to present evidence of its continuing legal authority to do business in NYS, integrity, experience, ability, prior performance, and organizational and financial capacity. To enroll in and use the NYS VendRep System, see the VendRep System instructions available at <http://www.osc.state.ny.us/vendrep/enroll.htm>, or go directly to the VendRep System at <https://onlineservices.osc.state.ny.us/Enrollment/login?0>.

f. Iran Divestment Act

As a result of the Iran Divestment Act of 2012 (Act), Chapter 1 of the 2012 Laws of New York, a new provision has been added to the State Finance Law (SFL), § 165-a, effective April 12, 2012. By entering into a Contract, the Contractor certifies that it is not on the “Entities Determined To Be Non-Responsive Bidders/Offerers Pursuant to The New York State Iran Divestment Act of 2012” list (“Prohibited Entities List”) posted on the OGS website at: <http://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf> and further certifies that it will not utilize on such Contract any subcontractor that is identified on the Prohibited Entities List. Additional detail on the Iran Divestment Act can be found in the MCG, Attachment A-1 Program Specific Terms and Conditions.

g. Minority/women Business Enterprises (M/WBE) and Equal Employment Opportunities (EEO) Requirements

The Department is required to implement the provisions of New York State Executive Law Article 15-A and 5 NYCRR Parts 142-144 (“MWBE Regulations”) for all State contracts with a value (1) in excess of \$25,000 for labor, services, equipment, materials, or any combination of the foregoing or (2) in excess of \$100,000 for real property renovations and construction.

Applicants subject to executing a future NYS Master Contract for Grants agree, in addition to any other nondiscrimination provision of the MCG and at no additional cost to the Department, to fully comply and cooperate with the Department in the implementation of New York State Executive Law Article 15-A. These requirements include equal employment opportunities for minority group members and women (“EEO”) and contracting opportunities for certified minority and women-owned business enterprises (“MWBEs”). Contractor’s demonstration of “good faith efforts” pursuant to 5 NYCRR §142.8 shall be a part of these requirements. These provisions shall be deemed supplementary to, and not in lieu of, the nondiscrimination provisions required by New York State Executive Law Article 15 (the “Human Rights Law”) or other applicable federal, state or local laws.

Failure to comply with M/WBE and EEO requirements may result in a Department finding of non-responsiveness, non-responsibility and/or a breach of contract, leading to the withholding of funds or such other actions, liquidated damages or enforcement proceedings.

Please refer to the NYS Master Contract for Grants - Article IV (J) and Attachment A-1 Program Specific Terms and Conditions - Article X, to review M/WBE and EEO requirements. Required M/WBE and EEO related forms can be found at <http://www.dec.ny.gov/about/48854.html>

- The local government is responsible for designating someone to serve as their Affirmative Action representative. The governing body should make this designation through official means.
- A list of certified M/WBE enterprises can be obtained via the internet from the NYS Department of Economic Development at <https://ny.newnycontracts.com/FrontEnd/VendorSearchPublic.asp?TN=ny&XID=9885>
- Contracts which meet the established M/WBE-EEO thresholds require the Contractor to submit Quarterly Reports, http://www.dec.ny.gov/docs/administration_pdf/quarterlyversion7.pdf, detailing payments made by the Prime Contractor to NYS Certified M/WBEs.
- The following M/WBE-EEO “Fair Share” goals are established as follows:

Minority and Women Owned Business Enterprise (MWBE) Overall Participation Goals:

Construction/Engineering – 30%

Commodities – 30%

Services/Technologies – 30%

Equal Employment Opportunity (EEO) Participation Goals

EEO Minority Workforce Participation Goals (DEC Regions 1 - 9) 0%

EEO Female Workforce Participation Goals (DEC Regions 1-9) 0%

DEC M/WBE Compliance

NYS Department of Environmental Conservation

Bureau of Contract and Grant Development/MWBE Program

625 Broadway, 10th Floor

Albany, New York 12233-5028

Phone: (518) 402-9240

Fax: (518) 402-9023

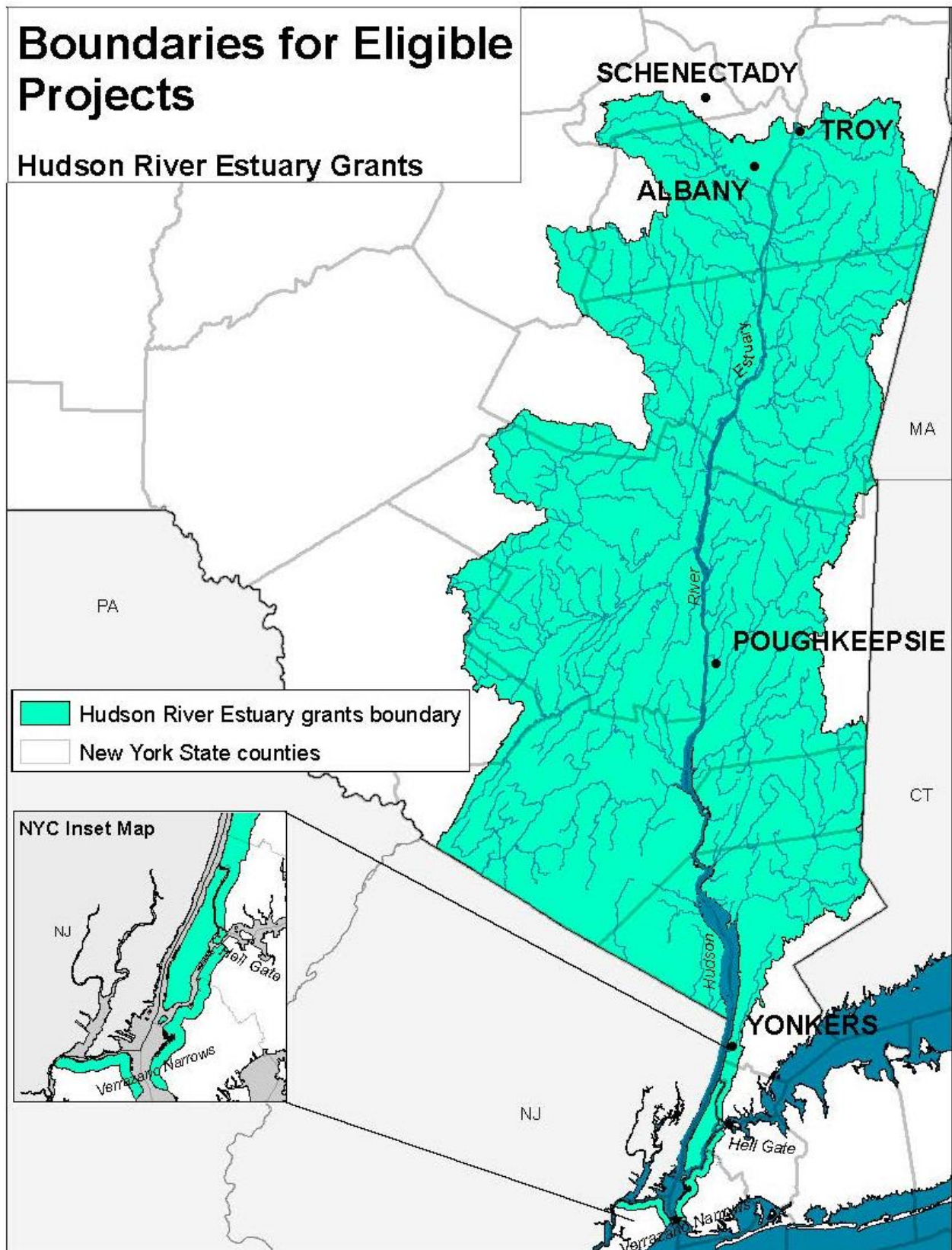
4. Procurement of Contractors/Subcontractors

Municipalities must comply with General Municipal Law Sections 103 (competitive bidding) and 104-b (procurement policies and procedures). Not-for-profit corporations must follow procurement policies that ensure prudent and economical use of public money. Failure to comply with these requirements could jeopardize full reimbursement of your approved eligible project costs.

5. Americans With Disabilities Act

In the event the monies defined herein are to be used for the development of facilities, outdoor recreation areas, transportation or written or spoken communication with the public, the Contractor shall comply with all requirements for providing access for individuals with disabilities as established by Article 4A of the New York State Public Buildings Law, Americans with Disabilities Act, and relevant sections of the New York State Uniform Fire Prevention and Building Code. Standards for certain Recreation Facilities are found in the 2010 ADA Standards for Accessible Design while others are found in the Architectural Barriers Act Accessibility Guidelines for Outdoor Recreation Areas <https://www.access-board.gov/guidelines-and-standards>.

Appendix I: Map of Eligible Project Locations



Appendix II: Budget and Work Plan Guidance

BUDGET

General:

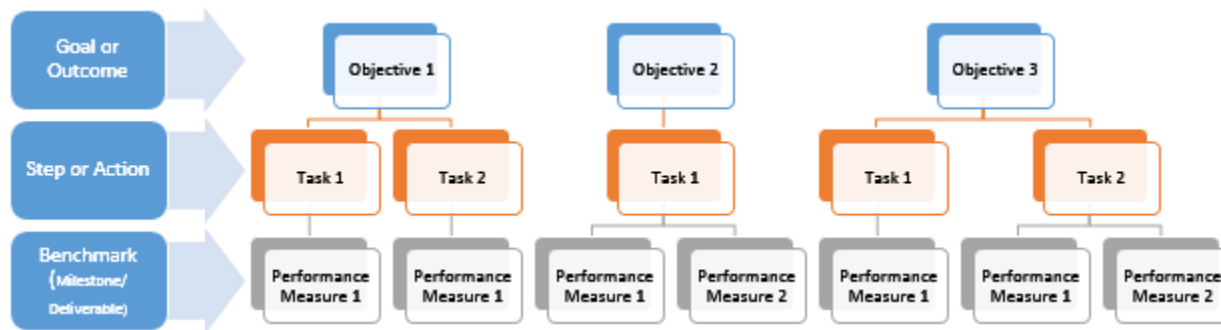
Eligible expenditures for grant and match are noted on pages 22-24 of this RFA.

Budget limitation: Programming to engage user groups, students, or other target audiences in the design, use, and/or roll-out of the funded education products and/or improvements, as described for each project type, may comprise up to 60% of the grant request.

WORK PLAN

General:

The Work Plan is an outline of the project plan and consists of Objectives, Tasks, and Performance Measures. Objectives are essentially the goals or outcomes of the project. Tasks are the detailed steps or actions required to meet the Objective. Performance Measures are the benchmarks used to determine if the corresponding task is achieved (often a milestone or deliverable that will identify task completion). The majority of the detail should be included at the task level.



The Work Plan must be input using the Work Plan functionality in the Grants Gateway. Editing the Work Plan, such as re-ordering objectives and tasks, is limited in the Grants Gateway. You are encouraged to develop the Work Plan outside of the Grants Gateway to mitigate the need to make more substantial edits.

A Word Document template, 'Work Plan Worksheet,' is available for download under the 'Pre-Submission Uploads' area of the application in the Grants Gateway. The Worksheet can be used to help organize proposed project objectives, tasks and performance measures. A completed Work Plan Worksheet should NOT be uploaded back into the Grants Gateway. The intention of the document is to be a tool for application development only.

The Work Plan Summary should be a brief Statement of Work that provides an overview of the project. Although the Grants Gateway allows a large number of characters for a response, please keep the summary succinct and brief. The bulk of the information about the project should be input in the Work Plan Detail as Objectives, Tasks, and Performance Measures.

The following items must be included in the Work Plan:

All projects:

For all projects, the work plan should include tasks for consultation with:

- (i) Estuary Program Staff for project management purposes as step one in the timeline.
- (ii) DEC's ADA Access Coordinator early in the project to discuss accessibility of the project or site.

It is strongly encouraged to incorporate opportunities for Estuary Program staff to attend stakeholder meetings and to provide technical assistance in the planning process.

Opportunities where end-users are engaged and involved in the development of the project should be included in the Work Plan where applicable.

As part of project reporting for a grant awarded under this RFA, grantees will be required to deliver a short presentation about the project, or provide a detailed summary, as further described under #11 Reporting End-User Benefit and Engagement. Similarly, participation of end-users who are residents of EJ communities may be a reported metric. This reporting should be included in the Work Plan. If these reporting elements are also provided in the project timeline, the application will be eligible for bonus points as noted under #11 Reporting End-User Benefit and Engagement.

For projects that will utilize principles of Universal Design (see #9 Universal Design), applicants should indicate how Universal Design elements will be incorporated in the Work Plan.

Additional requirements for Project Type 1, Hudson River shoreline facilities for education about the Hudson River Estuary

Projects proposing a combination of Planning and Construction: For projects that propose a combination of planning and construction, securing the necessary permits is considered to be an appropriate work activity covered by the grant. Applicants should include an activity to complete the permit process in the Work Plan and project timeline.

Projects proposing Planning: For projects that propose planning only, applicants should include in the Work Plan and project timeline an activity to complete a NYSDEC jurisdictional review with the applicable regional permit administrator (<https://www.dec.ny.gov/about/39381.html>).

Permit Requirements that may apply to your project:

The Environmental Resource mapper can be used to see if a wetland is state regulated: <https://www.dec.ny.gov/animals/38801.html>.

A Brief Summary of permits that may be required when conducting activities in and along the Hudson River Estuary. (from NYSDEC Division of Environmental Permits, Region 3)

A Protection of Waters Stream Disturbance permit is required to physically disturb the bed or banks (up to 50 feet from stream) of any streams identified as "protected" (<http://www.dec.ny.gov/permits/6554.html>), and a permit for **Excavation and Fill in Navigable Waters** for any excavation or fill below the mean high-water line of any waterbodies and contiguous wetlands identified as "navigable" (<http://www.dec.ny.gov/permits/6548.html>). Any structures on, in or over waterbodies may require a **Docks and Moorings permit** (<http://www.dec.ny.gov/permits/6550.html>).

Most of the underwater lands of the Hudson River are the property of the State of New York. Administration of the lands underwater is the responsibility of the Office of General Services and a license or **permit may be required for installation of a structure on or over NYS-owned lands**

underwater (<https://ogs.ny.gov/real-estate/lands-now-or-formerly-underwater>). If an OGS permit or license is required, then a Docks and Moorings permit is waived.

Any work within Waters of the United States or associated wetlands may require a permit from the **Army Corps of Engineers pursuant to Section 404** of the Clean Water Act (<https://www.dec.ny.gov/permits/55373.html>). If a Section 404 permit is required, then a **Section 401 Water Quality Certification** is required. Issuance of these certifications in New York is delegated to DEC. All of these projects are in the Coastal Management Zone and if a federal permit is required, then a **Coastal Consistency determination** by NYS Department of State, Office of Planning & Development will be required (<https://www.dos.ny.gov/opd/programs/consistency/index.html>).

Most work within a **Freshwater Wetland or Adjacent Area** requires a permit (<http://www.dec.ny.gov/permits/6058.html>).

Any work in the vicinity of known occurrences of threatened or endangered species may require a **permit for Incidental Taking** (<http://www.dec.ny.gov/animals/68645.html>); this includes loss of habitat and interference with essential behaviors such as nesting or foraging. Measures to avoid a take may be required.

Appendix III: Application Evaluation and Scoring Criteria

PROJECT PASS/FAIL CRITERIA: a “Fail” to any statement will disqualify the application

- The applicant must be eligible, as shown on page 4 of this RFA. A not-for-profit organization must also be prequalified in the Grants Gateway by the application due date to be determined eligible under this grant opportunity.
- The project must be located within the defined geographic boundaries of the Hudson River Estuary. In general, for purposes of this RFA, as defined in the eligible project types, that means projects will be on, near or tightly-focused on the tidal Hudson or relevant portions of NY Harbor.
- Proposed projects must provide or improve estuary-focused education as defined in eligible project types. If the project involves an educational facility, the facility must be on, near, or tightly-focused on the tidal Hudson or relevant portions of NY Harbor.
- The applicant must provide photos of the project location, and condition of the site (if applicable), uploaded to the Grants Gateway.
- Projects must implement one of the eligible project types identified in this RFA.
- The uploaded project timeline indicates completion of project objectives, tasks and deliverables on or before November 30, 2023.
- All project funding comes from eligible sources and at least 15% in eligible match is identified.
- If applicable, letters of collaboration that include the “Lead” applicant designation are provided from all applicant partners.
- Construction projects must have all required permits in place at the time of application.
- For projects involving work on property owned by an entity that is not the applicant, the applicant must provide as an upload to the application, written documentation from the landowner indicating willingness for the project to take place on their property. For example, a “Friends of the Park” group must have documentation from the park owner.
- The applicant must provide the required certification for sexual harassment prevention, as required by State Finance Law §139-l.
- Application completeness: The application is broken out into four sections in the Grants Gateway: Program Information, Expenditure Budget, Work Plan, and Pre-Submission Uploads. To be eligible, applicants must complete all of these sections and upload the required documentation. See the checklist on the last page of the RFA as a reference.

PROJECT OBJECTIVES AND TYPE.....maximum 48 points

Project Objective and Impact (maximum 35 points):

1. How well does the project, its location, statement of need, methods, and deliverables fulfill the objective of this RFA: To improve estuary-focused education facilities, web applications, curriculum, and/or exhibits, providing opportunities for a wide range of people to learn about the Hudson River Estuary?
 - Project as scoped (location, need, methods, implementation, deliverables, budget details) clearly addresses the RFA objective for the project type, and is likely to result in an exceptional educational impact, for example by reaching a relatively large number of people with a very high quality product, and/or results in exceptional impact on opportunities for a wide range of people to learn about the Hudson River Estuary:
 - Regional * 35 Points
 - Non-Regional..... 30 Points
 - Project as scoped (location, need, methods, commitment to implementation, deliverables, budget details) clearly addresses the RFA objective for the project type, and is likely to result in

a strong educational impact and/or strong positive impact on opportunities for a wide range of people to learn about the Hudson River Estuary:

Regional * 25 Points

Non-Regional 20 Points

- Project as scoped (location, need, methods, commitment to implementation, deliverables, budget details) clearly addresses the RFA objective for the project type, and is likely to result in a beneficial educational impact and/or beneficial positive impact on opportunities for a wide range of people to learn about the Hudson River Estuary:

Regional * 15 Points

Non-Regional 10 Points

- Project as scoped (location, need, methods, users, commitment to implementation, deliverables, budget details) clearly addresses the RFA objective for the project type, but educational, and/or positive impact on opportunities for a wide range of people to learn about the Hudson River Estuary is modest (regional* or non-regional) 5 Points

- Application meets one or more of the following:

(i) one or more aspects of the methodology is flawed in some way that affects meeting the primary RFA objective;

(ii) the proposed project method, statement of need, and/or deliverables are insufficiently described to determine objective or impact;

(iii) long-term benefit of the project is not substantiated;

(iv) project does not adequately address concerns for storm resiliency, if applicable;

(v) project scope does not address the RFA objective for the project type; and/or

(vi) educational and/or positive impact on opportunities for a wide range of people to learn about the Hudson River Estuary is insignificant.

..... 0 points

** For purposes of this RFA, "regional" is defined as two or more municipalities (including counties and boroughs)*

Estuary, Tributary, and Harbor Focus (maximum 5 points):

2. Does the project focus on the Hudson River Estuary, its tributaries, or parts of New York Harbor waterways included in this RFA's geographic scope?

• Yes, clearly indicated focus 5 points

• Yes, these areas are included within a wider scope that includes other areas 3 points

• No, there is no particular focus on these areas 0 points

ADA and Universal Design (maximum 8 points):

3. Does the project application utilize Principles of Universal Design/Universal Access?

• Application indicates how Principles of Universal Design will be incorporated, above and beyond ADA requirements. Specifics are included in the project timeline 8 points

• Application indicates commitment to utilize Principles of Universal Design, above and beyond ADA requirements. Specific examples are provided or documented but are not included in the project timeline 4 points

• Application indicates commitment to utilize Principles of Universal Design, above and beyond ADA requirements, but specific examples are not provided or documented 1 point

• Commitment to utilize Principles of Universal Design is weak or non-existent 0 points

PROJECT SUCCESS FACTORS maximum 37 points

End-User Benefit and Engagement (maximum 12 points):

4. How well does the project engage and inform the user group(s), key stakeholders and target audience (collectively, end-users) who will benefit from the project?
- End-users whose support or involvement is necessary for the project to succeed are clearly documented, and the applicant describes how end-users will be engaged and informed in the project. Letters are provided from end-users which describe how they will participate in the project, and the project timeline shows where and when end-users will be engaged.....12 points
 - End-users whose support or involvement is necessary for the project to succeed are clearly documented, and the applicant describes how end-users will be engaged and informed in the project. Letters from the end-users are provided, but the project timeline does not clearly indicate points at which end-users will be engaged.....8 points
 - End-user benefit and engagement is acceptable for the project type.....4 points
 - End-users are not clear or unidentified, and/or engagement is insufficient to assure project success is likely.....0 points

BONUS POINTS for reporting End-User Benefit and Engagement (maximum 10 points total):

5. In the project timeline, does the applicant include the following project reporting elements?
- In the project timeline, applicant includes a presentation or summary of the project's results as defined under #10 Reporting End-User Benefit and Engagement. If yes -5 points
 - In the project timeline, applicant includes reporting on participation by residents of EJ communities. If yes, add -5 points
 - No0 points

Engagement of Hudson River Estuary Program Staff (maximum 5 points):

6. How are Hudson River Estuary Program Staff engaged in the proposed project?
- Project timeline demonstrates early consultation with Estuary Program staff and offers an invitation to attend project meetings and to provide technical assistance.....5 points
 - Project timeline only demonstrates early consultation with Estuary Program staff, or invitation to participate is late in the process.....3 points
 - Hudson River Estuary Program Staff engagement is vague or not defined.....0 points

Knowledge, Skills and/or Experience (maximum 10 points):

7. Does the applicant demonstrate the knowledge, skills, and/or track record to successfully undertake a project of this nature? For purposes of this RFA, experience and track record includes performance on current and prior Estuary grants, including quality and timeliness of grant reporting, progress on performance schedules, and completion of deliverables.
- Exceptionally well-qualified and/or superior track record for this type of project.....10 points
 - Very well-qualified and/or established track record for this type of project.....8 points
 - Qualified and/or satisfactory track record.....5 points
 - Not well-qualified and/or has a poor track record.....0 points

PROJECT COST EFFECTIVENESS.....maximum 49 points

8. How well does the budget demonstrate value for cost? Cost effectiveness will be evaluated from the standpoint of both cost match, balance, and value. Applicants may compare the project costs to other similar work and explain the balance of expenses across budget categories. If applicable, provide justification for costs that exceed what is customary for the work to be completed. To sufficiently respond to this question, applicants are encouraged to upload documentation to support specific budget items, such as standard government wage rates, current market prices for

equipment, and cost-estimates from potential contractors / vendors.

- Exceptional value for the cost: Projects that meet both of the following two criteria will score 49 points:
 - Project provides 30% match or more, and
 - Budget is well-balanced and does not contain any extraneous expenses. Cost-to-benefit ratio is appropriate for the complexity and size of the project. Anticipated benefits are at a scale and cost equivalent to the fair market value of the proposed budget.
- Cost-effectiveness is reasonable: Budget is well-balanced and does not contain any extraneous expenses. Cost-to-benefit ratio is appropriate for the complexity and size of the project. Anticipated benefits are at a scale and cost equivalent to the fair market value of the proposed budget. (40 points)
- Project is not cost effective: Budget is unreasonable, not cost-effective, is confusing, extraneous, excessive or not well aligned with the project purpose. Budget does not conform well to project deliverables and/or expenses are unrelated to project objectives (0 points)

Bonus points for meeting minimum standards for “Estuary, Tributary, and Harbor Focus”, end-user engagement, qualifications, and cost effectiveness (maximum 81 points):

9. Does applicant receive points in “Estuary, Tributary, and Harbor Focus.” end-user engagement, long-term benefit, qualifications, and cost effectiveness?
- Yes.....81 points
 - No.....0 points

STATEWIDE PRIORITY POINTS.....maximum 15 points

Regional Economic Development Plan:

10. Has the applicant demonstrated the project implements part of a Regional Economic Development Council (REDC) Plan?
- If yes, add.....5 points

Environmental Justice:

11. Will the proposed project benefit a designated Environmental Justice Community and has the necessary EJ application information been provided?
- If yes, add10 points

ADDITIONAL POINTS.....maximum 15 points

Map of Project Location:

12. Is a clear map depicting the entire area of the project location uploaded for Program Question 1?
- If yes, add.....5 points

Community Support:

13. Above and beyond essential project support (Program Question 20), does the application demonstrate support from a variety of local, county, or state appointed or elected officials?
- If yes, add5 points

Open/Current Grant Workload (uncompleted grants) with the Estuary Program:

14. Applicant doesn't have any open or current grants with the Hudson River Estuary Program.
- If yes, add.....5 points

TOTAL ELIGIBLE POINTS.....245 points

Appendix IV: Credit Sign Specifications

NYS ENVIRONMENTAL PROTECTION FUND Hudson River Estuary Program

Size: Horizontal format - 24" wide by 18" high or as appropriate to sign location

Construction Materials: Aluminum blank sign boards with vinyl sheeting

Inserts: "Project Site Name," "Local Project Sponsor" indicate position, size and topography for specific project names and sponsor to be inserted.

Color Scheme:

NYS logo and text – "DEPARTMENT OF ENVIRONMENTAL CONSERVATION" -
Pantone 350 C

Text: Environmental Protection Fund

PMS 3005 C

Hudson River Estuary Program

PMS 3005 C

Project Site Name/Local Project Sponsor

Pantone 350 C

Type Specifications: All type is Arial 540, with the exception of the logo type.
Format is: center each line of copy with small caps and initial caps.

Production Notes: 24" wide by 18" high (or as appropriate to sign location)
Aluminum blanks will be covered with vinyl sheeting to achieve
background color. Copy and logo will be silk screened on this surface.

Grant recipients must provide a project site name, and the local project sponsor to be inserted on the sign.

Example Sign:



Appendix V: Universal Access, Sources

ACCESSIBILITY REQUIREMENTS

DEC requires that all projects, involving the development of facilities, outdoor recreation areas, transportation or written or spoken communication with the public, are compliant with all requirements for providing access for individuals with disabilities as established by Article 4A of the New York State Public Buildings Law, Americans with Disabilities Act, and relevant sections of the New York State Uniform Fire Prevention and Building Code. Standards for certain Recreation Facilities are found in the 2010 ADA Standards for Accessible Design while others are found in the Architectural Barriers Act Accessibility Guidelines for Outdoor Recreation Areas. See <https://www.access-board.gov/guidelines-and-standards> to find the relevant standards for your project.

SOURCES OF INFORMATION ON ACCESSIBILITY AND UNIVERSAL ACCESS

NORTHEAST ADA CENTER AT THE K. LISA YANG AND HOCK E. TAN INSTITUTE ON EMPLOYMENT AND DISABILITY

<https://www.northeastada.org/>

The Northeast ADA Center provides information, materials, technical assistance, and training on the Americans with Disabilities Act. Topics addressed include the non-discrimination requirements in employment, the obligations of state and local governments and business to ensure that programs, services and activities are readily accessible to and useable by people with disabilities.

Northeast ADA Center

Cornell University

ILR School

201 Dolgen Hall

Ithaca, New York 14853

Voice/TTY/Spanish: (800) 949-4232; Fax (607) 255-2763

Email: northeastada@cornell.edu

U.S. ACCESS BOARD

www.access-board.gov

The U.S. Access Board is designated by the Americans with Disabilities Act (ADA) as the agency responsible for developing minimum accessibility guidelines to ensure that new construction and alteration of facilities covered by ADA are accessible and useable by people with disabilities. The Access Board has put out the following guidelines that should be used by *Access to Recreation* applicants to determine the criteria they must exceed to achieve universal accessibility:

- Recommendations for Accessibility Guidelines for Outdoor Developed Areas

<http://www.access-board.gov/guidelines-and-standards/recreation-facilities>

Summary of Accessibility Standards for Federal Outdoor Developed Areas at <https://www.access-board.gov/guidelines-and-standards/recreation-facilities/outdoor-developed-areas/a-summary-of-accessibility-standards-for-federal-outdoor-developed-areas>.

The Access Board also has a website that provides links to a number of organizations whose mission is to provide access for persons with disabilities at:

<https://www.dol.gov/odep/topics/disability.htm>

United States Access Board
1331 F Street, NW, Suite 1000
Washington, DC 20004-1111
Voice: (800) 872-2253 TTY: (800) 993-2822 FAX: (202) 272-0081

NATIONAL CENTER ON ACCESSIBILITY

<http://www.ncaonline.org>

The National Center on Accessibility is a collaborative program of Indiana University and the National Park Service. It provides information on access for people with disabilities in recreation.

National Center on Accessibility
501 North Morton Street - Suite 109
Bloomington, IN 47404-3732
Voice: (812) 856-4422 TTY: (812) 856-4421 FAX: (812) 856-4480
E-mail: nca@indiana.edu

THE CENTER FOR UNIVERSAL DESIGN

www.ncsu.edu/ncsu/design/cud

The Center for Universal Design is a national information, technical assistance, and research center that evaluates, develops, and promotes accessible and universal design in housing, commercial, and public facilities, outdoor environments, and products.

The Center for Universal Design
College of Design
North Carolina State University
Campus Box 8613
Raleigh, NC 27695-8613
Staff email: cud@ncsu.edu

UNITED STATES DEPARTMENT OF AGRICULTURE

US FOREST SERVICE, TECHNOLOGY AND DEVELOPMENT PROGRAM

Accessibility Guidebook for Outdoor Recreation and Trails

<https://www.fs.fed.us/recreation/programs/accessibility/pubs/htmlpubs/htm12232806/index.htm>

ADIRONDACK NORTH COUNTRY ASSOCIATION

Improving Usability for all Visitors, <http://adirondack.org/node/14>

this guide lays out 10 "tips" any establishment can use to improve its ability to provide inclusive and enjoyable experiences for visitors with disabilities.

WEB-BASED APPLICATIONS-ACCESSIBILITY

U.S. GENERAL SERVICES ADMINISTRATION SECTION508.GOV

All products produced and funded by the state must comply with Standards of Section 508 of the federal Rehabilitation Act. The Section508.gov website has tools to aid entities in complying with these standards (See <https://www.section508.gov/create>).

Appendix VI: Universal Access, Guidance

GUIDANCE ON DESIGNING SPECIFIC TYPES OF RECREATION AND SUPPORT FACILITIES FOR UNIVERSAL ACCESSIBILITY

7 PRINCIPLES OF UNIVERSAL DESIGN

These principles were developed by the Center for Universal Design, North Carolina State University, www.ncsu.edu/ncsu/design/cud. The applicant must provide a description of how the project meets each of these principles.

Principle 1: Equitable Use – The design is useful and marketable to people with diverse abilities.

Principle 2: Flexibility in Use – The design accommodates a wide range of individual preferences and abilities.

Principle 3: Simple and Intuitive Use – Use of the design is easy to understand, regardless of the user's experience, knowledge, language skills, or current concentration level.

Principle 4: Perceptible Information – The design communicates necessary information effectively to the user, regardless of ambient conditions of the user's sensory abilities.

Principle 5: Tolerance for Error – The design minimizes hazards and the adverse consequences of accidental or unintended actions.

Principle 6: Low Physical Effort – The design can be used efficiently and comfortably and with a minimum of fatigue.

Principle 7: Size and Space for Approach and Use – Appropriate size and space is provided for approach, reach manipulation, and use regardless of users' body size, posture or mobility.

The project should allow users to move freely between the proposed project and support facilities. There should not be separate routes for users with disabilities, such as ramps and stairs at a building entrance; all users freely to the existing support facilities and parking. If parking and support facilities are not part of the project scope, they must, at a minimum, meet ADA.

The following table lists design aspects that should be considered when designing the specified type of recreation or support facility for universal accessibility. This guidance is not exhaustive or mandatory.

<u>Type of Recreation Facility</u>	<u>Universal Access Design Considerations:</u>
Trail: nature trail, walkway, pathway, etc.	<ul style="list-style-type: none">- wider width so two people can walk side by side or people can pass- unitary surface like concrete, boardwalk or asphalt, crushed aggregate/screenings that have been "stabilized" or natural soils enhanced with soil stabilizers- transition plates between trail and pedestrian bridges, decks, etc.- contrasting color treatment of the surface and textured surface treatments such as brushed concrete

	<p>at intersections or interpretive stations to cue people who have vision impairments that there is something to pay attention to at that spot</p> <ul style="list-style-type: none"> - close to level cross slopes (side to side) and very gentle running slopes, no steep sections, larger (greater than 60"X60") level areas at all turns and intersections - thoughtfully laid out on the site to maximize the experience with minimal difficulty - accessible amenities such as benches, restrooms (port-a-johns), drinking fountains, etc.
Boardwalk: wetland and water access	<ul style="list-style-type: none"> - wider width so two people can walk side by side or people can pass - edge treatment to prevent roll/step off - if side rails all lowered for easy viewing - interpretive information in a variety of alternative formats such as auditory, large print, Braille, pictures, etc.
Beach:	<ul style="list-style-type: none"> - routes over the beach and into the water, can be portable/temporary matting if it needs to be taken in and out for beach cleaning/dragging or in the off season - wide enough for side by side walking/passing - at beach route end have an accessible area at the water's edge large enough to park multiple chairs while the owners are in the water - with a transfer system at the water's edge so people can get down to the ground level and into the water.
Fishing dock/pier and observation/viewing decks:	<ul style="list-style-type: none"> - all lowered rails all the way around so everyone can fish from anywhere or no rails at all with only an edge treatment to prevent roll off - sitting benches (all with backs and arm rests) scattered about so anglers can choose to sit or stand to fish - tackle box stands next to one bench end (not both) leaving one end clear space for sitting side by side with someone in a wheelchair - a variety of fish landing cutaways strategically placed - variety of accessible opportunities—over-water fishing, shore fishing, in-water fishing, etc.
Canoe/kayak/boat launch:	<ul style="list-style-type: none"> - transition plates between access route and deck/pier - wider route so someone can hand wheel boat on dolly to launch pulling boat next to them if they are in a wheelchair or two person carry down - accessible surface to water's edge and into water at launch - more gentle slopes for easier entry and exit when hand wheeling a boat - some type of "rack" to stabilize boat at a transferable height then some type of mechanism/roller system to

move, while seated in the boat, into the water

- some means of transfer assistance such as overhead bars
- some type of wench system to help pull boat out of water back into the rack to exit/transfer out.
- if there is a transfer system on the dock so a person can be seated on the dock to transfer over to a boat in the water, that is in some type of a stabilizer rack
- adaptive kayaks available for use
- shore station with a platform (instead of "V" rack) with a transfer system on the deck of the shore station, located next to a dock so someone could roll/get on the platform and lower it to the appropriate level to transfer into a boat

Picnic areas and elements:
Pavilions, picnic tables, grills, fire rings, water pumps, etc.

- all tables, grills, fire rings, water pumps, etc. accessible
- all located on accessible routes
- level routes onto pavilions with no changes of level from path to pavilion surface
- wider routes and clear space with firm surface around all elements so someone with mobility limitations can easily move around the element (table, grill, etc.)
- a variety of table styles, some with clear sitting space on the side, some with extended table tops on the end
- some fixed tables to ensure they remain accessible (not moved off into a grassy or sandy area, etc.)
- clear space all around each element so people can approach and use the grill, fire ring, etc. from the front, back and either side
- grills you can lower/raise the cooking surface with one hand
- raised fire building surfaces so you can place wood without leaning

Restrooms:

- more than the minimum number of accessible units
- multiple unisex/single user toilet rooms/units so opposite sex care givers can assist; also good for parents of young children of the opposite sex so kids aren't sent alone into the multi-user restroom
- thoughtfully located near areas of activity such as play areas, beaches, fishing piers, etc.
- accessible door pulls and water faucet handles
- all accessible port-a-johns

Parking:

- more than minimum number of accessible paved parking spots
- the accessible parking spot(s) must be paved, striped and signed
- each connected directly to an accessible route to the park elements and NOT into the traffic flow
- thoughtfully located nearest the activity entrance,

which might require multiple lots (some near the beach, some near the playground, some near the picnic area, etc.)

Interpretive Information Maps

- Interpretive information and maps in a variety of alternative formats such as auditory, large print, Braille, pictures, QR Codes, etc.

AMERICANS WITH DISABILITIES ACT

Below is a quick reference to the general minimum requirements for accessible spaces, clearances, reaches, viewing, and operation. These are not specific to types of recreation listed above. You must reference the *2010 American with Disabilities Act Accessibility Guidelines* and/or the *Recommendations for Accessibility Guidelines: Outdoor Developed Areas (Final Report)* for the specific type of recreation to find the specific scoping and technical minimum requirements. Websites at which these references can be found are listed in Appendix V. NOTE: The *2010 Americans with Disabilities Act Standards for Accessible Design* have been approved and are effective March 2012.

Clear width = 36" minimum for most accessible routes

Surfaces = 1/4" maximum change, slopes less than 5%, firm and stable

Head clearance = 80" high and as wide as the route

Clear space = minimum 30" wide by 48" deep located at the element

Viewing = clear from 32"-51" height

Operation = operating mechanism that is operable with one hand and does not require tight/pinch/grasp/wrist twist to operate.

Maneuvering space = 60" by 60" minimum and level, at entries and places for change of direction

Transferable height = 17"-19" with transfer supports

Knee clearance = 27" high by 30" wide by 25" deep

Table tops, counters, and rail heights = maximum 34" high

Reach range = 48" maximum high forward; 15" minimum low on side

Appendix VII: Certification for Sexual Harassment Prevention

Attachment S

Sexual Harassment Prevention Certification Form

By submission of this application, each applicant and each person signing on behalf of any applicant certifies, and in the case of a partnering application each party thereto certifies as to its own organization, under penalty of perjury, that the applicant has and has implemented a written policy addressing sexual harassment prevention in the workplace and provides annual sexual harassment prevention training to all of its employees. Such policy shall, at a minimum, meet the requirements of section two hundred one-g of the labor law.

Company Name: _____

Signature: _____

Print Name and Title: _____

Date: _____

If the above certification cannot be made, the applicant must submit a signed statement below detailing the reasons why the certification cannot be made.

Company Name: _____

Signature: _____

Print Name and Title: _____

Date: _____

Appendix VIII: Application Checklist

• **PASS/FAIL CRITERIA**

(Check the following boxes (☒) to indicate the item is addressed in the application, or is N/A)

1. ☐ Applicant is registered in the Grants Gateway as an eligible applicant for this program.
2. ☐ *NOT-FOR-PROFIT ORGANIZATIONS ONLY*: Applicant is prequalified in the Grants Gateway by the application due date, and up-to-date with a charities registration number and required filings.
3. ☐ Project is located within the defined geographical boundaries of the Hudson River Estuary.
4. ☐ Project must provide or improve estuary-focused education as defined in eligible project types. If the project involves an educational facility, the facility must be on, near, or tightly-focused on the tidal Hudson or relevant portions of NY Harbor.
5. ☐ Photos of the current location that show the condition of site are uploaded.
6. ☐ Project implements one or more of the specified eligible project types.
7. ☐ Project timeline indicates completion of project objectives, tasks and deliverables within a two-year contract term.
8. ☐ All project funding is from eligible sources and at least 15% in eligible match has been identified.
9. ☐ If applicable, letters of collaboration that include the “Lead” applicant designation are provided from all applicant partners.
10. ☐ Construction projects have all required permits in place.
11. ☐ For projects involving work on property owned by an entity that is not the applicant, written documentation from the landowner indicating willingness for the project to take place on their property is uploaded.
12. ☐ The required certification for sexual harassment prevention is uploaded (Mandatory Upload in Pre-Submission Uploads section in the Grants Gateway).
13. ☐ Application is complete and uploads are in the Grants Gateway (make sure to check errors).

• **GRANTS GATEWAY FORMS (Program Information, Expenditure-Based budget, and Work Plan)**

(Check the following boxes (☒) to indicate the item is addressed in the application, or is N/A)

1. ☐ Program Information: Project site information is provided, and ALL program-specific questions are answered and applicable/required documents are uploaded for each question. (Mandatory)

Mandatory uploads:

- a. ☐ Program Question 9: A project timeline, showing project start of December 1, 2021 with a completion date of November 30, 2023.

Optional uploads, as applicable:

- b. ☐ Program Question 1: Location map showing the project area.
 - c. ☐ Program Question 18: Documentation supporting universal design.
 - d. ☐ Program Question 20: Letters of support as evidence of end-user engagement.
 - e. ☐ Program Question 26: Availability to the public/landowner permission provided.
 - f. ☐ Program Question 28: Support for cost-effectiveness (i.e. vendor quotes).
 - g. ☐ Program Question 31: Letters demonstrating “above and beyond” community support.
2. ☐ The expenditure-based budget is completed, including justifications for all budget items.
 3. ☐ The Work Plan is provided with clear objectives, tasks, and performance measures.

• **MANDATORY UPLOADS (found in Pre-submission Uploads section in the Grants Gateway)**

1. ☐ *Smart Growth Assessment Form* has been completed and uploaded into the Grants Gateway.
2. ☐ This *Application Checklist* is completed and uploaded into the Grants Gateway.

* ☐ **CHECK ALL DOCUMENTS AFTER UPLOADING TO ENSURE THE CORRECT DOCUMENT IS UPLOADED.**